Corporate Governance and Accountability - Survey Results

Finance and Administration Committee – June 10, 2013

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Objectives and Purpose

- Obtain an Overview of the Foundational Control Environment [Supported by Governance and Accountability]

- Recognize that Governance and Accountability Evolve as an Organization Changes - What do Staff Think?

- Evaluate Current Action Plans and Potential Future Strategies to Realize Opportunities for Improvement

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Survey Overview

- Surveyed All Staff (1310)
- Combination On-Line, Paper Based Approach

- 25 Questions - Linked to [Modified] CICA Governance and Control Model
  - Purpose – Sense of Organization's Direction
  - Commitment – Sense of Organization's Identity and Values
  - Capability and Capacity – Sense of the Organization's Competence
  - Monitoring and Learning – Sense of an Organization's Evolution
  - Ethics and Values – Sense of the Organizations Ethics and Integrity**

- 644 Responses – 49% Response Rate

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Response Options

1. Strongly Agree 2. Agree	Positive Response
3. Disagree 4. Strongly Disagree	Negative Response
5. Don't Know 6. Not Comfortable Answering	Avoidance Response

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Evaluation Criteria/Results – City-Wide

| Percentage – Strongly Agree/Agree	Description	Number [Statements]
75% and Greater	No Concern – No Action is Required. Represents a Significant Strength	6
60% to 74%	Minimal Concern – Does Not Need Any Immediate Attention.	9
50% to 59%	Possible Emerging Issue - Watchlist	7
Less than 50%	Current Issue or Concern – Immediate Action Required	3

P [15]

N [10]

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High Level Overview

Strengths	Opportunities
Good Understanding of and Training Related to Code of Conduct and Ethical Behavioral Expectations	Continue with Initiatives to Build Employee Trust – Communicate Without Fear of Reprisal
Good Understanding of City's Policies	Provide more Education and Support to Build Better Risk Management Awareness in the City
Good Understanding of City's Mission and Vision	Continue to Strengthen the Internal Resources Needed to Support Sustainable Growth

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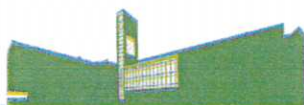
Most Positive/Negative – Top Three

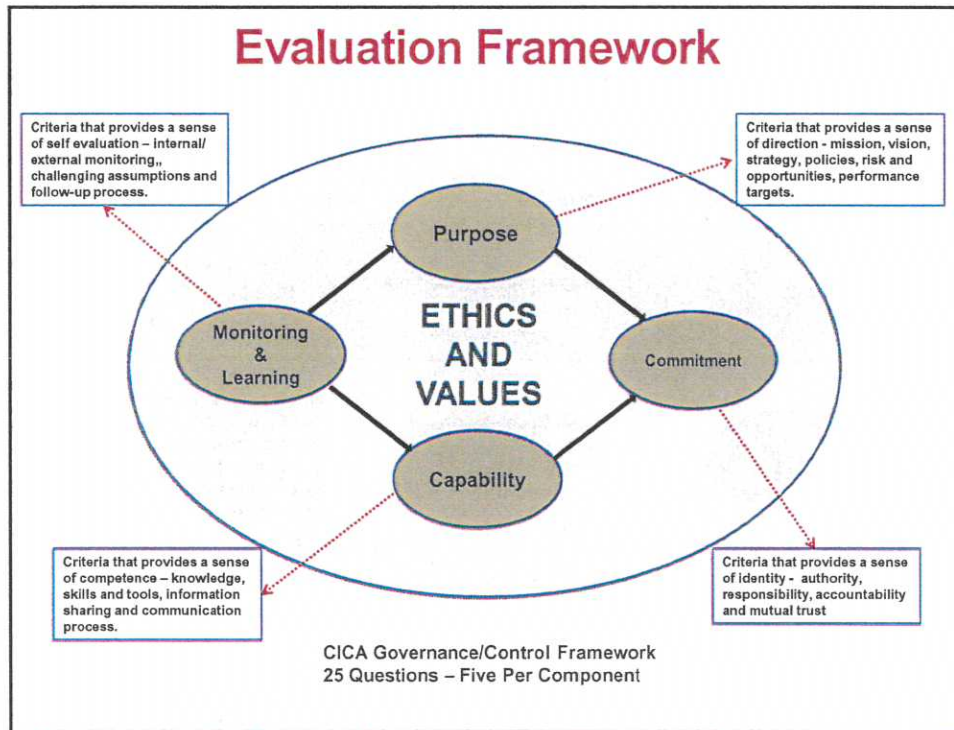| Most Positive Response	Most Negative Response
1. I have a clear understanding of the City's Code of Conduct and Ethics Expectations.	1. The City has Established a Level of Trust Sufficient to Support the Open Flow of Information and Effective Performance.
2. I understand the Mission and Vision for the City of Vaughan.	2. Prompt Communication of Mistakes, Bad News, and other Related Information is Given to those who Need to Know Without Fear of Reprisal.
3. I understand the Policies that Affect my Actions and the Impact they have on the City	3. I Understand the Risk and Barriers that Prevent the City from Achieving its Objectives and Vision and Believe Management is Taking Appropriate Action to Address Them.

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Demographics

- Results Relatively Consistent Across All Commissions

- VFRS Analyzed Separately – Results Significantly Different

- Management/Non-Management Differences Significant

- Gender/Full, Part-Time Differences Insignificant

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Evaluation Framework

Criteria that provides a sense of self evaluation – internal/external monitoring,, challenging assumptions and follow-up process.

Criteria that provides a sense of direction - mission, vision, strategy, policies, risk and opportunities, performance targets.

Purpose

Monitoring & Learning

ETHICS AND VALUES

Commitment

Capability

Criteria that provides a sense of competence – knowledge, skills and tools, information sharing and communication process.

Criteria that provides a sense of identity - authority, responsibility, accountability and mutual trust

CICA Governance/Control Framework
25 Questions – Five Per Component

Evaluation Framework Analysis

Framework Criteria	Strengths	Opportunities
Purpose	Good Understanding of: • Mission and Vision • Policies	Developing: • Communicated Performance Targets • Risk Management Awareness
Commitment	• Recognizing Citizen and Stakeholder Input in Supporting Decisions	• Need to Build Trust to Support the Open Flow of Communication
Capability	• Policies and Procedures Help support City's Objectives	• Mechanism to Allow the Communication Without Fear of Reprisal • Resources to Support Sustained Growth

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Evaluation Framework Analysis

Framework Criteria	Strengths	Opportunities
Monitoring & Learning	• Availability of Reliable and Relevant Information	• Need to Challenge Current Assumptions [Processes and Objectives]
Ethics and Values	• Clear Understanding of Code of Conduct and Ethical Expectations	• Building Management/Staff Trust - Keeping Promises and Commitments • Being able to Raise Concerns to Management Without Fear of Reprisal

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Current and Planned Strategies

• Further Evolve Performance Indicators **[Purpose]**

• Revise Corporate Performance Management Process **[Capability]**

• Identify and Develop a Leadership Development Program **[Capability]**

• Develop an Integrated Risk Management Strategy **[Purpose]**

• Review and Redesign a Communication Strategy **[Commitment]**

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Recommendation

Internal Audit Recommends that they be tasked with doing Further Research into Anonymous Reporting Mechanisms and, in Consultation with Senior Management, Report back to Council on Better Industry Practices and a Recommended Approach.

[Capability] [Ethics and Values]

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