PM
PUBLIC MANAGEMENT

EMERGENCIES AND DISASTERS

+

INSIDE: LGR: LOCAL GOVERNMENT REVIEW & CONFERENCE SNEAK PEEK

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Showing Professional *Courtesy and Respect* When You're No Longer in Charge

What are the ethical boundaries in your former life? | BY MARTHA PEREGO, ICMA-CM

Whether by choice or force, we all share the experience and journey of advancing to what's next in our professional lives. What we are moving on to—and why—no doubt affects how receptive and adaptive we will be to the change.

The sheer exhilaration of landing your dream job in a new organization makes it very easy to see your old position entirely through the rearview mirror. Friends and colleagues remain, but making a clean break is easy.

But for others, leaving an organization for which you have expended great energy, passion, and commitment is tough to do even if you are leaving of your own volition. The evidence of your contribution, after all, is everywhere. Whether it is a department you rebuilt with talented staff, a new neighborhood park, a renovated town hall, or an economic strategy that revitalized main street, your contributions are tangible and physically evident. Let's face it: It's hard to just close the door and walk away from the community you create through that work.

Adding to the complexity of the transition, imagine if you plan to live in the community you once managed. How do you balance your reputation and status as a "former" with the new role of being just a "resident"? How do you exercise your civic duties and rights as a resident in a way that does not undermine the colleague who now holds your former position? If you think the current manager is not making good decisions, based on your professional expertise and knowledge of the operations, what should you do?

To be clear, there are no hard and fast rules of engagement here for a member who wants to participate in their former community, whether they reside there or not. Members who no longer work for a local government must follow these two tenets from the ICMA Code of Ethics:

Tenet 1. *We believe professional management is essential to efficient and democratic local government by elected officials.*

Tenet 3. *Demonstrate by word and action the highest standards of ethical conduct and integrity in all public, professional, and personal relationships in order that the member may merit the trust and respect of the elected and appointed officials, employees, and the public.*

Of the many guidelines under Tenet 3, the one on public confidence is most relevant to this discussion: *Members should conduct themselves so as to maintain public confidence in their position and profession, the integrity of their local government, and in their responsibility to uphold the public trust.*

And then consider that long-held rule of engagement that seems most on point here: If you have a discussion

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ICMA

Creating and Supporting Thriving Communities

ICMA's vision is to be the leading association of local government professionals dedicated to creating and supporting thriving communities throughout the world. It does this by working with its more than 12,000 members to identify and speed the adoption of leading local government practices and improve the lives of residents. ICMA offers membership, professional development programs, research, publications, data and information, technical assistance, and training to thousands of city, town, and county chief administrative officers, their staffs, and other organizations throughout the world.

Public Management (PM) aims to inspire innovation, inform decision making, connect leading-edge thinking to everyday challenges, and serve ICMA members and local governments in creating and sustaining thriving communities throughout the world.

with a colleague's elected officials, that colleague needs to hear about it. And the preferred method of interaction is peer to peer. Don't go around your colleague to talk with their elected officials.

Here are two real scenarios that serve to highlight why this is a very gray ethical issue.

Giving Back to the Community

A former city manager, who served the city in that role for over a decade, applied to serve on the citizens commission that provides advice on housing policy issues and funding allocations. Affordable housing has always been a challenge in the city and the now-retired manager felt that she has the time and expertise to devote to the issue.

As a courtesy, she stopped by city hall to give the current manager a head's up. The news was received with great unease by the current manager. At first, he thought this might violate ICMA's Code of Ethics. It does not. A member, especially one who is no longer working for a local government, can serve on an appointed board or commission even for their former employer.

THE RULES OF ENGAGEMENT FOR A FORMER MANAGER IN THEIR FORMER COMMUNITY ARE NOT ETCHED IN STONE.

He remained concerned that her involvement might impede efforts to shift the city's approach to solving this intractable issue. Not to lay blame, but the strategies used under her watch didn't seem to make much progress.

This seems like two sides of the same coin. Some local government organizations benefit from having former practitioners on their committees as they bring a level of knowledge that others may not have. On the flipside, it can create a situation of competing perspectives. Whose perspective and advice do you follow? The current city manager (and his or her staff) or the former, who (depending on their tenure) may carry a lot of influence in the community.

Assuming positive intent, the manager opted for a follow-up conversation where he successfully persuaded the former manager not to advance her interest in this cause from a city-related perch.

Running for Office

After serving the community for 15 years, a city manager announced his retirement, and the city commenced the search for a suitable replacement. The new city manager was approved by a unanimous vote. A month later, the former city manager

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entered the campaign to fill an unexpected open seat on city council.

Though rare, this is not the first time a former city or county manager sought elected public office. When it happens, generally it is not in the community they once managed, but if so, certainly not on the heels of their retirement. The ICMA Code of Ethics doesn't require a retired member to adhere to the principle of political neutrality and is silent on the issue of what would be a suitable waiting period, if any.

The desire to continue public service in a beloved community doesn't outweigh the impact of that decision on the organization, profession, and the new city manager. Whether good or not so, the reputation and perceived influence of anyone who holds the title of manager doesn't evaporate when they walk out the door. Regardless of whether they leverage their former position in the campaign, will that former title garner campaign support from donors who presume an inside advantage should this candidate prevail? And if they win, what will be the impact on staff who may be challenged to support the candidate's donors as they officially engage with the city?

After years of serving as a nonpartisan, politically neutral professional, what impact does the campaign have on the image of the profession? Imagine being the new city manager only to have the former occupant now be one of your supervisors.

Things to Consider

As noted, the rules of engagement for the former manager in their former community are not etched in stone. There is similar ambiguity when a former manager engages in their new hometown. If you find yourself in that role or dealing with someone in that role, here are some considerations:

1. **Before volunteering to serve in an official capacity in the community where you live or worked, check in with the current manager.** Listen to discern whether your participation will be helpful and not an impediment.
2. **No two will lead and manage an organization the same way, yet both may be successful in the end.** Consider that if former staff reach out to talk about the new leadership. Keep your conversations focused on personal, not professional, topics.
3. **Keep your counsel private.** If you think your colleague is making poor decisions or seems off track, offer your professional expertise in private. Once offered, step back. Even as a former practitioner and resident, you may not have the insider perspective and all the facts. Also, differences of opinion or approach are not cause for going around your colleague. Standing at the dais at a public meeting or talking with the elected officials should be the very last resort held for ethical or legal matters.
4. **The right to do something doesn't mean it is the right thing to do.** Think about that as you weigh your engagement in your former or current community.

Returning to Tenet 1, if we believe that professional management is essential to efficient and democratic local government, then it is incumbent on all of us to do our best to respect and, in a constructive way, support our colleagues. PM

Crisis and Recovery: An Opportunity to Learn and Grow

ICMA members and partners have stepped up to support their communities and this profession in the most remarkable ways

BY MARC OTT

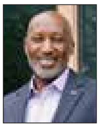
If there is one thing we learn as city, county, and town managers, it's that anything can happen at any time to disrupt a community— whether it be man-made disasters like mass shootings, natural disasters like hurricanes and wildfires, or public health crises like the one we have been facing.

While emergency preparedness is a cornerstone of our profession, it is impossible to prepare our staff and community for every eventuality. When I speak with managers around the world, it is typically these crises which prove to be the greatest teachers. Like communities around the world, ICMA too continues to learn and grow from this crisis.

Expanded Global Network

We are extraordinarily fortunate to have a diverse array of members willing to share their experiences—including mistakes—in a sincere effort to help others navigate through crises and recovery. At ICMA, an important outcome of the COVID-19 pandemic has been the expansion of our global network. One of the first blog posts describing a local government's approach in responding to residents who contracted the virus came from our board member in Romania, Robert Kristof, city manager of Timisoara. Dozens of other members, each with a unique management perspective, contributed their experiences through our blog, webinars, magazine, and ICMA Connect. In this issue of *PM,* for example, managers from Pennsylvania and Iowa cover leading practices alongside experts from Bruges, Belgium, and Mumbai, India.

To tackle the challenges managers faced due to the worldwide pandemic, ICMA's 2020 Annual Conference, UNITE, tapped into our global expertise. More than 70 international speakers participated in 73 sessions focused on COVID. As a result, the number of international attendees increased by over 225 percent over the prior year and more than any other year in our history. Like many of you, we envision expanding the digital component of our in-person events in order to continue to more easily accommodate global audiences. In addition, we have begun to customize our content for audiences outside of the United States. For example, we are developing a six-part workshop of best practices for local government managers in India with our partner there, the Urban Management Center.



MARC OTT is executive director of ICMA, Washington, D.C.

> **Supporting you in your management of the COVID crisis has been our top priority since March 2020.**

Increased Focus on Advocacy

Another area of focus for the association during the pandemic was advocacy. Together with our state and local government partners, we continually advocated for financial relief for communities battling the pandemic. Successes include the American Rescue Plan and the Coronavirus Aid, Relief, and Economic Security (CARES) Act and new opportunities for partnerships with organizations like the Federal Emergency Management Agency (FEMA) and International Economic Development Council (IEDC).

Each year, ICMA asks members to identify the most important topics that we should be focusing on. Emergency and crisis management is always at or near the top of the list and over the years we have built an extensive research, resource, and training library. Supporting you in your management of the COVID crisis has been our top priority since March 2020. Our coronavirus action team has continued to build out that library with new tools, resources, and training programs centered on every phase of this crisis.

Looking back at this last year and a half, I'm reminded of a quote by NBA Hall of Famer Magic Johnson, "When you face a crisis, you know who your true friends are." You, our members and partners, have stepped up to support your communities and this profession in the most remarkable and generous ways. The legacy of your contributions will live on at ICMA as a lasting record of how city and county leaders managed through this crisis long after this horrific pandemic finally leaves us. That knowledge will inform future generations of leaders. PM

Inequity in an Emergency

Access to 911 is still lacking for the Deaf Community | BY AUDREY FRAIZER

Calling 911 and speaking to an emergency dispatcher is something most take for granted. The emergency dispatcher asks questions, gathers information, and notifies response. The caller follows over-the-phone pre-arrival instructions, when necessary, and the emergency dispatcher optimally stays on the line until fire, police, or medical responders arrive on the scene.

Although a simplified description, the process is repeated thousands upon thousands of times each day. It's also a process that people who are deaf and hard of hearing cannot take for granted. Despite laws and regulations to make things equal and accessible, emergency communication, in most cases, is not functionally equivalent to those who can hear.

IMAGINE BEING FACED WITH AN EMERGENCY AND UNABLE TO CONTACT 911.

"Within the Deaf Community, access to 911 is sorely lacking," said Zainab Alkebsi, policy counsel for the National Association of the Deaf (NAD). Here are three means of communication for the deaf or hard of hearing in an emergency.

TTY—TeleTYpe, more commonly known as "TTY," pairs an electromechanical typewriter with a communication channel that allows people to communicate through typed messages. Invented in 1960, the use of TTY wasn't mandated in 911 call centers, or public safety answering points (PSAPs), until 1991. Early models were cumbersome, but digital technology now enables computers to talk directly to TTYs through either a landline or cellphone. Though more modern technologies now exist for communication in emergency situations, a TTY still has its place, according to the NAD. "There are certain populations within the deaf community that still rely on TTYs, such as those who are deafblind, senior citizens, or who live in rural areas without internet," said Alkebsi. When there is a power outage and the internet is down, for example, having a TTY with battery backup power and a landline may be the only way to connect to emergency services.

Text-to-911—In 2014, an FCC rule went into effect requiring all wireless carriers and providers of "interconnected" text messaging applications to support the ability of consumers to send text messages to 911 where PSAPs are also prepared to receive the texts. The proposal included a carrier provision to send automated "bounce back" error messages when a text is sent to a 911 center where the service is not available.

The number of PSAPs ready to receive Text-to-911 has grown significantly since 2012, according to the FCC Master PSAP Registry. In 2015, less than three percent of the nation's 6,000 PSAPs had implemented Text-to-911. Since then, the number of PSAPs using the platform has increased to almost 50 percent.[1]

Indiana is in the unique position of having 100 percent of its counties using Text-to-911. Primary PSAPS in all 92 Indiana counties have had the ability to receive and send text messages since 2016, and the state now tops the nation with the number of text sessions processed by telecommunicators.

Real-time Text—Real-time text (RTT) is the up-and-coming technology for the deaf, hard of hearing, deafblind, and speech impaired. Characters are transmitted immediately once typed and displayed immediately to the receiving party through wireless handsets that use IP-based technology on networks that support RTT.[2] The immediacy offers the same conversational directions and interactivity as voice. In 2017, an FCC rule went into effect to facilitate a transition from TTY technology to RTT "as a reliable and interoperable universal text solution over wireless networks for people who are deaf, hard of hearing, deafblind, or have a speech disability."[3]

While these technologies are helpful, their access is still limited for those who truly need them. Alkebsi said, "Imagine being faced with an emergency and unable to contact 911. Deaf or hard of hearing people are unable to easily obtain help when needed simply because the authorities have not prioritized accessibility within 911 services." PM

Speak up, ICMA!

Email us your thoughts on the issues of equity, inclusion, race, and social justice to **speakup@icma.org.**

ENDNOTES AND RESOURCES

[1] "Text to 911 Master PSAP Registry." Federal Communications Commission. https://www.fcc.gov/files/text-911-master-psap-registryxlsx

[2] "Transition From TTY to Real-Time Text Technology." Federal Communications Commission. https://www.federalregister.gov/documents/2017/01/23/2017-01377/transition-from-tty-to-real-time-text-technology

[3] "Real-Time Text: Improving Accessibility." Federal Communications Commission. https://www.fcc.gov/sites/default/files/real-time-text.pdf

AUDREY FRAIZER is managing editor of the *Journal of Emergency Dispatch.*

Designing *Resilient* Communities

Civic leadership must ensure first responders have adequate facilities and resources available to them during their community's greatest time of need.

Public safety is a high, if not the highest, priority for all civic leaders. Essential services like police, fire, rescue, and 911 dispatch are taxpayer-funded and serve their communities 24 hours a day, 365 days a year. Each small, medium, and large municipality and unincorporated area has unique needs for which first responders are trained and address this regularly. But what about those needs that are out of the norm—those surprise events that only happen once in five, 10, or 50 years? That is when citizens need essential services the most.

Consider everything a first responder requires to effectively do their job: vehicles, uniforms, protective gear, recovery tools, firearms, ammunition, rescue equipment, breathing apparatus, computers, radios, medicine, etc. All these critical, life-saving items are likely stored indoors. And so are the most important assets of all—the first responders themselves. So how effective can a department be if their own facility has been compromised? All the investment, training, and readiness may be meaningless if the essential buildings are not accessible or operational before, during, and after a tragic event.

BY JEFF EARWOOD, AIA, LEEP AP

The value of a facility designed to remain accessible and operational before, during, and after an event is immeasurable.

Designing resilient public safety facilities requires consideration of a wide array of factors that can influence survivability of people, infrastructure, and equipment against the most probable threats for a specific location. Basic building codes require all buildings to meet minimum design criteria to protect the health, safety, and welfare of the occupants, and are updated regularly to maintain relevance with fundamental trends and technologies. However, most public safety buildings fall into Risk Category IV of the commonly adopted building code—the International Building Code (IBC). This means that police, fire, and rescue stations, as well as emergency communication facilities, are held to more stringent design criteria than a traditional office building.

IBC Risk Category IV specifically addresses threats from naturally occurring events such as wind, snow, floods, and earthquakes. It does not guarantee that a facility will maintain operation or even survive all potential weather-related threats, but the requirements for system redundancies and a more robust structural design increases the odds of survivability compared to other building types. These requirements can be considered the basic level of building "hardening."

There are many other design guidelines and strategies for increased chances of facility and emergency infrastructure survivability. Federal buildings are required by the General Services Administration to comply with Department of Defense, FEMA, and similar requirements to mitigate against a multitude of threats, including weather, accidental, and criminal events. However, most state and local governments do not have mandated design or survivability criteria to protect their buildings, assets, and ability to respond beyond the minimum requirements of locally adopted codes.

Increased hardening of a facility does not have to mean a more expensive facility. Certainly, if increased resilience to natural events such as hurricanes and tornadoes is desired, the structure and building envelope will almost certainly be more expensive than a code-minimum design. But not all hardening concepts will increase the cost of the building.

Principles associated with "crime prevention through environmental design" (CPTED) principles can influence a variety of design decisions from the positioning of the building on the property to the types of plants specified on site. For example, "standoff" distance typically refers to how close an unscreened vehicle can get to the nearest exterior wall of the building. Providing a natural barrier, such as a berm or swale at a building entrance, for instance, not only prevents potential criminal activity, but also prevents accidental vehicle incidents.

The value of a facility designed to remain accessible and operational before, during, and after an event is immeasurable. The analogy of a flight attendant instructing passengers to first apply the mask to themselves so that they may assist others during an emergency can be applied to a municipality's public safety building network and infrastructure. It is incumbent upon civic leadership to prioritize operational and capital funding to ensure first responders have adequate facilities and resources available to them during their community's greatest time of need.

Securing funding for a new essential building is often years in the making. Unless a city or county is seeing accelerated population growth or aging facilities, the need to build a new police, fire, or communications facility may not come along often. When it does, it is important to consult a design team experienced in public safety facility design prior to determining the project budget and scope so that current and future needs of the community align with the expected design, construction, and operational costs.

The equipment and infrastructure that first responders depend on inherently and proportionately impact their ability to serve and protect.

The equipment and infrastructure that first responders depend on inherently and proportionately impact their ability to serve and protect. The facilities from which they are staged, trained, and respond are the first line of defense in a resilient community.

TMPartners (TMP): For nearly 45 years, people have been at the center of everything we do. A nationally recognized firm for design excellence, TMP has a dedicated team in planning and design for civic and public safety community-driven spaces. The spaces and partnerships we create elevate experiences, where lives are changed and communities flourish. Design starts by knowing what matters most and advancing confidently together. (www.tmpartners.com)

JEFF EARWOOD, AIA, LEEP AP, is a civic/public safety practice leader and principal at TMPartners. Jeff has served major clients in the public sector his entire career. For nearly two decades, he has led TMP teams in the design of public safety projects, including police, fire, rescue, 911 dispatch, and emergency management. Through his experience with a variety of essential services departments and municipalities, Jeff has a unique ability to connect to stakeholders and engage users in the design process, bringing a high-level of institutional knowledge on best practices in public safety design.

DISASTER PREPAREDNESS AND RESILIENCE Start With a Plan

The American Rescue Plan offers a once-in-a-generation opportunity to invest in a more resilient future

A 2008 flood in Cedar Rapids, Iowa

BY ELIZABETH KELLAR

When the World Health Organization declared COVID-19 a pandemic on March 11, 2020, many nations and communities were caught by surprise. While the novel coronavirus created unimaginable challenges to public health and the economy, the borough of Chambersburg, Pennsylvania (population 21,461), and the city of Decatur, Georgia (population 25,696), were better prepared than many. Why? Both places had developed a pandemic response plan in 2009, when the H1N1 influenza pandemic threatened public health.

Decatur's 2009 Pandemic Preparedness and Response Plan addresses the impact of a pandemic event on the community, personnel, and systems, noting that the procedures in its plan apply to other events such as chemical, biological, man-made, or natural disasters.[1] It identifies critical supplies, social distancing protocols, cleaning procedures, and plans for telework. While the COVID-19 pandemic created some different challenges than were imagined in the 2009 plan, Decatur City Manager Andrea Arnold said that the plan was a "perfect starting point, as it gave us something to organize around."

Unlike the 2009 plan assumption that the viral outbreak would be isolated to Decatur, the COVID-19 pandemic required extensive coordination with the county, school system, local college, housing authority, and business leaders. "Our management team met face-to-face in February 2020, and went through step-by-step who would be responsible for priority activities, such as ordering supplies and getting our communications plan propped up."

Chambersburg was motivated to develop a pandemic plan due to its unique preparedness challenges as the only municipality in Pennsylvania to operate most public utilities, including electricity, water, sanitary sewer, storm sewer, natural gas, and sanitation. With the responsibility to operate utilities 24/7 even during a crisis or emergency, the borough has been attentive to disaster preparedness.

One important aspect of the Chambersburg's 2009 pandemic response plan is that it anticipated the need for assistance from the faith community to address the needs of residents who might become too sick to care for themselves or their families.[2] In March 2020, **Jeffrey Stonehill,** borough manager/director of utilities, reported that "ten Chambersburg churches stepped forward to offer food supplies to any families that might become homebound because of the pandemic."

Jeffrey Stonehill

Stonehill stresses the importance for decision making to be centralized and affirmative. "Throughout the crisis, the Chambersburg town council allowed me the authority to make many tough administrative and operational decisions. The council president and mayor provided me with an almost-daily sounding board on policies associated with personal protective equipment (PPE), testing, COVID leave time, facility operations, and community outreach."

The Chambersburg council also had authorized the hiring of a full-time health and safety employee prior to the pandemic. "Having a dedicated staff member (Paul Flohr) who was knowledgeable and available to provide information, inspection, and training was invaluable. He became an expert on the Centers for Disease Control and Pennsylvania Department of Health guidelines, supervised off-hour disinfection of buildings and vehicles, and managed individual employee cases when they or their family members were suspected of being exposed to or contracting COVID-19."

The Communications Imperative

Cedar Rapids, Iowa, was devastated by a 2008 flood event, but when faced with the second-highest flood event in its history in 2016, the city suffered virtually no property damage. Cedar Rapids City Manager **Jeff Pomeranz** said his advice to local government leaders facing massive recovery challenges is "Do not underestimate the power of a plan." Cedar Rapids completed a Flood Control System plan within five months of the 2008 flood event, which was followed by a neighborhood planning process.

Jeff Pomeranz

The early planning events created opportunities to focus on the future and also allowed residents to share their experiences and begin the healing process. The community's shared vision to build stronger led to decisive policy action by elected officials and quick implementation by staff. The steps Cedar Rapids took since 2008 enabled the city to successfully fight the 2016 flood.

"You need to over communicate and provide consistent messages," Pomeranz said. "We quickly realized that the traumatic experience of the flood made it more difficult to ensure information was being properly received by residents. In response, we found many ways to repeat the same message. We also were deliberate in repeating why the information was important, instead of assuming the resident had heard about it before."

Every well-prepared local government should have a crisis communications plan with a list of key contacts. As disasters are notoriously unpredictable, the contact list should include back-up contacts, work and cell phone numbers, and email addresses. Texts and emails can work through alternate channels even when cell phone towers are down. Identifying an individual who will be the community's spokesperson is important, recognizing the importance of consistent messages and regular progress reports. Communications need to be transparent, clear, concise, and accessible. Some disaster situations require more expertise than a community may have on its staff. When hiring outside expertise, look for someone with crisis communications experience.

Communications about the COVID-19 pandemic were stressful for local government leaders because some public health messages from federal and state government leaders were inconsistent with local public health recommendations. It was critical for local governments to move quickly to provide accurate, consistent, data-driven information to residents on the crisis using multiple platforms.

Broomfield City and County, Colorado, began issuing Broomfield COVID-19 updates starting February 27, 2020, providing them daily from March 10 to June 30, and then weekly starting in July. Broomfield launched its Public Health COVID-19 webpage on March 17 and began publishing daily safer-at-home activities on Facebook on March 18.[3] Later, Broomfield mailed all 9,000 residents information on how to access the latest news and , launched a podcast by the mayor, and set up a new call-in hotline for seniors and others to get updates via phone messages. A chalk artist created positive public health

messages across the community at popular trails, parks, and open spaces.

Virtual Broomfield town halls began on April 7, and later transitioned to virtual council meetings. These meetings kept residents and businesses informed and provided a forum to answer their questions. To keep residents up to date on vaccine cases, hospitalizations, deaths, news, and vaccinations, Broomfield has organized several easy-to-navigate pages on its website, including the latest news[4] and vaccination data.[5]

Some communities used television to publicize critical public health information. In the early weeks of the pandemic, the San Antonio Mayor and Bexar County Judge held joint news conferences for local television, as did the Oklahoma City mayor and public health director.

Relationships and Practice

The key to preparedness, Decatur City Manager **Andrea Arnold** says, is developing relationships, having regular communication, and training. "We don't wait for an emergency to establish external relationships with our community partners. No emergency is too small to coordinate efforts, including weather events. Cross-department teams are the norm in Decatur and everyone understands each other's roles. Many members of our emergency management team have worked together for 10–20 years and they have established contacts with other leaders in the region."

Andrea Arnold

Decatur's management team of 30 undertakes a tabletop disaster preparedness exercise every year. The Federal Emergency Management Agency (FEMA) defines *tabletop exercises* as "an instrument to train for, assess, practice, and improve performance in prevention, protection, rand response capabilities in a risk-free environment." Arnold noted that the August 2009 exercise was specific to H1N1 and in that scenario "the city manager did not survive." Decatur adapts tabletop exercises from FEMA so they are relevant to their community. Decatur has train tracks in its community so they chose a hazardous materials exercise with a train derailment one year. They also have done an active shooter exercise, as well as a memorable zombie apocalypse exercise.

Like Decatur, the city of Surprise, Arizona, has a well-trained emergency team. The city also tapped into a wide range of expertise in its community to respond to the COVID-19 challenges. The director of human services and vitality became part of the Incident Command Team because of his established relationships with the schools, senior programs, and nonprofit and faith communities. His connections with those organizations made it possible to get 12,000 meals prepared and delivered to seniors overnight. A side benefit: getting trained in the Incident Command System was a welcome professional development experience for him.

Addressing Equity Disparities

The COVID-19 pandemic had a disproportionate impact on some populations, particularly the elderly, people of color, those living in neighborhoods with a high level of poverty, and nursing home residents and workers. Many communities began tracking COVID-19 outbreaks by zip code so they could target resources to those areas, including testing and vaccination sites. The office of equity and inclusion for the city of Dallas developed an equity impact assessment tool to examine race (concentrations of people of color), economic status (homeownership, poverty levels), and age.

"We are intentional about leading with equity and how that informs our priorities and goals," says **Genesis Gavino,** resilience officer, Dallas, Texas. "That helps us address both the longstanding gaps, such as infrastructure and economic mobility, as well as emerging issues of access to testing and vaccinations. For example, initial county health data showed that our older residents were the ones dying from COVID-19. We structured our initial equity impact assessment tool to look at additional demographic data and saw that our communities of color were disproportionately affected by the COVID-19 virus and lacked access to care. Many people living in certain zip codes couldn't leave home to access care as they didn't have transportation. That prompted us to deploy mobile testing units to these neighborhoods. We also used our CARES Act funds to provide PPE to businesses and childcare facilities that were still open in the pandemic."

Genesis Gavino

Closing the digital divide has become a priority as the pandemic affected everything from virtual school to signing up for vaccines. Led by the resilience division, Dallas uses its equity data tools and performance measures to identify the needs, prioritize areas for deployment of resources, and to document progress in addressing the gaps. For example, the city makes sure that those participating in the community Wi-Fi pilot also have access to additional supportive services offered by the city and its partners, such as laptop bundles through the Dallas Public Library or mortgage and home repair assistance through the housing department.

Resources from the federal government have been important in addressing the digital divide. Dallas launched a Digital Navigators Program with Coronavirus Relief Funds, and will continue the programming with its Community Development Block Grant (CDBG) allocation under the CARES Act to reach specific populations. The American Rescue Plan Act (ARPA) provides additional funding opportunities to tackle such entrenched challenges as digital literacy. "The ARPA recognizes that people need digital skills to use the Internet," Gavino observed. We are committed to ensuring digital literacy skills are a key component for our digital divide efforts and being intentional about weaving it into existing programs and support services so that it can continue once relief funding from CDBG or ARPA ends."

Building a Culture of Resilience

What does resilience mean? Dr. Gavin Smith, a professor in the department of landscape architecture at North Carolina State University and an expert in disaster recovery, stresses that resilience is more than

Chambersburg, Pennsylvania

Resources to Support Preparedness and Mitigation

FEMA

fema.gov/emergency-managers/national-preparedness/plan

American Rescue Plan: Coronavirus State and Local Fiscal Relief Fund

https://home.treasury.gov/policy-iss"es/coronavirus/assistance-for-state-local-and-tribal-governments/state-and-local-fiscal-recovery-funds

Emergency Management: Principles and Practice for Local Government, 2nd Edition

https://bookstore.icma.org

ICMA Disaster Resilience and Recovery Survey

icma.org/documents/disaster-resilience-recovery-survey

ICMA Free Coaching Webinar: Response to Emergencies That Impact All Citizens: Rights of the Individual vs. Health and Welfare of Community

icma.elevate.commpartners.com/ondemandwebinars

ICMA Webinar: Managing Crisis Communications During the COVID-19 Pandemic

icma.elevate.commpartners.com/ondemandwebinars

New Course: Planning for Economic Recovery

ICMA and the International Economic Development Council have developed this new virtual training course in partnership with FEMA. Filled with examples of successful economic recovery strategies, this interactive webinar offers opportunities for small group discussions and peer learning. icma.org/events/planning-economic-recovery bouncing back from disaster. "Disaster resilience is returning to something that we want to be—something that we aspire to be," he says.

Strong leadership is needed to help a community focus on its long-term future. To build a culture of resilience, the community needs an awareness of the forces of change on the horizon, including emerging threats and hazards. That understanding lays the groundwork to conduct an assessment of the community's physical and social vulnerabilities so that a plan can be developed to mitigate those risks. Once the disaster recovery and resilience plan is completed, it should be adopted and updated annually.

Local government leaders are ideally suited to convene the range of stakeholders who need to be engaged in disaster resilience and recovery planning: emergency management, public health, schools, higher education, other local governments, utilities, small businesses, the faith community, and nonprofit organizations, including the local chamber of commerce, councils of governments, and regional economic development organizations.

The scope of the planning process will vary from place to place. With COVID-19, the initial focus might be on supporting small businesses and identifying workforce gaps and training priorities. What's important is that everyone understands the planning goals and decision-making process. Examining pre-existing planning efforts can help stakeholders move toward consensus on the community's priorities for resilience and mitigation investments.

"We are taking a bird's eye view with our resilience efforts to make sure it connects with our other priorities," notes Genesis Gavino. "Our broadband initiatives can connect with our housing and infrastructure priorities so those who enroll in the digital literacy program can access workforce housing. When nonprofits seek funding from Dallas to be service providers, we link the solicitation back to our Resilient Dallas Strategy and Equity Indicators Report so everyone understands the vision and expectations we have."

While local governments often lack the resources they need to tackle long-term resilience needs, the American Rescue Plan and other federal grants offer a once-in-a-generation opportunity to secure the funding needed for strategic resilience investments. Many cities and counties are prioritizing long-lasting and sustainable investments. That could be moving forward on capital projects to tackle storm water run-off or addressing socioeconomic challenges like affordable housing, economic mobility, and health access.

Every well-prepared local government should have a crisis communications plan with a list of key contacts

City and county managers agree that the keys to success are identifying the priorities, engaging the community, and avoiding recurring costs that could make it difficult to sustain a program. Communities want to invest in the future and reinvigorate their downtowns. That may mean more support for small businesses, workforce training for an evolving economy, a better telecommunications network, digital literacy, and/or wrap-around services for the homeless to access services, housing, and employment opportunities.

When confronted with the pandemic challenges, local governments moved quickly to adopt virtual operations and found new ways to engage with their residents, businesses, and staff. The American Rescue Plan Act has the potential to transform our communities in a meaningful way and make them more resilient. Now is the time to plan for the future and to update your disaster and economic recovery plans. Carpe diem! PM

ENDNOTES

[1] https://icma.org/documents/pandemic-preparedness-and-response-plan

[2] http://www.borough.chambersburg.pa.us/pdf/Chambersburg%20Pandemic%20Response%20Plan%202010.pdf

[3] http://broomfield.org/3123/COVD-19-Information

[4] https://broomfield.org/3207/Get-Give-Help

[5] https://broomfield.org/3391/COVID-19-Vaccination-Data

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FEMA Training Exercises and Tools

Hazardous Material Spill/ Contamination Exercise Starter Kit

The National Exercise Division within FEMA developed a customizable tabletop exercise to examine the ability of a jurisdiction or organization to respond to and recover from a hazardous material spill/ contamination either at a facility or by train derailment. The exercise starter kit contains a situation manual, facilitator's guide, slide deck, and scene-setter videos.

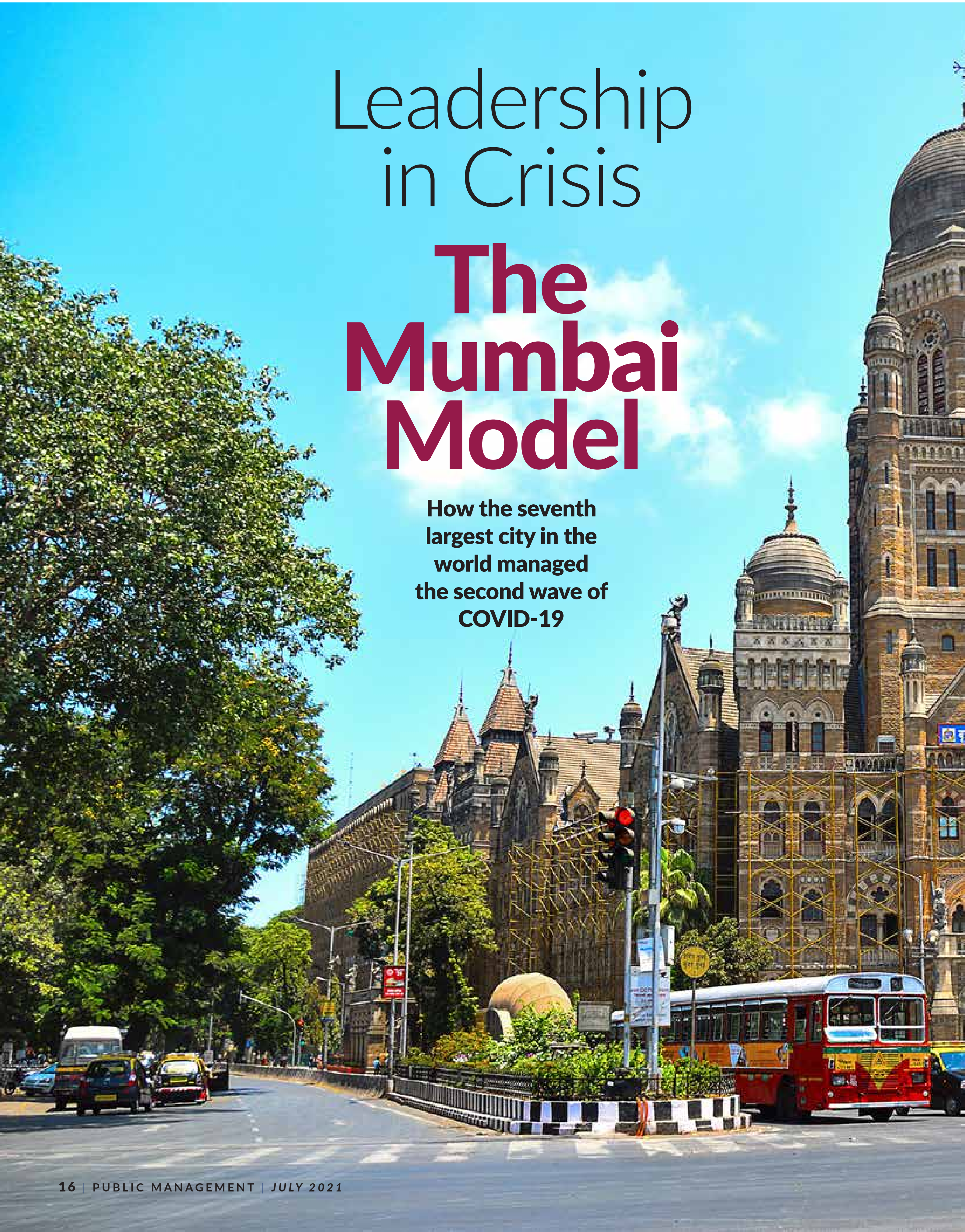
Download it from the Preparedness Toolkit: https://preptoolkit.fema.gov/web/emtoolkits/psp-1/test.
(NOTE: Free registration is required to access this section of the Preparedness Toolkit.)

Cyber Preparedness Board Game

FEMA has partnered with cybersecurity experts to develop an engaging strategy board game to explore the dynamics of cyber preparedness. Using game boards and playing cards, players group together within the game "community" to decide how to invest cyber credits to protect essential services.

The community weathers multiple cyber incidents, shares information, and negotiates to prioritize cyber response resources needed to sustain the community's critical functions. Through game play, players learn aspects of the National Institute of Standards and Technology's cybersecurity framework (nist.gov/cyberframework). Contact nle@fema.dhs.gov with the subject "Cyber Ready Community Game" for more information.

https://www.fema.gov/emergency-managers/national-preparedness/exercises/tools



Leadership in Crisis

The Mumbai Model

How the seventh largest city in the world managed the second wave of COVID-19

BY DR. MERCY SAMUEL AND HIMADRI PANCHAL

The metropolis of Mumbai is the capital of the Indian State of Maharashtra. According to the United Nations, as of 2018, Mumbai is the second-most inhabited city in the country after Delhi and the seventh-most inhabited city in the world, with a population of roughly 20 million.

According to the 2011 census, the population of Mumbai city was 12,479,608. The population density is calculated to be 20,482 persons per square kilometer, with living space at 4.5 sqm per person. The total number of slum-dwellers is calculated to be nine million, up from six million in 2001, so 62 percent of all Mumbaikars (inhabitants of Mumbai) live in informal slums. Looking at that kind of densification in the city, particularly in slums, it becomes difficult to manage any type of calamity, disaster, or pandemic.

Just as in the rest of India, the COVID-19 pandemic has ravaged Mumbai. As of June 29, 2021, Mumbai has had 721,516 cases since the beginning of the pandemic, with a death toll of 15,426. But those numbers could have been much worse had it not been for the Mumbai Model, a series of initiatives taken by the Brihanmumbai Municipal Corporation (BMC), Mumbai's top civic body, under the leadership of City Commissioner Iqbal Singh Chahal.

Mumbai is regarded as India's financial capital, so the impact of the pandemic on the economy was of great concern as well. There was a surge with Mumbai's decision to loosen up limitations following three months of the severe lockdown that was proposed to control the spread of the infection. On June 8, 2020, after the first peak, shopping centers, public parks, and workplaces were permitted to open. Prior to that, shops, commercial centers, and transport administrations had all been under lockdown. Experts say that there could have been no other alternative except lifting the lockdown, which demanded a huge financial cost for the country. Millions have effectively lost their positions and vocations, factories were closed, and the fear of hunger drove

Brihanmumbai Municipal Corporation (BMC) building, Mumbai, India

An officer in charge of a Brihanmumbai Municipal Corporation (BMC) war room in Mumbai.

A photo taken in Mumbai during its first wave of 90,000 cases.

masses of daily-wage migrant workers to flee cities, mostly on foot because public transport was halted overnight. A large number died of depletion and starvation. The expectation—which likewise urged the public authority to lift the lockdown—was that the majority of India's undetected contaminations would not be sufficiently extreme as to require hospitalization. However, the number of rising cases shows that the city had an urgent need to take action.

First Wave

Based on a report by Azman Usmani, the first wave of COVID-19 in Mumbai was at its highest at the end of May 2020. Looking at figures in April and May, it was getting scarier day by day. Observing the peak, there was definitely something to be worried about.

The rise in the number of cases also resulted in a rise in the number of deaths. The situation was not under control, and people were dying due to inadequate medication facility, a lack of proper consultation, and a lack of appropriate public awareness. From March to mid-August, there was a tremendous increase in the number of cases. Putting a strict lockdown into effect resulted in a subsequent decline in cases from the end of August through the end of September.

We continued to track COVID-19 throughout the rest of 2020. After September, the intensity of cases seemed comparatively less. All festivals, such as Navratri, Diwali, and Christmas, were celebrated at individual homes rather than in public, as the city had restrictions in place set by the municipal corporation as a way to stop the spread of the virus in the city.

Second Wave

The second wave, which started on February 7, 2021, with 414 daily cases, continued to rise and reached to 9,792 daily cases on April 4, 2021, an increase of over 20 times the amount of active cases. Many discussions were held in Brihanmumbai Municipal Corporation (BMC), and City Commissioner Iqbal Singh Chahal was put in charge of managing the pandemic.

On April 16, 2021, BMC was hit with a surge of cases. Six hospitals under its administration were at risk for running out of oxygen, putting the lives of patients in danger. From 1:00 a.m. until 5:00 a.m. the following morning, under Commissioner Chahal, the BMC arranged ambulances to move patients to various emergency hospitals across the city.

The fact that Mumbai is a commercial hub with a high population density with many residents taking public transportation led to a severe spike in number of cases in the second wave. Hospitals in the city reported continued shortages of medical oxygen, patients struggled to find beds, and social media was flooded with messages for help.

Hospitals in the city reported continued shortages of medical oxygen, patients struggled to find beds, and social media was flooded with messages for help.

The Mumbai Model

BMC's management of the second wave, under the leadership of the municipal commissioner, is a prime example of leadership in crisis. Commissioner Chahal who took control of the situation by having a strategic mix of decentralization, augmenting infrastructure, and keeping a close watch on the loopholes in order to plug them. Decreasing from 12,000 daily cases to 2,000 daily cases, BMC played major role and did a commendable job under the leadership of the city commissioner.

The efforts of BMC have been applauded by the Supreme Court of India and referred to other states to adopt and follow. The commissioner and his team credit the combination of multiple initiatives that helped Mumbai fight COVID-19 impactfully. It takes a strong determination to wade through a crisis and turn the situation around, particularly in public systems such as healthcare. There are so many influencing factors that mostly lie outside of a municipal corporation's control, yet to predict them and strategize for creating a visible impact needs fine planning, systems thinking, quick decisions, intrinsic motivation, and team spirit. Proper planning and management with attention to detail and linkages is the key. The municipal commissioner started by visiting the hospitals himself. He visited Dharavi, the biggest slum in Mumbai, and evaluated the criticality of the situation with respect to supplies. Such on-the-ground evaluation led to some key insights relative to the first wave. During the first wave, people were more patient, took precautions, and were careful in their interactions and movements. It was observed that during the second wave people were getting edgy and restless, and were not adhering to the preventive behaviors. Once hit with a surge in the pandemic, they pressed their panic buttons and wanted relief instantly.

At this point in time, BMC already had a central control room, which was flooded with frantic calls for beds, oxygen, and so on. At one point in time, around 10,000 people were looking for medical care.

The municipal commissioner, along with his team, began working relentlessly by decentralizing everything. The commissioner created war rooms for immediate action, and planned in detail for patient admission, medical services, patient recovery, and in case of death, a proper system of disposal of dead bodies.

Across all 24 wards, wars rooms were created, which served as control centers where doctors, medical interns, and professionals provided data to be fed into the tracker, which gave the BMC a real-time picture of available resources. Each ward has a war room with 10 dashboards with information about hospitals and availability of infrastructure facilities. Thirty telephone lines, 10 telephone operators, 10 doctors with medical staff, and 10 ambulances to take patients to hospitals were manning the war room in three shifts and were available 24/7.

As reported by Mumbai television channel News 18, in the hub and spoke model of service delivery (as shown in the figure below) the BMC head office acted as a hub that received and sorted nearly 10,000 reports coming in from 55 testing labs every day and transmitted them to 24 wards. This kind of sorting enabled the ward to cater to their specific population cases, which reduced the load to approximately 400 reports per ward.

Patients contacted their respective ward war room and then followed the process from the war room to initial treatment to

Senior consultants monitor and evaluate each patient's medical condition remotely in the war room.

A banner hangs outside each war room.

A nurse holds the hand of a patient in an effort to calm him as he becomes short of breath.

Mumbai Model of COVID Management

1 Pathology Lab
- Test reports are prepared and sent directly to BMC

2 Brihanmumbai Municipal Corporation (BMC)
- Sorts and separates the test reports
- Transmits test reports to 24 wards
- BMC gets information about bed availability from hospital and directly allots beds to patients as per triage

3 Ward Office & War Room
- Patients contact their ward war room and a process is followed from initial treatment to ambulances to hospitalization
- Single point of contact for the ward
- Authority to give decision for their wards
- Triages and transmits patient information to BMC

4 Hospital
- Informs requirement as per case complications
- Provides information about bed availability and oxygen availability

5 Patients
- Calls war room/ward office for hospitalization based on self-diagnosis/symptoms
- Ambulances available if needed

ambulance to hospitalization. Ward offices became a single point of contact for COVID-19 patients and were given authority to make quick decisions for the patients of their ward. This is an example of decentralization with appropriate devolution for achieving the outcomes at ground level.

The medical officer of health giving the daily update in one of the war rooms (Smitha Nair, 2021).

Resource Sufficiency

Various strategies for resource efficiency were deployed to make up the deficiency in the appropriate number of ambulances to ferry patients with medical care. Over 800 SUVs were refurbished and converted into makeshift ambulances with a partition between driver and patient. This led to quicker movement of critical patients to hospitals. The ride service company Uber loaned its backend technology to BMC for tracking ambulances closest to patients to minimize turnaround time.

A COVID-19 war room for Mumbai's K-East Ward.

Over 800 junior doctors and nurses, especially fresh graduates from medical colleges and nursing schools, were deployed in hospitals with appropriate remuneration as stipends. They were mobilized and stationed at hospitals and war rooms and were lodged in hotels at walkable distances from their war rooms, along with the best of safety practices.

A special team of professionals were assigned as a crisis team that closely monitored critical hospitals and their requirements. They made sure oxygen was in apt supply at all times, and supplies were arranged with appropriate information flowing from the BMC hub. BMC's centralized dashboard monitored 172 hospitals, which made available 80% of beds and COVID facilities, including many jumbo centers set up in open grounds, along with government and private hospitals. The allocation of beds happened through triaging in a centralized manner from the BMC hub across Mumbai, where patients were allotted hospitals depending on severity and chances of recovery instead of a first-come first-served basis. The temporary structures, which were erected overnight, had every facility, from an intensive care unit to ventilators to oxygen beds. Additionally, over 65,000 beds were made available for isolation.

Brihanmumbai Municipal Corporation (BMC) allowed patients to walk into any of the seven jumbo centers set up across the city to be tested or admitted directly, without waiting for swab tests and results. Mr. Chahal says over 20,000 people have visited these facilities. In the Dharavi slum, around one million people live in a 2.5 square kilometer sprawl, making it not only very densely populated, but the largest slum in Asia. Managing COVID-19 in such a sprawl is quite challenging, so BMC adopted a "screen, test, and isolate" model for Dharavi. Fever clinics were set up, along with mobile testing vans to cover narrow alleys. Similar vans were deployed for making announcements and creating awareness about symptoms and location of fever clinics. Since May 10 after the surge, Dharavi has witnessed a daily drop in cases.

Crematoriums

As reported by *Express News Service,* the municipal commissioner worked with the Indian Institute of Technology to create an online dashboard of Mumbai's crematoriums. The city has 46 traditional and 11 electric crematoriums, along with 18 gas pyres. Real-time information about availability of slots to cremate the deceased were provided to relatives who could then book the slots. A helpline number was also established through which relatives can acquire the slot for cremation, thus reducing chaos and long queues at the crematorium.

Preparing for the Third Wave

According to *Times of India,* the second wave is very much under control, with the daily case load of the city falling below 1,000 cases per day as of May 27, 2021. Preparing for the future—as it is observed that a third wave is likely to happen in July—Commissioner Chahal says 5,500 beds, including nearly 3,000 oxygen beds, are vacant. These include nearly 2,000 ICU beds with oxygen and ventilators. Four more jumbo centers are being set up, which will further increase patient capacity by 2,000 beds, including 200 ICU beds. In effect, Mumbai has 22,000 beds today and that capacity will go up to 30,000 beds in three weeks.

BMC plans to hand over each of these jumbo centers to be run by large private hospitals, along with five-star hospitals like Hinduja for patients who want to be treated with luxurious facilities. This is expected to augment the capacity of beds of well-off Mumbaikars. Along with this, a decentralized system for vaccines and drive-in centers for vaccinations are also being planned.

These incredible management interventions of strategizing resource sufficiency, demand-based resource allocation, decentralized management units, centralized allocation, and use of technology for information dissemination at appropriate levels led to Mumbai's COVID-19 positivity rate to come down to eight percent. The city and the rest of the state of Maharashtra have been under severe restrictions since April 14. The restrictions are likely to be eased once the positivity rate further drops below five percent.

The Mumbai Model is a successful combination of multiple initiatives that were undertaken, albeit late in the pandemic, but as the saying goes, better late than never. All of this was possible because of the grit and determination of city leaders like Municipal Commissioner Iqbal Singh Chahal, who in spite of the severity of the problem and extensive criticism, never lost his hope to turn around a public health crisis for a densely populated and diverse city like Mumbai. When leaders take on a crisis as a challenge rather than just being impacted by it, cities witness change with positive outcomes. PM

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Persevere and Thrive **Through Economic Challenges**

Local governments and their employees have demonstrated time and time again that they can be resilient and adaptable when faced with new challenges–and ICMA has a wealth of resources that can help. We scoured *Public Management (PM)* magazine to identify the most important archived articles to help your organization and community persevere and thrive through these economic challenges.

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PM
PUBLIC MANAGEMENT

BY RENE HERNANDEZ, DENISE ARRELL-ROSENQUIST, AND AARON LEWIS

Prioritizing First-Responder MENTAL HEALTH with Critical Incident Stress Management

Three recommended models for managing mental crises among those exposed to traumatic events

Providing public safety is a critical component of local government. While first responders respond to traumatic events and protect the public, who tends to their mental health needs?

Many local governments are searching for ways to support employees who have been exposed to traumatic incidents such as fire, accidents, and acts of violence, and suffer because of that exposure. A method to address these ever-growing issues is the development of a comprehensive critical incident stress management (CISM) program.

CISM is an integrated, multi-component, crisis intervention model that deals with pre-crisis, acute crisis, and post-crisis phases. The goal of CISM is to proactively minimize acute psychological distress and prevent (or mediate) the intensity of post-trauma sequelae, or rather, the aftereffects of the traumatic event.[1] CISM is used when individuals are exposed to critical incidents, such as deaths, burnt bodies, victims of traumatic accidents, or violence.

A comprehensive stress management program will involve three crucial components:

1. Reduction/elimination of mental health stigmas.
2. Reducing negative impacts of stress by institutionalizing family support.
3. Recruitment of a CISM team composed of carefully selected personnel, from inside as well as outside the organization, who themselves are emotionally stable and capable of dealing with stressful situations that they will face. This team will be involved in pre-crisis, acute crisis, and post-crisis phases of the program.[2]

Reducing/Eliminating Mental Health Stigmas

One of the leading obstacles to implementing an effective CISM program and reducing the negative impacts of first responders' stress and trauma is hurdling the detrimental effects of mental health stigmas. This can be defined as when "someone views you in a negative way because you have a distinguishing characteristic or personal trait that is thought to be, or actually is, a disadvantage."[3] While intervention programs and policies can be developed to address critical incidents, "anecdotal evidence within the emergency responder community holds that law enforcement and firefighter personnel are more hesitant to accept post-incident intervention, compared to emergency medical services (EMS) and emergency dispatch (ED) personnel."[4]

Mental health stigmas are particularly significant in firehouses, as rates of mental health disorders and suicide are much higher than in the general population. Firefighter suicide ideation rates are 33 percent higher, plan rates 15 percent higher, and attempts 20 percent higher than the general population.[5] Firefighters are at an increased risk for post-traumatic stress disorder (PTSD), with an estimated 22 percent reporting PTSD symptoms.[6]

In addition, in 2019, the Chicago Fire Department found that 28 percent of

> **The Chicago Fire Department found that almost a third of firefighters believe seeking treatment for behavioral health disorders could hurt their reputation.**

firefighters believe seeking treatment for behavioral health disorders could hurt their reputation, and have concerns about the confidentiality of sensitive information. Many reported they were not aware of the availability of services that address behavioral health issues.[7]

Institutionalized Family Support

As described in the journal *Family Relations,* "support of family is paramount in reducing the impact of highly stressful work on firefighters. Those who had higher levels of family support were less likely to take mental health stress leaves from work following a traumatic event."[8] The Work Family-Fit Theory emphasizes the interconnectedness of firefighters and their families. The two cannot be viewed as separate entities. The balance between the two is measured by the "demands and rewards of the work environment…high stress and trauma situations threaten the family equilibrium and thus produce strain in the work family-fit. Organizational policies and programs that support workers and reduce the stress brought home to families may enhance the work-family fit and therefore enhance commitment."[9] An institutionalized family peer support group ensures the backing of the invaluable resource of the family by increasing positive social relationships, a family's feeling of inclusion, and decreasing fears related to mental health stigmas and lack of effective communication.

Recruitment of a CISM Team

As identified in the *Crisis Intervention Handbook:* "There are three traits that are frequently mentioned in the helping profession: empathy, genuineness, and warmth. Empathy allows one to stand in another's shoes and understand their perspective. Genuineness is being true to oneself or being real. Warmth is that liveliness of feelings, emotions, or sympathies. These three traits are the often the keys to predicting a positive treatment outcome."[10]

CISM programs require the membership/team members to obtain a minimum of 16 hours of basic classroom training. Live or online training can be provided by the International Critical Incident Stress Foundation, Inc. (Icisf.org). An additional eight hours of training each year is sufficient to maintain proficiency.

Other programs also suggest the use of chaplains to provide support for membership. They can provide comfort, counsel, spiritual and emotional support to members exposed to critical incidents. Whether this is appropriate is up to the leadership.

CISM Team Standard Operating Procedures

Any CISM program should have a standard operating procedure (SOP) that outlines the duties and responsibilities for each position on the CISM team. The program should incorporate all pre-crisis, acute crisis, and post crisis phases. It is suggested the program provide the following elements:

1. Pre-crisis preparation (individuals and organization).
2. Large-scale mobilization and demobilization procedures for large-scale disasters.
3. Individual acute crisis counseling available.
4. Small group discussions for acute phases that are brief are the primary means of dissemination of information and discussion of feelings.
5. Small group discussions that are longer include critical incident stress debriefing, which is a trademark of this intervention, especially with crisis workers, to prevent further emotional harm to them.
6. Family crisis intervention techniques when entire families are involved.
7. Follow-up procedures and referral for long-term therapy where needed.[11]

Crisis Intervention Models

There are three models that are recommended for crisis intervention: Roberts' Seven-Stage Crisis Intervention Model,

Greenstone and Leviton Crisis Model, and SAFER-R Model or Mitchell Model.

Roberts' Seven-Stage Crisis Intervention Model

1. **Plan and Conduct a Crisis Assessment—**A thorough assessment of stressors, coping skills, and available resources. Ongoing assessment should include the provoking event, responses, and both risk and protective factors.[12] This stage is intertwined with stage 2.
2. **Establish Rapport—**The crisis worker attempts to establish a supportive relationship with the client while gaining critical information.[13] A calm, patient style is the most effective approach to gaining trust and establishing rapport.
3. **Identify Pertinent Issues—**Attempts are made to gain information about what has led to the current crisis state. Conferring with other collateral persons may also be needed during this step.[14]
4. **Deal with Feelings/ Emotions—**Letting the client vent his or her emotions while the crisis worker validates and listens. *Active listening* is considered "attending, observing, understanding and responding with empathy, genuineness, respect, acceptance, non-judgment, and caring."[15] Information gained in the first four stages helps to inform the final three steps.
5. **Generate and Explore Alternatives—**The crisis worker takes a more active approach to explore options. Using information previously gained, the crisis worker can potentially encourage the client to use prior coping strategies or resources.
6. **Implement a Concrete Action Plan—**Initiating the necessary steps to assure client safety or implementing a plan for obtaining further assistance.[16]
7. **Follow Up—**Planning appropriate follow-up. For example, determining when and how often to check in with a client or care provider to ascertain the client's post-crisis status.

Greenstone and Leviton Crisis Model

The goal of crisis intervention is to help the client transition from a state of crisis back to his or her baseline level of functioning. Crises are unpredictable, so it is helpful to use a step-by-step method for a more successful intervention.[17]

1. **Immediacy—**Responding quickly to relieve emotional distress. To accomplish

this, the responder aims at decreasing anxiety that the client is experiencing and preventing harm to self or others.

2. **Control—**Accomplished by first identifying your role in the crisis intervention, while also providing structure until the client can regain self-control. It is important to appear calm, confident, and supportive to provide reassurance to clients. If possible, relocate the person away from the crisis or vice versa. Crisis workers should be genuine in their approach as this will aid in gaining the client's trust and directing the intervention.
3. **Assessment—**When the crisis worker attempts to gain a complete understanding of the situation. Crisis workers should attempt to learn more about the crisis, and determine the person's point of view on the crisis, and what the crisis means to him or her. The client needs to be empowered at this time, not chastised or reprimanded for his or her experience.
4. **Disposition—**The decision-making stage, at which point the crisis worker helps the client consider possible options for resolution, provides hope that a resolution is possible, and then create a plan with the client.
5. **Referral—**The point at which the client connects with necessary services.
6. **Follow-up—**The intervenor follows up with the client to make sure that he or she contacted the agency.[18]

Safer-R Model or Mitchell Model

The third model of intervention for responding to individuals is the SAFER-R model, an acronym created from the first letters of its five steps, also known as the Mitchell Model.[19]

1. **Stabilize—**Stabilizing a potentially volatile situation is a critical first step to lessen the likelihood of further escalation or harm to the client or others.
2. **Acknowledge—** The worker uses his or her listening and communication skills to ascertain what has happened and how the person is reacting to the situation.[20]
3. **Facilitate Understanding—**The worker and the client gain an increased understanding of the crisis, and the worker begins to actively respond to what they have learned.[21] Both the worker and the client gain information about what is needed.
4. **Encourage Adaptive Coping—**This is the active stage of intervention, and involves the facilitation of various interventions and coping strategies.[22] For example, if a worker learned that the client had a former therapist, the worker could assist in making a reconnection for the client.
5. **Restore Functioning or Refer—**The final stage occurs when the individual has successfully resolved the crisis or has a plan for resolution. At times, however, a client may need a higher level of care. At this time, a referral may be indicated to a hospital or other resource.[23]

Legal Issues

A critical incident stress management group created by a local government would be voluntary. Confidentiality agreements between the members and any involved firefighter/police would cover any discussions or outreach not held in group sessions. HIPAA is not applicable here as the information provided is supported in nature with no clinical intervention taking place. A referral to a clinical provider is the last step of the process. Collective bargaining agreements do not prohibit or limit the use of critical incident stress management groups.[24]

Conclusion

It is up to city administrators and community leaders to be diligent in their efforts to create and support policies that protect the mental health of their first responders and families. The creation of these programs should follow existing literature and best practices that protect the wellbeing of these essential frontline employees, safeguarding local government's capacity to provide quality, reliable, and critical services for their community. PM

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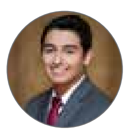

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A Local Approach to Crisis Management in Belgium

A local state of mind helped the city of Bruges successfully manage the COVID-19 pandemic

BY COLIN BEHEYDT

When I was asked if I wanted to write an article for this issue of *PM* magazine, I felt honoured. I'm honored to share with you how local governments in Flanders, Belgium, have managed the COVID-19 pandemic locally and how we are preparing for the next crisis, what lessons we have learned, and what good practices we have introduced.

I'm used to looking at things from a local perspective. I did so in 2004, when I began my civil service career as a personnel manager for the city of Roeselare, and I still do so today in my duties as city manager for the city of Bruges.

I do not exaggerate when I say that the past year was not only the busiest of my career so far, but that it was also a year in which our organization and all its employees were pushed to their limits. But I am sure that this is a recognizable situation for all of you, wherever you work across the globe.

My organization has treated this crisis as an opportunity: an opportunity to be there for our clients—our citizens—when they need us most, and to be civil servants in the true sense of the term, at a time when there are more questions than answers. I wouldn't dare go as far as to compare this period with "the darkest hour," although I have to admit that as the grandson of a British Allied soldier, I was tempted. But it's true that we have to go back to the Second World War to find a global challenge of the same magnitude.

At the local level, we needed and wanted to be ready. More than ever, we had to be the backbone of our city. Spoiler alert: we succeeded, and our success continues today in spite of our country having more levels of government than there are layers in a lasagna. But before I continue my story from this local perspective, I would like to tell you a bit more about Belgium's system of government.

THE FEDERAL FACE MASK ACQUISITION PROCESS WAS SO SLOW THAT LOCAL AUTHORITIES DECIDED TO TAKE ACTION THEMSELVES, BUYING AND DISTRIBUTING FACE MASKS AT RECORD SPEED.

City of Bruges employees in May 2020 performing a night shift in the city's face mask distribution centre.

Levels of Government in Belgium

Belgium became independent in 1830. Between 1970 and 1993, the country evolved into a more efficient federal structure. This occurred through six state reforms (in 1970, 1980, 1988-89, 1993, 2001 and 2012-2014). As a result, the first article of the Belgian constitution reads today: "Belgium is a federal state, composed of communities and regions."

The power to make decisions is no longer the exclusive preserve of the federal government and the federal parliament. The leadership of the country is now in the hands of various partners, who independently exercise their authority within their domains.

The Communities

The redistribution of power occurred along two lines. The first line relates to language and, in a broader sense, to everything related to culture. The result was several communities. The concept of *community* refers to persons that make up a community and the bond that unifies them, namely their language and culture. Belgium sits across the fault line that separates German and Latin cultures. This explains why the country has three official languages: Dutch, French, and German. As a result, Belgium today has three communities that correspond with the population groups: the Flemish Community, the French Community, and the German-speaking Community.

The Regions

The second line of state reform was historically inspired by economic interests. The regions, which aspired to more economic autonomy, conveyed these interests. The establishment of the three regions was the result: the Flemish Region, the Brussels Capital Region, and the Walloon Region. Up to a certain level they can be compared with the American states or the German Länder. The country is further divided into 10 provinces and 581 municipal councils.

The Federal State

The Federal State nevertheless retains important powers (for example, in the areas of foreign affairs, national defence, justice, finance, social security, important parts of national health, and domestic affairs. However, the communities and the regions also have the power to establish and maintain foreign relations.

The Federal Approach to COVID

In Belgium, management of the COVID-19 pandemic has been coordinated since its outbreak from the

highest (i.e., the federal) level. You do not have to be a rocket scientist to figure out why things have gone wrong from the start; a basic knowledge of organization theory, communication, and marketing suffices. It's very difficult to make clear decisions at the highest level of government and to effectively enforce them at the lowest level (i.e., to make sure that they are accepted). Achieving this requires a certain degree of involvement from the intermediate levels and from the lowest level, an understanding of the needs of the lowest level, and—last but not least—those of the client. And this is exactly where the federal approach of the COVID-19 crisis falls short. Although this situation is not new, the magnitude of this crisis and the need for quick and vigorous action have made it painfully clear. This conclusion, combined with the fact that the federal approach has remained unchanged since the start of the pandemic—even when it became apparent that mistakes had been made—clearly shows that the problem is ingrained and structural, and that fundamental change is necessary. Let me explain by means of two cases.

IF THIS CRISIS HAS MADE ONE THING CLEAR, IT IS THAT LOCAL ADMINISTRATIONS HAVE THE ABILITY TO ACHIEVE GREAT THINGS.

Face Masks

The first case is the acquisition and the distribution of face masks at the outbreak of the COVID-19 pandemic. The second is the vaccine rollout and the setting up of vaccination centres, a task that is far from complete,

THE FUTURE IS LOCAL, AND A LOCAL APPROACH WILL HELP US TACKLE FUTURE CRISES. CIVIL SERVANTS HAVE TO BE TRUSTED WITH MORE POWER.

with about 50 percent of the work that should have been done by now actually done. It is obvious that the highest, federal level plays an important and exclusive role here, such as in buying face masks and vaccines on the world market. The painful conclusion for Belgium, however, was that this went far from smoothly. The federal administration not only appeared to be slow-moving, it was also far from faultless, nor was it a fast learner.

The federal face mask acquisition process was so slow that local authorities decided to take action themselves, buying and distributing face masks at record speed. The face masks ordered by the federal government were distributed at a much later stage (too late, actually) through pharmacies, who in the end found themselves stuck with large unused stocks.

Vaccination Centres

After the whole situation with the face masks, history repeated itself with the vaccines. You could say that having the local administrations set up the vaccination centres was a much better plan. However, where we succeeded in setting up the centres in record time, the federal government failed to deliver a sufficient number of vaccines. The federal interference in the further rollout of the vaccines—and consequently also in the operation of the vaccination centres (in terms of communication, client/citizen invitations, etc.—was another example of bad practice. Not only did it illustrate the federal government's lack of confidence in the abilities of the local administrations, but the lack of solutions and lack of communication tailored to local needs also left these local administrations feeling utterly frustrated.

The Local Approach to COVID

But it's no use crying over spilt milk and like Winston Churchill said, "Success is stumbling from failure to failure with no loss of enthusiasm." If this crisis has made one thing clear, it is that local administrations have the ability to achieve great things. They stand closest to the citizens and have the best knowledge of the field. Local government is your best choice for an efficient and effective citizen-based approach.

In both cases I described, the outcome would have been better if the local authorities had been invited as full-fledged partners to the decision-making table from the start. The good intentions that are obviously present at every level of government would not only have been brought together, they would also have led to more efficient cooperation.

The future is local, and a local approach will help us tackle future crises. Local governments and civil servants have to be trusted with more power. Wars are not won from behind a desk; they are won on the battlefield.

During the pandemic, I started writing letters to the employees of the city of Bruges. This has become a habit now; one that gives both me and them courage. I would like to finish this article with an extract from one of these letters. It is my way of paying homage to all the civil servants in the world, as it is they who led us through this crisis:

We live from day to day. Insecure and worried. Worried for ourselves and for those who are dear to us. Despite these difficult circumstances, I see the efforts you all make, at home or in the field. I see you helping citizens at our front desk or over the phone. I see you guarding the entrances to our buildings for your colleagues working there and for our clients. I see you cycling in the streets and squares of Bruges, talking to the inhabitants. I see you emptying rubbish bins. I see you, sitting on your knees, weeding the flowerbeds to keep them neat and tidy. I see you doing your jobs at the crematorium and preparing yourselves for a scenario we hope will never happen. I see you driving around to distribute bottles of hand sanitizer. I see you cleaning the same spot, doorhandle, or desk tirelessly over and over again. I see you sending emails and following up on them digitally or over the phone from your own homes. I see you providing your colleagues with the necessary IT equipment and tools to work from home. I see you informing and reassuring citizens, as well as colleagues. I see you constantly ensuring the proper functioning of your teams. I see you swiftly and accurately handling the internal and external communication. I see you providing tailored solutions to never-before-seen problems at record speed. I see you helping out other teams. I see you. PM

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A Closer Look at Recruiting and Hiring U.S. Military Veterans into Local Government Employment

Results from a national survey of city and county HR directors

BY DAVID SWINDELL, JUSTIN M. STRITCH, AND ULRICH JENSEN

As of 2018, there were approximately 18 million U.S. military veterans, three million of whom were under the age of 40.[1] Practitioners and researchers alike have given considerable attention to the federal government's recruitment of U.S. military veterans into public service in recent years, especially as it relates to the use of veterans' preference policies.[2]

While the federal government provides one important pathway to public service careers for veterans, local governments also provide many opportunities for a functionally

and geographically diverse set of public service careers. Yet relatively little is known about the recruitment and hiring of U.S. military veterans in U.S. local governments. U.S. military veterans often have a wealth of leadership experience, as well as a wide range of general, managerial, logistical, and technical skills and competencies that can be quickly adapted to meet the needs of local governments.

We brought together resources from Arizona State University's Center for Urban Innovation and Center for Organization Research and Design (CORD) to partner with the Center for State and Local Government Excellence, the National League of Cities, and the Alliance for Innovation and conducted a survey about the hiring of U.S. military veterans in U.S. local governments. The survey focused on:

- The implementation and use of veteran's preference policies in local government hiring.
- The types of jobs for which U.S. military veterans are commonly hired in local governments.
- The perceptions of the strengths and skills that U.S. military veterans bring to their organizations.
- The premium that human resources (HR) directors place on veteran experience relative to those without.
- Local government efforts to recruit U.S. military veterans to their organization.

Local governments are missing the wider array of skills represented by those veterans trying to get into public service after their military service is complete.

We built a sample of 911 cities and towns ranging in population from 25,000 to 250,000, as well as 575 counties from the largest 1,000 counties in the nation. We then distributed the survey over a period from February into June of 2020 (with a pause of several weeks due to the outbreak of COVID-19) to HR directors (or equivalent) using multiple mechanisms: mailed letters, postcards, emails, and phone calls. We collected 538 usable responses to analyze from our city and county HR directors.

Veteran Preference Policies in Local Governments

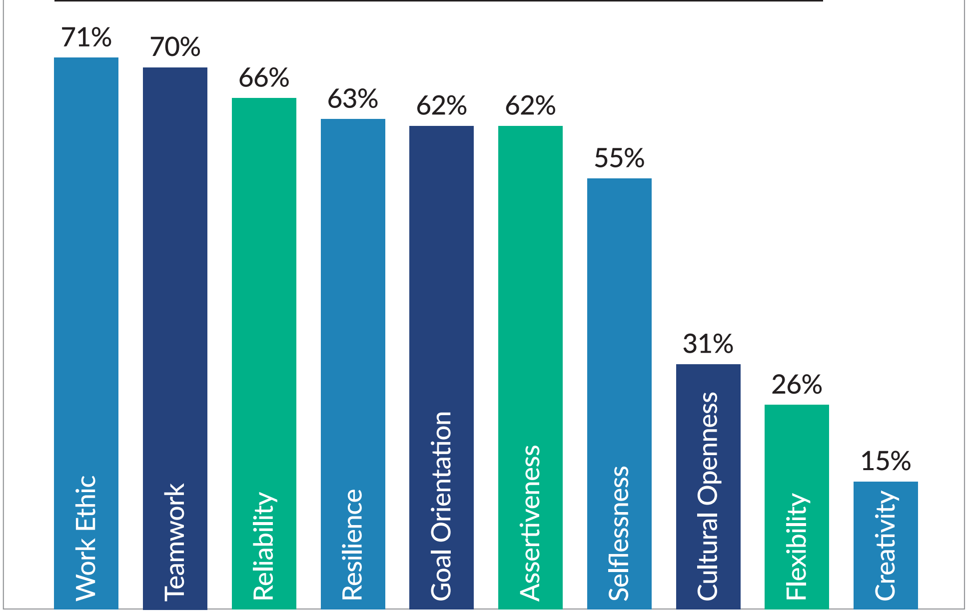
We asked a series of questions designed to illustrate the extent to which local governments are implementing a veteran's preference policy. Overall, just over half of local governments (52 percent) reported giving some form of a formal preference to U.S. military veterans in hiring processes. We were also interested in whether HR directors perceive these policies to be clear. Such policies need to be clear and understood by those responsible for implementation. We therefore asked about how specific their preference policy is on an 11-point scale ranging from very vague to very specific. About three of every four respondents (74.5 percent) scored their policy at "7" or higher on its specificity. Only about 8.3 percent said their policy was vague, with scores at or below "3." While they reported relatively good specificity, less than two-thirds (57 percent) rated their policy "successful" at promoting veteran hiring.

Veteran Employees' Skills and Competencies

A central aspect of the survey focused on how local government leaders assess and think about the skills veterans bring to their organization. HR directors recognize that military training provides individuals with both the technical and leadership skills that local governments seek among their applicants and that those skills quickly can be adapted to a variety of jobs. Among our survey respondents:

- 71 percent said that veteran employees, on average, have a stronger work ethic than their civilian counterparts.

Figure 1. Percentage of HR directors reporting that U.S. military veterans perform better than civilians in 10 specific skills



If veteran recruitment efforts focus on jobs in law enforcement and fire/ emergency response, local governments may be missing excellent candidates for leadership roles, IT, budgeting and finance, and other positions.

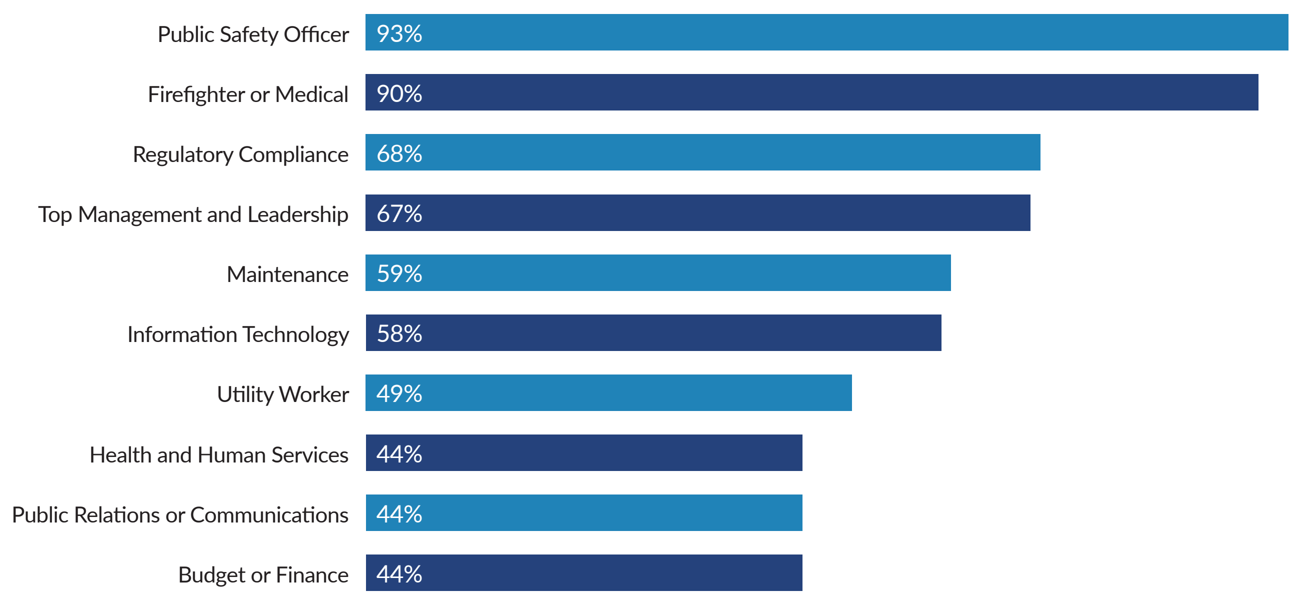
- 70 percent said that veteran employees, on average, have a stronger team orientation than their civilian counterparts.
- A majority of HR directors rated veteran employees higher than civilian employees on seven of the ten general skills listed in Figure 1.

When we asked the HR directors to rank the skills that military experience enhances the most, they responded: (1) teamwork, (2) problem solving, and (3) planning/organization.

Many local governments miss the opportunity veterans represent to tap these skills. Even those jurisdictions that recruit veterans to apply for jobs sometimes funnel them to positions in law enforcement and public safety. In fact, the vast majority of responding HR directors said they think military service is relevant preparation for positions as public safety officers (93 percent) and firefighter or medical (90 percent). Perhaps not surprisingly, these respondents also reported that their organizations hired veterans into these positions at higher rates than other types of positions (81 percent and 71 percent, respectively). See Figure 2.

However, many veterans resist this pigeonholing while seeking other positions they feel better fit their skill set. For instance, two-thirds (67 percent) of responding HR directors said military

Figure 2. Percentage of HR directors that believe military service is relevant for success in these positions:



training is relevant for preparing someone to be successful in top management or leadership positions. However, only one-fifth (20 percent) said their organization "often" or "very frequently" hired veterans into such positions. Local governments are missing the wider array of skills represented by those veterans trying to get into public service after their military service is complete.

The Premium on Veteran Experience

While HR directors may be missing some of the talent represented by veterans, this does not mean the directors are dismissing the value of military experience. In fact, there is a common misperception that HR directors may have a negative bias toward veteran applicants due to possible experiences during their military service. Our results suggest otherwise.

We presented each respondent one of six randomly assigned résumés of a hypothetical recent MPA graduate that were identical except on gender, military experience, and previous local government versus private sector experience. The preliminary results clearly suggest that while there are no differences between male and female applicants in terms of the evaluation provided by the directors, they rated the candidate résumés with veteran experience more highly when assessing leadership potential and value of public sector experiences relative to prior experience in the private sector.

Recruitment

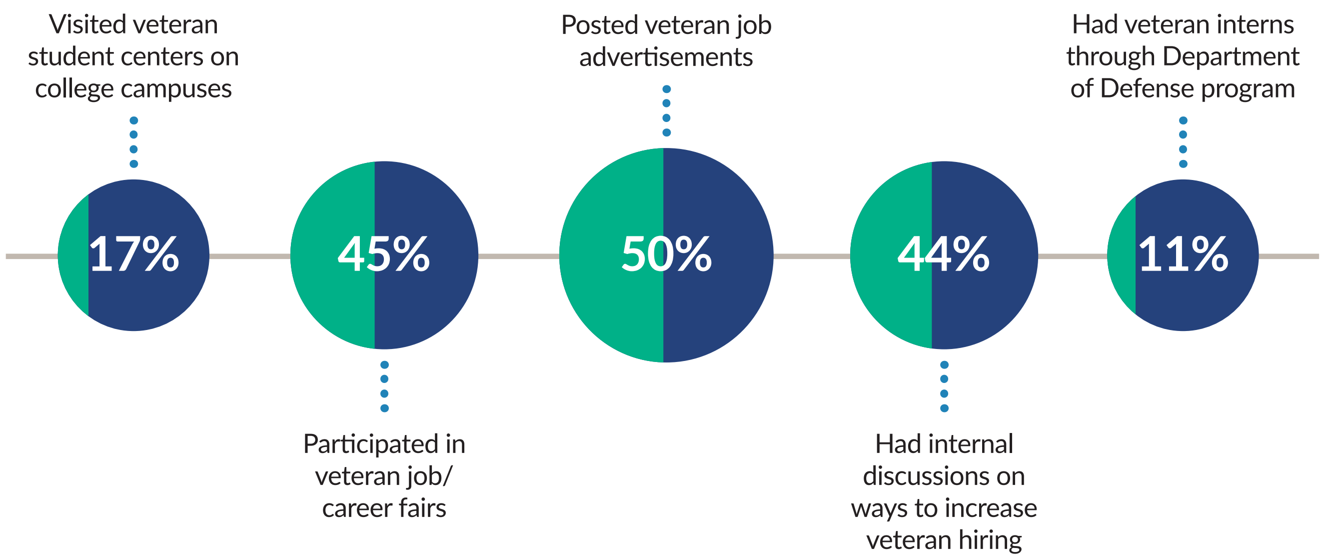
HR directors indicated that local governments undertake a range of activities in order to attract and recruit veteran applicants to their organization. For instance, we found that half of these local governments post job advertisements in outlets that specifically target military veterans. However, only about 17 percent take advantage of veteran student centers on nearby two- or four-year college campuses. See Figure 3.

While these efforts are important, we have noted previously that local governments may not be taking full advantage of the broad range of public service careers and functions for which military service may prepare individuals. If recruitment efforts focus on jobs in law enforcement and fire/emergency response, local governments may be missing excellent candidates for leadership roles, IT, budgeting and finance, and other positions. Colleges and universities can help local governments expand the exposure to, the appeal of, and the range of public service opportunities in a manner that increases the talent pipeline.

Professional organizations represent another venue for connecting veterans with local government organizations. The International City/County Management Association's Veterans Advisory Committee, for example, is helping local government talent managers take greater advantage of the extensive array of talent generated by military service through three initiatives:

1. Raising awareness of the skillsets that veterans have to offer.
2. Recruiting those with military service into the local government profession.

Figure 3. Local government veteran recruitment strategies



3. Building and strengthening relationships between the military community and local governments.

Through their strategic outreach to city/county administrators, HR directors, and other professional associations, ICMA's veterans programs are helping increase career connections between veterans and local government.

Conclusion

The findings from our survey highlight several insights into current veteran recruitment and hiring practices in U.S. local governments. Many jurisdictions recognize the value in recruiting future public servants among U.S. military veterans by giving preference to veterans in hiring and/or promotion decisions. They see veterans as competent workers, outranking their civilian counterparts on a range of general and technical skills and competencies. Yet, at the same time, there is a narrow and limited recognition of the functional areas and types of positions to which U.S. military veterans' skillsets apply. We find that HR directors see a very strong "fit" between veterans' skills and positions within law enforcement and emergency response, but much less so for other positions such as IT, budget/finance, and management.

To reap the immense potential more fully that veterans hold for contributing to the work of U.S. local governments, we recommend jurisdictions start applying a broader and more encompassing approach to the functional areas in which U.S. military veterans can excel. This task does not simply fall on U.S. local governments, but also highlights a greater need for mapping out and designing successful curriculum and educational programs to help veterans transition and adapt their existing skills to the new world of public service in a local government context. PM

ENDNOTES AND RESOURCES

[1] Statistics and other data available from the U.S. Department of Veteran's Affairs at https://www.va.gov/vetdata/veteran_population.asp

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High Performance in Local Government

Part 2 : Organizational Clarity

What you believe matters

BY DON JARRETT, WITH PATTY GENTRUP

In the June issue of *PM* magazine, we provided a quick look at high performance and why it matters. High performance is not something you do. It is a way of thinking, a habit for continuous improvement. It is achieved by doing the work of leadership to create organizational culture.

Believing Is Doing

An organization can be described as *people working together for a common purpose.* How well organizations perform depends substantially on what we believe about each of those five words and how they relate to each other. Those beliefs and the paradigms that frame them form our leadership philosophy—the way we

choose to act toward others, communicate, process and share information, make decisions, and implement management and leadership practices.

Developing an organizational leadership philosophy is an exercise in self-examination conducted collectively by members of the organization. The process is very personal, but must be openly discussed and challenged. To be meaningful, the philosophy must be genuine and personally tested.

"You can't build a culture in the dark," says Noel Bernal, city manager of Brownsville, Texas, who began the journey to high performance when he joined the organization in 2018. "Culture has to be a beacon of hope and a light that you quickly connect to the tangible benefits as quickly as you can."

In Johnson County, Kansas, the leadership team met twice a month over more than six months talking, debating, learning, and rethinking what they believed about people, work, motivation, and trust. The result was the following leadership philosophy.

> Leadership is a responsibility shared by all. We trust and empower each other to do the right thing for the right reasons for the public good. Committed to our shared values, we provide excellent public service, seeking always to improve ourselves and our organization. Together we will leave our community better than we found it.

The words themselves are not magic. The magic comes from personalizing them. In Johnson County, after the statement was vetted throughout the organization, leadership team members wrote, signed, and displayed a personal statement outlining "this is what the leadership philosophy means to me."

"Putting our leadership philosophy into my own words took thought and effort," said Hannes Zacharias, former Johnson County manager. "It forced me to be genuine when I spoke about it to commissioners, managers, supervisors, and front line staff."

Putting our leadership philosophy into my own words took thought and effort. It forced me to be genuine when I spoke about it to commissioners, managers, supervisors, and front line staff.

Exploring Beliefs

Exploring beliefs and philosophies should be, but is not, a common practice in most organizations. That exploration and thoughtful debate commences with some basic questions, the answers to which form the foundation of how we structure and lead our organizations.

The Nature of Work

The concept of work seems simple, but it is complex and has evolved over time.[1] Early forms of work—hunter/gatherer and agriculture and craftsmanship—were considered holistic. Individuals performed all facets of work, from thinking, planning, and deciding what to do (strategic work) to the tasks, activities, and organizing/managing necessary to do it (tactical work).

The Industrial Revolution of the 1900s introduced major changes to how work was viewed and performed. First, division of labor was used to separate holistic work into levels and parts. Then, the *Principles of Scientific Management* were used to standardize a "one best way" of doing any job, to establish a hierarchy of authority, and to impose strict surveillance of workers. The structure for organizations became a highly defined hierarchy, where the thinking and deciding were done by people at the top; managing was done by people in the middle; and tasks performed by those at the bottom under direct supervision. This quickly became the model for all forms of work and organizations.

Engagement and motivation come from purpose, meaning, and involvement.

By the 1960s and '70s, workers had become highly skilled, educated, and mobile. Work became less assembly line and more technology oriented. The focus of work shifted from a "things" mentality to a "knowledge" mentality.[2] In the early 2000s, the nature of work evolved further. Working independently was no longer efficient or effective. Work often required the combined expertise and efforts of a group, functioning interdependently, moving to a Network Talent model.[3]

Today, work is not only again holistic, but also requires working in teams and building relationships, influencing the thoughts and actions of others, collaboration, and achieving results together without power or authority.

How does your organization view work? Is it readily divisible and best performed independently, or is it holistic and best performed in a flexible, interdependent manner?

The Nature of People and Their View of Work

Do you believe that people like work? Douglas McGregor, in his book, *The Human Side of Enterprise,* identified two theories regarding people. Theory X views people as disliking work, preferring to be directed, avoiding responsibility, responding mostly to threats of punishment, and having limited ambition and capability. Theory Y considers people with a positive and optimistic lens, believing that people naturally put forth effort at work, accept and seek responsibility, use self-control, are problem solvers, as well as self-directed, capable, and creative.

Certainly, not all people are the same, and there are exceptions to the norm. Nevertheless, we adopt management practices based upon our view about people and their approach to work. If our view of the norm fits Theory Y, then we will treat people as capable and good workers. If our view fits Theory X, then we will treat people as if they are not very capable and need careful supervision. Higher performance thinking recognizes that people are capable, want to perform and excel, and can accomplish more with less supervision.

What do you believe is the nature of the people in your organization? Are they capable and want higher performance or do they dislike work and need close supervision?

Thinking and Deciding, Doing Leadership at All Levels

Much of what we believe about workers and their abilities to think, be creative, and make decisions—the work of leadership—is clouded by hierarchy and division of labor. The whole foundation for hierarchy is the belief that thinking and deciding were responsibilities of a few individuals at the top. Believing that only a few can know, think, and decide truly limits the organization's potential to the abilities of those few and foregoes the benefit available from the abilities of the whole. Believing in the workers and inviting them to provide their thinking, as well as their labor, greatly expands the capacity and potential of the organization to perform and is a better way to higher performance.

Should thinking, creativity, and decision making—the work of leadership—occur only at the top of your organization or at every level?

The Power of Purpose; Inspiration and Motivation

We have known for decades that people are motivated by factors other than pay, reward, or fear of punishment,[4] that true motivation comes from intrinsic factors such as self-actualization, self-esteem, and belonging. Most recently, Daniel Pink, in his book, *Drive,* identified three factors that motivate and engage people in complex, thinking work: autonomy—having some self-control over their work, mastery—the potential to learn and excel, and purpose—contributing to something meaningful.

If we believe that employees are inspired by what they do and why they do it, engaged by being a part of something meaningful and feeling connected to it, and motivated by having input and control over their work and the chance to excel at performing it, we should put our carrots and sticks away and find ways to connect people to the meaning of their work. What do you believe inspires, engages, and motivates employees?

Enacting a Higher Performance Leadership Philosophy

A culture of higher performance requires a leadership philosophy that is understood, shared, and enacted throughout the organization. It cannot be dictated. It must be thoughtfully considered and chosen. Exploring the questions posed here and how you choose to answer them will set your organization's leadership philosophy. A philosophy for higher performance affirms that:

- Work is holistic, cannot readily be divided into simple tasks, and must be performed collaboratively, centered around teamwork and relationships.
- People like to work, want to do a good job, and can be trusted to do so without close supervision.
- Our employees possess talents and capabilities beyond their labor, are creative, can think as well as those in a leadership position, and should be consulted to provide input and participate in operations.
- Leadership is a responsibility of all persons, not just those at the top.
- We are trustworthy and can extend trust to our employees.
- Engagement and motivation come from purpose, meaning, and involvement.

It is a matter of choice and belief. It's a matter of modeling the leadership philosophy and spreading it throughout the organization.

"I told my team that their role is to be a facilitator and a coach," said Noel Bernal. "They have to own it (the philosophy) and share it on behalf of the team. We've started the movement. And now we're at the point that the movement needs to carry on its own."

Looking Forward

Join us again next month when we will look at organizational management systems and why leadership philosophy makes a difference to performance. PM

ENDNOTES AND RESOURCES

[1] That evolution has been well documented by many, including Alvin Toffler, in his book, *The Third Wave,* and Stephen R. Covey, in his book, *The 8th Habit,* citing management guru Peter Drucker.

[2] See the work of Peter Bloch, *The Empowered Manager;* Peter Drucker, *Management Challenges for the 21st Century;* and Likert.

[3] Adapted from Pickering et al, *Building High-Performance Local Governments,* pp. 26-30.

[4] Abraham Maslow, in his book, *Motivation and Personality.*

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Innovating Student Engagement

How ICMA Student Chapters **prevailed** in a virtual world | BY REBECCA DESANTIS

For university students around the world, it was a tough year. Students used to the traditional in-person educational setting were forced by the COVID-19 pandemic to continue their learning from behind a screen. Programming and events were moved to video conference platforms, and opportunities for engagement were moved online.

Our ICMA Student Chapter members worked hard this past year to find new ways to engage from their virtual school environments. They were creative and innovative in using their resources to plan events, programs, and activities that engaged fellow students interested in the local government profession.

This year, the theme of ICMA's Annual Best Chapter Event Contest was *innovating student engagement in a virtual world.* Chapters presented their most successful and creative event of the year to members of the ICMA Executive Board, highlighting the event's topic, involvement, and impact. With this annual contest, ICMA shows its support for student members and all the work they do throughout the year to engage students who aspire to join the local government profession. Our winners—Grand Valley State University, Central Michigan University, University of Arizona, and University of Georgia—are a true testament to resiliency and creativity when barriers are present. These chapters found new ways to engage virtually and still create dynamic experiences for their student members and campus community.

Grand Valley State University and Central Michigan University

Winning Event: Joint Virtual Conference, "Michigan Emerging Leaders Student Local Government Conference"
This was the first time these chapters came together to create an event of this size, with over 100 participants. The goal of the conference was to provide students and emerging local government leaders with meaningful professional development and networking opportunities by bringing them together with current local government leaders at different

University of Georgia

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Grand Valley State University and Central Michigan University

University of Arizona

points of their career. According to Natalie Davenport, vice president of the ICMA Student Chapter at Grand Valley State University, "The conference was an exciting and unique way to foster connections, build relationships, and uplift local government leaders. Networking has undoubtedly been an obstacle for students throughout the pandemic, so it was nice to bring everyone together in this format. I am grateful for all the managers and working professionals that took time out of their day to offer advice and input to students; it truly is inspiring to witness their dedication to the profession."

The event consisted of four parts, starting out with a presentation by retired finance director Karen Lancaster from the city of Ann Arbor, titled, "Eight Things About Finances Every Local Government Manager Should Know." There was a round of presentations by representatives from a variety of state and national affiliate organizations and time for breakout rooms around topics in local government management. The event concluded with a labor negotiation simulation activity written by the city manager of Muskegon, Frank Petersen, in which students practiced collective bargaining.

"I want to thank Dr. Sohee Jeon for collaborating with me to restore the CMU ICMA Student Chapter, along with the individuals who are a part of the chapter to make this all possible," said Christopher Frazer, president of the ICMA Student Chapter at Central Michigan University. "In addition, I want to thank Katie Beemer and Neil Buckwalter for their collaboration, as well as the Oakland University ICMA Student Chapter."

University of Arizona

Winning Event: Four-Part Webinar Series, "Student Connections: 4 Steps in Your Public Service Career"

As a way to remotely integrate students into local government, this webinar series helped current students connect with recent MPA graduates, as well as seasoned and executive-level local government professionals across multiple fields, to discuss current and future challenges and to establish recurring mentorship opportunities. The webinars featured an opening panel event with MPA and MPP alumni, a mentorship program between alumni and current students, a speaking event with ICMA member Darin Atteberry, concluding with a virtual panel of four regional local government professionals. Overall, the series engaged approximately 60 attendees, providing them the opportunity to establish new professional relationships, create mentorships, and learn about the dynamics of municipal management.

University of Georgia

Winning Event: Black Professionals Panel

In recognition of Black History Month, the UGA ICMA Student Chapter held a panel highlighting the voices and experiences of four black professionals in the state of Georgia: Antonio Brown (Atlanta city council member), Krystle Cobran (inclusion officer of Athens-Clarke County Unified Government), Nathaniel Smith (founder and chief equity officer of Partnership for Southern Equity), and Tangela Beard (executive director of Project Safe). For this event, the chapter garnered the support of the UGA Graduate Student Association, the UGA Student Chapter of the Young Nonprofit Professionals Network, and the School of Public and International Affairs Honors Society of Diversity, Equity, and Inclusion. This collaboration allowed the event to reach even more students to introduce them to local government and how various public service professions can positively impact local communities. One particularly enlightening piece of advice given by panelists came from Nathaniel Smith and was echoed by the rest of the panel. Nathaniel described public service leadership as taking part in a relay race, highlighting both the limits of individuals or specific organizations to single-handedly address community issues and the importance of collaboration and cooperation in their efforts to improve their local communities.

We congratulate our winning chapters, and we thank all our students for their hard work and dedication this past year. To learn more about the ICMA Student Chapters, go to icma.org/student-chapters. PM

Starting Off on the *Right* Foot

Building a solid relationship between chief administrative officer and assistant chief administrative officer

BY ALLISON SCHECK

The relationship between the chief administrative officer (CAO) and the assistant chief administrative officer (ACAO), whatever form and title those positions take, is an important one. Depending on the size and set up of the organization, it can lay the foundation for a strong culture of collaboration, trust, and fun (yes, fun!) in the office and among employees. Conversely, if that particular relationship is not a healthy one, the cultural consequences can be significant.

Being intentional in your approach to building the relationship will pay dividends for your organization and your own job satisfaction.

The COVID-19 crisis tested our strength as leaders and our professional relationships. In my case, I will be forever thankful that my boss and I got a great start to our working relationship because it put us in a strong position to manage our city's response to COVID-19.

Patrick Goff, Wheat Ridge City Manager, hired me as the administrative services director in January 2019. This is my first time in an ACAO role, but I was no stranger to playing right hand to a leader. Therefore, at the interview stage, I knew I needed to get to know Patrick before deciding if I wanted the job (if I was lucky enough to be the finalist). My final interview for the job was a casual coffee with Patrick. We talked about our personal and professional lives, and learned we both like to travel and that we each own black Labradors. I asked him to share anything he was concerned about with regard to me as a candidate. He said he was a bit concerned about my energy level—it's high!—that I might overwhelm employees and he asked me to address that. I appreciated his candor and honesty and realized I would be working with someone who would give me solid feedback. It sealed the deal for me and I realize now that getting comfortable with each other before the work began was key to starting off on the right foot.

In our first meeting on the job, thanks to some great advice I received, I came prepared with the following questions for Patrick:

How will I know when you are disappointed in my work? It's very important to agree on how feedback will be communicated because you need to know when you haven't hit the mark. Your CAO can't be worried about how you will react, so get clear on that.

How and when would you like me to communicate with elected officials? Your boss's relationship with their bosses is sacred. Don't overstep, and make sure you maintain professional boundaries. Understanding your CAO's expectation for communication with elected officials is key.

Are there any pressing matters I need to attend to right now? Right out of the gate, I wanted to know what our priorities were and where I should focus my attention.

The candor of our early conversations continued through the invaluable weekly meetings in my first year. We figured out how to riff off of each other; something that gives the staff we work with a kick. I learned where the guardrails are; when to inform or ask for guidance or permission.

Looking back at the challenges of the last 15 months, I am so grateful that Patrick and I got off to such a great start. Being intentional in your approach to building a relationship with your CAO will pay dividends for your organization and your own job satisfaction. It is a key relationship and your organization needs you to get it right. PM

ALLISON SCHECK is administrative services director of Wheat Ridge, Colorado.

LET'S RESTART

We're inspired by the growth of the local government manager in the face of adversity. The experience of the past year is a unique opportunity to reset—and we're creating a global conference event just for local government professionals who need a space to learn from the hardships, focus on what matters, and chart a new course.

The 2021 ICMA Annual Conference is an opportunity for all those in local government, anywhere in the world, to attend the way they are most comfortable—in-person or digitally.

Even though the format has a few changes this year, many aspects will remain the same. Here's what you can expect:

Professional development opportunities for every career stage.

Inspirational keynote speakers with diverse backgrounds and expertise who will inspire you and help you hit the reset button.

New tools and techniques presented by experts in the local government management profession.

Digital and in-person networking opportunities with local government professionals from around the world.

Products and services from solutions providers in the exhibit hall.

A place where local government leaders and professionals from all backgrounds can stand together as a profession.

As of June 15, 2021: Due to capacity constraints to allow for social distancing, registration will be limited in Portland and available on a first-come, first-served basis, so early registration is highly recommended. Once full capacity has been reached, a wait list will be started, and you will be notified as soon as an opening becomes available. Any updates to the Oregon state social distancing guidelines will be posted on **icma.org/conference.**

EXPERIENCE

The 2021 ICMA Annual Conference will offer you a chance to restart through these two options:

2021 ICMA: *Portland*

The City of Roses, Stumptown, Beervana—we are headed to Portland, Oregon! Join your local government management peers from around the world for professional development, connection, growing in the profession, and enjoying each other's company again. ICMA is committed to providing an environment that is publicly safe, while following recommendations for health protocols, allowing participants to focus on getting the most out of their 2021 ICMA experience. We invite you to experience everything the annual conference and Portland have to offer.

2021 ICMA: *Digital*

2021 ICMA: Digital will offer an array of educational sessions, as well as networking opportunities for virtual attendees. All General Sessions will be live-streamed from Portland. Attendees will have access to many education sessions via the digital platform, with select education sessions offered live and other sessions available on-demand.

TOPICS

With more than 150 education sessions, keynotes, trailblazer speakers, roundtables, workshops, mobile workshops, and solutions stage sessions, there will be plenty of opportunities to learn from and with your peers, industry professionals, and others, too! Session topics will focus on:

CAREER SUPPORT
Strategies and programs to support you in your career, regardless of your career stage. Resources for maintaining your personal and mental health will also be covered.

CIVIC HEALTH AND COHESION
Develop strategies to overcome divisions within your community. Also included are ways to develop civic leaders among your community members.

COMMUNITY ECONOMIC TRANSFORMATION AND RESILIENCY
Creative community partnerships bringing economic success to communities.

COMMUNITY ENGAGEMENT
Best practices to strengthen communication and engagement across your community.

EMERGENCY MANAGEMENT
Trends in responding to emergencies within the community, from civil unrest to natural disasters.

ETHICS
A core component of ICMA's mission statement. Promoting an ethical culture is a key leadership responsibility, and ethically run organizations inspire trust in the community.

FINANCE AND BUDGETING
The fundamentals of local government finance; covering pensions, revenue generation, and more.

FUTURE OF SERVICE DELIVERY
COVID-19 forced municipalities to rethink the delivery of services; what will continue as a norm, learn new ways to deliver services to the community.

FUTURE OF THE PROFESSION
The profession is ever-changing; consider what the future holds and lessons learned from the past.

LEADERSHIP
Build your leadership skills, which are critical in successfully maintaining resilient and livable communities.

POLICING AND PUBLIC SAFETY
Focus on improving policing and public safety services to better serve the members of the community safely.

RACIAL EQUITY AND SOCIAL JUSTICE
Identify programs and services that will improve and affirm human dignity and quality of life for all members of the community.

SMALL COMMUNITIES
Sessions will focus on building skills and developing services and strategies unique to smaller communities.

TECHNOLOGY/SMART CITIES
Technology has greatly changed the way we work, as well as our ability to provide services to residents. Learn about cybersecurity, keeping your technology safe, and keeping up with the latest tech trends.

WORKFORCE MANAGEMENT
Develop skills to manage and support your team, those working in the office, as well as the growing remote workforce.

SCHEDULE

Below is the 2021 ICMA: Portland schedule for in-person attendees.

As you begin to plan your trip to Portland, it is important to note that there is a schedule change to the ICMA Annual Conference this year. Pre-conference events on Saturday, October 2, will now include education sessions and roundtables in the late afternoon.

For schedule updates, please visit **icma.org/conference.**

All times are listed in Pacific Standard Time.

SATURDAY, OCTOBER 2

7:30 a.m. – 6:30 p.m.	Registration and Host Committee Desk Open
8:00 a.m. – 5:00 p.m.	Athletic Events
8:00 a.m. – 5:00 p.m.	ICMA University Workshops
2:00 p.m. – 4:30 p.m.	Education Sessions and Roundtables

SUNDAY, OCTOBER 3

6:45 a.m. – 7:00 p.m.	Registration and Host Committee Desk Open
7:15 a.m. – 1:00 p.m.	Athletic Events
8:00 a.m. – 2:00 p.m.	ICMA University Workshops
9:45 a.m. – 10:45 a.m.	Regional Meetings
10:00 a.m. – 2:30 p.m.	Education Sessions and Roundtables
3:00 p.m. – 5:00 p.m.	Opening General Session
5:00 p.m. – 7:00 p.m.	Exhibit Hall Grand Opening Reception
7:00 p.m.	Open for Supplier/Affiliate Events

MONDAY, OCTOBER 4

7:30 a.m. – 6:00 p.m.	Registration and Host Committee Desk Open
8:30 a.m. – 10:00 a.m.	General Session
10:00 a.m. – 4:30 p.m.	Exhibit Hall Open
10:15 a.m. – 4:45 p.m.	Education Sessions, Roundtables, and Solutions Tracks
12:00 p.m. – 1:30 p.m.	Exhibit Hall Lunch
6:00 p.m.	State/Alumni/Affiliate Receptions/Open for Supplier Events

TUESDAY, OCTOBER 5

7:30 a.m. – 5:30 p.m.	Registration and Host Committee Desk Open
8:30 a.m. – 9:30 a.m.	General Session
9:30 a.m. – 3:30 p.m.	Exhibit Hall Open
9:45 a.m. – 4:15 p.m.	Education Sessions, Roundtables, and Solutions Tracks
12:00 p.m. – 1:00 p.m.	Exhibit Hall Lunch
5:30 p.m. – 9:30 p.m.	Tuesday Night Evening Event (Location TBD)

WEDNESDAY, OCTOBER 6

7:30 a.m. – 11:45 a.m.	Registration and Host Committee Desk Open
8:00 a.m. – 9:00 a.m.	General Session
9:15 a.m. – 11:30 a.m.	Education Sessions and Roundtables

As of 6/15/2021

EXHIBITS & SPONSORS

Exhibit Hall

ICMA exhibitors will be eagerly awaiting your arrival in Portland, ready to share with you the latest products and services that will help you solve organizational challenges, develop leadership skills, advance your career, and find inspiration to create a lasting impact in your community. When planning your schedule, be sure to allow for time in the Exhibit Hall! To view a current list of exhibitors, please visit **conference.icma.org/sponsors-and-exhibitors/exhibitors/**.

Companies interested in learning about exhibiting during the 2021 ICMA Conference may contact Kristy Wagner at 312-265-9667 or icma@corcexpo.com.

Sponsorships

ICMA Annual Conference sponsorships offer powerful ways to make a positive impression and enhance your brand, both in-person and digitally. For a detailed listing of sponsorship information and pricing, please visit **conference.icma.org/sponsors-and-exhibitors/sponsors/**.

NEW PROCESS! All attendees must first register for the conference before being able to book and reserve an ICMA Annual Conference hotel room. After registering, attendees will have access to securing a hotel reservation. Reservations are accepted on a first-come, first-served basis beginning when housing and registration open July 14. **Please do NOT contact the hotels directly.**

2021 ICMA: *Portland*

	Best Value Rate (By August 31)	Regular Rate (Beginning September 1)
Member	$720	$790
Non-Member	$1,440	$1,580

Full Conference In-Person Registration includes the Sunday Night Exhibit Hall Grand Opening Reception, all keynote speakers and general sessions, trailblazer speakers, exhibit hall access, education sessions, interactive roundtable discussions, AND access to 2021 ICMA: Digital.

2021 ICMA: *Digital*

	Best Value Rate (By August 31)	Regular Rate (Beginning September 1)
Member	$349	$399
Non-Member	$649	$699

Full Conference Digital-Only Registration includes live streaming of all keynote sessions, select education sessions, on-demand sessions, virtual networking opportunities, and exclusive digital-only content.

Group Registration

Team registrations are available for groups of five or more attendees. There is a maximum of 20 attendees in a team registration for the in-person event and unlimited team registrations for the digital event. Each participant will receive 15% off their applicable registration rate.

We are scheduled to open Registration and Housing on July 14! For more information, please visit **conference.icma.org/registration/**.

REGISTRATION

HOTELS

YOU MUST FIRST REGISTER FOR THE 2021 ICMA ANNUAL CONFERENCE BEFORE YOU SECURE A HOTEL RESERVATION. Reservations are accepted on a first-come, first-served basis beginning July 14, when housing and registration open. We will be sending out further information as the date approaches. Please do NOT contact the hotels directly. For a detailed listing and descriptions of all ICMA Conference Hotels and a map of the hotels and Oregon Convention Center, please visit **conference.icma.org/2021-icma-portland/hotel-and-travel/**.

Official ICMA Conference Hotels

Hotel	Room Rate Per Night (tax not included)
Courtyard Portland Downtown/ Convention Center	$165 single/double
Crowne Plaza Portland Downtown/ Convention Center	$169 single/double
DoubleTree by Hilton Portland	$159 single/double
Hilton Portland Downtown	$189 single/double
Hyatt House Portland Downtown	$179 single/double
Hyatt Regency Portland at the Convention Center	$194 single/double
Portland Marriott Downtown Waterfront	$199 single/double
The Benson Hotel	$180 single/double
Portland Paramount Hotel	$179 single/double

See you in ***Portland & Digitally!*** **October 3-6, 2021**

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LOCAL GOVERNMENT REVIEW

Putting Research Into Practice

SPECIAL SECTION OF *PM* MAGAZINE,
JULY 2021 — VOLUME 7.0

icma.org

Franchise Agreements Serving as Vehicles for Local Governments to Achieve Clean Energy Goals

New research from the National Renewable Energy Laboratory examines the intricacies of local governments using franchise agreements

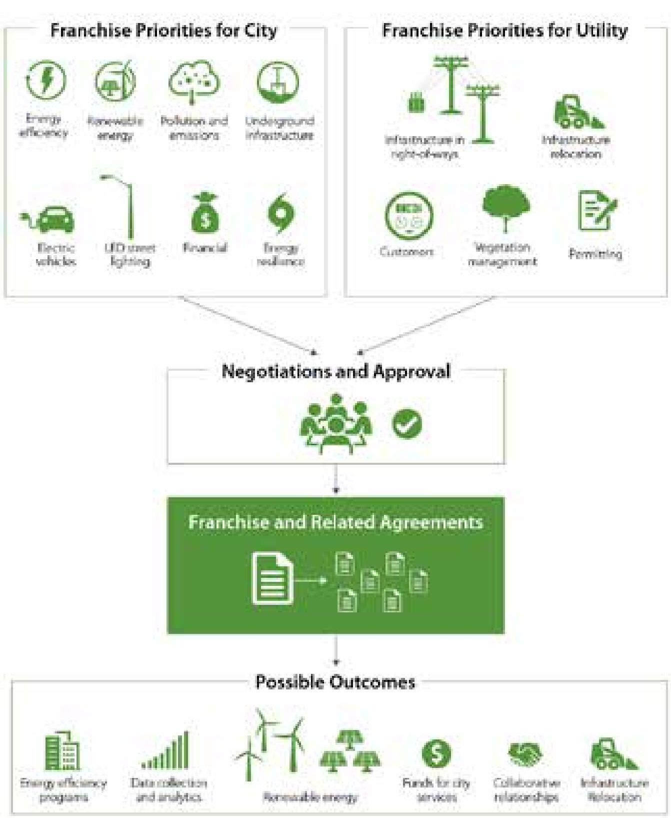
BY JEFFREY J. COOK

Improving sustainability has increasingly become a focus of local governments, with almost 50 percent of respondents in a 2015 ICMA survey identifying environmental protection as a priority in their jurisdiction.[1] New National Renewable Energy Laboratory (NREL) research focuses on one potential pathway for a local government and its electric service provider to partner and achieve joint clean energy goals: franchise agreements.[2,3,4] Franchise agreements are a negotiated contract between an authority having jurisdiction (AHJ) and an electric service provider, granting the utility the right to serve customers in the AHJ. The contract often specifies the period of service and a fee remitted back to the jurisdiction, and commonly includes stipulations regarding a utility's right of way to install and maintain electrical infrastructure.

Franchise agreements are often set for significant periods of time, sometimes upwards of 20 years, offering a rare opportunity for local government leaders to negotiate and create obligations for progress on long-term community sustainability goals.

Some local governments have incorporated other energy objectives into franchise agreements—or have signed agreements in parallel—that commit the AHJ and utility to work together to achieve joint energy goals. When franchise and related agreements are implemented, the local government and utility can deliver a wide variety of outcomes, including additional revenues for municipal services, new renewable energy projects, and more collaborative working relationships between parties (see Figure 1).

Figure 1. **Illustrative Example of a Franchise Agreement Partnership**



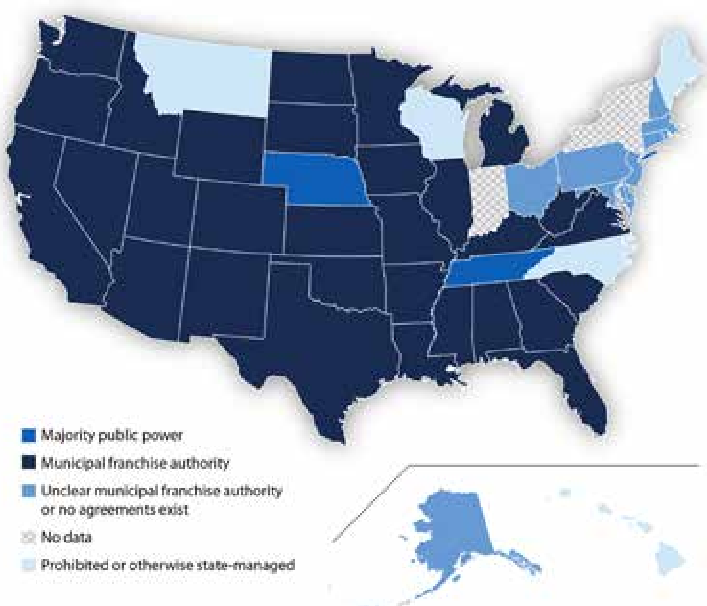
To better understand the potential for franchise agreements to serve as vehicles to achieve clean energy goals, NREL researched the extent to which municipalities have the authority to enter franchise agreements, how many have pursued additional energy objectives in or alongside their agreements, and to what effect these objectives have been pursued.

Franchise Authority and Energy Objectives

NREL used a two-pronged data collection approach to build a franchise agreement dataset that includes 3,538 municipalities. NREL began by searching for franchise agreements via public utility commission docket databases; municipal code databases, such as MuniCode and General Code; and other web-based searches. NREL augmented this secondary data collection with primary interviews with state public utility commissions, state municipal leagues, electric service providers, and municipalities.

From the data set, NREL concludes that municipalities in 30 states can legally pursue franchise agreements with their electric service providers (see Figure 2). Five states are prohibited from negotiating their own agreements (Hawaii, Maine, Montana, North Carolina, and Wisconsin), while two other states are majority public or municipal owned power, where cities may be unlikely to self-impose franchise agreements and related fees (Nebraska and Tennessee). NREL concludes that municipalities in 10 other states, largely in the competitive market eastern states, also do not have access to this opportunity. Finally, NREL had insufficient data to make definitive claims about Indiana, New York, and Vermont.[5]

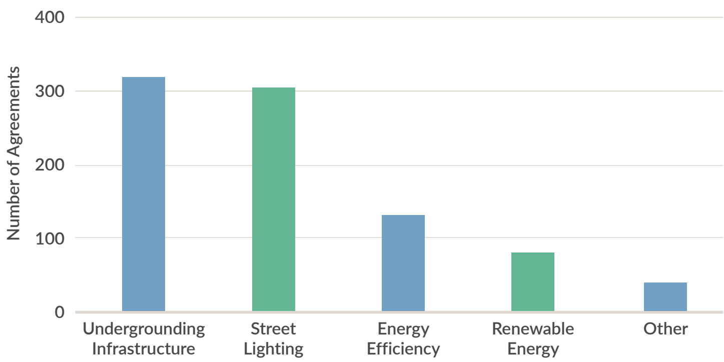
Figure 2. **States Where Municipalities Can Pursue Franchise Agreements with Electric Service Providers**



A total of 467 cities (13 percent of cities in the data set) were identified to have either adopted franchise agreements or a franchise-related agreement with one or more energy-related objectives. NREL coded these references into one of five categories: energy efficiency, renewable energy, street lighting, undergrounding infrastructure, and other (i.e., electric vehicles (EVs), service reliability, and infrastructure strengthening).

Two energy objectives—undergrounding infrastructure and street lighting—were the most common objectives referenced in franchise or related agreements, followed by energy efficiency, renewable energy, and other objectives (see Figure 3). Though references to energy efficiency and renewable energy are significantly lower, these have been increasing since 2006. Ultimately, most efficiency or renewable energy references are nonbinding or require electric service providers to inform municipalities of existing or upcoming energy-related programs. Even so, some cities and utilities have agreed to binding commitments, including providing funds to support certain municipal projects or programs.

Figure 3. Energy Objectives Referenced in Municipal Franchise Agreements



Over 1,200 cities in the data set have franchise agreements expiring between 2020 and 2040. Most existing franchise agreements have terms exceeding 20 years, so many of these jurisdictions may lack institutional knowledge of these agreements. NREL completed five case studies of cities that have successfully negotiated a franchise agreement that also addressed renewable energy including:

- Chicago, Illinois.
- Denver, Colorado.
- Sarasota, Florida.
- Minneapolis, Minnesota.
- Salt Lake City, Utah.

These five cities were selected for a variety of reasons, including geography, population, and utility variation. All five cities have also adopted unique energy stipulations in their agreements that demonstrate the wide variation across city approaches used. Here, we focus on the results of one case study: Sarasota, Florida, along with the aggregate lessons learned across all the case studies.

Case Study Snapshot: Sarasota, Florida

The city of Sarasota, Florida (population 57,000), is served by Florida Power and Light (FPL), and began discussing renewing its franchise agreement with FPL in 2008. The city had a keen interest in pursuing additional renewable energy generation to offset community load and a shorter franchise term (five years), while FPL was interested in pursuing a longer-term contract (30 years) that provided more investment certainty that excluded other energy objectives.

In 2010, the two entities signed a new 30-year franchise agreement, along with a separate Renewable Energy, Energy Efficiency, and Energy Sustainability Agreement (Renewable Energy Agreement) to codify FPL's clean energy commitments to the city.[6] This parallel agreement included a variety of energy projects addressing energy efficiency, renewable energy, and electric vehicles, among others.

Timeline

Sarasota, Florida Partnership Timeline

2008–2009
- FPL and Sarasota conduct franchise renewal negotiations

2010
- FPL and Sarasota sign 30 year franchise agreement and separate agreement relating to clean energy

2011
- 2 distributed PV projects installed
- 5 EV chargers installed
- Energy audits completed at all city facilities

2012
- LED lighting pilot project completed

2014
- 10 kW PV installed

2017
- 10 EV chargers installed
- 3 nonprofit energy makeovers completed
- Cumulative 456 home energy makeovers completed

2021
- FPL to replace initial 5 EV chargers

2026
- FPL to replace remaining 10 EV chargers

2031
- FPL to replace existing distributed PV systems

2040
- FPL to complete 1500 home energy makeovers
- FPL to complete 15 nonprofit energy makeovers
- Existing franchise agreement with FPL expires

FPL and Sarasota have been implementing these agreements for almost 10 years. Both entities provide biannual updates to the city commission on activities in relation to the Renewable Energy Agreement.

As required by the agreement, FPL has successfully:

- Deployed five EV charging stations in 2011 and added 10 more charging stations in 2017.
- Provided $2,000 for municipal personnel to attend a Leadership in Energy and Environmental Design course in 2011.
- Completed 27 energy education presentations at schools in Sarasota from 2011 to 2017.
- Conducted energy audits at all city facilities.
- Implemented 456 of 1,500 and five of 15 residential and nonprofit energy makeovers, respectively.
- Installed a 5-kW rooftop PV project at BayHaven Elementary in 2011, five pole-mounted solar panels at the city-owned Van Wezel Performance Arts Hall in 2012, and a 10-kW rooftop PV project at a nonprofit conservation education facility, Save Our Seabirds, in 2014.

Local governments can leverage franchise negotiations to help achieve their clean energy goals.

Lessons Learned for Negotiating Energy Objectives into Franchise-Related Agreements

Sarasota and the other four case study cities all had unique lessons learned related to their local context. Even so, NREL identified seven key takeaways transcending the five cases, including:

1. **Mutual understanding of authority and goals helped cities and utilities agree on energy-related terms in four of the five cases.** Excluding Chicago, interviewees from all cases noted the importance of understanding what was possible via a partnership between a city and utility. Emphasis on pilot projects or working together on enabling other higher-impact projects via franchise fee increases or enabling state legislation are all possible outcomes from these partnerships. Understanding opportunities and limitations up front can help cities and utilities successfully negotiate agreements.
2. **Utilities were willing collaborators with municipalities pursuing energy objectives in two of the five cases.** Interviewees in Minneapolis and Salt Lake City noted that city and utility personnel were aware of ongoing and contentious municipalization discussions and were interested in partnering to find common ground to avoid a similar situation. In addition, a growing list of utilities are interested in deploying more renewable energy to meet load, including Xcel Energy, who announced a 100 percent carbon-free energy goal by 2050 in 2018.[7] Other jurisdictions pursuing renewable energy objectives may benefit from partnering with more proactive utilities interested in similar goals.

LGR
LOCAL GOVERNMENT REVIEW
Putting Research Into Practice

JULY 2021 SPECIAL SECTION — VOLUME 7.0

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Guest Editor
Lindsay Jacques

In the tradition of *The Municipal Year Book*, ***LGR: Local Government Review***—a special section of Public Management (*PM*)—presents key research findings and expert insights about local government issues and trends. ***LGR*** is published as new research findings and analyses become available.

ICMA's intent is to contribute to the profession's collective understanding of practices, policies, and trends that have a significant impact on local governments, now and with an eye toward the future.

LGR: Local Government Review is offered to ICMA members as a benefit of membership. Non-members can purchase digital copies of this special section from ICMA's online bookstore at bookstore.icma.org.

For information about advertising in this special section, contact Kyle Elgin at kyle.elgin@mci-group.com or 410-316-9866.

3. **The negotiation process took about two years to complete on average and unfolded over five stages in all five cases.** Either the city or utility initiated the process and cities began by reviewing their energy objectives and pathways (see Figure 4). Once a pathway is selected and objectives are prioritized, the jurisdiction can begin to negotiate the terms of the franchise and related agreements. In most cases, the AHJ will only need to secure the support of elected officials to approve the franchise agreement, but others may need to seek voter approval, as occurred in Denver. Once implemented, local government and utility personnel may work together to report on performance.
4. **Building internal, or pursuing external, expertise helped city personnel understand negotiation opportunities and limitations in all five cases.** Three of the five cities (excluding Minneapolis and Salt Lake City) sought third-party, often legal, expertise before negotiating their franchise agreements. Given these agreements exceeded 20 years, these cities lacked institutional knowledge of the previous negotiation process. If a jurisdiction cannot secure third-party support, they may still benefit from reaching out to other peers that have recently negotiated agreements, requesting information from municipal leagues to gain perspective on the process, and relying on internal career civil servants that may also have relevant legal and energy-related expertise.
5. **Negotiating franchise agreement length was one of the most contentious elements of the process in four of the five cases.** Two cities (Salt Lake City, Minneapolis) renegotiated franchise agreements with significantly shorter terms (five and 10 years, respectively) than the national average (20 years), while Denver had

Figure 4. Typical Timeline for Franchise Agreement Negotiations and Implementation

Get Started	Pick a Path	Negotiate Agreement	Seek Approval	Evaluate
Two years out	**1–1.5 years out**	**1 year–6 months out**	**6–0 months out**	**Annually**
• Review agreement • Begin dialogue with utility • Build franchise expertise • Catalogue energy objectives	• Consult stakeholders • Consider and select energy pathway that aligns with objectives • Reach out to peer cities for insights • Prioritize energy objectives	• Identify utility priorities • Conduct negotiations with utility • Consider adopting parallel energy agreement(s) • Confirm performance metrics	• Submit agreement(s) for approval at city • Generate stakeholder buy-in	• Track utility performance • Consider opportunities to partner or otherwise revise agreement(s)

the opportunity to exit their franchise agreement at 10 years. Shortening franchise agreements is one avenue to strengthen utility accountability to clean energy goals and provide flexibility given a rapidly changing power sector. However, these goals may conflict with the interest of the utility to secure long-term contracts that provide investment certainty. Several cities compromised on this issue by negotiating energy objectives into or alongside franchise agreements.

6. **Four of the five cities adopted separate franchise and clean energy agreements, as opposed to integrating energy objectives into the franchise itself.** Excluding Chicago, each city adopted a separate energy-related agreement that outlines the goals and partnership between the city and the utility. These agreements outline energy objectives, principles, and plans for implementation that often call on parties to commit staff, develop work plans, and complete regular (annual, biannual) progress reports. Utilities favor this approach because they view franchise agreements as purely related to access to the public right-of-way. Thus, local governments might consider using their franchise agreement negotiation as a starting point to develop a parallel agreement addressing renewable or other energy objectives.
7. **Collecting data and tracking agreement implementation performance is an essential, though ongoing, challenge in all five cases.** Four of the five cities (excluding Salt Lake City) have five or more years of implementation experience. Interviewees noted that at the outset of implementing a franchise or related agreement it may be unclear what data the utility and city should be collecting. This can make it challenging to design the monitoring and evaluation aspects of a franchise agreement that are essential to gauge impact. Establishing a clear but flexible data collection, management, and review process in or alongside the franchise agreement may help mitigate this issue and provide an avenue for more accurately tracking performance throughout the agreement life cycle.

Conclusion

In summary, local governments can leverage franchise negotiations to help achieve their clean energy goals. Whether individual cities pursue a similar approach to those outlined in the case studies will depend on their own internal decision-making processes, as well as their existing relationships and negotiations with their electric service providers. NREL's research provides guidance on how some local governments have approached these discussions, serving as a foundation for others to make more informed decisions.

Local governments interested in learning more about this opportunity should visit NREL's website and related franchise agreement data, which can be found here: https://www.nrel.gov/solar/municipal-franchise-agreements.html. PM

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A New Tool to Advance Equity: Artists in Residence in Government

Inviting artists into government creates opportunities for new ways of approaching public service and engaging with the community

BY MALLORY RUKHSANA NEZAM AND JOHANNA K. TAYLOR

The events of 2020 increased our awareness of public health disinvestment and systemic inequity. Marginalized groups experienced more illness, received less medical assistance, and ultimately had less access to a vaccine. It is clear that we must build stronger and more collective government systems to prepare us for the future and protect our most valuable populations. What does this future look like? What must we change to get there? Across the country, communities are embedding artists into government to help tackle these questions, and to find creative ways to prepare for a future that is responsive to critical issues. These artists in residence in government programs (AIRG) are helping agencies spur innovative advancements to internal operations and are working incrementally to advance ways of equitably engaging with and serving constituents.

Through our research investigating AIRG programs operating across the United States in 2020, we have developed a set of typologies that detail how these programs are structured and how they operate within government contexts. Our research findings highlight the potential for internal systems change, specifically demonstrating incremental shifts towards equity and inclusion around both internal operations and dissemination of services. Each program is unique and responds to the distinct contexts of place, community, and government challenges and opportunities. This article draws out strategies and lessons for local governments interested in developing

Convened by Boston Artist in Residence Karen Young, Older and Bolder connects Age-Friendly Boston with the Department of Transportation to elevate the voices of elders of color. Photo courtesy of City of Boston, 2018.

AIRG programs within their own communities designed to respond to their unique contexts.

In this article we use examples of AIRG programs in Boston, Massachusetts, and Granite Falls, Minnesota, to present two cases of this work. Each AIRG program is organized around different, context-specific structures to meet similar goals of creating more just places and governments.

Artists bring others into the creative process, establishing safe spaces for government staff to take risks to cocreate new structures of operating internally, new methods of collaboration across departments, or new ways of engaging constituents.

Research Methodology

In 2020 and 2021, we interviewed (face-to-face and online) and surveyed 40 artists, government officials, nonprofit staff, and others connected to programs that embedded artists in government in 2020. We also reviewed relevant literature, including project documentation, final reports, and department evaluations. Three municipalities will be releasing evaluations of their AIRG programs in 2021: Boston,[1] Minneapolis,[2] and Los Angeles County.[3] Out of this research we produced a typology that provides an overall, broad view of how artists are embedded in government and a more detailed typology of the structures of AIR programs hosted by government agencies that incorporates nuances such as the preconditions for their development, program design considerations, implementation partner relationships, and program sustainability. The full typology is available in academic publications, and further work is forthcoming on our website.[4]

Granite Falls, Minnesota: Artist in Residence in a Small Town

In the town of Granite Falls in western Minnesota (population 2,260), a collaboration between artists and city officials gave rise to the first rural AIRG.[5] Beginning in 2017, Ashley Hanson, an artist and executive director of the Department of Public Transformation (DPoT), approached city staff, including the mayor, city manager and financial director with a proposal to bring an artist into city hall. Previously, Hanson herself had served as an artist in residence with a planning department, and then as a program manager for a city artist residency in St. Paul, Minnesota. She brought these direct experiences as a manager and artist in developing this new residency program.

Designed with a local cross-sector advisory group, the proposal for The Granite Falls City Artist-in-Residence program received unanimous approval from the city council.[6] The residency is managed through a joint effort between the arts nonprofit, DPoT, and the city of Granite Falls. Beginning in October 2020, in the midst of the Coronavirus pandemic, Dani Prados became the city's first artist in residence. The artist's role is to "design and implement arts and cultural strategies that increase civic participation and community engagement in city policy-making, planning, and public processes." Prados has both an office space at city hall and studio and living space provided by the DPoT. As this residency has only recently launched, we provide an introduction, but their website and communications will continue to provide information as the program evolves (publictransformation.org/cair).

Boston, Massachusetts: Cohort of Artists Working in Multiple City Departments

Boston Artists-in-Residence (AIR) was developed with the support of a grant from ArtPlace America as a strategic program implementing Boston Creates, the city's 10-year cultural plan launched in 2015.

Organized by the mayor's office of arts and culture, Boston AIR invites a cohort of artists for a one-year period to partner with departments across the city. The program has evolved with each iteration to learn from previous cohorts and respond to current city needs in order to strengthen the impact of the artists, government collaborators, and Boston residents. The third cohort was focused on racial equity and resilience through the work of seven artists who were collaborating with schools and city departments such as the library, planning, women's advancement, and new urban mechanics. The cohort met monthly to discuss challenges

An artist's methods welcome experimentation and iteration, an important perspective to bring inside of government, and a way to engage in new ideas.

and successes, collectively strategizing how to advance their individual work and respond to the underlying goals of resilience and racial equity.

The artists collaborated with government partners, and this collaboration and process of creation was the artwork just as much as any final event or product. Their work took many forms. For example, Nakia Hill worked with the mayor's office of women's advancement to elevate the voices of women of color in Boston through storytelling workshops about resilience, published writing by young girls, and conducted a survey about workplace experiences to explore racial bias and close the gap between government programs and women of color. One city partner commented that the work "opens the conversation about racial equity" and "sparks collective action in community members."[7]

Contextualizing Artists in Residence in Government

AIRG programs are increasingly common across the country and use many names including: Creative CityMaking,[8] Minneapolis; Public Artists in Residence,[9] New York City; Creative Strategist-Artist in Residence,[10] Los Angeles County; and Artists in Residence, Washington State Department of Transportation.[11] These programs are often part time and temporary, placing artists in government settings for a set period of time to address particular goals and often have the structural support of a municipal art department or partnering nonprofit. AIRG artists can work broadly across the city as a whole (as is the case with the Granite Falls program) or are embedded within one specific department, such as public health, planning, transportation, or sustainability (as was the case with Boston's program).

These programs have significant effects on enlivening agency culture, staff creativity, and community engagement approaches, which can all ultimately lead to more equitable government systems and processes. The artistic approach often attracts a wider or different range of individuals than the "usual suspects" and brings them into the creative process, establishing safe spaces for government staff to take risks to cocreate new structures of operating internally, new methods of collaboration across departments, or new ways of engaging constituents. An artist's methods welcome experimentation and iteration, an important perspective to bring inside of government, and a way to engage in new ideas. A theatre artist can use storytelling with residents of a particular neighborhood to elevate stories of the meaning of place that support planners in redesigning local infrastructure to meet community needs. A designer can engage spatial analysis to reimagine office spaces with government staff to increase aesthetic appeal and facilitate collaboration. AIRs can also focus on policy-specific outcomes, tying creative processes to policy agendas and strategic plans across departments. In this way, AIRG programs are mutually beneficial for both artists and government staff dedicated to the social good.

Preconditions that Lead to Success

Each AIRG program is unique and responds to regional contexts. Understanding the contextual preconditions of a specific place can pave the way for more successful and sustainable AIRG programs.

Political Will

In the case of the Boston Artist-in-Residence program, receiving high-level leadership support from the mayor's office paves a path forward for sustainability of resources, will, and program integrity. In the smaller local government context of Granite Falls, DoPT did a significant amount of work before the program started, meeting with individuals and building relationships within the local government that led to the unanimous approval of the city council. When actually developing the structure of their program, they engaged different community stakeholders through the advisory council—composed of a diverse representation of the population, from the city manager to indigenous tribe representatives to individuals from the local arts council—with ensured wide support from many sectors of the community. Receiving support from decision makers and those with political power, as well as community representation and approval throughout the process, has proven effective for both of these programs.

Designing for Local Needs

Our research indicates that designing AIRG programs specific to the structural and cultural assets, opportunities, complexities, and challenges of a respective place will lead to more transformative impacts. There is no standard AIRG program model that will effectively work in every place. As Karin Goodfellow, director of public art for the city of Boston, explains, "I think we're finding it's also particular to where you are. What is your community? What's the structure of your government? Are you a county? Are you a city? It's all so different and unique and we have just had to adapt based on what's happening that year." In addition to using lessons from existing AIRG programs, Granite Falls conducted a community survey that helped inform the structure and focus of their program to address their unique needs.

Institutional Value of Equity

Because of the profound power of these residencies to abet cultural progress and inform the creation of more just systems, an institution's commitment to equity strengthens these programs. For example, the Creative Strategies Initiative in Seattle is built from a partnership between the Seattle Office of Arts and Culture and the Seattle Office for Civil Rights.[12] Built into the city's racial justice work, it is formally a "culture shift strategy."[13] Teams narrowly interested in founding an artist-in-residence program for aesthetic output will miss out on the creative problem-solving impacts of this work and artists' ability to nurture a culture shift.

Leveraging a Policy Window

Opportunities like a new cultural plan or a pro-arts elected official are frequently the occasions through which AIRG programs have been established. Boston AIR is not the only program established in conjunction with a new cultural plan. In Oakland, California, Cultural Affairs Manager Roberto Bedoya, housed in the economic and workforce development department, worked on a cultural plan[14] that paved the way for the funding and support for Cultural Strategists in Government,[15] which placed seven artists into five city departments for one year focused on civic belonging and well-being. In other cases, connecting AIRG work to goals in a city-wide strategic plan provides an opportunity to establish an AIRG program.

Takeaways for Local Government: Program Structures

A primary challenge for government staff is determining how to structure AIRG programs that will work best for their needs. As mentioned previously, rather than importing a program structure, successful programs build a structure based on local context. Some of the models below overlap in practice, but we have pulled out the most prevalent patterns from our research.

Cohort Models Produce Strong Results

Cohorts of artists completing AIRG programs simultaneously create a community of practice for artists embedded in government, which provides professional support and strengthens their work. Without the cohort support, a novel undertaking like this can lead the artist to feeling isolated in unfamiliar territory within a government setting. If the goal is an exchange of ideas and methods, structures that foster collaboration and support are important. These cohort structures range from inter-departmental—as in the case of Oakland,[16] Minneapolis, St. Paul, Boston, and Los Angeles County—to interagency and across state lines, as seen within two residency programs created by Transportation for America through Washington State Department of Transportation[17] and Minnesota Department of Transportation.[18]

Two-party Partnerships (Government Department + Arts Organization) Are Accessible

This is the most common structure used in establishing AIRG programs. These two-partner structures are accessible to most governments that can identify an arts organization that can serve as a partner. The city of Granite Falls partnered with the arts nonprofit, the Department of Transformation. DPoT manages the "human resources" components of the residency, offering its expertise in managing artists, producing artworks, and crafting a welcoming environment. The arts organization also serves as a liaison, able to translate between the artist and the department to ensure that collaborators understand one another and can connect productively.

Takeaways for Local Government: Strategies

Arising from the research, these strategies are for municipalities and agency partners to consider as they revise existing AIR programs or as they design and implement one for the first time.

Valuing Process Over Product

Typically, artists begin residencies with an onboarding period to help learn systems and create relationships with staff. This process of listening, learning, and relationship building takes concerted effort and time, yet it is essential for building awareness about the internal challenges and opportunities to pursue. The artist can then build on this initial dialogue through collaboration with staff across agencies and constituent communities. This process is the core of AIRG work. Perhaps a final product, such as a report or book or festival occurs as well, and is a celebrated output of the residency, but the process of creation is both an incremental opportunity for systems change and a part of the artwork. Within art fields, this collaborative and dialogue-driven artwork is known as socially engaged art or social practice.

In Boston, Victor Yang worked with Boston Public Health Commission staff and Youth Organizing Institute members to advance work around racial justice, finding pathways to elevate youth voices and build connections across generational divides and power hierarchies. This dialogic process aims to both heal and work for social change by suggesting more inclusive ways to connect government staff and youth of color.

Embrace Flexibility

AIRG programs embed art practices into traditional government work, which creates new opportunities of working together. This process of readjustment is vital in creating insightful projects, but it requires a willingness to pivot and adapt as things evolve. While pre-planning the program structure is beneficial for creating a solid foundation, a flexibility to adjust to unexpected factors supersedes that to deepen impact.

The Boston team recognizes that program flexibility and ongoing reflection is important, and took time to assess after each AIRG cohort to revise the program structure to better support artists and city staff, as well as to respond to Boston communities. In the first year, they partnered with Massachusetts College of Art and Design, which provided insight on how to set expectations and develop curriculum to use in establishing relationships between artists and city staff. From the lessons learned in the first cohort they pivoted to a thematic approach with the second round and connected AIRs with community centers. In the third cohort they found that they needed more clarity around the roles of each participant to create a stronger structure, supporting the underlying intrinsic goals of racial equity.

Each year they add more clarity around the roles of each participant, which in turn increases their shared abilities to be flexible and pivot the work as needed to create a stronger process. As Boston Program Manager Sharon Amuguni reflected in an interview, "I think it was great that we had the sense of structure and the sense of direction starting off, so we could then be flexible within." Similarly, in Granite Falls, the new residency is set up without a specific project or role for the artist to fill. Instead, "her role will be to design and implement arts and cultural strategies that increase civic participation and community engagement in City policy-making, planning and public processes."[19]

Pursue Equity-focused Work

The artists selected for these programs are typically skilled at community engagement work and are often BIPOC individuals. The Granite Falls City Artist-in-Residence program specifically lists the following in its selection criteria: "experience as a practicing artist, with a focus on community engagement; interest in, connections to, and / or experience working in and with community members from a diverse range of social, cultural, economic, and political backgrounds."[20] It is also common that the artists in these roles possess deep connections to and trust within the communities the government serves. The possibilities for how artists can use their creative, social, and aesthetic practices to courageously engage community members, especially people of marginalized backgrounds, to craft new ways for the government to address harm and/or center their needs are incredibly powerful. This activity is different from many traditional community engagement practices in that they are uniquely designed for and are responsive to community needs, are often interactive, engage people in deep storytelling, and create opportunities to celebrate culture.

AIRG programs are mutually beneficial for both artists and government staff dedicated to the social good.

While government staff increasingly recognize that their work should be more equitable, they do not necessarily know how to approach this. Inviting artists into government creates opportunities for government staff to take risks and explore new ways of working. For many local governments, tackling issues of inequity is new and requires diving into unknown territory. The experimental and curious methodology of artists embedded into this system begets a courage to engage in the unknown. For Boston artist Victor Yang, change happens in intimate settings, on an interpersonal level. This human exchange may lead to future policy, or it could influence how staff think about their future work—change on both scales is important in evolving government systems on incremental levels.

Boston reorganized their AIR program with racial equity and resilience as an organizing principle, seeing it as more than a temporary theme but as how all work was grounded. In this way, it became a model for how all city operations can be organized to promote equity and address systemic inequity. Government staff recognized this goal. One participant reflected that working with an AIR project "deepened my sense for how richly diverse the Boston community is and how we need more ways to bring these stories to light. With regards to racial equity, an important thing that came up is heightened conversation about these issues, and that is the first step."[21] This was reinforced in the 2021 program evaluation, which found that the work increased the dialogue about implicit bias and race within the government.

Promote Cross-sector Collaboration for Maximum Impact

Embedding artists in government systems connects art and design across sectors to leverage creative methods for innovative ideas. One example: participants engage in dance movements to advance community participation in transportation planning. In Boston, many departments across the city have participated in the AIR program as Director of Public Art Karin Goodfellow reflected in a research interview:

> Part of this work is realizing that having that creative thinking, and having the practice of an artist, benefits all of our departments. I think one of the things I've seen that's helpful is that there's so much space for more collaboration and connection across departments. The partnership is great for people to come together and to do this work; to have an opportunity to talk to other colleagues that we'd potentially not interact with day to day.

Boston now invites government agencies to apply to host an AIR, demonstrating their interest and dedication to collaboration. Through this initial foundation, artist Erin Genia worked with the office of emergency management to develop cultural organizing strategies to sustain long-term health and safety beyond discrete moments of crisis. This work involved collaborating with indigenous leaders and cultural heritage bearers to confront colonial narratives as an ongoing cultural crisis that still impacts communities in Boston today. The work expanded the conception of emergency management beyond a blizzard or other immediate crisis to underlying emergencies of inequity that challenge residents, suggesting an expansion of the office's role in promoting equity in the city.

Building Equitable Futures

As we collectively build our post-pandemic futures, local government leaders can play a significant role in strengthening civic infrastructure and programs to make them more equitable and inclusive through innovative collaborations such as AIRG programs. These programs can make the work of extending civic capacity to experiment with innovative models more accessible. A Boston city staff member reflected that their AIRG experience expanded their connections to community partners while also supporting work to "revaluate how we think and who we engage in our advocacy efforts," which served to "inform our future work."[22] It is an opportunity for experimentation that can lead to lasting change.

Drawing on our interviews with artists and government staff across the country, we have identified the three most likely ways in which AIRG programs can support governments in advancing equity in our future post-pandemic society.

1. **Promoting Equity by Strengthening Community Engagement.** Embedding artists within civic systems creates local community engagement opportunities that are more creative, culturally responsive and heartfelt, building a solid foundation for future collaboration with constituencies.

2. **Experimentation for Innovation and Systems Change.** Inviting experimentation into a local government agency through intentional collaboration with an artist. Creative methods, such as storytelling or visual analysis

or movement, can break through processes that are no longer serving government needs to discover innovative new ways of working.

3. **Shepherding in the Culture Shift Required for Institutional Equity Work.** Changing behaviors and mindsets are important foundations to more equitable practices. Through their intentional process of getting to know staff and community members, listening, and staying curious, AIRG programs can set in motion a more deeply attuned way of working, which can give government a stronger foundation for the ultimate mission of its work in service of the community. Minnesota Department of Transportation Community Vitality Fellow Marcus Young models a relationship and trust-centered process of working in government, as he reflected in a research interview: "You have to build the relationship and trust…you must consider how to be a good guest…and you must start asking really good questions."

Further research on AIRG programs and opportunities for engagement are forthcoming. Sign up for our newsletter or contact us to collaborate at www.cairlab.net. PM

Endnotes and Resources

1 https://www.boston.gov/departments/arts-and-culture/boston-artists-residence-air

2 https://www.minneapoliscreates.org/programs-overview#creativecitymaking

3 https://www.lacountyarts.org/CreativeStrategist

4 www.cairlab.net

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22 https://www.boston.gov/departments/arts-and-culture/boston-artists-residence-air

Josh Nezam

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To learn more from ICMA about partnering with artists, visit the ICMA resource, Problem Solving Through Arts and Cultural Strategies: A Creative Placemaking Wayfinding Guide for Local Government Managers.

https://icma.org/problem-solving-through-arts-and-cultural-strategies-creative-placemaking-guidance-local

A New Look at Local Government Cybersecurity in 2020

Recommendations for staying vigilant against persistent cyber threats

BY DONALD F. NORRIS

Introduction

Greenville, North Carolina; Torrance, California; New Orleans, Louisiana; and 22 cities in Texas were among hundreds of local government organizations that reported cyberattacks in just 2019 and 2020. Over the past decade, American local governments have increasingly become targets of cybercriminals and victims of ransomware attacks. Cybersecurity has become synonymous with disaster resilience, and local government managers must place an emphasis on preparing for cyberattacks against their organizations. This report analyzes the current landscape of cybersecurity in local government and is based on an extensive review of the literature since 2000; data from previously conducted surveys (2016, 2018, and 2020); and conversations with chief information security officers (CISOs) and other information technology (IT) officials from local governments in the United States.

According to the cybersecurity firm Emsisoft, in 2019, the United States experienced "…an unprecedented and unrelenting barrage of ransomware attacks that impacted at least 966 government agencies, educational establishments, and healthcare providers at a potential cost in excess of $7.5 billion."[1] Prominently included among organizations hit by ransomware attacks were 113 local and state governments and agencies. During the first two quarters of 2020, another 60 federal, state, and local governments and agencies were hit by ransomware attacks.[2]

These statistics include only ransomware attacks, but we know from prior research that local governments are under constant or nearly constant cyberattack from many directions.[3] Attacks include such vectors as email, phishing, spear phishing, brute force, zero day and denial, and distributed denial of service. See Table 1 for brief descriptions of these types of attacks. Cybercriminals can and do use all

This is a condensed version. For the full paper, visit icma.org/pm-lgr-july2021.

Table 1: Key Cyberattack Definitions

Malware: Malicious software installed that can encrypt data and files, block user access, exfiltrate data and files, etc.

Ransomware: Type of malware that encrypts sensitive data and files to then demand a ransom to unlock the encrypted information.

Phishing: A form of social engineering in which cybercriminals "go fishing" for victims by sending emails, seemingly from trusted parties, with promises, opportunities, or threats to deceive victims.

Spear phishing: Spear phishing is a more sophisticated form of phishing in which the cybercriminal uses just enough information to make the victim believe the email came from someone known to the victim or another trusted source.

Brute force: An attack method where an attacker uses a tool such as software to continuously "bang away" to gain access to a victim's computer, network, or IT system.

Zero-day: An attacker's identification of a weakness in a network or IT system, such as utilizing defects in outdated software versions.

Denial of Service (DoS): An attack that sends massive volumes of traffic to overwhelm an organization's website or server.

Distributed Denial of Service (DDoS): A type of DoS attack that uses multiple computers simultaneously to shut down a website or server to all users.

See Appendix 2 in the full paper for expanded descriptions.

of these vectors to attack local government IT systems, hold them for ransom, exfiltrate data, and otherwise do damage.

The cost of cyberattacks is enormous, and it increases every year. A 2016 report estimated that cybercrime would have a worldwide annual cost of $6 trillion by 2021, a significant increase over the $3 trillion in 2015. "This represents the greatest transfer of economic wealth in history, risks the incentives for innovation and investment, and will be more profitable than the global trade of all major illegal drugs combined."[4] Another source estimates that by 2025, cybercrime will cost the world economy $10.5 trillion and be equivalent to the third largest economy in the world after the United States and China. In the United States, two well-publicized cases of local government breaches—Atlanta, Georgia, in 2018, and Baltimore, Maryland, in 2019—cost those cities $15 million and $18 million, respectively.

Why Are Local Governments Targeted?

The first factor is the sheer number of American local governments—90,075 units, of which 38,779 are general purpose governments, including 3,031 county governments, 19,475 municipal governments, and 16,253 town or township governments.[5] Except for the smallest of them, these governments have critical IT systems and cumulatively spend billions of dollars each year to support them. In 2019, *Government Technology* magazine estimated state and local government spending on IT for that calendar year at $107.6 billion.[6]

Second, America's local governments store considerable amounts of sensitive information, especially personally identifiable information (PII) such as names, addresses, driver's license numbers, credit card numbers, social security numbers, and medical information. In addition, they have contractual, billing, and financial information of the governments themselves. This information is valuable to cybercriminals because they can sell the data or hold it for ransom, and obtaining it is often the purpose of cyberattacks. Over the past few years, numerous local governments have reported the loss of PII and other sensitive data through data breaches and information exfiltration. As local governments move into the world of smart cyber physical systems in such domains as traffic, wastewater, electricity, etc., they place those and related systems at greater risk of physical harm and damage resulting from breaches, to say nothing of the impact on public trust.

Third, cybercriminals are very good at what they do. In recent years, the availability of low cost but effective hacking tools that require little technical knowledge has made it is relatively easy to get into the business of cybercrime, thus increasing the number and types of cybercriminals. This means that even inexperienced hackers can break into well-defended IT systems.[7] Poorly defended systems (research that colleagues and I conducted has shown that local governments systems, on average, are not well defended) are even easier to breach.[8] Cyberattacks are deployed by a variety of actors, including external actors (both individuals and organizations), malicious insiders, nation states, hacktivists, and terrorists. Perhaps the clearest contemporary example of this is the well-documented ongoing Russian government interference in U.S. elections.

Fourth, local governments operate under financial constraints, sometimes severe ones, that limit their ability to acquire and implement state of the practice cybersecurity technology, policies, and practices. Financial limitations also mean that most, if not all, local governments cannot compete with the private sector in hiring and retaining qualified cybersecurity staff. The top three barriers to effective cybersecurity reported in a 2016 nationwide survey were inability to pay competitive salaries to cybersecurity employees (58.6 percent); insufficient number of cybersecurity staff (53.1 percent); and lack of funds (52.8 percent). All three involved funding or lack thereof.[9]

Last, the Internet of Things (IoT), a global phenomenon that permits electronic devices of various kinds to connect to the internet for various purposes, has introduced new vulnerabilities and risks for local governments. This is especially true of local governments endeavoring to create "smart cities" by deploying internet-connected devices to provide, monitor, or manage such services as public transit, solid waste collection, traffic lights, traffic congestion management, water meter reading, potable water provision, security cameras, and many more. By one estimate, in 2018, there were seven billion IoT devices worldwide, 26.7 billion in 2019, 31 billion in 2020, and a projected 75 billion by 2025.[10]

For local governments, the spread of IoT devices greatly increases the "attack surface" that makes them vulnerable to cyberattacks. Moreover, the devices may be numerous and heterogeneous, with different manufacturers, capabilities, and interfaces. The result is a system that is inherently difficult to monitor and update as new security vulnerabilities are discovered. Other risks are that the devices can be disabled, have their sensor data stolen or modified, or have their activator functions used inappropriately to cause damage.

For these and perhaps other reasons, it is critical that local governments, especially their top elected and appointed officials, understand:

- The cyberthreats that their governments face.
- The actions they should take to protect their information assets from attack and to mitigate the damage after successful attacks.
- The gaps between the actual cybersecurity practices of local governments and the cybersecurity threats that they face.
- The barriers that their governments encounter when deploying cybersecurity.

Local officials must also provide their support for their cybersecurity technology, practices, policies, and staff needed to ensure that the highest levels of cybersecurity are maintained throughout their organizations.

The next section will provide a high-level overview of findings from a survey conducted in 2020 among a cohort of CISOs in 14 mainly larger U.S. local governments with a population range of 220,000 to 3,979,576.[11] The survey asked a series of questions on the structure of cybersecurity operations, types of attacks and attackers, cybersecurity policies, barriers to trainings, awareness, and support within local governments. An in-depth analysis and presentation of findings and case studies can be found in the full paper within the digital version of this article. A *CISO* is defined here as the main employee responsible for the organization's cybersecurity practices and policies. Depending on the size of the local government, this can be in a position entirely dedicated to cybersecurity or could be an IT or other staff member with cybersecurity as only one of their duties.

Survey Conclusions and Recommendations

Local governments that do not provide high levels of cybersecurity place their IT systems, the data stored in those systems, and their very ability to provide critical public services at unnecessary risk. Lack of adequate cybersecurity and poor cybersecurity hygiene in organizations often allows cybercriminals to breach their IT systems and cause great harm and cost. Successful cyberattacks can and do result in the loss of or the inability to access (in the case of ransomware attacks) critical data and files, loss of sensitive information (such as PII), loss of money, disruption of public service delivery, high costs to recover, and of course, the embarrassment factor. The case studies of Atlanta and Baltimore found in the full paper show real-world examples of the consequences of poor cybersecurity.

Therefore, all local governments, regardless of size, must take whatever actions necessary to ensure the highest levels of cybersecurity. However, cybercriminals are relentless and very good at what they do, and the risk of being compromised is never gone. Similar to the adages often used in emergency management, there is a common saying in the field that it isn't whether you will be breached, but rather a question of when. Local governments must understand their cyber vulnerabilities, be mindful of the fact that they can easily suffer breaches, be fully prepared to continue operations during a successful cyberattack, and have concrete plans for recovery. These practices are commonly known as cyber resilience.

According to MITRE, "Cyber resiliency (also referred to as cyber resilience) is the ability to anticipate, withstand, recover from, and adapt to adverse conditions, stresses, attacks, or compromises on cyber resources."[12] Local governments considering ways to achieve cyber resiliency might think of doing so in the ways analogous to how they prepare for and recover from natural disasters. Know the types of potential adverse events; know how to deal with them when (not if) they occur; have concrete plans for continuing critical operations; have concrete plans for recovery in place; and practice, practice, practice.

To summarize the key findings of the 2020 survey, as well as the literature and the practice, the structure of cybersecurity operations among responding local governments was largely unremarkable and generally followed established patterns among organizations. The numbers of cybersecurity staff reporting to these officials varied considerably. While larger governments, on average, had more cybersecurity staff, the relationship was not precise to population and the same can be said for cyber contractors.

The numbers of end users in these governments also varied a great deal, but the numbers were more closely aligned with the governments' populations. In most jurisdictions, all end users fell under the CIO's responsibility, but in 21.4 percent, they did not. Local government budget allocations for cybersecurity varied considerably, between less than one percent to 10 percent, as a fraction of the IT budget. They averaged 4.09 percent, which is slightly higher than the average for state governments but below the private sector. Last, half of these governments outsourced some cybersecurity functions and half did not outsource cybersecurity at all.

Responses to the 2020 survey and others confirm that local governments are under constant or nearly constant cyberattack. Moreover, the frequency of attacks had increased in the past year. Most respondents said that the attackers had not changed over the past year. External actor organizations were the leading type of attacker and phishing/spear phishing were the leading attack vector. Ransom, theft of money, and theft of PII were the principal attack purposes, which had not changed over the past year. All but one responding government had experienced an "incident" over the past year and half of the respondents had been breached, including 28.6 percent that had been breached once, 7.1 percent each that had been breached twice, three times, and more than three times. This information suggests at least two things. First, the bad guys are good at what they do, and they do it more frequently every year. Second, even large local governments (presumably with more budgetary resources) are evidently not doing enough to protect their information assets, as can be seen by the number of breaches experienced in the past year by the responding local governments.

Overall, the local governments in the 2020 survey had not done as good a job as needed in the adoption of cybersecurity policies. Only three of the subject policies had been adopted by substantial majorities of these local governments, and the respondents' perceptions of the effectiveness of the policies bears this out. Fewer than half of respondents said that any policy was highly effective. Anything less than highly effective suggests various degrees of ineffectiveness, an undesirable cybersecurity outcome.

Consistent with the literatures on IT and local government, local e-government, and local government cybersecurity, respondents to this survey named lack of funding and lack of staff as their top two barriers to effective cybersecurity. Moreover, cybersecurity budgets were substantially under-funded in several of them.

The top needs for achieving cybersecurity were similar to the barriers identified—funding and staffing—but at least some of the respondents added one of considerable interest, leadership buy-in. Solid majorities of these governments required annual cybersecurity training for elected officials, managers at all levels, and staff; only 14.3 percent did not, and 7.1 percent provided training in a different time period. This finding is of great importance because training of local officials and staff is highly recommended as a way to improve cyber hygiene and outcomes in organizations.

Respondents were not sanguine about the level of cybersecurity awareness among most parties in their local governments. Surprisingly, however, majorities of respondents (including large majorities in the cases of the mayor/elected executive and department heads) felt that most parties provided good support for cybersecurity.

Recommendations

Based on the evidence accumulated in this study, the first recommendation is that elected officials and top management of local governments must, within budgetary limitations, provide adequate funding for cybersecurity, including funding for adequate staffing for this important function. Staffing should be a combination of both internal staff and contracting services to best fit each local government's specific needs. Failure to adequately fund and staff cybersecurity will almost certainly lead to adverse cyber outcomes (again, think Baltimore and Atlanta), which in turn will lead to unnecessary and significant costs to local governments.

Second, in order to improve cybersecurity outcomes, local governments should fully adopt and implement the policies discussed in the full paper, such as password management, incident response, and software patch policies. In the absence of fully adopted and implemented policies, local governments cannot achieve high levels of cybersecurity and will almost certainly pay the price for failing to do so. These policies should also align with the recommendations of the NIST Framework introduced in the full paper.[13]

Third, local governments must ensure that their cybersecurity policies are implemented properly and that they are effective. Periodically, they should be revisited, revised, and re-implemented appropriately. They should also be continuously monitored for effectiveness using appropriate methods or metrics.

Most of the local governments in the 2020 survey mandate that top elected officials, councilmembers, top administrators, department heads, and end users take cybersecurity training. However, respondents generally did not rate the results of the training highly. Thus, a fourth recommendation is for these governments to revise their cybersecurity awareness training, especially focusing on cybersecurity awareness and support, as well as appropriate cyber hygiene or behavior. This revision should include updated training on proper remote work conduct.

Fifth, all employees and contractors must be held accountable for their cyber actions and behavior. This means, at a minimum, when someone violates policy regarding use of the local government's IT system, that individual will lose certain system privileges and receive appropriate "counseling" and further training. In the event of further violations, the individual could lose all privileges and potentially be terminated. (Of course, termination of employment would not apply to elected officials.)

A final recommendation draws on academic and professional literature and is commonly found within the cybersecurity field itself. All local governments should establish and maintain a culture of cybersecurity within their organizations. A culture of cybersecurity means the following, at the minimum: top leadership, including both elected and appointed officials, must fully understand and support cybersecurity and not just at a rhetorical level. They must:

1. Understand that cybersecurity is not solely the responsibility of the technologists. Leadership has an active role to play in it, and they must embrace that role.
2. Provide the funding needed for effective cybersecurity.
3. Practice proper cyber hygiene themselves.
4. Promote cybersecurity throughout the organization as job one for everyone.
5. Insist that all parties are held appropriately accountable for their cyber actions.

If top officials fail to insist on such a culture and fail to act appropriately in their own cyber responsibilities, those under them will almost certainly think: "If they don't care about cybersecurity, why should I?" Top leadership buy-in will make all parties in an organization respect the importance of cybersecurity and their own cyber responsibilities, and will make it more likely that they will practice proper cyber hygiene, thus improving cyber outcomes throughout the organization.

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Endnotes and Resources

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Recommendations for Small Local Governments

Small local governments often lack the budgetary resources to provide the hardware, software, and personnel needed to establish and maintain high levels of cybersecurity. Here are a few hints for overcoming these limitations.

1. To the extent budgetarily feasible, hire a qualified cybersecurity professional as chief of cybersecurity. If you are unable to hire additional staff, designate an existing role as the CISO, and make sure that the designee is properly trained in cybersecurity and has the support of top local officials.
2. Partner with other local governments, either a county, neighboring jurisdictions, or school districts to share cybersecurity costs.
3. Consider outsourcing some or all cybersecurity.
4. Seek help from area colleges and universities.
5. Contact the state or local National Guard to learn what support the latter may be able to provide. There are 59 guard cyber units across the nation and its territories with approximately 4,000 "cyber operational personnel" that may be available as a resource when planning for and responding to cybersecurity events.
6. Contact national organizations that serve local governments that often have useful resources. For example, ICMA publishes works on cybersecurity for local governments and also provides training through its Cybersecurity Leadership Academy. The National League of Cities (NLC) publishes a variety of papers on cybersecurity (e.g., "Protecting Our Data: What Cities Should know about Cybersecurity"). The National Association of Counties (NACo) offers webinars on cyber (e.g., NACo Cyberattack Simulation). The National Association of State Chief Information Officers (NASCIO) provides useful publications for both state and local government (e.g., "Stronger Together: State and Local Cybersecurity Collaboration").
7. Consider participating in the Multi-State Information Sharing and Analysis Center (MS-ISAC), whose mission is "to improve the overall cybersecurity posture of the nation's state, local, tribal, and territorial governments through focused cyber threat prevention, protection, response, and recovery."
8. Be on the lookout for and consider participating in organizations in a local government's state and region that provide cybersecurity support. Here are a few examples: Michigan's Cyber Civilian Corps, the Massachusetts Mass Cyber Center, and the LA Cyber Lab in Los Angeles.

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