Category I: Governance and Administration

For purposes of this Category, Governance is defined as the recognition of the authority that allows an organization or agency to legally form and operate. In fulfilling this responsibility, the legal entity that oversees this formation process reflects the public interest, protects the agency from undesirable external interference, determines basic policies for providing services, and interprets the agency’s activities to its constituency. Administration is defined as the activities that carry out the implementation of the policies established by the authority having jurisdiction. In fulfilling this responsibility, the agency or organization carries out the day-to-day operations.

The legal entity and governing authority define the duties and responsibilities of the agency in an official policy statement. An organization’s charter or local or state/province general statutes likely contain an agency’s official policy statement.

The chief executive or chief fire officer should provide staff leadership in developing policy proposals for the legal civil authority having jurisdiction so those officials can take action to implement public policy based upon knowledgeable input from public safety leadership. Keeping an elected governing board and/or high ranking individual informed on all matters affecting the agency and delivery of emergency services is the primary responsibility of agency leadership.

It must be recognized that other organizations participate in the governance of the agency, such as the state/provincial and federal governments through legislation, regulations, and funding procedures, and other organizations through associations and bargaining units. The governing board coordinates all of these diverse interests to set the direction of the agency.

The agency administration exercises responsibility for the quality of the agency through an organized system of planning, staffing, directing, coordinating, and evaluating. The agency administration is entrusted with the assets and is charged to uphold its mission and
programs, to ensure compliance with laws and regulations, and to provide stability and continuity.

For many volunteer fire service organizations, the governing board is within the municipal or county government and is the executive/legislative body for municipal or county governance, some elected directly by the public, such as special districts. In the absence of a municipally appointed fire chief or chief executive officer, for purposes of accreditation, the duly elected or appointed volunteer fire chief shall be the individual responsible for the criteria and performance indicators.

In many city or county municipal organizations a separation of powers exists that give the governing body legislative responsibility while giving administrative responsibility to a strong mayor or city manager. The chief fire officer/chief executive officer in such organizations generally reports directly to the mayor, manager, or designee. It is vital that the leadership of every agency understand who actually sets policy for the government structure they are working in and their role in implementing that policy.
Criterion 1A: Governing Body

The governing body and/or agency manager is legally established to provide general policies to guide the agency, approved programs and services, and appropriated financial resources.

Summary:

A legal charter from the State of Kansas declares the City of Lawrence as a municipality. The charter establishes roles and responsibilities of the City Commission, which is the authority having jurisdiction. The city commission hires a city manager, which establishes the City Manager form of government. The fire chief reports directly to the city manager. The charter further establishes the offices of the City Manager and the Chief of Department, who are directly responsible for the administration of the department.

On December 16, 1996, the City of Lawrence entered into an inter-local cooperative agreement with Douglas County to merge the existing Lawrence Fire Department and the Douglas County Ambulance Service into one combined agency as Lawrence-Douglas County Fire Medical and Department (aka Lawrence-Douglas County Fire Medical and LDCFM). Pursuant to this agreement, the City of Lawrence adopted Chapter VIII, Article I, section 8-101 of the municipal code that legally establishes within the City of Lawrence the “Lawrence-Douglas County Fire and Medical Department.”

There are policies and procedures in place that facilitate communications between the governing bodies and the administration as indicated by the established City organizational chart.
Performance Indicators:

CC 1A.1 The agency is legally established.

Description
A legal charter from the State of Kansas declares the City of Lawrence as a City of the 1st Class. The City has all governmental, corporate, and proprietary powers to render municipal services. The department has been legally established and organized within the City’s Charter and Ordinances.

On December 16, 1996, the City of Lawrence entered into an inter-local agreement with Douglas County to merge the existing Lawrence Fire Department and the Douglas County Ambulance Service into one combined agency as Lawrence Douglas County Fire and Medical Department. Pursuant to this agreement, the City of Lawrence adopted Chapter VIII, Article I, section 8-101 of the municipal code that legally establishes within the City of Lawrence the “Lawrence-Douglas County Fire and Medical Department.”

Appraisal
Execution of the proper legal steps by the Lawrence City Commission and the Douglas County Board of Commissioners resulted in the official establishment of the Lawrence-Douglas County Fire and Medical Department as an agency within the City of Lawrence and within Douglas County.

Plan
The Lawrence-Douglas County Fire and Medical Department, in conjunction with the City Attorney’s Office, will continue to monitor state and federal guidelines to ensure compliance to continue its legal establishment.

References
Chapter VIII, Article I of the City Code: Section 8-101
City Ordinance 6880 – Establishing the Lawrence-Douglas County Fire and Medical Department
Cooperation Agreement Concerning the Provision of Emergency Medical Services in Douglas County

CC  1A.2  The agency complies with legal requirements of local, state/provincial, and federal governments (i.e. inspection reports, regulatory references, meeting minutes, and legal opinions).

Description
The Human Resource Director, City Attorney, and Finance Director provide guidance to the fire chief concerning federal, state, and local mandates concerning aspects of department operations. The City of Employee Handbook remains compliant with federal and state laws that includes but is not limited to affirmative action, equal opportunity, Family Medical Leave Act, and Workman Compensation. Additionally, the fire chief uses a professional network to keep abreast of potential issues through participation in such venues as the Kansas Fire Chief’s Association, Missouri Valley Division of the IAFC, IAFC and the National Fire Protection Association.

Appraisal
The fire chief has been provided legal guidance relevant to department operations by the City Attorney, Finance Director, and Human Resource Director. The fire department has demonstrated regulatory compliance through adherence of the City of Employee Handbook. The above assets have adequately met city and department needs. In addition, the department has used local, state and federal professional membership’s legislative services to provide on-going, new and projected legislation information. The City Attorney’s office provides Kansas Law Reviews regarding legislative changes and updates on weekly basis during legislative sessions. External partners provide updates on legislative issues that directly affects the Department’s mission, including Medicare, Kansas Board of Pharmacy, and Kansas Board of EMS.

Plan
The department will continue to work with the Human Resource Director, Finance Director, and City Attorney to comply with all regulatory statutes and laws concerning the operation of the department. The department will amend any policies or procedures that are in conflict with federal, state, or local laws. The department plans to continue to strengthen and enhance relationships with external partners to meet the department’s
mission (Strategic Goal 4). The department will utilize all resources of our professional memberships and networking from local, regional, state and federal partners.

References
Legislation information from City Attorney’s office

Kansas State Fire Chiefs Legislative page

IAFC Legislative page

Kansas State Fire Marshal page

Employee Handbook (Available on site)
1A.3 The agency has a methodology to monitor and track applicable local, state/provincial, and federal requirement changes.

**Description**
The City Attorney’s Office provides State and Federal legislation review. In addition, the City Attorney’s office drafts the annual City’s Legislative Priorities. The department has input on the annual process. Members of professional organizations monitor daily and monthly publications regarding legislative matters.

**Appraisal**
The department uses local, state and federal professional membership’s legislative services to provide on-going, new and projected legislation information. The City Attorney’s office provides Kansas Law Reviews regarding legislative changes and updates on weekly basis during legislative sessions. External partners provide updates on legislative issue that directly affect the department’s mission, including Medicare, Kansas Board of Pharmacy, and Kansas Board of EMS.

**Plan**
The department will continue to strengthen and enhance relationships with external partners to meet our mission (Strategic Plan Goal 4). The department will utilize all resources of our professional memberships and networking from local, regional, state and federal partners.

**References**
- Missouri Valley Daily Dispatch
- IAFC Legislative forum
- 2016-2021 Lawrence-Douglas County Fire Medical Strategic Plan
1A.4 The governing body of the agency periodically reviews and approves services and programs.

**Description**
The City Commission is the governing body for the City of Lawrence. It appoints a City Manager who acts on behalf of the Commission to administer city business including the review and approval of the programs and policies of all City departments on an on-going basis. The Chief of Department is directly responsible to the City Manager for the performance of the department, and receives a formal performance review on at least an annual basis. The Chief of Department participates as a member of the City Management Team and meets four times a month to discuss any current projects, programs or policies for review or implementation.

The City Manager, with staff assistance, ensures adherence to all City policies. Furthermore, the Chief of Department must annually submit a formal annual operating budget and capital improvement request for review by the City Manager and once adopted by the City Commission, it becomes the blueprint for any changes in department programs during the subsequent fiscal year. The Chief of Department, with the approval of the City Manager, may address the City Commission directly on department or community issues of special interest or importance to the Commission.

**Appraisal**
The City Commission exercises appropriate oversight of the programs and policies of the department through the city manager system of government. This system relies largely on the role of the City Manager to act on behalf of the Commission. The City Commission/City Manager model of governance works well in providing the necessary administrative oversight of the department.

**Plan**
The Chief of Department will continue to work closely with the City Manager as well as the City Commission as needed to ensure the proper and effective implementation of all applicable city policies.
References

City of Lawrence Organization Chart

2017-18 City of Lawrence Budget

2017-21 Capital Improvement Plan
1A.5 The method used to select the agency’s chief fire officer/chief executive officer includes evaluation of candidate qualifications and credentials.

**Description**

The City Manager is responsible for the appointment and removal of all department heads, which includes the Chief of Department. The approved job description outlines the minimum qualifications and credentials for the position and serves as the basis for marketing open positions.

It is City policy to post all vacancies and to allow current employees promotional opportunities. The Human Resources office facilitates the hiring process for all positions within the City, including management level positions and department heads. The City Manager ultimately makes the selection of the Chief of Department. The last position description update for the Chief of the department occurred in 2010.

**Appraisal**

There is an effective current hiring system for the Chief of Department position. The City’s employment practices require that every job position have a written description outlining the duties and qualifications of the position. The employment practices have been in compliant with state and federal hiring laws.

**Plan**

The Human Resource Department will continue to establish the process used during the selection process for the position. The job description will reflect the required knowledge, skills, abilities and preferred qualifications as set forth by the city manager. The Human Resources Director will be responsible for updating this description to reflect the approved qualifications.

**References**

Fire Chief Job Description
1A.6 The role and composition of various policy making, planning, and special purpose bodies are defined by the governing body in an organization chart.

**Description**

The City of Lawrence utilizes an extensive system of policy-making, planning and special purpose bodies. Examples of special purpose bodies include:

- Fire Code Board of Appeals
- Community Development Advisory Committee (formerly the Neighborhood Resources Advisory Committee)
- Sister Cities Advisory Board

A governing body organizational chart delineates that all boards and commissions report directly to the City Commission rather than through the City Manager’s Office. Articles 10 through 25 of the City Code specify the role and composition of these boards. One specific body, the Fire Code Board of Appeals, includes representation by the department.

**Appraisal**

The current organizational chart for the City of Lawrence provides a clear illustration of the lines of authority and responsibility within the City government while showing how the departments and committees can work together to provide the best possible services. Properly placed systems ensure proper approval and execution of policies. All policymaking, planning and special purpose bodies report directly to the City Commission providing recommendations and input for many of the decisions and/or actions under consideration by these elected officials. In 2017, the City Commission adopted an inaugural city strategic plan. One of the priority initiatives is: “Inventory and evaluate the role of existing advisory boards and commissions, identify opportunities to consolidate or sunset as appropriate, and adopt consistent operating guidelines”.

**Plan**

The department will continue to work closely with all policy-making, planning and special purpose bodies within the existing framework of city government and will continue to actively participate in those bodies where specific department representation is needed or desired.
References
City Code, Chapter 1 Articles 10 through 25 - [web link]
List of City Advisory Boards
City of Lawrence Organizational Chart
City of Lawrence Strategic Plan
1A.7 The governing body or designated authority approves the organizational structure that carries out the agency’s mission.

**Description**
The City Manager has approved an organizational chart that includes an administrative structure for the department. It includes six divisions: Administration, Operations, Prevention, EMS, and Training. This administrative structure allows the department to carry out its mission, which is being “Committed to Saving and Protecting Lives and Property.” A regular review of the administrative structure and program assignments of the department by the department’s executive staff allows modifications to adapt to changing needs.

**Appraisal**
The current administrative structure works well in meeting the complex mission elements faced by the department. A clearly established chain of command provides members a good understanding of to whom they report and their area(s) of responsibility. Additional administrative staff was requested in the 2018 operation budget.

**Plan**
The department will continue to re-evaluate the administrative structure on a regular basis and will make recommendations to the City Manager for any adjustments in personnel assignments to meet the demands of the growing community.

**References**
LDCFM Organizational Chart
2018 Budget Expansion Memo
1A.8 The governing body has policies to preclude individual participation of governing board members and staff in actions involving possible conflict of interest.

**Description**

The City of Lawrence has adopted Administrative Policy AP-50, also known as the *City Ethics Policy*. It requires that all city officials and employees be independent, impartial and responsible to citizens of Lawrence. The policy prohibits the use public office for personal gain and promotes ethical conduct on the part of all city officials and employees. All new city employees receive a copy of this policy in their Employee Handbook and Handbook review is a part of the orientation process.

**Appraisal**

Employee expectations have been clearly defined in city policies. The current *City Ethics Policy* effectively addresses the importance of precluding conduct that involves possible conflict of interest. It includes a policy statement, an explanation of coverage and definitions, and specific guidelines to assist all city officials and employees in understanding and following the policy. The City strategic plan priority imitative concerning advisory boards and commissions requires a review by the City Attorney regarding city employee service on advisory boards and commissions.

**Plan**

Personnel will conduct themselves in a professional and ethical manner as described by the provisions of city policy. Any changes to these policies will be reflected by amendments to the City Employee Handbook. The department will support City efforts in the distribution of the policy and will provide input as needed or requested.

**References**

City of Lawrence Administrative Policy AP-50: *City Ethics Policy*

City Strategic Plan
1A.9 A communication process is in place between the governing body and the administrative structure of the agency.

Description
The City Manager’s Office functions as the communication channel between the City Commission and the various department heads. The City utilizes available methods to communicate with employees and departments. An exchange of e-mail and phone calls addresses items that do not require formal action. Memoranda communicate matters of a more formal nature. The City’s Executive Management Team, consisting of all department heads, the City Manager, and the two Assistant City Managers, meet four times a month to discuss and plan citywide matters or those that may affect multiple departments. The City Manager or Chief of the Department can request to convene a special meeting. Communication between the administrative structure of the department and the City Manager’s Office runs exclusively through the Chief of Department or his/her designee.

The Chief of Department or designee may provide presentations to the City Commission on matters that concern the department or the public at large. The department also provides representation on citywide committee processes as needed. Executive staff members all carry mobile phones and have internet access to help streamline the communication process.

Appraisal
The department successfully employs its avenue of open formal and informal communication with the governing body by way of the City Manager’s Office. As a result, the department has received the strong support of the City Commission.

Plan
The department will continue to utilize new technologies as they become available to assist communications. The department will maintain the existing open lines of
communication within the chain of command and continue to participate in citywide committee processes.

References

City of Lawrence Organizational Chart

Executive Staff Meeting Agenda example
1A.10 The governing body publishes a mission statement.

**Description**
The governing body has a published mission statement as a part of the City of Lawrence’s Strategic Plan. The mission statement is as follows, “We are committed to providing excellent City services that enhance the quality of life for the Lawrence community”. The City’s mission statement is available online and accessible to the public at https://lawrenceks.org/strategic-plan/.

**Appraisal**
The City Manager and City Commission have used the strategic plan’s mission vision and values to steer organizational initiatives.

**Plan**
The city will continue to follow the mission, vision, and values as published in the strategic plan.

**References**
- City of Lawrence Mission
- City of Lawrence Strategic Plan
**Criterion 1B: Agency Administration**

The organizational structure aligns with or supports the agency’s mission, purposes, goals, strategies, and objectives.

**Summary:**

The department has an effective administrative structure that is responsible for the overall management of the organization. The department utilizes five organizational divisions: Administration, Operations, Prevention, EMS, and Training. All divisions have qualified staffing on both the managerial and supervisory levels. Qualifications mandated by the City and established objectives guide the selection of department administrators.

The department strategic plan and mission statement, and corresponding goals and objectives support the City vision, mission and organizational values. The City and the department are continuously vigilant to all related local, state and federal regulations.
Performance Indicators:

CC  1B.1  **The administrative structure reflects the agency’s mission, goals, objectives, size, and complexity.**

Description

The Fire Chief is responsible for the overall administration of the department as provided by Code of Ordinance 8-103. The mission statement of the department is “Committed to Saving and Protecting Lives and Property”, and its administrative structure is designed to meet this mission. The department is comprised of five divisions:

- Administration
- Operations
- Prevention
- EMS
- Training

The Administration Division, managed by a Division Chief supported by one administrative personnel. This division is responsible for accounts payable/purchasing, facility maintenance, fleet management, accounting and finance operations, web site management, accreditation, and performance management, GIS and Mapping, SCBA/Breathing air equipment, records management, uniforms and equipment; liaison with the Douglas County Emergency Communications Center and the City’s Information and Technology Department.

Three Division Chiefs, one per shift, manage the Operations Division comprised of firefighters, engineers, lieutenants, captains who work traditional twenty-four hour shifts and are on duty three shifts in each nine-day cycle. Members are required to be KS State Certified Advanced Emergency Medical Technician (AEMT) or Paramedic.

The Prevention Division, managed by a Division Chief supported by a Captain and Lieutenant. This division is responsible for fire code enforcement, oversight of company level inspection coordination, fire and coroner investigations, high hazard inspections, night consultant program, and planning and engineering.
The EMS Division, consisting of a Division Chief, Douglas County Emergency Communications EMD liaison, patient care reporting and quality review, medical director liaison, medical facility liaison, recruitment and hiring, employee risk management, coordination of special events, health and wellness program, and Douglas County Emergency Responder EMS oversight. In addition, the EMS chief oversees three administrative personnel, responsible for processing medical claims.

The Training Division, managed by a Division Chief and supported by a captain and lieutenant, is responsible for employee development and training, employee mentoring, EMS preceptor program, Explorer/Cadet program, Douglas County Emergency Responder EMS training, employee promotional assessment process, public education/speaker program (juvenile fire setter, and public CPR), professional standards, recruit class coordination.

Appraisal
The department effectively meets it mission and objectives. The department is sensitive to the lack of the sufficient number of shift commanders to manager incidents as the result of the increase in emergency responses, simultaneous incidents, and major incidents. The department’s administrative structure has evolved to meet changing needs and demands in the community and reflects the wide variety of diverse programs and services it now provides. In 2017, the department will have hired two new Division Chiefs because of retirements.

Plan
The department will continue to adjust the administrative structure of the organization to address changing needs in the community as well as city and department requests. The Fire Chief will review the administrative structure following the replacement of two new Division Chiefs assigned to the Administration and EMS Divisions. Further, the department will maintain the primary mission as a guide in making decisions that dictate changes in this structure. A request was made in the FY 2018 Operating budget for three Operations Battalion Chiefs and four additional FTE (firefighters) to support the increase in incident response.
References

LDCFM Organizational Chart

2018 Budget Expansion Memo

https://assets.lawrenceks.org/assets/city-code/chapter08.pdf
1B.2 Financial, equipment, and personnel resource allocation reflects the agency’s mission, goals, and objectives.

Description
The department offers programs and services to meet the department’s mission of being an all-hazards response agency. The department has a formal mission statement and has developed specific goals and objectives based on its strategic plan. An annual review and update of the strategic plan occurs and involves participation from a variety of organizational members. The adopted mission and objectives guide decisions on all department programs. A planning session produces data needed to study resource allocation, the creation of objectives and goals.

The annual City budget process identifies financial resources allocated to the department. Personnel resources represent the largest portion of the budget and the Operations Division commands the largest portion of the personnel resources. Allocation of resources such as commodities, contractual services, and capital equipment support the department programs and needs. Budget documents illustrate the various fiscal amounts allocated and the targeted impacts of these funds. An inter-local agreement between the City of Lawrence and Douglas County provides the financial resources for the Department.

Appraisal
Staffing needs consume approximately 89% of the department budget. A capital improvement plan accounts for the other single largest investment of financial resources. The capital improvement plan currently receives strong support from the City Commission, the City Manager and the community. Since 2008, the entire vehicle fleet has been replaced. Fire Station No. 1 is undergoing an approximately $3.5 million renovation. The department continues to work toward achieving its established goals and objectives. Presently, the allocation of resources is conducive toward this goal. The budget process allows effective implementation of the strategic plan components.
Plan
The department will ensure that programs and services offered are aligned with the department’s mission. The department will continue to ensure that resource allocations support program needs through the processes identified. The department will provide program justification during annual budget hearings.

References
2017 Adopted Budget Department Pages
2016-2021 Lawrence-Douglas County Fire Medical Strategic Plan
2017-21 Capital Improvement Plan
1B.3 Personnel functions, roles, and responsibilities are defined in writing and a current organization chart exists that includes the agency’s relationship to the governing body.

**Description**
The organizational structure of the department is located in department Policy – Organizational Chart 102.10. The department defines the roles and responsibilities of department personnel in department policy Program Management-Assignments 102.20 and job descriptions for each position in the organization are available on the city intranet. The city organizational chart illustrates the department’s relationship to the governing body.

**Appraisal**
The City provides position descriptions to define all personnel functions, roles, responsibilities and qualifications and ensures availability to all personnel. Personnel receive notification of changes to position descriptions. The organizational chart remains current and reflects the division of the department overall.

**Plan**
The Fire Chief will continue to periodically evaluate the organizational structure and job descriptions of the department. Job descriptions outlining position duties and responsibilities will be reviewed on an annual basis by the Human Resources Director and as part of the department’s policy and guideline review process. The Fire Chief will continue to advocate for additional staff as requested in the 2018 Operating Budget requests. Policy amendments will be contingent upon approval through department policy and fire chief approval. Personnel will receive information regarding changes to ensure understanding.

**References**
- LDCFM Organizational Chart
- LDCFM Job Descriptions
- City of Lawrence Organization Chart
SOP 102.20 Program Management Assignments