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COMMUNICATION
FAA - APR 13/15
ITEM - 1

Corporate Governance and Accountability - Survey Results

Finance, Administration and Audit Committee – April 13, 2015

VAUGHAN

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?

- Follow-up to 2013 Survey

Why is Internal Audit Doing This?

Survey Overview

- Surveyed All Staff (1264)
- Combination On-Line, Paper Based Approach

- 25 Questions - Linked to [Modified] CICA Governance and Control Model

  - Purpose – Sense of the Organization's Direction
  - Commitment – Sense of the Organization's Identity and Values
  - Capability and Capacity – Sense of the Organization's Competence
  - Monitoring and Learning – Sense of the Organization's Evolution
  - Ethics and Values – Sense of the Organization's Ethics and Integrity**

- 622 Responses – 49% Response Rate

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

Evaluation Criteria/Results – City-Wide

Percentage – Strongly Agree/Agree	Description	Number [Statements - 2013]	Number [Statements - 2015]
75% and Greater	No Concern – No Action is Required. Represents a Significant Strength	6	7
60% to 74%	Minimal Concern – Does Not Need Any Immediate Attention	9	10
50% to 59%	Possible Emerging Issue - Watch List	7	7
Less than 50%	Current Issue or Concern – Immediate Action Required	3	1

P
[15] - 2013
[17] - 2015

N
[10] - 2013
[8] - 2015

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	Continue to Strengthen the Internal Resources Needed to Support Sustainable Growth
Good Understanding of City's Mission and Vision	

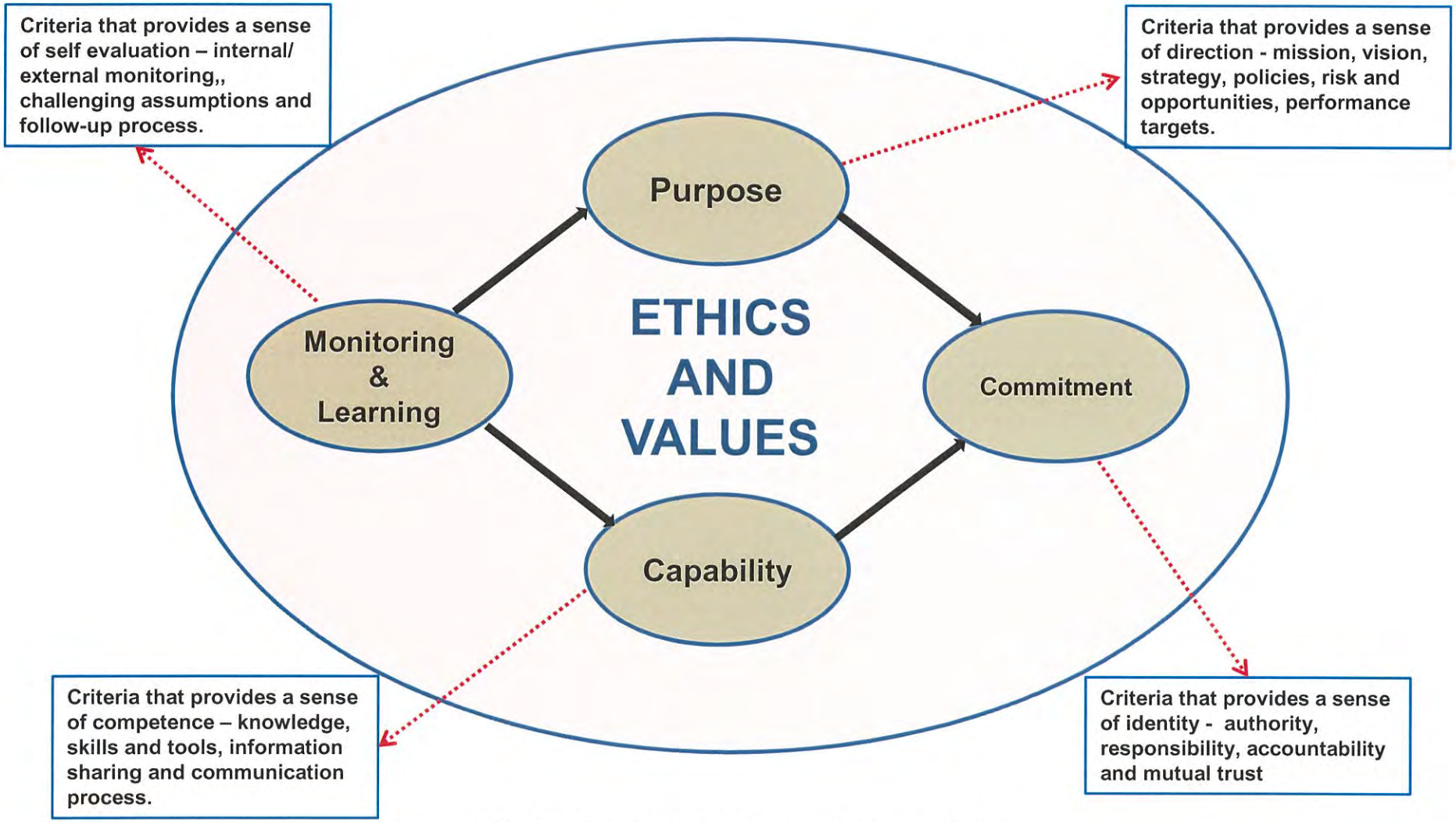
Most Positive/Negative – Top Three

Most Positive Response	Most Negative Response
1. I have a clear understanding of the City's Code of Conduct and Ethics Expectations. [93% - Strongly Agree/Agree]	1. Staff can raise concerns to Management without Fear of Reprisal. [35% Strongly Disagree/Disagree]
2. I understand the Policies that Affect my Actions and the Impact they have on the City. [92% - Strongly Agree/Agree]	2. The City has Established a Level of Trust sufficient to support the open flow of Information and Effective Performance. [33% Strongly Disagree/Disagree]
3. I understand the Mission and Vision for the City of Vaughan. 3. I receive training on the City's Standards of Ethical Workplace Conduct [87% Strongly Agree/Agree]	3. I have sufficient Resources, Tools and Time, supported by the appropriate Administrative Structure, to accomplish my Objectives. 3. Prompt Communication of Mistakes, Bad News and other Related Information is given to those who need to know without Fear of Reprisal. [32% Strongly Disagree/Disagree]

Avoidance Responses – Top Three

Most "Not Comfortable"	Most "Don't Know"
1. We have the right People, with the Right Skills, Tools and Resources to Achieve the Vision and Objectives of the City [7%]	1. When appropriate, my Department or Program Area Challenges the Assumptions behind our Objectives [23%]
2. I Trust Senior Management to keep Promises and Commitments [6%]	2. I understand the Risks and Barriers that prevent the City from achieving its Objectives and Vision and believe Management is taking appropriate action to address them [20%]
3. The City's Integrity and Ethical Values are Shared and Practiced [5%]	3. My actions and those of my Department or Business Unit are Aligned with the rest of the Organization [17%]

Evaluation Framework



CICA Governance/Control Framework
25 Questions – Five Per Component

Evaluation Framework Analysis

Framework Criteria	Strengths	Opportunities
Purpose	Good Understanding of: • Mission and Vision • Policies	• Communicating Performance Targets • Continuing 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

Evaluation Framework Analysis

Framework Criteria	Strengths	Opportunities
Monitoring & Learning	• My Department or Program Area Learns from its Mistakes	• 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

Strategies

Trust	Resources
• Long Term Strategy Needed [Incrementally Applied]	• Continue to Apply Resource Requirements through Budget Process
• Senior Management to Develop Strategies that Reflect Needs and Culture of City	• Longer Term Investment in Internal Infrastructure Needed to Capitalize on Future Efficiency and Effectiveness

Conclusion

- Strong Dedication From Staff – Willing to Participate in Survey
- City in Transition – Growth Outstripping Resources
- Building Trust Takes Time!!