

Corporate Policy Development and Modernization

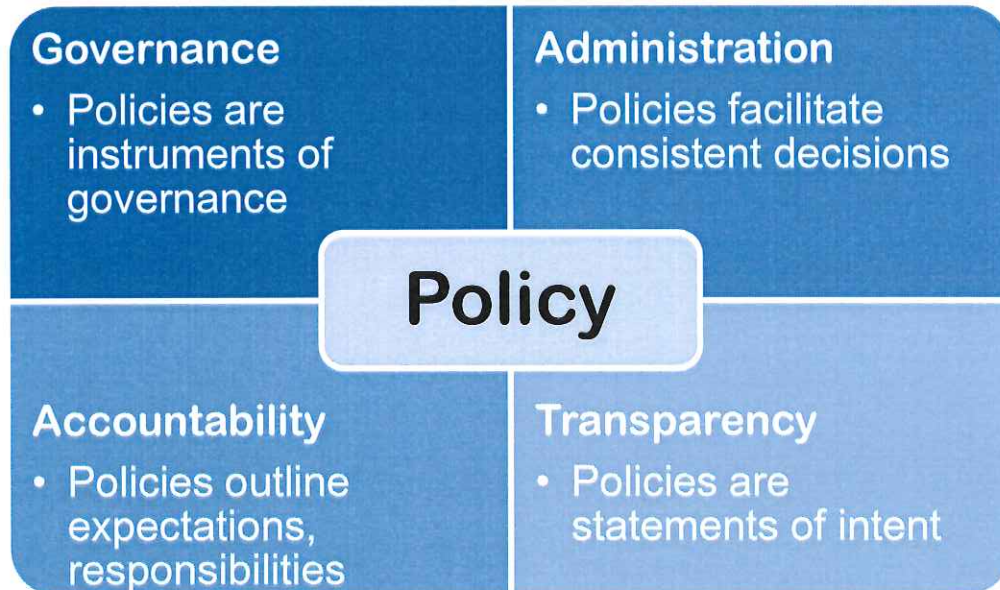
Committee of the Whole (Working Session)
February 12, 2018



Overview

- Context for Corporate Policy Modernization
- Role of the Policy Committee
- Current state
- Best practices
- Delegation of authority
- Approval authorities
- Policy on Corporate Policy Development
- Templates
- Delegation by-law review
- Next steps

Why Does Policy Matter?



TERM OF COUNCIL PRIORITIES	
<input type="checkbox"/>	Improve municipal road network
<input type="checkbox"/>	Continue to develop transit, cycling and pedestrian options to get around the City
<input type="checkbox"/>	Facilitate the development of the VMC
<input type="checkbox"/>	Support the development of the hospital
<input type="checkbox"/>	Re-establish the urban tree canopy
<input type="checkbox"/>	Invest, renew and manage infrastructure and assets
<input type="checkbox"/>	Continue to ensure the safety and well-being of citizens
<input type="checkbox"/>	Meet Council tax rate targets (no greater than 3%)
<input type="checkbox"/>	Update the Official Plan and supporting studies
<input type="checkbox"/>	Attract investment and create jobs
<input type="checkbox"/>	Create and manage affordable housing options (secondary suites)
<input type="checkbox"/>	Continue to cultivate an environmentally sustainable city
<input type="checkbox"/>	Support and promote arts, culture, heritage and events in the community
<input type="checkbox"/>	Continue to advance a culture of excellence in governance
<input type="checkbox"/>	Establish a lobbyist registry
<input type="checkbox"/>	Enhance civic pride through a consistent city-wide approach to citizen engagement

SERVICE EXCELLENCE STRATEGIC INITIATIVES			
CITIZEN EXPERIENCE		OPERATIONAL PERFORMANCE	
Citizen Experience and Service Delivery	End-to-End Citizen-Centred Services	Financial Sustainability	Environmental Sustainability
<ul style="list-style-type: none"> • Citizens engaged in Decision Making • Develop a meaningful and inclusive citizen engagement framework 	<ul style="list-style-type: none"> • Continuous Service Delivery • Improve the use of funds and resources • Develop service level standards to enhance satisfaction through consistent service experience 	<ul style="list-style-type: none"> • Develop and implement a digital service strategy that defines how the City will deliver services through multiple channels (phone, web, mobile) 	<ul style="list-style-type: none"> • Demonstrate Value for Money • Continue to refine our performance measures and benchmark for service delivery
Service Delivery Options	Continuous Improvement	Human Resources	Information Technology
<ul style="list-style-type: none"> • Optimize service delivery options and shared services to match resources to the desired level of service 	<ul style="list-style-type: none"> • Implement continuous improvement initiatives to improve our service and business processes 	<ul style="list-style-type: none"> • Create a Financial Master Plan to ensure sustainable fiscal position and management of assets 	<ul style="list-style-type: none"> • Develop and implement a leadership alignment process that aligns people, process and technology to foster a culture of service excellence
Human Resources	Information Technology	Financial Sustainability	Environmental Sustainability
<ul style="list-style-type: none"> • Establish a People Plan to support employees through change • Succession plan • Learning and development • Workforce planning and talent management 	<ul style="list-style-type: none"> • Develop communications to foster the journey of service excellence and transformation 	<ul style="list-style-type: none"> • Develop and implement a leadership alignment process that aligns people, process and technology to foster a culture of service excellence 	<ul style="list-style-type: none"> • Review the organizational structure with defined roles and responsibilities to ensure it is positioned to deliver on Council priorities • Develop an Enterprise Risk Management framework to better support governance and accountability

DEPARTMENTAL BUSINESS PLANS



Policy Committee

Mandate: To improve the City's policy-making process, governance and standardization.

- Held inaugural meeting on January 26, 2017
- Co-Chairs; City Manager and City Clerk
- Comprised of CMT members
- Provides a venue for departments to present new or updated policies for consideration prior to Council approval
- Reviews existing policies to identify and prioritize gaps, inconsistencies and/or policies requiring review and update
- Is conducting a comprehensive review of current corporate policies in consideration of best practices and legislative requirements

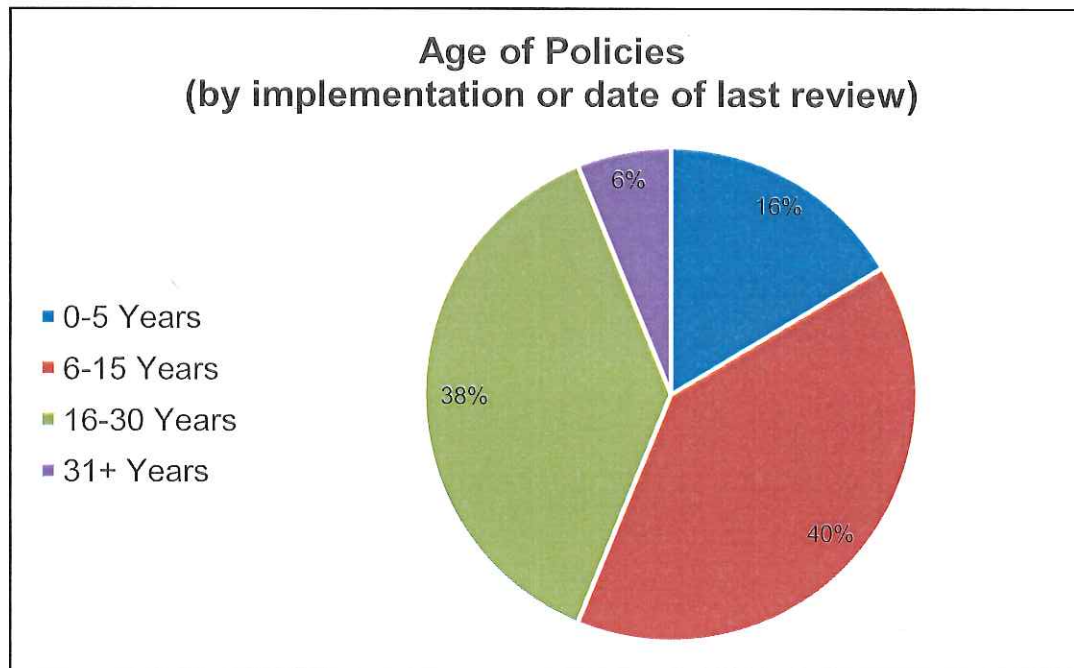
Previous FAA Report and Presentation

- Presented to FAA on June 19, 2017
- Detailed the role of the Policy Committee
- Outlined the importance of policy development
 - Instruments of governance
 - Facilitate consistent decisions
 - Outline accountability, expectations and responsibilities
 - Are transparent public statements of intent
- Identified deficiencies/gaps:
 - Detailed policy template
 - Corporate Policy on Policy Development reflecting current structure and best practices
 - Outdated policy manual
 - Dedicated policy staff

Current State

- 148 existing corporate policies across 22 departments
- AD-016 *Policy on Corporate Policy Development* requires all policies to be approved by Council
- No standardized templates
- Policies and procedures are not distinct documents
- Not assigned a review schedule
- Only available internally and not to the public

Current State



Note: Chart is reflective of 2017.

Current State v. Best Practices

Current State

Policies are inconsistent in content and/or form

Many policies do not reflect current corporate procedures or requirements

Policies are not publicly available



Templates streamlined for consistency and conveyance of information

Policies guided by values, goals, legislation or processes, and reflect current legislation and corporate requirements

Council approved policies available externally on the Vaughan.ca Policy Manual

Best Practices

Current State v. Best Practices

Current State

Policies are difficult to locate internally

Inconsistent/unassigned review of policies

All policies must be approved by Council



Staff have easy access and knowledge where to locate Administrative policies

Policies reviewed every 5-7 years for compliance and applicability

Administrative policies separated from Council policies to improve accountability and efficiency

Best Practices

Delegation of Authority

Drawing a distinction between Council and administrative policies acknowledges the dynamic policy-making environment in which municipalities operate. A jurisdictional review of best practices supports the refinement of approval authorities and policy development governance instruments.

Best Practice Leaders:

[City of Saskatoon](#)

[Town of Newmarket](#)

[City of Edmonton](#)

[City of Calgary](#)

Approval Authorities

Distinguishing between Council and administrative policies and assigning approval authority to the appropriate level is consistent with modern governance practices and enhances operational performance and service delivery.

Supporting documentation:

- [Section 23.1\(1\) of the Municipal Act, 2001](#)
- [Delegation of Powers & Duties Policy \(CL-009\)](#)

*To give effect to the new policy on Corporate Policy Development, a by-law to delegate authority to the City Manager to approve administrative policies, and approve minor technical updates to Council-approved policies is required.

Council Approval

“Council policies are policies that set overall direction for administrative staff, set standards of performance, define a city position on public issues, have an external focus on the community or are required by provincial legislation. Due to the higher level and external orientation of these policies, these policies are approved by Council.”



Guiding Criteria



Examples:

[Vexatious and Frivolous Complaints](#)

[Accountability and Transparency](#)

[Investment Policy](#)

Administrative Approval

“Administrative policies are policies that are focused primarily on the internal operations and processes of the municipality. These policies direct staff by setting operational duties and expectations and guiding the administration’s decision-making processes and are approved by the City Manager. This authority may be delegated by the City Manager to another senior administrator (policy owner).”



Guiding Criteria



Following an assessment and gap analysis of current policies, proposed Administrative policies may include:

- Attendance Management
- Employee Learning & Development
- Dress Code
- HR Payroll/Compensation Administration
- Performance Management
- IT Acceptable Use Policy

Revised Policy on Corporate Policy Development

Comprehensively:

- Utilizes the new Corporate policy template
- Outlines purpose and scope of policy
- Identifies legislative requirements prescribed by the Municipal Act
- Details applicable definitions for clarity
- Establishes criteria of approval authority
- Ensures accessibility of policies
- Details process of review and amendments
- References detailed “*Guideline Governing Policies and Procedures*” supporting procedural document

New Corporate Templates

Standardized templates for corporate policies and supporting procedures have been developed to ensure that policies and procedures are presented in a streamlined, consistent and easy-to-read manner.

Attachment 3

CITY OF VAUGHAN

CORPORATE POLICY

POLICY TITLE: Enter policy title

POLICY NO.: Policy numbers are assigned by Policy & Coordination

Session:	SELECT
Effective Date:	<small>Click on map to enter a date</small>
Approval Authority:	SELECT
Date of Last Review:	<small>Click on map to enter a date</small>
Policy Owner:	<small>Selectly department/branch</small>

POLICY STATEMENT

PURPOSE

SCOPE

Delegation of Authority/By-Law Review

 [Example: City of Guelph](#)

Why:

- Identify gaps
- Assess for legislative compliance
- Opportunities for consolidation

How:

- Comprehensive review of current delegation by-laws
- Review of practices in other municipalities

Outcome:

- Support the modernization of the City's policy development
- Support legislative frameworks and compliance
- Streamline decision-making and administration

Policy Review Workplan

1. Separation of policies

Q1-2018

- Applying the revised approval authorities, policies will be separated by these definitions and will be submitted for review

2. Council Policy Review and Prioritization

Q2-2018

- Review Council-approved policies and identify review prioritization
- Submit prioritized list to Policy Committee for approval
- Submit prioritized list for Council approval

Policy Review Workplan

3. Delegation of Authority/By-law Review

Q2-2019

- Conduct a comprehensive review of current delegation by-laws
- Consolidate where possible
- Confirm regulatory compliance in tandem with Corporate alignment
- Review with Policy Committee/City Manager
- Submit to Council for approval

4. Online Policy Manual (internal and external)

Q3-2019

- Design an Administrative policy manual available internally
- Design a Council policy manual available externally/publicly
- Execute a Corporate-wide launch with appropriate training

Corporate Policy Framework - Summary

Council Policy <i>Council Approval</i>	<ul style="list-style-type: none">• Sets direction and standards for administration• Defines City position on an issue• External focus
Administrative Policy <i>City Manager Approval</i>	<ul style="list-style-type: none">• Directs staff in making consistent decisions• Sets operational duties and expectations• Internal focus
Procedure <i>City Manager Approval</i>	<ul style="list-style-type: none">• Step-by-step guidance on implementation of an administrative policy

Questions and Discussion