



Monitoring Implementation of City Policies

Date: June 5, 2017

To: Executive Committee

From: Executive Director, Strategic & Corporate Policy

Wards: All

SUMMARY

In 2016, City Council requested the City Manager report to Executive Committee to give input on the monitoring practices required to ensure the proper and appropriate implementation of Council policies.

There are a number of established practices undertaken by City staff and other City officials that are used to monitor the effectiveness of City policies and to ensure that these policies are implemented in a manner that meets Council objectives. These include periodic policy reviews, stakeholder consultations, and investigations by the City's Accountability Officers.

As the decision-making authority for the City, Council sets the City's policy direction and is ultimately accountable for whether City policies are being implemented effectively. If Council has concerns about City policies and how they are being implemented, there are a variety of channels available to ensure that there are opportunities for these concerns to be addressed. These include administrative inquiries and requests for City staff to report back, and direction to staff to revise or develop new policies for Council consideration and decision.

This report provides further detail on these monitoring practices and channels to ensure the effective implementation of City policy.

RECOMMENDATIONS

The Executive Director, Strategic & Corporate Policy recommends that:

1. Executive Committee receive this report for information.

FINANCIAL IMPACT

There are no financial implications from this report.

The Deputy City Manager & Chief Financial Officer has reviewed this report and agree with the financial impact information.

DECISION HISTORY

City Council on November 8 and 9, 2016 received a report from the City Manager on the Implementation of the Toronto Public Service By-law. Council requested the City Manager to report to Executive Committee in the second quarter of 2017 outlining the monitoring practices that are required to ensure the proper and appropriate implementation of Council policies, that make provisions for the input of concerns and affected Councillors and that are consistent with the Toronto Public Service By-law and the City of Toronto Act, 2006.

<http://app.toronto.ca/tmmis/viewAgendaItemHistory.do?item=2016.EX18.4>

COMMENTS

One of the roles of City Council under the *City of Toronto Act, 2006* (COTA) is to develop and evaluate the policies and programs of the City. Council is also responsible for ensuring that administrative and controllership policies, practices and procedures are in place to implement the policy decisions of Council. City staff are responsible for implementing the decisions of City Council in a manner consistent with the public services values set out in the Toronto Public Service By-law.

The *City of Toronto Act, 2006* and the Toronto Public Service By-law work in concert to establish roles and responsibilities of City Council and City and Agency employees, and set out the distinct roles that the public service and elected officials play in the effective functioning of Toronto's government. Together they outline Council's authority to create and review policies and the duty of the public service to implement policies as directed by Council.

City Council is the City's decision-making authority and is ultimately responsible for providing direction to staff on City policy. As Council is responsible to ensure that City policies are being properly implemented, this authority also provides Council with the ability to direct and make inquiries of staff, and to make changes to City policies as required.

In order to ensure that the City's policies are effectively implemented, various activities are undertaken to monitor and evaluate the effectiveness and efficiency of City policies.

Opportunities for Council Input in Implementation of City Policies

A variety of channels currently exist for Council to provide input, receive information and make decisions on City policies and their implementation. These include:

- **Council Direction:** Council has the authority to direct staff at any time to develop new or revise existing policies to reflect Council's strategic vision and direction for the City.
- **Administrative Inquiries** - Members of Council may make an administrative inquiry to staff and direct the City Manager or other relevant City staff to respond or report on matters related to the appropriate implementation of City policy. Council may simply receive the information, or use the information provided by staff as part of the decision-making process to make changes to City policy and/or how City policy is being implemented.
- **Policy Complaint Mechanisms** - Some City policies (for example, the Human Rights and Anti-Harassment/Discrimination Policy) provide specific mechanisms to monitor implementation and support complaint response and investigations. Council may use the procedures in existing City policies as a means to monitor implementation of the Policy.
- **Complaints or Requests to an Accountability Officer** - Depending on the nature of the complaint or issue, processes established by the offices of the City's Accountability Officers may assist Council with ensuring the effective implementation of City policy:
 - The Auditor General's Office assists City Council in holding itself and its administrators accountable for the quality of stewardship over public funds and the achievement of value-for-money in City operations. The Auditor General's office has the authority to conduct financial, operational, compliance, information systems, forensic and other special reviews of most City departments, agencies and corporations.

The Auditor General's Office was directed by Council to operate the City's Fraud and Waste Hotline Program, which receives allegations of fraud, waste or other wrongdoing involving City resources.

- The Ombudsman can undertake complaints-based and systemic investigations concerning administrative unfairness. The Ombudsman is also responsible for addressing concerns about City services and investigating complaints about issues or decisions that are: (a) contrary to legislative authority, (b) where there is a delay in taking a required action, or (c) when an action violates well established, known and accepted policies and procedures.
- The Integrity Commissioner may comment on City policy if it is relevant to a part of an investigation concerning the conduct of a member of Council under the Code of Conduct for Members of Council.

Policy Monitoring Practices

Activities that are carried out to monitor and evaluate City policies and their implementation include:

- Periodic reviews of policies by staff to ensure that they are up to date and meet the needs of the City and its residents.
- Regular stakeholder consultations to determine if any changes are needed to City policies and/or to gain feedback into the effective implementation of policies.
- Systemic reviews or investigations by the City's Accountability Officers (for example, the Auditor General and the Ombudsman) on whether and how City policy is being implemented or adhered to by City staff. These reviews and investigations generally result in reports to City Council who can then use the information to determine if change is required.
- Administrative inquiries by City Council of staff for information on City policy and how they are being implemented.

The results of these monitoring and evaluation activities provide City Council with the information it needs to determine whether change in either the policy or implementation practices are required.

CONTACT

Todd Orvitz, Director, Corporate Policy, Tel: 416-392-6783, Todd.Orvitz@toronto.ca

SIGNATURE

Peter Notaro
Executive Director, Strategic & Corporate Policy