Guide for New Chief Administrative Officers

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CAO

- **Parks & Recreation**
  - Recreation Director
    - Support Staff
- **Administration**
  - Deputy Clerk
    - Administrative Clerk
- **Engineering & Public Works**
  - Municipal Engineer
    - Engineering Technologist
- **Planning**
  - Municipal Planner
    - Planning Technician
- **Finance**
  - Treasurer
    - Accountant

Guide for New Chief Administrative Officers

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Table of Contents

Introduction 1
Relationship to Mayor: Roles and Responsibilities 4
Relationship to Council 11
Relationship to Senior Officers 13
Implementation Process of Council Direction 17
Defining Council and Staff Roles and Responsibilities 20
Organizational leadership 24
Council Agenda approval 27
Reports to Council 29
Staff Recruitment, Evaluations, Development and Morale 31
Labour Relations and Collective Agreement Contract Negotiations 34
Policy Development 39
Staff Discipline 41
Engaging the Public and Public Relations 43
Liaising With Other Organizations 46
Establishing Corporate Vision and Strategic Planning 48
Interdepartmental Coordination 52
Team Building 55
Budgetary Control 59
Providing Cost Effective Solutions 61
Procedure Development 62
Other Roles and Responsibilities 66
References 67
Appendix A 1
Appendix B 3

Introduction

This guide shares the experience of Chief Administrative Officers (CAO's) which they have gained through the many observations and successes in their careers. The guide is not an academic undertaking but is a collection of practical advise of professional Chief Administrative Officers of Municipalities in British Columbia. The guide provides suggestions of what to do, what not to do, and what to avoid in each of the areas of responsibilities of a CAO. These areas include establishing relationships, roles and responsibilities with the Mayor, Council and staff, providing leadership and team building, reporting to Council and policy development, budget control, human resource management and working with the public and stakeholders,

The Houghton Mifflin Canadian Dictionary defines "Administer" as "to have charge of: direct; manage" (1982). Section 147 of the Community Charter provides that Council may adopt a bylaw which establishes the Chief Administrative Officer's position with the following powers, duties and functions:

a) overall management of the operations of the municipality,
b) ensuring that the policies, programs and other directions of the Council are implemented,
c) advising and informing the council on the operation and affairs of the municipality.

In contrast to this, Section 116 of the Charter sets out the political and policy setting roles and responsibilities of the Mayor (Chief Executive Officer or CEO) as follows:

1) The Mayor is the head and chief executive officer of the municipality.
2) In addition to the mayor's responsibilities as a member of Council, the Mayor has the following responsibilities:
    a. To provide leadership to the council, including by recommending bylaws, resolution and other measures that, in the mayor's opinion, may assist the peace, order and good government of the municipality;
    b. To communicate information to the council;
    c. To preside at council meetings when in attendance;
    d. To provide, on behalf of the council, general direction to municipal officers respecting implementation of municipal policies, programs and other directions of the council;
    e. To establish standing committees in accordance with Section 141;

f. To suspend municipal officers and employees in accordance with Section 151;
g. To reflect the will of the council and to carry out other duties on behalf of the council;
h. To carry out duties assigned by or under this or any other Act.

The CAO, Summarized:

The dictionary definition and statutory provisions indicate that an administrator manages, is in charge of, directs and monitors the operations of a local government administration. They do not, however, provide much help in how this is done in practice. This guide gives the opinions of eight CAOs in how they do business.

To summarize the many pages of advice, it is clear that a CAO must be a skilled, effective, open and honest communicator with Council, staff and the public. The CAO is a people manager and must have excellent human relation skills, an ability to understand personalities and to motivate and facilitate others to do their mandated responsibilities. A good CAO is not a micromanager; rather, he/she facilitates and adds value to the work of his managers.

The advice of the CAOs underscores the importance of teamwork for implementation of Council direction, policy development and achieving goals. Regular staff meetings are identified as a critical activity to achieve this team work as they provide an opportunity to convey Council goals, direction and values, reflect on the strategic plan, coordinate activities within and between departments and monitor progress. Team work is also important in developing and reviewing policy. Those who implement policy can have an important role in ensuring it is effective if they are involved in its preparation and review.

The CAOs generally agree on the value of strategic planning. It provides for focus and direction to the organization. It facilitates team building and can help in establishing and clarifying roles and responsibilities. This can become especially valuable as a tool in separating the political/policy making role of Mayor and Council to the administrative

and operational role of the Chief Administrative Officer. An experienced consultant is recommended to act as a facilitator during strategic planning exercises.

Method:

A questionnaire was prepared to address each of the main areas of responsibility for a CAO. Several CAO job descriptions were reviewed in order to identify each of the areas of responsibility. The first draft was reviewed by two CAOs and was then, with amendments, tested with one pilot survey. With suggested changes made, the questionnaire was distributed to eight CAOs for completion.

As the intent of this guide was to provide a new CAO with the experience and advise of practicing CAOs, the responses provided by each CAO are listed separately. The users of this guide will note that while there is considerable agreement among the participating CAOs, there are, as was expected, some differences. This may be due to the difference in management philosophy or the different set of experiences of each CAO. The benefit of listing each CAO's responses separately is that a new CAO can look at each response and determine /pick what suggestions seems to fit their local political, community and corporate culture context the best.

The other benefit of providing each CAO's responses separately is that their opinions are not diluted or changed through a distilling and interpretive process. This guide is intended to be like having eight mentors giving the new CAO their advise.

Glossary:

CAO:	The Chief Administrative Officer; City Manager.
CEO:	The Mayor
Environmental Scanning:	Researching information about events, trends outside of one's organization for the purpose of planning the organization's actions.

Relationship to Mayor: Roles and Responsibilities

Differences in responsibility between the CAO and CEO

CAO #1

- CAO has an administrative function and role and the mayor has an executive and policy function and role.
- The CAO looks after the business of the City and the mayor looks after the business of the Council.
- The mayor gets to decide if we have trains and the CAO gets to play with the trains.
- The CAO gets to inform and recommend to Council and the mayor gets to decide on things and run the Council.

CAO #2

- The CEO provides general direction to officers, reflects the will of and provides leadership to Council, attends & participates in meetings, and establishes standing committees.
- The CAO provides overall management to municipal operations, advises and informs Council on operations and affairs, and is responsible for the implementation of Council's policies, programs and directions.

CAO # 3

- Overall day-to-day administration is the CAO's role.
- Mayor speaks to policy issues, where CAO implements policy.

CAO # 4

- The CAO is responsible for management and the CEO Policy.
- The CAO is responsible for staff and the CEO the community.
- The CAO provides options and the CEO makes decisions.

CAO # 5

- The CEO receives Council direction and gives the CAO direction.
- The CAO gives staff direction and gives Council advice.

CAO # 6

- The CAO is the doer of projects.
- The CAO looks after staff and carries out Council plans.

CAO # 7

- The CAO is responsible for good operations and staff and is the link between staff and Council.
- The CEO is the link between Council and the public with the CEO responsible for staff, good operation of Council and equal and fair treatment.

CAO # 8

- The Mayor is responsible for leading Council in their decisions about <u>what</u> the City will do.
- The CAO's role is to lead the operational team that delivers the product that Council has decided upon. We're the <u>how</u> people.

<u>Differences in authority between the positions</u>

CAO #1

- The Mayor's authority is as defined in section 116 of the Community Charter.
- The CAO's authority is as defined in the CAO's bylaw – in effect to run the municipality, to hire and fire as per the bylaw, to advise council etc.

CAO #2

- The CEO's authority is exercised by Council decisions.
- The CAO serves at the pleasure of Council, and his/her authority is established by Council through bylaw and contract or position description.

CAO # 3

- The Mayor brings issues to Council table for decision.
- The CAO informs Council of identified issues regarding policy (e.g., budgets, strategic direction).

CAO # 4

- The CEO's authority is from Statute and the CAO's is delegated from Council.
- Council gives approval and staff Implement.

CAO # 5 (no answer)

CAO # 6:

- The CAO can hire and fire.
- CEO makes sure CAO carries out responsibilities.
- CEO can call for emergency meetings and have a matter reconsidered.

CAO # 7

- Aside from the Community Charter, the CEO and CAO authority comes from Council.

CAO # 8

- The Mayor has statutory authorities and obligations under the Charter. For decision making, the Mayor is only one "vote", but once Council has made its will known, the Mayor has the authority to ensure that will is carried out. As CAO, I have only the duties and responsibility that Council designates in the CAO bylaw (no statutory duties). In my case, I am Council's only employee, all others report to me.

<u>Recommendations to new CAOs on developing and maintaining a good relationship with the Mayor</u>

CAO#1

- Try to meet regularly with the Mayor and have conversations about the business of the City. Be able to telephone him and have him telephone you.
- Be honest, up front and current with the Mayor on everything.
- Treat the Mayor as the CEO of the company.
- Decide on how formal you have to be and be no more formal than that. It is important to be friendly. It is not important to be friends with the Mayor, in fact being friends is a liability. It is better to be respectful and professional and

become friends with the Mayor and Councilors after they are no longer a mayor or councilor. The alternative is cumbersome and dangerous.

CAO #2

- Regularly scheduled informal meetings to update each other.
- Pay close attention to the Mayor's goals and expectations.
- Each Mayor has their own way of wanting things done – be prepared to be flexible.

CAO # 3

- Meet regularly.
- Continually discuss the different roles making it clear who is responsible for what activities.
- Discuss vision and strategies on issues that are not clearly defined as to who's responsibility it is to ensure they are assigned correctly.

CAO # 4

- Keep the CEO informed; communicate.
- Always clear the air and keep a professional distance.

CAO # 5

- Sit down with the Mayor on the first day and be open and honest about each others' direction.
- Ensure that each knows his/her role.

CAO # 6

- Good communication.
- Develop good job description for the CAO and CEO.
- Make sure there are no surprises in agenda/goals.

CAO # 7

- Good communication.
- Honesty and respect.
- Keep CEO up to speed on issues.
- CAO must know role is to serve Council.

CAO # 8

- Honesty is the key ingredient. There is no truer adage than “speak truth to power”. That means telling the Mayor things he or she doesn’t want to hear. There are pleasant ways to do so, and this need not generate ill will.
- Do not take yourself too seriously. By nature, Mayor’s will tend to be quite full of themselves, especially when newly elected. The CAO needs to be able to laugh at himself or herself, and to keep matters in perspective, because the Mayor may not be able to.
- Respect the “mandate”. The Mayor was selected because 3,000, or 4,000, or 5,000 citizens trusted his or her judgment. I was selected because 5 or 7 people thought I was the best choice.

<u>What happens when the Mayor becomes too involved in day to day administration and how to deal with it</u>

CAO #1

- It is a nightmare. Often it is necessary to tell the Mayor to let the staff do their jobs and to clarify the role of the Mayor. Reviewing Section 116 of the Charter is a good idea. Reviewing the roles, authorities and responsibilities of the mayor is a good idea.
- For megalomaniacal Mayors it is necessary to suggest they resign their position as mayor and when the CAO’s position, the Planner’s position or the Treasurer’s position or whomever’s position the Mayor is pretending to be that day becomes vacant, they should apply and compete for the position.
- Sometimes one gets a Mayor who simply won’t stop doing the day-to-day. In that case, document all the extra work that is caused by the mayor, ride out the term and watch him/her get defeated in the next election. If they don’t get defeated, brush up your resume and start looking for a better job where you can do your job. Remain respectful and professional at all times and have a very smart employment lawyer.

CAO #2

- Have a good relationship with your staff. When the Mayor goes directly to staff, expect them to consult with you before acting on the Mayor's directive.
- Establish policy adopted by Council for elected official's protocol.

CAO # 3

- Mixed messages are then sent to staff and general public and this causes a loss of authority to CAO.
- Discuss roles and clarify areas of responsibility with the Mayor.

CAO # 4

- Outline the difficulties (e.g., possible conflicts of interest) he may get himself in and of the effect on staff.
- Ask staff to refer Mayor to the CAO.
- The response depends on the mayor and your relationship with him/her.

CAO # 5

- Roles become confused as the Mayor is no longer leading, he is managing.

CAO # 6

- Discuss appropriate role and responsibilities.
- Must communicate.

CAO # 7

- Use organizational chart to remind CEO of his/her role, i.e., interface to CAO and Council.
- Stay within command structure.

CAO # 8

- This never goes to a good place. The Mayor will likely have substantially less expertise than the CAO in day-to-day matters. Additionally, the Mayor will make decisions through a political filter. The structure is meant to provide not only separation between politics and operations, but also a balance between the different issues that apply to each. This equilibrium is thrown off if the

Mayor needs to influence operational decisions too often, or if the CAO seeks to influence political decisions too often.

- I have no "magic bullet" for dealing with this tendency, but I've tried the following, with mixed results: (1) a heart-to-heart talk about roles, (2) distraction—load them up with "public" events, (3) appeal to the Council on the perspective that Council's interests are being short-circuited, (4) put the Mayor in circumstances where their lack of expertise is obvious to themselves and to others, but where they will "wear" the decision, and (5) appeal to their vanity, "this stuff is beneath you Mr. Mayor—let me do the grunt work."

Relationship to Council

The characteristics and elements of a good relationship with the Council.

CAO #1

- Giving each member of Council equal time and treatment.
- Understanding what each member of Council wants and needs and satisfying those wants and needs – so each of them feels like you are working for them.

CAO #2

- Full communication with Council.
- Mutual respect for each other's roles.

CAO # 3

- Open and honest communication.
- Shared vision and strategies.
- Clarity of roles and responsibilities.

CAO # 4

- Council's willingness to request, take advise and review options.
- Council being respectful of staff.
- Discussion of issues outside of the Council Chamber.

CAO # 5

- Communicate openly and honestly.
- Report and update Council regularly.
- Be a "good role model"- - model behaviour that is respectful of your position.
- Respect their position as elected officials.

CAO # 6

- Identify clear roles and responsibilities.
- Talk informally about issues so staff can do its homework.
- Open door policy with Mayor/Council.
- No surprises.

CAO # 7

- Open honest communication.
- Give both good and bad information.
- Be thorough with research.

CAO # 8

- If timely decisions are being made and clear direction is provided to the CAO, the relationship is good and the CAO's future will be predicated on how well he or she delivers what Council wants.
- If Council doesn't know what it wants and can't make timely decisions, the community will not get its issues resolved, and the CAO will take the fall. The CAO needs to work diligently to help the Council make up its mind about what it wants and then needs to get them what they want. The CAO is making a huge mistake if he or she expects energy influencing decisions rather than facilitating them.

Relationship to Senior Officers

The important elements of and conditions for a good working relationship with the Senior Officers/Department Heads

CAO #1

- Treat them as equals, no favorites and no exclusions! Have all heads attend the team meetings, have no one department be more important than another and ensure they treat each other as equals. Size [of department] doesn't matter here. They are all the same!
- Delegation of responsibility is according to departmental functions and portfolios.
- Progress reporting can be done at the management team level or individually department by department. I prefer to do it at the team level.

CAO #2

- Regular management meetings for information exchange.
- Participatory decision making.
- Occasionally have social events together.
- Open door policy.

CAO # 3

- Open and honest communication.
- Regular meetings to monitor progress on projects.
- Clear roles and responsibilities.
- Shared vision and strategies of council communicated to all in the organization.

CAO # 4

- Strategic planning is the basis of a good working relationship and should occur once a year with Council/staff and at any new Council.
- Senior staff willingness to champion projects.

- CAO listening to staff and respecting other points of view.
- CAO not doing it all but “adding value”.
- CAO willing to make decisions, explain decisions and provide leadership.
- Performance evaluation.
- The automatic formation of project teams to support each other.

CAO # 5

- Support, support, support staff and be there when the going gets tough.
- Communicate often with staff and listen and take their advice.

CAO # 6

- Hold staff meetings after every Council meeting so everyone knows Council agenda.
- Meet with each department regularly/frequently and have Prepare budgets together monthly progress reports.

CAO # 7

- Convey to them that Council priorities are theirs (become part of staff performance measures).
- 360 job evaluations [see Appendix A].
- Open door policy.
- Do not prescribe how to do a job just what needs to be done.

CAO # 8

- Hire and advance people you respect and trust. Let them make their own decisions and support those decisions. Understand that interfering with their decisions is received by them exactly the way you receive interference from the Mayor. Be sure that corporate goals are well-understood, and each knows what they are expected to do to advance those objectives.

How to measure and develop your own leadership skills

CAO #1

- I consult with colleagues, sometimes ask for feedback from various sources and sometimes think about what I am doing and whether I am being effective.
- I tend to read a little about leadership and occasionally attend a seminar or workshop.
- I consult with mentors and coaches about leadership and management matters

CAO #2

- Review success of projects and policies.
- Assess my responsiveness to situations – Was I proactive or reactive?
- Continuously seeking self improvement.

CAO # 3

- Develop a good network of other local government employees in other communities.
- Attend workshops and take courses to update education and skills.
- Have personal reflection time.

CAO # 4

- Automatic team development.
- Have fun.
- Team implementation.
- Education – mentoring – 360 (regular) peer evaluations; team evaluations to develop competency.

CAO # 5

- Have staff and Council regularly review my performance.
- Take courses offered by the LGMA and other professional associations.

CAO # 6

- Take feedback from Mayor and Council and from the public.
- Assess progress on strategic plan.

CAO # 7

- Use staff feedback.
- Look at jobs not completed and evaluate why.
- Assess staff morale and community views.

CAO # 8

- Professional development opportunities (e.g., MATI 2, LGL Institute, etc.)
- Take on leadership roles in outside community organizations, especially ones with elected boards (i.e., Minor Hockey, Child Development Centre), see the view from the other side of the fence.
- Provide an opportunity in the semi-annual performance review of senior staff for them to provide critique of my leadership and performance.

Implementation Process of Council Direction

Things that work well in ensuring Council's decisions are implemented

CAO #1

- Team meetings where the resolutions are assigned to the appropriate department head and general completion timelines established.
- Develop a council resolutions monitoring program (document) and keep it updated.
- Report back to the managers on a quarterly basis and identify incomplete resolutions etc.

CAO #2

- Tracking system for resolutions to make sure nothing falls through the tracks.
- Assign responsibility for action items early, and diarize for follow up.

CAO # 3

- Good documentation.
- Clear understanding of Council's decisions and information given to staff.

CAO # 4

- Use rewards and high expectations.
- Give clear instructions and articulate goals.
- Good feedback. Use staff meetings.
- Keep it simple.

CAO # 5

- Follow-up meetings after Council with senior staff and use minutes assigning actions.

CAO # 6

- Keep a list of resolutions and status report on each.
- Quarterly review of strategic plan.
- Good communication, e.g., review Council agenda after meeting with staff.

CAO # 7

- Weekly meeting with Council members and pass that feedback on to senior staff in weekly senior manager meetings.

CAO # 8

- Firstly, create a paper trail, and mandated “progress” reporting to Council. If you have to report-off regularly on how you are doing on each item, you’re motivated to get it done, and you don’t lose track
- Secondly, task specific items to specific departments heads, with a similar report-off system
- Thirdly, make a conscious decision to place your work priorities around Council’s needs, not necessarily around the organizations needs

<u>Things that do not work well</u>

CAO #1

- Letting the managers do their own thing at their own rate and having no reporting whatsoever.

CAO #2

- Trying to do everything yourself.
- When the right staff do not get briefed on the Council’s decisions, including the background or reasons for the decisions.

CAO # 3 (no answer).

CAO # 4

- Giving orders.
- No clear direction.
- Too many things to implement and too many reports.
- Giving punishment and too much follow-up.

CAO # 5 (no answer).

CAO # 6

- Poor communication with staff or Council.
- Lack of delegation.

- Lack of follow-up (using project list or diary system).

CAO # 7

- Council members that get involved how a department is managed (micromanaging).

CAO # 8

- Leaving Council in the dark. If they discussed it, made a decision on it, and issued a direction to staff, it is important to them and they want to hear how its going. Especially the one or two councilors who spearheaded it.
- Sending a memo to a department with no follow-up or reporting back.
- Trying to do it all yourself.

Defining Council and Staff Roles and Responsibilities

What to tell the Mayor and Council if Council and officer roles are not defined

CAO #1

- We encourage an orientation seminar at the start of every new council. There are several modules in the seminar divided into the various departments. One of the CAO modules includes a listing of Council roles and responsibilities as well as staff roles and responsibilities.

CAO #2

- Talk about situations where lack of role definition has resulted in chaos, delays, or costly personnel issues.
- Ask some 'what if' questions.
- Show them how much easier their roles can be executed when roles are clearly defined.

CAO # 3

- Need to review the appropriate section in the legislation.
- Review of the strategic plan.
- In order to make good, consistent decisions must have clearly defined roles for the most effective and efficient use of everyone's time.
- To prevent undue misunderstanding and disagreements that could lead to even legal action—we need clearly defined roles.

CAO # 4

- Need for good job descriptions for officers to aid in evaluation.
- Confusion means it takes longer to do the work and is difficult for staff.
- Council has no real expertise.
- Use a strategic planning exercise to tell them.

CAO # 5

- Outline the importance of defined roles to the success of the organization.

CAO # 6

- Discuss with new Council after each election and give them a Community Charter package listing roles and responsibilities.
- Discuss with Mayor Committee Chair/portfolio Chair responsibility when Mayor gives assignments.

CAO # 7

- Show them the organizational chart and encourage new politicians to attend rookie school.

CAO # 8

- Nature abhors a vacuum. If Council doesn't secure for itself the role of providing broad direction on how the community's future will unfold, there will be ample room for the CAO to step in and do it. In many such situations, the CAO will be more influential in determining what course is taken than will the taxpayers chosen representatives.
- The only way to ensure accountability is to know who is responsible for what.

<u>How to go about defining roles and responsibilities for the Mayor, Councilors, C.A.O. and senior staff</u>

CAO #1

- Refer to the Community Charter and refer to almost any organizational study done by George Cuff.
- In some cases there may be benefit in having a focus session with the management team and council to develop the roles and responsibilities. While a CAO could probably facilitate the session it is better to bring in an outside facilitator.

CAO #2

- Start with an "inventory". The purpose for the position, and what is expected of that position on a broad basis, and day-to-day basis.

- Review legislation and other municipality's examples.
- Come to consensus on what your community's role definitions and responsibilities should look like, and then put it in writing.

CAO # 3

- Review appropriate sections of legislation.
- Prepare job descriptions and bring in a facilitator.

CAO # 4

- Refer to legislation.
- Have job descriptions prepared for staff.
- Review CAO job description with Mayor and Council.
- Review job descriptions of senior staff with Mayor (Council).
- Facilitator may help.
- Use real examples for illustrating difficulties (from previous Council).

CAO # 5 (no answer)

CAO # 6

- Discuss with new Council after each election and give them a Community Charter package listing roles and responsibilities.
- Discuss responsibilities with Mayor, Committee Chair or portfolio Chair when Mayor gives assignments.
- Discuss during yearly review of strategic plan and when a role is stepped on.
- Ensure that staff go through CAO rather than direct to politician and vice versa.

CAO # 7

- Meet early with new Council to review staff roles and functions.

CAO # 8

- There are some statutory or mandatory roles and responsibilities that must be respected.

- There are many examples of “best practices” that can be drawn on and customized for each use. Identify a few “high achieving” communities of similar size and find out what has worked for them.
- Don’t be afraid to bring in an expert facilitator/consultant to guide these discussions. It’s hard to speak effectively to your own role if you have taken on the role of facilitating the general discussion.

Organizational leadership

What things do you do to provide leadership in your organization?

CAO #1

- I work harder than anyone else; harder means faster and smarter and not necessarily longer.
- I let everyone do their job and referee conflict sessions among the managers.

CAO #2

- Walk the talk.
- Keep informed on what is happening in other areas.
- Have regular planning and priorities sessions (twice per year).
- Show support and confidence in your team.

CAO # 3

- Regular communication e.g., staff meetings.
- Sharing of information relevant to staff positions—short and long-term.

CAO # 4

- Let the managers manage. Provide value added input, but not micro-manage.
- Be there to answer questions.
- Have a strategic plan and encourage strategic thinking. Support change and new ideas.
- Encourage team building, education, performance evaluations and develop key competencies in staff.
- Identify the support of Mayor and Council.

CAO # 5

- Tackling the tough issues in the organization and not passing them off to others. Lead by example.
- Providing good advice (from myself or department heads) to Council.

- Respect for the organization and elected officials (even if you do not particularly like the individual).

CAO # 6

- Clearly define roles/responsibilities.
- Hold weekly meetings.
- Listen/do not react.
- Encourage team work and junior staff participation.

CAO # 7

- Training is encouraged and funded for the current job and advancement.
- Do not micromanage.

CAO # 8

- Most importantly, be comfortable in your own skin. If you wish to have the legitimacy to lead, you must have worked out your own issues, and know where you stand on the issues in play.
- Communicate. Let each of the senior staff have full access to you to discuss their issues.
- Set clear expectations and focus on outcomes, not on personalities or style

<u>Behaviours that can undermine your leadership role</u>

CAO #1

- My undermining behaviour would include apathy, boredom and laziness.
- Staff's undermining behaviour includes inappropriate access to Councilors/Mayor, end running the CAO or a department head and other similar behaviour.
- Councilor's undermining behaviour includes not understanding the role of the various committees relative to council and pretending that because one is a councilor one is automatically a better city builder than the planner, a better designer than the engineer, a better accountant than the treasurer and a better administrator than the CAO. Good grief!

CAO #2

- Staff dealing with their issues directly with Mayor and/or Council members.
- Mayor and Council members giving direct instruction to staff regularily.

CAO # 3

- Lack of communication and staff that do not share the same vision and direction.

CAO # 4

- Not being supportive at Council.
- Not having senior staff participate.
- Not supporting each other.
- Object to change (tyranny of status quo).

CAO # 5

- Lack of respect for each other's positions.
- Lack of trust.

CAO # 6

- Poor communication and lack of direction.
- Staff/Council bypassing the CAO.

CAO # 7

- Staff/Council bypassing the CAO
- Staff not keeping CAO informed of Council contact

CAO # 8

- Second guessing—which I'm prone to—works against the leadership
- Never sacrifice a subordinate to cover your own ass. As CAO you are responsible for everything that happens in that organization. If things go wrong, accept the blame, and make any changes you need to do after the fact.
- Never attempt to accept the credit for a subordinates work. The CAO will still bask in reflected glory from a high functioning organization, but the individual who caused the success needs and deserves a moment in the sun.

Council Agenda approval

Steps to take to ensure Council regular meeting agendas are efficiently prepared and approved

CAO #1

- We have a committee structure that feeds into the Council agenda. All committee reports must be completed by a certain day preceding the committee meetings and all council agenda items must be completed by a certain day preceding the council meeting.
- All reports are quickly reviewed by the CAO and usually signed by the CAO.
- There are unusual situations where odd items are added to the agenda. This is reviewed by the CAO who usually e-mails the council to let them know there will be something odd or unusual on the agenda.

CAO #2

- Procedure bylaw sets deadlines for agenda material.
- Specific staff assigned to tasks.

CAO # 3

- Try to time the information out.
- I prepare the agendas and determine what can be managed in the regular time frame of meetings.
- Try to prepare background information ahead of time.

CAO # 4

- Have a good corporate administrative clerk and good procedure bylaw.
- Set reasonable deadlines that everyone knows.
- Limit what is on agenda – staff to deal with items.

CAO # 5

- Establish a proper reporting procedure from staff to the CAO and approval for Council.
- Review all items prior to putting them on agenda.

- Meet with the Mayor prior to confirming the agenda.

CAO # 6

- Material prepared one week before meeting.
- Mayor should review agenda content.
- Have a procedures bylaw.
- Do not allow Council to put on items without staff review/response.

CAO # 7

- Review agenda prior to CEO seeing it then review it with Mayor and Clerk and approve it.
- Set deadline for staff reports.

CAO # 8

- This work falls to the Director of Corporate Administration (who is also my deputy CAO), so I take no steps to in this regard.
- Some CAO's insist on reviewing, revising, and signing off on all staff reports going to Council. My time constraints do not allow this, but in any event, it is not the approach I prefer. If a staffer consistently delivers poor quality product to Council, I'll look for a new staffer.
- The Corporate Administrator does have a series of mechanisms regarding the handling of correspondence, deadlines for agenda report/items, etc., but I've frankly got no clue what the details area.

Reports to Council

Recommendations for the preparation and approval of staff reports

CAO #1

- Staff should prepare their own reports. All reports should be in a standard format. All reports should include options and clear recommendation(s)
- The reports don't need to be approved by the CAO only reviewed by him and countersigned as being reviewed. Occasionally the CAO may write a dissenting recommendation although that hasn't happened here in 5 years. If there is an issue in the report I tend to review it with the author and see if we can work something out.

CAO #2

- Staff reports follow similar format.
- CAO signs off on each report before placed on Council agenda.
- Review agenda items with Mayor.

CAO # 3

- Keep them relevant and on topic.
- Be brief—no more than one page and provide recommendations with supporting rationale.

CAO # 4

- Staff should prepare all reports using one format with recommendations first.
- Allow for comments from other staff (circulation under time line).

CAO # 5

- Reports should include a recommendation and provide options to Council.
- Reports should be channeled through the CAO prior to going to Council.
- Department head and CAO should sign off the report.

CAO # 6

- Use a consistent report format with the CAO signing all reports.

CAO # 7

- CAO signs all reports and gives input if necessary.

CAO # 8

- We have a standard report format. It was devised in consultation with Council to ensure that they are provided the type of information they require to make a decision in a format they are comfortable with. Many municipalities have such a system. Ours requires the presentation of several options, and the recommendation of one, which I think is a good process.
- I'm against "approval" from the CAO for each recommendation. I'm an MBA, not a planner, what expertise do I have to second guess the recommendations he generates as long as staff know the broad political direction of Council, and respects it in their recommendation, I am happy.

Staff Recruitment, Evaluations, Development and Morale

Important considerations for staff recruitment

CAO #1

- I want experienced, educated, motivated, excited, energetic, articulate and smart city builders.

CAO #2

- Make sure new recruits fit your corporate culture.
- Look carefully internally before recruiting from outside your organization.

CAO # 3

- Hiring people that participate in the community outside of work.
- Hiring people that are interested in life-long learning, are interested in moving up in an organization and wanting and willing to take on new challenges.

CAO # 4

- I look for staff with key competencies, experience in government, the right personality fit and humor.

CAO # 5

- I look for attitude and personality, the ability to develop and qualifications.

CAO # 6

- I look for qualifications, education and a team player.

CAO # 7

- Local government experience not as important.
- Interview many people to find best personality fit.

CAO # 8

- Be sure you know what the “ideal” candidate would look like. You will likely need to make some compromises, but be sure those are done knowingly, and not because you didn’t really know what you wanted.

- Never underestimate the importance of good communications and people skills. You'll spend more time with your work colleagues as with your family, and it can be a long life if you chose problematic individuals.

Recommendations for staff performance evaluations/ development plans

CAO #1

- Generally speaking you should have a formal evaluation every two years and there should be ongoing dialogue between the CAO and manager about performance, productivity, etc.
- I think formal evaluations tend to be arbitrary and overrated and mostly conducted by the unskilled. You need to be very careful here.
- Don't ever use a 360 evaluation process unless you know what you are doing and the victim (manager, CAO or whomever) has agreed to the process.

CAO #2

- The performance evaluation process should be endorsed by your Union.
- Continuous feedback is more valuable than an annual evaluation.
- Get staff to be a participant. Do not let it be a chance to criticize – rather, an opportunity to grow your organization.

CAO # 3

- In the past I have done yearly evaluations and had staff perform self-evaluation and goal setting—for the most part I have not found them to be terribly useful.
- My own personal evaluations have far the most reflected my own self-evaluation.

CAO # 4

- Staff evaluations should be written once a year and interim reviews every six months.
- Get advice on plan development – consultant.
- Conduct a 360^{o} review every 2 years.
- Secure agreement on and development of key competencies.

CAO # 5

- Annual evaluation done by dialogue, i.e., two-way discussion.
- Allow for subordinates to confidentially evaluate superior.

CAO # 6

- Annual staff evaluation and as situation requires.
- Encourage staff training.

CAO # 7

- Evaluate staff at least annually, more frequent for staff that need help and use process for staff improvement—focus on goals and objectives.
- Discourage Council from seeing job evaluations.

CAO # 8

- I like to review senior staff on a semi-annual basis.
- I provide a written format for the individual to self assess, and to critique myself—it's useful to see if there are discrepancies between how I view the performance and how the individual does—surprisingly frequently, the person thinks less of their work than I do.
- Base performance reviews on agreed upon expectations and objectives—that are front ended. At each review, the individual and I come to a consensus on what behaviours and outcomes are expected by the next review. Then they happen or they don't—but there are few ambiguities.

Labour Relations and Collective Agreement Contract Negotiations

Key elements for achieving good labour relations

CAO #1

- Communications and openness with the union.
- Having a good labour/management committee that meets at least every other month.
- Having staff meetings say every quarter to talk about whatever they wish to talk about.

CAO #2

- Respect each other's roles and respect the collective agreement.
- Encourage communication first – grievances only as a last resort.

CAO # 3

- Good communication and clear job descriptions.
- Develop a mix of labour force—new hires and long-term staff.

CAO # 4

- Keep Council out pf the process.
- Get Council support for education.
- Have humor, listen and deal with staff grievances asap.
- Good process after negotiations.
- Have fair wages – study other settlements.
- Communicate with staff.
- Protect management rights (issue of control).

CAO # 5

- Open/trusting dialogue with union president and local representative.
- Promote good training (exempt and union) for negotiation process.

CAO # 6

- Good communication and be consistent and fair.

- Follow/abide by contract but be flexible if necessary.

CAO # 7

- Have good communication and an open door policy.
- Deal with the issues early and be flexible.
- CAO deals directly (without CEO or Council) with union.

CAO # 8

- Consistency. In a unionized setting, the opportunity to tailor solutions to individual needs are relatively constrained, and can be very dysfunctional
- Be honest. It is a permanent relationship. Deception or duplicity can achieve a short-term accord, but its effects will still linger 20 years later
- Respect for differing objectives. What you desire as an outcome can be substantially different than what they perceive as necessary. You serve different agendas and both need to acknowledge and accept that.

<u>Main causes of poor labour relations</u>

CAO #1

- Stupid councilors who go on the radio and say we can reduce our administration department by 50% right away! There's no faster way to start a union. It happened here in 1996.
- An unfair wage restructure or a wage structure that is perceived to be inadequate or unfair.

CAO #2

- Poor management/staff relations and inadequate communication.

CAO # 3

- Staff who have been in positions for years and developed their own positions with no interest in change or taking on new challenges.
- Poor communication.

CAO # 4

- Political meddling.
- Inequity in agreement between workers and officer (wages not fair).

- Poor management – not dealing with human resource issues.

CAO # 5

- Lack of trust #1 issue.
- Lack of communication.

CAO # 6

- Inconsistency and poor communication.

CAO # 7

- Poor communication and being inflexible.
- Don't sweat the small stuff.

CAO # 8

- Poorly-founded expectations. Unionized worksites have a stylized element to them that cannot be changed. You need to "dance the dance" with good humor, frustrating as it may be You will not change the union culture, and they will not convert you to advocate for a workers' paradise
- Dishonesty
- Animosity. You have your job, the union representative has his or hers. Why make any part of that personal?

<u>Advise on collective agreement contract negotiations</u>

CAO #1

- Use the GVLRA (Greater Victoria Labour Relations Association) or similar organizations. Joint bargaining is much more effective and keeps management and labour staff at an appropriate bargaining distance so they don't bring the negotiations back to the workplace etc.
- If you must bargain face to face hire a bargaining agent to lead the negotiations for you. The Union will always have a union bargaining agent.
- Finally if you are doing the bargaining as a CAO use a management team and do not include councilors unless they have a particular skill or personality that will allow them to negotiate effectively.

- If Council or a councilor insists on becoming the bargaining agent for the municipality the CAO must insist on being a note taker ONLY! Go in take notes and keep your mouth shut.

CAO #2

- Keep your bargaining committee small.
- Get some direction and authority from Council.
- Be open, upfront, honest and trustworthy in your bargaining.
- Walk a mile in their shoes.

CAO # 3

- Be patient with the process and be fair.
- Pick the important elements and negotiate to a win-win.

CAO # 4

- Form a team who knows the agreement and agree on procedure to follow.
- Understand changes effect the work place.
- Determine cost of changes as soon as possible.
- CAO to stay separate if possible – negotiate with the Human Resources director.
- Keep Council informed.

CAO # 5

- Set a non-confrontational stage early with clear rules of conduct.
- Be as open as possible and clear what you are asking for.
- Be aware that relationship established by negotiation will continue on.

CAO # 6

- Start early and be open.
- Develop memorandum of understanding on issues in between contract negotiations.

CAO # 7

- Deal with issues through memorandums of understanding as issues arise instead of saving them to a contract negotiation.

- Don't involve Mayor and Council directly in negotiations (this saves Council to give sober second thought role).

CAO # 8

- When you are formulating your negotiating positions, involve the department heads and supervisors who will have to implement the "new roles". They will know things you don't, but the workers do, because they are all on the ground together.
- Have a full and open dialogue with your Council before commencing—from a realistic set of objectives and work to achieve them.
- Remember that the contract negotiations are a moment in time only, the relationship with the union members is 24x7 from now to forever. Too many people throw their planning effort into "monetary" considerations and give short shift to "work rule" matters. Over the long haul, the work rule issues will bring the most grief or the greatest success, will accurately predict the effectiveness of the organization, and will produce a far greater impact than any disposition of "cents per hour" matters.

Policy Development

Process for developing new policy

CAO #1

- It starts with an idea, is reviewed by the management team, a report is written, reviewed and debated by Committee then on to council for modification and approval.

CAO #2

- Review what already exists in other municipalities (i.e. Civicinfo and other resources. Review relevant legislation, regulations, if any.
- Draft and obtain feedback from management, staff and present to Council for approval.
- Amend as necessary to reflect your changing needs.

CAO # 3

- Identify the problem clearly/stakeholders to be involved.
- Brain storm solutions from many perspectives, perform a cost benefit analysis and make a choice.
- Outline a clear implementation process.
- Evaluate and make necessary changes.

CAO # 4

- Policies should be in one format.
- Circulate – discuss with the community.
- Know objectives, the political support should be clear.

CAO # 5

- Obtain input (staff, Council, other municipalities).

CAO # 6

- Secure a clear problem definition from Council
- Conduct good research (look to similar municipalities for examples).
- Have a Council member with appropriate skill involved.

CAO # 7

- Assess impact on budget, staffing, precedence, other government relationship of any new policy and include key players and public in process.

CAO # 8

- Provide time and space. Don't develop policy at a single Council meeting. Be sure that a full analysis of impact is done (and beware unintended consequences) that effected groups are consulted and that the "objective" of the new policy is understood and agreed upon
- We have all of this listed in a "policy development policy" which I highly recommend [this policy can be referenced in Appendix B]

Staff Discipline

The "dos and don'ts" in staff discipline

CAO #1

- Do discipline in private and praise out in the open.
- Let the manager discipline his staff. The CAO doesn't have to and shouldn't.
- Make discipline appropriate to the matter at hand. Don't over discipline or under discipline and document the discipline.

CAO #2

- Follow collective agreement procedures.
- Document and be knowledgeable about progressive discipline.
- Don't lose your cool.
- Get legal advice early and keep up on changing legislation.

CAO # 3

- Be clear and timely.

CAO # 4

- Progressive discipline.
- Document, do it quickly and be fair.
- Have witness – union rep?
- Follow-up and monitor effect on others in team.

CAO # 5

- Don't discipline in front of others or belittle them.
- Make it a learning moment and offer advice for improvement.

CAO # 6

- Listen to both sides of issue first- no quick judgment.
- Be consistent in discipline and set clear expectations.
- Do behind closed doors and with union representative also present.

CAO # 7

- Respect union contract provision and include union representative in interviews.
- Keep a paper trail and discipline privately to maintain dignity.
- Punishment must fit crime

CAO # 8

- Do: be fair; have a procedure for discipline that is fair, respects confidentiality, and is well-known to the exempt staff, address issues as soon as they arise, never let anything “slide”
- Don’t: overreact—the sky is not falling, try to be everybody’s friend—these individuals are your employees not your buddies—they can’t be both, ignore a problem.

Engaging the Public and Public Relations

Engaging the public and developing good public relations

CAO #1

- Try to deal with the public one on one in a direct, conversational and inquisitive manner.
- When you can't do something or fix something say so.
- If it is a neighbor to neighbor dispute tell them to solve it themselves. You are not an intermediary for anyone.
- Giving proper and sufficient notice of meetings is a good technique. Encouraging development applicants to hold informal meetings with the neighbors to explain the project and get feedback is another good technique.
- Recognizing that engaging the public does not necessarily or always create a healthier happier community nor does it build a better City.

CAO #2

- Make public feel comfortable about speaking up.
- Let public write down their comments instead if they wish and don't require their identity.

CAO # 3

- Regularly spend time out in the community talking to a variety of people.

CAO # 4

- Provide a good outline of proposal/purpose and process and get feedback.
- Identify leaders in the community and don't let small groups control process.
- Try to find community organization to lead process and provide staff support.
- Develop a good website and use circulars.

CAO # 5

- Keep Council well informed.
- Ensure public information is public and avoid behind closed door discussions.

- Meet (staff/Council) with public.

CAO # 6

- Communicate with key players in community, the Mayor is spokesperson.
- Inform Council of activities so Staff/Council say the same thing.

CAO # 7

- Try using focus groups, a website, news releases and public newsletters.
- Good rapport with press
- Hold a Council open house for informal public discussion

CAO # 8

- We employ communications consultants to facilitate an ongoing community dialogue:
  - This can be general, i.e., monthly newsletter, website, regular public houses, "state of the community" meetings, presentations to community groups, newspaper advertisements.
  - Or it can be project specific: i.e., public hearings, address specific meetings, neighbourhood meetings.

<u>Things that do not work well in engaging the public</u>

CAO # 1

- Giving the public approval authority on development projects does not work well. They are commentators and feed-backers not approvers. Don't set it up so that they are approvers or disapprovers of development projects.

CAO #2

- Topics which are too broad based and asking for input in too restrictive a manner.

CAO # 3 (no answer)

CAO # 4

- Not being sincere about request for input (rubber stamping).
- Communicating through the media or not giving enough time.

CAO # 5

- Not providing information to public.

CAO # 6

- Too many spokespeople and a lack of good information.
- Poor preparation.

CAO # 7

- Not being clear on mandate for input, i.e., it is advisory not a decision.

CAO # 8

- Telling them what you've decided to do. Always try to allow public input before a decision is made.
- Relying on media coverage of Council meetings—the media often get it wrong, and very few members of the community bother to watch or read.
- Sticking to one form of communication—you can't reach a significant segment of the population from a single strategy, you need a broad-based communications plan.

Liaising With Other Organizations

Developing strong linkages with other government and community organizations

CAO #1

- Sometimes a liaison relationship with neighborhood or community associations can work well but it is dangerous. It's also a training ground for future council candidates.
- Intermunicipal staff committees be they engineers, planners or administrators can work well as long as they are behaving in a collegial fashion.

CAO #2

- Inviting their members to serve on committees.
- Asking for their input for council decisions and participating in joint projects.

CAO # 3

- Face to Face communication. Get to know people—beyond just what they do.
- Acknowledge they have frustrations and challenges they face in their perspectives.

CAO # 4 (no answer)

CAO # 5

- Meet regularly with officials (MLA, Deputy Ministers)
- Open communication.

CAO # 6

- Ability to listen to them.
- Try to understand other groups structure/culture and values and issues.
- Look for win-win solution.

CAO # 7

- Respect their positions/mandates, do not confront.
- Communicate and involve.

CAO # 8

- Personal contact—get to know the people, put faces to names.
- Work the telephones and email—have a relationship that is not issue-specific—you'll be more effective when a particular situation arises. Strongly-worded letters of protest are useless.
- For dealings with other senior levels of government, employ a consultant/lobbyist—they are experts in facilitating access to decision makers.

Establishing Corporate Vision and Strategic Planning

Is corporate strategic planning important?

CAO #1

- Yes and no. It depends on the culture of the council and the organization. Some Councils are better with an informal set of three year goals and objectives. Others need a detailed corporate vision and a strategic plan. The latter is a lot of work and only works if the CAO and the mayor live the vision and the plan. It can be exhausting and confusing.

CAO #2

- It sets direction for the community and helps focus efforts of Council and staff.

CAO # 3

- Yes. If there is no set vision and strategies, there is no focus and energy of all involved is wasted by going off on too many tangents.

CAO # 4

- Yes. It is a good exercise.
- CAO gets direction, the Council gets direction and the community knows direction.

CAO # 5

- Definitely, keeps everyone going in same direction.

CAO # 6

- Yes – goals/objectives gets people working together.
- It is a good measuring tool, helps people stay on track and provides a guide to the public.

CAO # 7

- Yes and is becoming more important.
- Strategic planning discourages micromanaging.

CAO # 8

- Yes. If you don't know where you are going, you won't know if you've arrived.
- No effective corporation lets its activities happen by accident, be sure you're doing specific things to accomplish specific outcomes, or the electorate will find somebody who will.

Techniques to establish corporate vision

CAO #1

- Informal techniques where the CAO uses a general questionnaire with Council to establish general goals and objectives. The results are brought back to council in a focus session to help identify a general but clear direction. Our strategy of 2003 is an example (Colwood).
- A more formal approach is where a specialist is hired to develop the vision with staff and Council. The Customer Service Improvement Program in Sechelt is an example.

CAO #2

- Bi-annual planning and priorities sessions with management and Council.

CAO # 3

- Retreat session that is facilitated from an outside person.
- Clearly spelled out objectives.
- Review the report and keep it front and centre for each meeting so that decisions are made in light of getting to that vision.

CAO # 4

- Using Environmental Scanning (i.e., quickly looking for other relevant examples), simple documents, planning sessions and follow-up.
- Start with team meeting, have the team organize the process and use a facilitator (frees up CAO).
- Have department presentations on future needs.

CAO # 5

- Schedule a strategic planning session and solicit staff/public input

- Hire a consultant

CAO # 6

- Annual strategic plan and interim review.
- Use a facilitator in strategic planning.

CAO # 7 (no answer)

CAO # 8

- We start with community visioning. This is a process of public meetings, advisory committees, and facilitated workshops that establish what the community aspires to be (including the surrounding rural population).
- Then the City Council decides what parts of that vision they can be effective in bringing to realization and they establish a corporate vision.
- Then each department establishes its own vision of how it can produce outcomes that advance Council's overall objectives. Our next stop (not yet in place) is individual employee plans that establish departmental objectives.

<u>Things that work well in corporate strategic planning</u>

CAO #1

- Keep it brief, simple and refer to it often.

CAO #2

- Use an outside consultant to assist you.
- Revisit your plans regularly and amend them as necessary.

CAO # 3

- The Planning process must be done at least annually (or at minimum reviewed)—measurable outcomes reviewed regularly (e.g. monthly).

CAO # 4

- Limit the items that are addressed.
- Consider funding to check the reality/do-ability.
- Make sure document's format is usable.
- Incorporate plan in daily systems and follow up.
- CAO to take strategic position and Council must support.

CAO # 5

- Qualified consultant should perform the planning sessions.

CAO # 6

- Facilitator must understand local government and should use meaningful examples.
- Do over one day on weekend and allow Council to have time on their own.
- Staff should prepare their wish list/proposals before hand.

CAO # 7

- Implement a quality of life survey to residents using an outside consultant.
- Must engage public and Council.

CAO # 8

- Involvement. People who helped develop a plan work hardest to make that plan work.
- Concrete objectives. The longest journey starts with a single stop—it is important that mileposts are constructed that enable everyone to see that the journey is progressing—there should always be obtainable targets that will have the effect of advancing the organization towards the overall goal.

Interdepartmental Coordination

Structuring and facilitating interdepartmental coordination and cooperation?

CAO #1

- I tried to do this with and through the management team. The success is varied. In this organization there are traditional barriers between certain departments that are very hard to break down. May have to change the personalities in certain key positions to break it down.
- Sometimes it's a matter of intervening at the department head level and saying, "Cooperate or I'll kick your asses" "Don't piss me off or you won't like me much!".
- Other times it is a matter of counseling the department heads individually to help them work with each other and accept each others personalities, traditions and foibles.
- Sometimes it is easier just to take off to Italy for 3 weeks. They'll miss you and things may be better when you come back.

CAO #2

- Have regular management meetings and encourage staff cross-training.
- Occasional social events where everyone gets to know each other.

CAO # 3

- Regular, brief meetings with updates from departments and the review of the vision, strategies of the whole organization.

CAO # 4

- Encourage fun and humour (social events).
- Use team meetings, 360^{o} evaluations, staff sharing and internships.
- Prioritize budget items.
- Develop competencies with team together to get agreement.

CAO # 5

- Regular senior management meeting.
- All budget meetings held with all departments in attendance.
- Periodically attend other department meetings to bring insights to share—not to take over.

CAO # 6 (no answer)

CAO # 7

- Small structure/municipality helps avoid departmentalization.
- Physical proximity (being in same building and near each other).
- Weekly staff meeting with senior staff.
- Hire the right personality to begin with.

CAO # 8

- We have weekly senior staff meetings designed to re-emphasize corporate direction, advise of any new Council directions, assign specific tasks, and let each member of the management team know what his or her colleagues are working on. There are often areas departments work teams set up for particular projects.

<u>Impediments to interdepartmental coordination and cooperation</u>

CAO #1

- People's personalities and doing things the way they always have been done.
- Having a department head stay in the position way to long (beyond 10 years).

CAO #2

- Budget implications – if department heads are too guarded of their areas of responsibility, and don't see the bigger corporate picture.
- Conflicting personalities – conflicting mandates.

CAO # 3

- Staff who do not value the vision and strategy.

- Trying to find a process/system of communication that works for everyone some are verbal others like written communication, some like detail others like broad strokes).

CAO # 4

- Empire building, fear and political interference.
- Not part of evaluation – lack of participation.
- Lack of fairness in salary/benefits.
- Separation between public works and administration at City Hall.

CAO # 5

- Isolating departments (i.e., exclude from budget meetings) and not meeting collectively.

CAO # 6 (no answer)

CAO # 7

- Lack of interdepartmental discussions.
- Lack of respect for other departments.

CAO # 8

- Too limited a focus. We all serve the objectives of Council, but can sometimes miss the big picture.
- Perceptions of favoritism from the CAO.
- Failure to provide sufficient resources to a department, but maintaining high expectations for performance.

Team Building

What to do to build your Council as a team

CAO #1

- This is the mayor's job and I let him do it. Sometimes he consults me on solving specific problems or reaching specific objectives.
- It is important to give every councilor equal time and attention in the way they wish to have it. Not always easy or possible but it is something to strive for.

CAO #2

- Open communication encouraged.
- Policies which ensure all council members have the same information.
- Occasional social events.
- Joint committee appointments.

CAO # 3

- Social activities together and out in the community and at conferences.

CAO # 4

- Strategic Planning and a good budget process.
- Discuss outside of Council Chamber.
- Keep Mayor informed.
- Present all options and views and share information with all of Council.

CAO # 5

- Regularly advise them of their role—in doing so they become a team.
- Encourage them to respect all opinions.

CAO # 6

- Having Councilors with Meaningful portfolio.
- Good communication e.g., the CAO should have an open door policy for Council.
- Allow Council members to have input at each meeting.

CAO # 7

- Weekly informal Council meetings.
- Keep Council equality informed on significant matters.
- Encourage a relaxed, trusting environment.

CAO # 8

- Try to get front end agreement on the processes for decision-making, strategic planning, and issue identification.
- Create social situations where they can engage each other without focusing on a particular issue.
- Give them outcomes—let them see that if they can agree on a priority, I can deliver the result they want.
- Create a discussion format where they can challenge each other's ideas, without personalizing the debate.

<u>What to do to develop effective staff teams</u>

CAO #1

- Try to meet now and then to establish that they are a team. Have the team members lead as much as possible.

CAO #2

- Open communication encouraged and occasional social events.
- Policies which ensure all relevant staff have the same information.

CAO # 3

- Social times together.

CAO # 4

- Find common work and develop key competencies.
- Define what a good team is and encourage workers to form teams.
- Listen and respect recommendations.
- Add value only, do not micromanage.

CAO # 5

- Encourage, train, and promote.

- Recognize achievements and show appreciation for work effort.
- Regular feedback and communication.

CAO # 6

- Give clear direction and involve them in planning/development.
- Be a good listener and don't be judgmental.

CAO # 7

- Weekly staff meetings to keep staff informed.
- Being mutually respectful.
- Give authority with responsibility.

CAO # 8

- We are part of the National Quality Institute excellence programs, which has, as its base, job functions or project work teams—there is a structured format within the program to create, mature and support work teams, which we have adopted with very little alteration.

<u>Things that diminish teamwork</u>

CAO #1

- The failure to accept a common goal diminishes team work.
- Team members feeling not equally important to the team diminishes team work.

CAO #2

- Conflicting personalities, glory seeking and individualistic approach.
- Unclear objectives.

CAO # 3

- Expecting everyone to have the same commitment to the team.

CAO # 4 (no answer)

CAO # 5

- Lack of recognition.
- Lack of communication.

CAO # 6

- Unclear direction, roles and responsibilities.
- Autocratic CAO and too many bosses.

CAO # 7

- Not addressing issues or conflicts.

CAO # 8

- Poor communication.
- Lack of clear objectives.
- Arbitrary or unfair distribution of workload.
- Poor leadership.
- Lack of recognition.

Budgetary Control

Ensuring spending is within budget

CAO #1

- Have the management team develop the budget and hold them accountable for their portion of it.
- We have developed spending policies and budget tolerances that allow the department heads to under spend or in some cases over spend with proper reporting to council.

CAO #2

- Careful budgeting prior to project commencement and ongoing monitoring.
- Having a policy process to deal with extra costs that requires Council approval in advance.

CAO # 3

- Give out information to the appropriate spenders and have a regular monitoring (e.g., once a month) of expenditures in relation to budget.

CAO # 4

- Consider effect on next year's budget.
- Good director of finance.
- Quarterly review with staff/council.
- Progress on major projects (update).
- Keep an eye on staffing.

CAO # 5

- Hire a good treasurer and senior management.
- Must have faith in managers.
- Regular financial (monthly) statements circulated to management.

CAO # 6

- All expenditures through financial officers—give Council monthly report.

- Review budget before project is started.
- Get regular budget report from financial officer.

CAO # 7

- Use purchase orders and follow purchase policy (may require some training).
- Circulate monthly budget updates.

CAO # 8

- The CFO maintains a monthly year-to-date versus budget comparison and meets with each department head to review the monthly status.
- Each department head is responsible for reviewing their expenditure codes weekly, and for making sure all commitments for purchase of materials or services are funded by a purchase order authorized by the CFO.

Providing Cost Effective Solutions

Encouraging cost effective solutions?

CAO #1

- I do nothing. We expect people to be cost effective. Its part of the job.

CAO #2

- Use brain storming sessions and outside expertise.

CAO # 3

- Describe the taxpayers money as your own and challenge to find the best and fairest deals for the taxpayers

CAO # 4

- Challenge staff and be prepared to change. Contract out for flexibility.
- Zero budgeting and adopt best practices.
- Staff presentations at department head meetings.
- Network and find solutions with the community.

CAO # 5

- Reward employees for finding cost effective solutions.

CAO # 6

- Team planning (involve staff) and use competitive quotes.

CAO # 7

- Quotation/competitive bids and encourage innovative corporate culture.

CAO # 8

- We start by deciding what is to be accomplished. We then examine options and choose the best way of getting there. Cost is one determinant applied to the option review, but so is timeliness, service level, “excellence” within the meaning of the NQI program, Council objectives (i.e., energy efficiency, fair treatment of staff, etc.). Cost effectiveness is balanced with all other strategic objectives in decision-making.

Procedure Development

Recommendations on how to develop good procedures

CAO #1

- Review best practices.
- Consult with your colleagues in other municipalities.
- Think about what you are doing and figure out how to do it better. You're a professional so BE a professional. Don't expect to be rewarded for it.

CAO #2

- Review what's already been done by others (Civicinfo and other resources).
- Create them to fit your organization.
- Make them user friendly.

CAO # 3

- Be clear, short and develop procedures or policies for repeated circumstances not just for a one-time only activity.

CAO # 4

- Keep it simple, test them and be prepared to change.

CAO # 5

- Seek a lot of input, especially from other municipalities.

CAO # 6

- Update policy on regular (annual)basis.
- Use civicnet/other municipalities as a resource.
- Use lawyers to ensure policy is legal.
- Involve Council member responsible for portfolio and get public input.

CAO # 7

- Review policy manual with every new Council to ensure it is consistent with new Council values.
- Limit policy/procedure to important issues only.

CAO # 8

- Always remember that procedures are a means to an end. The process is not the outcome. A procedure is good if it leads to the desired results, and bad if it does not.
- The more clear, concise, and simple a procedure is, the better likelihood of it being successfully replicated over time.
- Accept that political considerations will create “brush fires” that fall outside policy or procedures, but try to make that the exception and not the rule.

How to ensure procedures are followed?

CAO #1

- There is a policy and procedure manual for certain policies and procedures. They are used as guidelines. If we do something different or contrary we meet first to figure out why and how it is better.

CAO #2

- Awareness and training.
- Have a regular review of procedures. If they are not being regularly followed, maybe they need to be changed.

CAO # 3

- Paper trail.

CAO # 4

- Review on a regular basis.

CAO # 5

- Circulate procedures every two years for recommendation.

CAO # 6

- Refer procedures to staff/Council/public involved.
- Clear direction.

CAO # 7 (no answer)

CAO # 8

- Make proper use of procedure a key element in performance review.

- Follow them yourself. If the CAO is "above" the necessity to follow guidelines, the procedure will be seriously undermined.
- Have an internal audit mechanism.
- Monitor results, are things getting done?

How to ensure procedures remain relevant

CAO #1

- Try and review them every 5 years.

CAO #2

- Regular review.

CAO # 3

- Review regularly and evaluate if they are meeting the intended need.

CAO # 4

- Review them regularly.

CAO # 5

- If a procedure seems wrong, re-evaluate it and change it if necessary.
- Fix it, do not break it.

CAO # 6

- Review annually and change as required.

CAO # 7

- Review policy manual with every new Council to ensure it is consistent with new Council values.
- Limit policy/procedure to important issues only.

CAO # 8

- We try to review all procedures annually and if the playing field changes (new legislation, a court case, Council changes priorities), an immediate review is undertaken. All new activities (new service, new facility, new program) are preceded by the development of specific procedures for that activity.

How to ensure that following procedures does not conflict with common sense

CAO #1

- Talk about it. If it is nonsense we change it.

CAO #2

- Regular review and provide management with latitude and flexibility.

CAO # 3

- Develop them with others not in isolation.

CAO # 4

- Test them.

CAO # 5

- Develop trust with staff and Council.
- Be a mentor, encourager, and developer of talent.

CAO # 6

- Create some flexibility in procedures.

CAO # 7

- Involving many staff to ensure it makes sense and especially those who have to implement it.

CAO # 8

- We have a fairness doctrine (by policy) that all individuals, and all situations, can expect fair treatment, and that fair may be different in different cases. Treated fairly, is not the same as treated equally.

Other Roles and Responsibilities

CAO #1

- You probably need to talk about the personality traits, defense mechanisms, attitudes and other similar traits you need to be an effective CAO. It certainly can't be the most important thing in your life or your fundamental identity characteristic as a human being.

CAO #2

- The CAO is the coach and mentor to staff.
- Know your council well enough to know what their expectations are.

CAO # 3

- Good human relationship skills are a necessity.
- Good verbal and written communication skills.
- Involvement in the community outside of the work role.
- Commitment to life-long learning and have a broad range of interests.

CAO # 7

- Must be objective and respectful even if you do not agree and maintain your own principles/values.
- Accept Mayor and Council as being the ultimate judge of the community.

CAO # 8

- The CAO has personal commitments and responsibilities, as a family member, with community organizations, and to him or herself. In a community of 20,000 people or less, the CAO is "at work" all the time—you'll get work questions at the grocery store or the arena, people will take their complaints directly to you when you're out for a job. The community will identify you with your job responsibilities. To succeed, you need to accept that, keep your sense of humor, and find ways to get "respite" from the job. You can't close yourself off from the community, or you'll be a faceless and ineffective bureaucrat. You can't sacrifice your personal life, or you'll tear yourself apart. You need to find a balance or you won't last in the business.

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Ian Christie, 360-Degree Evaluations,
http://mlb.monster.com/articles.360evaluation/

Appendix A

360-Degree Evaluations

by Ian Christie

Monster Contributing Writer

To grow personally and professionally, we need an accurate picture of our strengths and weaknesses. But how well do any of us know ourselves? That's when a well-implemented 360-degree evaluation can be constructive.

In a "360," four to eight individuals who work with you give you feedback on your job performance. The group will typically include your boss and a selection of peers, subordinates and, sometimes, customers.

Organizations use these popular, though often controversial, feedback programs to improve employee performance. The controversy surrounds the purpose of the programs and the inconsistent way they can be conducted. When done right, a 360 can be a useful career-development tool. Done wrong -- or for the wrong reason -- a 360 may cause lasting fear and anxiety among employees and create an atmosphere of distrust in the organization.

What to Watch For

Not all 360s are created equal. How you respond to your 360 and how you evaluate others could well depend on the following:

- **Purpose:** The 360 should be implemented as a performance-improvement and career-development tool only. For instance, data gathered in a 360 conducted as part of an annual salary review or in any other way that's not developmental can be used against you, such as to support a termination. If you find yourself in this situation, you and your colleagues will likely rate each other less constructively.
- **Anonymity:** Comments in your 360 should be anonymous. If they're not, the raters may not have felt free to say what they wanted. On the other hand, if you're giving feedback, you will need to balance being constructive with caution. Remember, you still have to work with these people tomorrow.
- **Confidentiality:** Data gathered in your 360 should be shared between you and the one person in the organization charged with helping you create a developmental plan. Without confidentiality, evaluators may provide less-genuine feedback and those being evaluated may not take the process as seriously. Depending on where you work, you may be able to request confidentiality.
- **Follow-up:** A well-implemented 360 program will assign a trained 360 coach to help you understand your feedback and develop an action plan based on it. This is a wonderful opportunity, so take advantage of it. If this support is not available, ask your manager to help you work out a plan. Without organized, constructive follow-up, the process can leave a trail of bad feelings and cynicism as well as undermine your confidence.

How to Benefit from a 360-Degree Evaluation

If your turn in the 360-degree hot seat is coming up, how can you get the most from the experience? Here are some tips:

- **Ask for Honest Feedback:** If you are serious about your development and the 360 has been implemented properly, consider asking trusted team members to be as

honest as possible when they evaluate you. Reassure them that you won't hold anything they say against them.

- **Don't Negate the Negative:** The best feedback honestly highlights what you are doing well and what you need to improve. In this context, negative feedback is a good thing. Without it, the process is useless. Therefore, don't be defensive.
- **Determine the Validity of the Information:** While you should be open to negative feedback, do a gut check on the comments that don't feel right to you. Because some evaluators may have less working knowledge of you than others, their comments may reflect an inaccurate picture. Others may use the 360 to push their own agendas. Consider asking a trusted colleague if he thinks the feedback you're questioning is accurate.
- **Take Action:** The data you'll receive will fall into three categories: things you can change, things you can't change and things you could change with difficulty and at personal cost. Don't worry as much about the things that are only marginally related to your career. Focus instead on those that may kill your chances for advancement if you don't improve them. Invest the time to develop a realistic action plan to address those areas that are essential to your career success.

With a clearer picture of your performance that a well-implemented 360 delivers, you are in a stronger position to take action on your career development.

[Ian Christie founded BoldCareer.com to help individuals build bold, fulfilling careers and help organizations attract, develop and retain talent. A career coach, consultant, three-time entrepreneur, former senior director at Monster and former retained executive search consultant, Ian Christie is an expert in the fields of careers and recruitment. He believes career management is a central theme to both personal and organizational effectiveness. BoldCareer.com offers career services to companies and individuals as well as free career resources.]

Appendix B

SUBJECT: COUNCIL POLICY DEVELOPMENT

The Council of the City of Small Town, British Columbia directs that:

1. The Council shall determine and adopt policies in accordance with procedure which it will establish in order to facilitate the broadest possible consultation with elements of the City including City employees who may have special knowledge of, or particular interest in, the policy under consideration.

2. Policies may be proposed for adoption, amendment or repeal at any Council meeting by any member of the City Council or by request to place the same on the agenda. Policies shall be adopted, amended or repealed by a majority vote of the members of the Council.

3. It is the wish and practice of the Council to consult groups affected by a proposed new or changed policy prior to making its final decision.

4. Except in an emergency situation, a thirty (30) day circulation period will be allowed to permit those interested in reacting to the policy to submit their ideas to the Council.

5. The Council reserves the right to formulate or delete policy and to modify existing policy for immediate implementation. Suggestions for new policy at Council level should be referred to the Chief Administrative Officer.

6. Suggestions for new policy or modifications to existing policy will be received by the Council from the Chief Administrative Officer and through him/her from any interested party.

7. Proposed policies will be screened on behalf of the Council to make sure that they are City wide in focus. Screening shall be done by a Policy Committee consisting of an appointed Councillor and the Chief Administrative Officer.

8. Proposed policies will be screened to assess their health impact on the community; including safety, environmental sustainability and economic impact.

9. If a situation arises in which the Council must act quickly, the Council may propose, discuss and adopt a policy at a single meeting; however, it is the practice of the Council to review such “emergency” policies after they have been in force for several months, to ensure that the policy is well-considered and remains appropriate for continued use.

10. Before any policy is finally adopted, the Council will expect to receive a report on the feedback obtained from the circulation period and a recommendation of disposition.

11. The formal adoption of policies will be recorded in the minutes of the Council; only those written statements so adopted and so recorded shall be regarded as official policies of the Council. Policies will go into effect immediately upon adoption, unless a specific effective date is provided in the motion to adopt.

12. Not less often than once every two years, the Council shall cause a review of the policies of the City to be made and shall receive the report on such review together with any recommendations for revision.

13. When action must be taken and the Council has provided no guidelines in policy, the Chief Administrative Officer shall have the power to act.

The decisions of the Chief Administrative Officer; however, will be brought to the Council's attention at its next regular meeting. It shall be the duty of the Chief Administrative Officer to inform Council promptly of any emergency action taken, and, if appropriate, to alert the Council to the need for policy.

APPROVED BY COUNCIL:

DATE: February 2, 1998

REAFFIRMED BY COUNCIL:

DATE: _____