

COMMITTEE OF THE WHOLE – APRIL 16, 2007

POLICY ON CORPORATE POLICY DEVELOPMENT

Recommendation

The City Manager and the Commissioner of Legal and Administrative Services & City Solicitor in consultation with the Senior Management team, recommend that:

1. The Policy on Corporate Policy Development, forming Attachment No. 1 to this report, be approved.

Economic Impact

The economic impacts arising from this report are accommodated within the existing budget.

Communication Plan

Upon Council approval of the Policy on Corporate Policy Development, notice of its adoption will be posted on the City of Vaughan Website, the Vibe and e-mailed to each member of staff.

Purpose

The purpose of this report is to submit an amended version of the draft Policy on Corporate Policy Development for further consideration and adoption.

Background – Analysis and Options

At the Committee of the Whole (Working Session) of February 27, 2007 the Committee considered a report entitled, *Bill 130 Amendments to Municipal Act, 2001 – Implementation Plan*. This report also included a proposed Policy on Corporate Policy Development.

The City began a review of its Corporate Policies in the spring of 2006. The review process has three elements:

- Deletion of redundant policies;
- Development of new policies for Council's approval; and
- Revisions to existing policies as required.

A number of the Bill 130 amendments will also require the adoption of new policies. In order to continue the Corporate Policy development program it is considered necessary to standardize the process through the adoption of a policy governing how the City develops its corporate policies. .

On February 27, 2007 Committee adopted the following motion in respect of the draft Policy on Corporate Policy Development:

- 7) The Policy on Corporate Policy Development be approved in principle contingent upon an updated version being brought forward to the Committee of the Whole meeting of April 16, 2007 incorporating Members of Council's comments, including the following:
 - a) That the Process for Corporate Policy Approval outlined in the Policy on Corporate Policy Development be amended by deleting "approval by City Manager to proceed to Council" and substituting "review by City Manager prior to proceeding to Council"; and

- b) That staff provide a clear definition of what constitutes a "Corporate Policy" and other forms of policies that may be considered under the Policy on Corporate Policy Development.

This recommendation was ratified by Council on March 19, 2007. This report responds to the direction to bring forward an updated version of the Policy on Corporate Policy Development to the April 16, 2007 Committee of the Whole meeting.

Overview of the Policy Framework

Corporate Policies are adopted to support good decision-making when responding to issues or situations that the City deals with on a regular basis. Typically, they address topics that broadly affect the City, its staff and citizens. A few current examples illustrate the diversity of situations where Corporate Policies are warranted, including: "Numbering of Buildings on Public Highways"; the "Use of City of Vaughan Facilities by Non-Residents"; the "Weed Inspection and Compliance Policy"; the "Registered Ratepayer/Community Association Policy" , "Temporary Road Closures", the "Procurement Policy", and the "Response to Requests from the Public Policy".

It is noted that individual departments may also adopt their own internal departmental practices and procedures. They apply solely to the originating department and would be approved administratively within that department or commission and, as such, do not have a corporate dimension. They could cover any number of situations where consistent guidance is necessary, such as internal record keeping and filing, document flow, report preparation, staff meetings and use of internal facilities. Such measures would not affect another department or the public and would not qualify as Corporate Policies.

The recommended Policy on Corporate Policy Development forms Attachment No. 1 to this report. The major elements are summarized below.

PURPOSE

Five specific purposes are identified to further refine and elaborate on the intent of the policy. The first bullet point was contained in the initial draft. Points two through five have been added to this version.

- Ensure consistency in the corporate policy development and revision process;
- Identify roles, responsibilities and procedures in the development, revision and approval of corporate policies;
- Ensure the policies are legal, enforceable and do not impose an unanticipated financial burden on the City;
- Provide for a policy manual and its use and administration; and
- Define "Corporate Policy" and "Procedure".

POLICY

The initial draft provided that the policy applied to the development of all Corporate Policies. This has been broadened to specify that the policy applies to all Vaughan employees.

- The policy applies to the development of all Corporate Policies and all Vaughan employees.

Definitions:

Specific definitions of key terms have been added to provide additional clarity to assist in the development and implementation of the policies. Definitions are considered to be critical.

- **Corporate Policy:** A general principle, practice or rule that affects City Staff across more than one department or program or affects service delivery to the public.
- **Procedure:** The steps required to implement a policy, including who is affected by the policy and who is responsible for its administration and implementation.

Approval of Corporate Policies:

In the initial draft, Council was established as the approval authority for all corporate policies and revisions. This remains in this version. However, provision has been made to allow for non-substantive changes without Council approval. The recommended policy states:

- Council will approve all Corporate Policies and revisions thereto. Non-substantive "housekeeping" revisions to Corporate Policies may be made by appropriate management or the Clerk's Department as part of on-going maintenance of the Policy Manual. Examples of such minor revisions may include: Changes to legislation/by-laws.

Determining Whether a Corporate Policy is the Appropriate Response:

A new section has been added to assist in determining whether the adoption of a corporate policy is the appropriate solution to a given situation. This type of analysis should be undertaken prior to committing to the Corporate Policy Development process. This new paragraph provides as follows:

Before proceeding with the preparation of a Corporate Policy, consideration should be given as to whether it is the appropriate response. In evaluating potential alternatives, a Corporate Policy should exhibit one or more of the following characteristics:

- Consistency with the definitions of "Corporate Policy" and "Procedure"
- The City is required to adopt a Policy by reason of legislation or regulation;
- The Policy reflects a Corporate position that Council wishes to place on the public record.

Procedure for Corporate Policy Development:

Initiation of a Corporate Policy

In order to provide clarity as to who may initiate the preparation of a Corporate Policy a new paragraph has been added. It states:

- The Corporate Policy Development process may be initiated by either a member of the Senior Management Team (City Manager and Commissioners) or by Council.

The Policy Development and Approval Process

The policy development and approval process has been elaborated on in this version of the policy. The intent is to provide Staff with an understanding of how to proceed once direction has been given. Being a Corporate Policy, it will be important to ensure that an appropriate level and scope of internal consultation takes place and that there is a consensus on the recommended policy prior to reporting to Council. Given the corporate dimension of the policies, the Senior Management Team will play a lead role in the process. The steps are set out below:

- Prior to commencement of the Corporate Policy development process, the Senior Management Team shall be advised of the project and comment requested. Upon consideration, the Senior Management Team may:
 - Assign lead responsibility for the preparation of the policy to a commission/department/staff member(s) as required; or
 - Alternatively, due to the scope or importance of the proposed policy, direct that a staff working team be established to draft the policy under the coordination of an assigned commission/department/staff member(s).
- All affected departments will be consulted during the policy development process.
- Draft Corporate Policies will be reviewed by the affected departments and in all cases by:
 - The Financial Services Department, to assess financial implications; and
 - The Legal Services Department, to assess jurisdiction, risk and liability.
- The draft policy will then be submitted to the City Manager and the Senior Management Team for review and comment.
- The recommended policy will then be placed on the agenda of the appropriate Committee of Council with an accompanying staff report.

Administration of Corporate Policies:

The recommended policy includes provisions to guide the administration of Corporate Policies. This includes the requirement for a standardized policy template for use in a Policy Manual, the means of communicating the policies to the public and the maintenance of the Policy Manual.

Policy Manual and Standardized Template

- The City will maintain all approved Corporate Policies in a Policy Manual. All Corporate Policies should follow the standardized template. Copies of reports will not be attached to such policies or included in the Policy Manual, since this practice may give rise to confusion and interpretation problems. The reports are explanatory in nature but may be referenced by date and item number on the template.

Communicating Policy

- The Policy Manual will be posted on the City's Website and on the Vibe.

Maintenance of the Policy Manual

- The City Clerk is responsible for administering, coordinating and maintaining the City of Vaughan Policy Manual, including monitoring new or amended Corporate Policies approved by Council, updating the Policy Manual, the distribution of new or revised policies in hardcopy and electronic formats to Staff and arranging for the posting of new or revised policies on the City's Website and on the Vibe.

Relationship to Vaughan Vision 2007

This report is consistent with the policies of Vaughan Vision 2007.

Regional Implications

This report does not have Regional implications.

Conclusion

Corporate policies are one of the tools that a municipality has to promote good governance. As the City continues to grow, it will be necessary to address emerging conditions in an efficient and effective manner. Having an up-to-date Corporate Policy regime in place is one of the means that the City can prepare for such situations. This will allow the City to better govern itself and provide a high level service to the public. In addition, the adoption and publication of Corporate Policies is consistent with the objective of transparent and accountable government.

The City is currently undergoing a wide-ranging review of its current policies and is also adding new policies as a result of Provincial regulation. The purpose of this report is to obtain approval for a Policy on Corporate Policy Development. Its purpose is to put in place a consistent Corporate Policy development and approval process. This will ensure that new or revised Corporate Policies follow the same rigorous process through their development, approval and on-going administration.

On this basis it is recommended that the "Policy on Corporate Policy Development", forming Attachment No. 1 to this report, be approved.

Attachments

1. Updated Policy on Corporate Policy Development

Report Prepared By:

Roy McQuillin, Manager of Corporate Policy

Respectfully submitted,

Michael DeAngelis
City Manager

Janice Atwood-Petkovski
Commissioner of Legal and
Administrative Services & City Solicitor

POLICY ON CORPORATE POLICY DEVELOPMENT

SECTION: ADMINISTRATION

POLICY: NO. 03. __

DEPARTMENT: ADMINISTRATIVE

SUBJECT: CORPORATE POLICY DEVELOPMENT

PURPOSE

The purposes of this policy are to:

- Ensure consistency in Corporate Policies through the application of a comprehensive and consistent approach to Corporate Policy development and revision;
- Identify roles, responsibilities and procedures for the development, revision and approval of Corporate Policies;
- Ensure that all Corporate Policies are legal, enforceable and do not impose an unanticipated financial burden on the City;
- Provide for a "Policy Manual" and for its use, administration and maintenance and the communication of Corporate Policies;
- Define "Corporate Policy" and "Procedure".

POLICY

This policy applies to the development of all Corporate Policies and all City of Vaughan employees.

Definitions:

Corporate Policy: A general principle, practice or rule that affects City Staff across more than one department or program or affects service delivery to the public.

Procedure: The steps required to implement a policy, including who is affected by the policy and who is responsible for its administration and implementation.

Approval of Corporate Policies:

Council will approve all Corporate Policies and revisions thereto. Non-substantive "housekeeping" revisions to Corporate Policies may be made by appropriate management or the Clerk's Department as part of on-going maintenance of the Policy Manual. Examples of such minor revisions may include: Changes to legislation/by-laws.

Determining Whether a Corporate Policy is the Appropriate Response

Before proceeding with the preparation of a Corporate Policy, consideration should be given as to whether it is the appropriate response. In evaluating potential alternatives, a Corporate Policy should exhibit one or more of the following characteristics:

- Consistency with the definitions of "Corporate Policy" and "Procedure";
- The City is required to adopt a Policy by reason of legislation or regulation;
- The Policy reflects a Corporate position that Council wishes to place on the public record

Procedure for Corporate Policy Development:

Initiation of a Corporate Policy

The Corporate Policy Development process may be initiated by either the Senior Management Team (City Manager and Commissioners) or by Council.

The Policy Development and Approval Process

The Corporate Policy Development process will be undertaken in accordance with the following steps:

- Prior to commencement of the Corporate Policy development process, the Senior Management Team shall be advised of the project and comment requested. Upon consideration, the Senior Management Team may:
 - Assign lead responsibility for the preparation of the policy to a commission/department/staff member(s) as required; or
 - Alternatively, due to the scope or importance of the proposed policy, direct that a staff working team be established to draft the policy under the coordination of an assigned commission/department/staff member(s).
- All affected departments will be consulted during the policy development process.
- Draft Corporate Policies will be reviewed by the affected departments and in all cases by:
 - The Financial Services Department, to assess financial implications; and
 - The Legal Services Department, to assess jurisdiction, risk and liability.
- The draft policy will then be submitted to the City Manager and the Senior Management Team for review and comment.
- The recommended policy will then be placed on the agenda of a Committee of the Whole Meeting with an accompanying staff report.

Administration of Corporate Policies:

Policy Manual and Standardized Template

The City will maintain all approved Corporate Policies in a Policy Manual. All Corporate Policies should follow the standardized template. Copies of reports will not be attached to such policies or included in the Policy Manual, since this practice may give rise to confusion and interpretation problems. The reports are explanatory in nature but may be referenced by date and item number on the template.

Communicating Policy

The Policy Manual will be posted on the City's Website and on the Vibe.

Maintenance of the Policy Manual

The City Clerk is responsible for administering, coordinating and maintaining the City of Vaughan Policy Manual, including monitoring new or amended Corporate Policies approved by Council, updating the Policy Manual, the distribution of new or revised policies in hardcopy and electronic formats to Staff and arranging for the posting of new or revised policies on the City's Website and on the Vibe.

CONTACT

Clerk, City Clerk's Office
Deputy Clerk, City Clerk's Office