

CITY OF VAUGHAN

EXTRACT FROM COUNCIL MEETING MINUTES OF JUNE 27, 2017

Item 6, Report No. 7, of the Finance, Administration and Audit Committee, which was adopted without amendment by the Council of the City of Vaughan on June 27, 2017.

6 UPDATE ON LEADERSHIP ALIGNMENT – POLICY REVIEW

The Finance, Administration and Audit Committee recommends:

- 1) That the recommendation contained in the following report of the City Clerk and the City Manager, dated June 19, 2017, be approved; and
- 2) That Communication C6 presentation material entitled, “*Update on Leadership Alignment-Policy Review*”, be received.

Recommendation

The City Clerk and the City Manager recommend:

1. That the following report be received by Council for information.

Contribution to Sustainability

A strong policy framework contributes to accountability, transparency and effective governance by clearly defining the City’s governance practices and ensuring that policies will be made transparent to the public.

Economic Impact

This initiative is funded from capital program SE-0082-16 Leadership Alignment (Transformation & Strategy Office) to *develop and implement a leadership alignment process that aligns people, process and technology to foster a culture of service excellence*. This funding will be used for a Policy Coordinator (one-year contract). Through the 2018 budget process, the requirement for a permanent Policy Coordinator position to support consistency in the development and review of corporate policies will be considered.

Communications Plan

Updates related to this initiative will be posted on Vaughan.ca/serviceexcellence.

As part of the comprehensive policy review described in this report, all Council approved policies will be made public through an open and transparent Policy Manual on the City’s website.

As policies are reviewed and updated, a stakeholder analysis will be carried out and any affected internal departments or external interests will be informed and engaged.

Purpose

The purpose of this report is to update Council on the comprehensive corporate policy review being undertaken in support of the Leadership Alignment Strategic Initiative.

The Council approved Term of Council Service Excellence Strategy Map (2014-2018) includes the Term of Council Priority “*Continue to advance a culture of excellence in governance*” and the Service Excellence Strategic Initiative “*Leadership Alignment – develop and implement a leadership alignment process that aligns people, process and technology to foster a culture of service excellence.*”

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Policies are fundamental tools of municipal governance that facilitate consistent decision-making. Vaughan currently has 148 corporate policies across 22 departments. An assessment of Vaughan's policy development resources, practices and procedures ("policy capacity") found that although Vaughan has many of the tools in place, there are improvements needed to strengthen accountability, transparency and empowerment through the policy process.

The Leadership Alignment Service Excellence Strategic Initiative will carry out a comprehensive policy review from 2017-2018 to strengthen Vaughan's policy development approach and ensure all policies are up to date and consistent.

Background - Analysis and Options

The Policy Committee, consisting of members of the Corporate Management Team, has been established to review the policy making process, governance and standardization, and to make recommendations to Council.

The Policy Committee was formed in 2016 to conduct a review of the policy making process, governance, and standardization, and to consider new and updated corporate and operational policies.

Over the course of the review and as policies are updated, the Policy Committee will bring forward recommended changes to Council for approval.

An initial assessment of Vaughan's policy development resources, practices and procedures ("policy capacity") found that, although Vaughan has many of the necessary tools in place, there are improvements needed to strengthen accountability, transparency and empowerment through the policy process.

The city currently has 148 corporate policies across 22 departments. The Policy Committee assessed Vaughan's policy capacity – the nature and quality of the tools used to develop, implement, and review policies. The assessment scanned other municipalities and made recommendations for Vaughan to improve its approach.

Although Vaughan has a number of policy capacity tools in place there are deficiencies with each:

- The Policy Template requires substantial revision. Currently, the template consists of only a header and a footer with administrative details. As a result, policies are inconsistent in format and detail.
- The Policy on Corporate Policy Development (AD-016) requires substantial revision. Currently, it does not define clear roles and responsibilities, does not include a provision for regular policy review, and lacks detail to guide consistent policy development.
- The Policy Manual is structured according to outdated department names and is not available publicly.
- Vaughan does not currently have dedicated policy resource(s) such as a Policy Coordinator to ensure consistency in the development and review of corporate policies.

As a result of these deficiencies, the quality of existing policies is low and regular Policy Reviews are not taking place. Many of the city's policies are in need of revision, both in terms of format and content. The most recent policy review was conducted in 2012 and focused on repealing outdated policies. Best practices suggest policies should be reviewed every 5 to 7 years, making it an optimal time to conduct a policy review.

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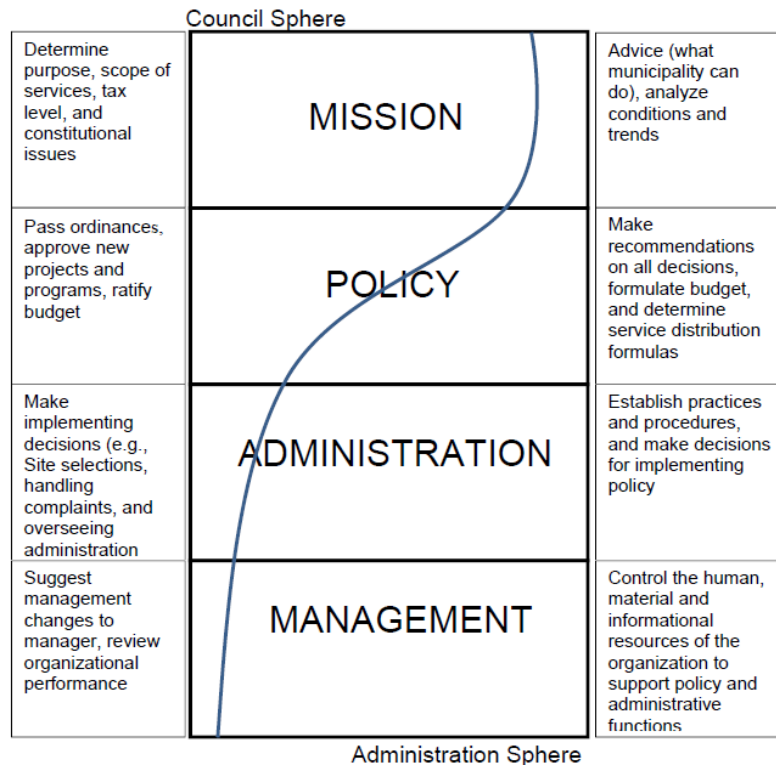
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The assessment also identified a need to distinguish between governance tools – between Council policies and Administrative policies, and between policies and procedures.

Policies are fundamental tools of municipal governance that facilitate consistent decision-making. Both Council and city administration (staff) require policies to help make decisions. However, Council and administrative policies differ in their function and approval authority. Council as a whole provides direction to staff, and it is the role of staff to implement Council's decisions and establish administrative policies, practices and procedures accordingly.

Figure 1: Council and Administrative Spheres of Authority



Svara, James H. "Dichotomy and Duality: Reconceptualizing the Relationship between Policy and Administration in Council-Manager Cities." *Public Administration Review* 45.1 (1985): Corporate ResourceNet. Web. 4 June 2015

Figure 1 illustrates the concept of spheres of authority within a municipality, where Council and administration have different roles depending on the type of decision.

Council policies set overall direction for administrative staff and are used to set standards of performance, define a city position on a public issue, have an external focus on the community, or are required by provincial legislation. Due to the higher level and often external orientation of these policies, they must be approved by Council.

Administrative policies direct staff by setting operational duties and expectations and guiding the administration's decision-making processes. Unlike Council policies, administrative policies are focused on the internal operations and processes of the municipality, and as a result it is appropriate that the City Manager has authority approval. Depending on the policy, this authority may be delegated by the City Manager to another senior administrator.

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Currently, all 148 policies at The City of Vaughan require approval of Council. Many policies either include a procedure as part of the policy or use the procedure as the policy itself. To ensure operational performance in delivering services and the Term of Council Priorities, Council policies need to be separated from Administrative policies, and policies need to be separated from procedures.

A comprehensive policy review will take place from 2017 to 2018 to improve the policy development process, to separate Council policies from Administrative policies, and to ensure policies reflect current practices.

Staff will return to Council in Q3 2017 to recommend an updated *Policy on Corporate Policy Development* (AD-016) and revised policy template. Staff will also recommend that Council apply the definitions contained within the updated *Policy on Corporate Policy Development* to separate Council policies from Administrative policies.

From Q4 2017 – Q2 2018, staff will carry out a comprehensive review of both Council policies and Administrative policies according to a schedule which will prioritize those that require the most significant revision. As Council policies are reviewed, staff will bring forward recommendations to Council as required. Updated policies will be made public on an open and transparent Policy Manual on the city's website.

Relationship to Term of Council Service Excellence Strategy Map (2014-2018)

This initiative supports the Term of Council Priority “*Continue to advance a culture of excellence in governance,*” and the Service Excellence Strategic Initiative “*Leadership Alignment – develop and implement a leadership alignment process that aligns people, process and technology to foster a culture of service excellence.*”

Improving the city's policies and policy processes through the Policy Review will strengthen accountability, transparency and empowerment through the policy process.

Regional Implications

N/A

Conclusion

Policies are a valuable tool of municipal governance that facilitate consistent decision-making. Although Vaughan has many of the necessary policy development tools in place, there are improvements needed to strengthen accountability, transparency and empowerment through the policy process.

The Leadership Alignment Service Excellence Strategic Initiative will carry out a comprehensive policy review from 2017-2018 to strengthen Vaughan's policy development approach and ensure all policies are up to date and consistent.

Attachments

None

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