

Council Policy No.:	CP2021-027 (formerly CP2016-003)
Council Policy Name:	City of Kawartha Lakes – Policy System
Date Approved by Council:	December 12, 2006
Date revision approved by Council:	April 20, 2021 CW2021-095/CR2021-195
Related SOP, Management Directive, Council Policy, Forms	Management Directive Template, Council Policy Template, SOP Template

Policy Statement and Rationale:

A framework for consistent and accountable documentation for decision-making and for actions of staff is important. The City of Kawartha Lakes Policy and Standard Operating Procedure (SOP) System contains a range of documentation formats to ensure consistency and accountability in decision-making while empowering timely and responsive action by staff of the Corporation. Such formats also support a Risk Management approach to decision-making while ensuring that decisions and actions of staff are addressed in a timely manner.

This system is not a substitute for, nor does it replace, the legal interpretation of any by-law, provincial or federal act or regulation.

Scope:

This policy applies to all city developed policies, management directives and department/division standard operating procedures and is intended to be a minimum standard for the Corporation.

This policy was developed in accordance with Section 224 b), c) and d) of the Municipal Act, 2001 which states:

It is the role of Council,

- a) to develop and evaluate the policies and programs of the municipality;

- b) to ensure that administrative practices and SOPs are in place to implement the decisions of Council; and
- c) to ensure the accountability and transparency of the operations of the municipality, including the activities of the senior management of the municipality.

Definitions:

Council Policy shall mean a document which requires the approval of Council, and which relates to the following:

- the subject matter/issue has a direct impact on a reduction or increase of service delivery or defining the level of service;
- the subject matter/issue has significant material financial implications;
- there is a desire for Council support of the policy for sound Risk Management and/or accountability reasons;
- the policy deals with governance issues not specifically addressed through the procedural by-law; and/or
- there is a requirement by legislation to have a Council approved policy.

Management Directive shall mean a document that does not require the approval of Council and that is issued by the CAO or delegated individual. A management directive relates to the following:

- defined authorities and accountabilities for staff;
- general operational guidelines which are deemed to be required to ensure a consistent level of service and/or decision-making by staff within the context of Council-approved policies, budgets or defined services;
- general operational guidelines that set out a consistent set of rules for staff to operate within to ensure consistent application for all staff; and/or
- legislated policies or SOPs mandated by another level of government where the program has been approved by Council through the budget process or by way of an agreement.

Department Standard Operating Procedures (SOPs) shall mean a document that requires the approval of the Director of the relevant department and relates to the following:

- work instructions for staff to implement an approved program, service, Council policy, legislative requirement or Management Directive;
- general operational procedures or guidelines which are deemed to be required to ensure a consistent level of service and/or decision-making by staff within the context of Council-approved policies, budgets or defined services.

Policy:

Policy and Procedures

1.0 Responsibilities for Policies, Directives and Procedures

1.01 Council is responsible for:

- final approval of all Council Policies for the Corporation of the City of Kawartha Lakes; and
- complying with City approved Council Policies.

1.02 The Chief Administrative Officer is responsible for:

- final approval of all Management Directives except where these have been delegated, or where they can be defined as work instructions, or where legislative requirements assign responsibility to a Director or City Clerk or a specific titled position;
- assigning and/or developing Council Policies and Management Directives which cover more than one Department and/or have corporate implications;
- re-confirming Council Policies and Management Directives at least once during each term of Council; and
- delegating appropriate authority for approval of Management Directives.

1.03 All Directors/Managers are responsible for the following within their scope of authority:

- ensuring their Departments and Divisions are in compliance with Council Policies, Management Directives and SOPs;
- delegating appropriate authority for approval of Department SOPs;
- developing Council Policies, Management Directives and Department SOPs;
- ensuring that the creation and revision of Council Policies and Management Directives is compliant with this policy;
- obtaining approval of Management Directives from the Chief Administrative Officer prior to implementation except those where they may have legislative responsibilities which supersede the CAO and/or as delegated by the CAO;
- initiating and implementing new Council Policies and Management Directives in a timely manner;
- reviewing all Council Policies and Management Directives and SOPs to ensure information is current, timely and relevant;
- obtaining appropriate stakeholder input and sufficient consultation when developing Council Policies or Management Directives;
- effective communication and training of staff who will be affected by the new or revised Council Policies, Management Directives and Department SOPs;
- recommending removal of obsolete Council Policies and Management Directives and removing Department SOPs;
- where hard-copies exist, removal of obsolete Council Policies, Management Directives and Department SOPs to prevent inadvertent use;

- retaining obsolete Department SOPs in accordance with the Records Retention By-law;
 - ensuring the notification to the City Clerk's Office of any changes/revisions/ replacements to Council Policies or Management Directives; and
 - checking applicable legislation and regulations to verify, and reference the most recent version. The Council policy should reference the legislation only and not include a copy of the legislation. Paraphrasing of legislation is not permitted.
- 1.04 The City Clerk is responsible for:
- maintaining a current central repository of the Council Policy and Management Directives Management system;
 - developing a notification system in consultation with Directors.
- 1.05 All staff members are responsible for:
- regularly reviewing Council Policies, Management Directives and Department SOPs for their respective department;
 - complying with Council Policies, Management Directives and Department SOPs;
 - ensuring the use of the most current version of a Council Policy, Management Directive or Department SOP;
 - notifying Director/Manager of obsolete Council Policies, Management Directives and Department SOPs;
 - reporting occurrences of non-compliance to practice standards to their immediate supervisor.

Council Policies

2.0 Issue and Approval of Council Policies

- 2.01 All Council Policies are established by decision of Council through the submission of a Report to Council.
- 2.02 Directors responsible for the business process are responsible for the issue of current and approved documentation. Input will be sought from key stakeholders in the development of Council Policies where overlapping functions are critical.
- 2.03 Where there are significant modifications or major rewrites of Council Policies, a secondary review is required with the key stakeholders and senior management. Minor edits which do not change the process or interpretation do not require review or approval. An example where no approval is required is where the only change to the Council Policy would be a position title change due to organizational changes. In these cases, through the relevant Director bringing the matter to his/her attention, the CAO has the authority to make the revision to the Council Policy and advise the City Clerk, who will revise the Council Policy and re-circulate.

3.0 Availability and Access Privileges for Council Policies

- 3.01 Council Policies are approved **before** being considered an expected standard of performance.
- 3.02 Access to any City Approved Council Policy within the Central Repository for the purpose of revision, shall be restricted only to the members of the Clerk's Office.
- 3.03 All other staff with network access shall have read and copy/print access to the Central Repository. New requests for access privileges are authorized by the City Clerk.

4.0 Notice of Council Policy Adoption and/or Change

- 4.01 All staff shall be notified of new or revised Council Policies when posted.
- 4.02 Notice of all new or revised Council Policies shall be placed on the employee website by the person within the Human Resource Division who is responsible for employee website content. A copy of the Council Policy shall be made available to staff by either placing it on the website or linking it to the Central Repository.

5.0 Forms

- 5.01 All Council Policies shall be submitted for approval on the standard corporate policy format.

Management Directives

6.0 Issue and Approval of Management Directives

- 6.01 All Management Directives are established through standardized actions for development, submission, approval, distribution, revision, implementation and archiving.
- 6.02 Directors or their delegates are responsible to develop Management Directives or Department SOPs in consultation with other departments that may be impacted by the content.
- 6.03 The CAO shall approve all Management Directives, except where approval been delegated or legislated to another position.
- 6.04 Once the CAO approves a Management Directive it will be submitted to the City Clerk for inclusion in the Central Repository.

- 6.05 Management Directives are approved before being considered an expected standard of performance.

Department SOPS

7.0 Issue and Approval of Department SOPS

- 7.01 All Department SOPS are established through standardized actions for development, submission, approval, distribution, revision, implementation and archiving established by the Director.
- 7.02 Directors responsible for the business process are responsible for the development of Department SOPS, or for delegating the authority for their development. Input will be sought from key stakeholders in the development of Department SOPS. Regard must be taken where department SOPS overlap with other departments.
- 7.03 Directors are responsible to ensure that Department SOPS are published, circulated and available to department staff and reviewed with them on a regular basis.

Revision History:

Proposed Date of Review:

Revision	Date	Description of Changes	Requested By
0.0	01/20/2021	Updated the Policy Template	
1.0	April 20, 2021	Updated Policy Number	Council