



7th Chief Elected Official Forum

1:00 - Tuesday, December 6 to 3:00 -Wednesday, December 3, 2015
Radisson Inn, Richmond

“Seeking Alignment”

The CEO’s Role (& Mid-Term Check-In)

Participant Workbook

1. **Getting Started** – current context & introductions
2. **Alignment Framework** – roles & responsibilities
3. **Alignment Challenges** – success indicators & check-ins
4. **Council Alignment** – governance strategies & CEO role
5. **CAO Alignment** – expectations & performance
6. **CEO Alignment** – skills and behaviours

Lead by

Gordon McIntosh, PhD has 36 years of executive, consultant and educator roles and has conducted 1,200 sessions involving 130,000 elected and appointed civic leaders throughout Canada and overseas. He has just been working with the Government of Jamaica preparing

And joined by

Don Lidstone, Q.C. has practiced municipal law since 1980. His focus is in the areas of governance, finance, liability, the constitution, and aboriginal and environmental law. He has published numerous papers and manuals as well as consulted on the development of the British Columbia Community Charter and municipal statutes throughout Canada.

Gord-Howie has spent 37 years in senior leadership positions including CAO in Sooke, Prince Rupert and North Vancouver as well as Deputy CAO in Richmond. Gord received the Municipal Officers’ Association of BC Professional Award and in 2000 he was the first recipient of the Local Government Management Association of BC Distinguished Member Award.

Agenda

TUESDAY, DECEMBER 6, 2016

12:30 Check-in

1:00 to 2:00 – GETTING STARTED

- **National Trends** – CEO leadership influences
- **Session Overview** – Session and ‘Seeking Alignment’ Initiative process & expected outcomes
- **Introductions** – roundtable - personal areas of interest

2:00 to 3:30 – ALIGNMENT FRAMEWORK

- **Core Functions Framework** – Strategy, Policy, Services & Systems (review 2015 CEOF product)
- **Key Roles Matrix** – CEO, CAO, Council & Administration (review 2015 CEOF product)

Deliverable: Roles & Responsibilities Matrix

Network Break

4:00 to 5:30 – ALIGNMENT CHALLENGES

- **Organizational Success** – governance & administrative expectations
- **Organizational Check-in** – ‘real time’ CEO leader challenges and ideas

Deliverable: Organizational Checklist

6:00 to 8:00 LEADERSHIP DINNER

WEDNESDAY, DECEMBER 7

Breakfast

8:30 to 10:00 – COUNCIL ALIGNMENT

- **Alignment Strategies** – preventive and remedial tactics & tools
- **CEO Role** – techniques & coaching peers (one on one conversations)

Deliverable: Political/Administrative Alignment Strategies

Network Break

10:30 to 12:00 – CAO ALIGNMENT

- **CAO Expectations** – performance, competency and attributes profiling
- **CAO Performance** – approaches to coordinating CAO feedback

Deliverable: CAO Profile & CAO Feedback Strategies

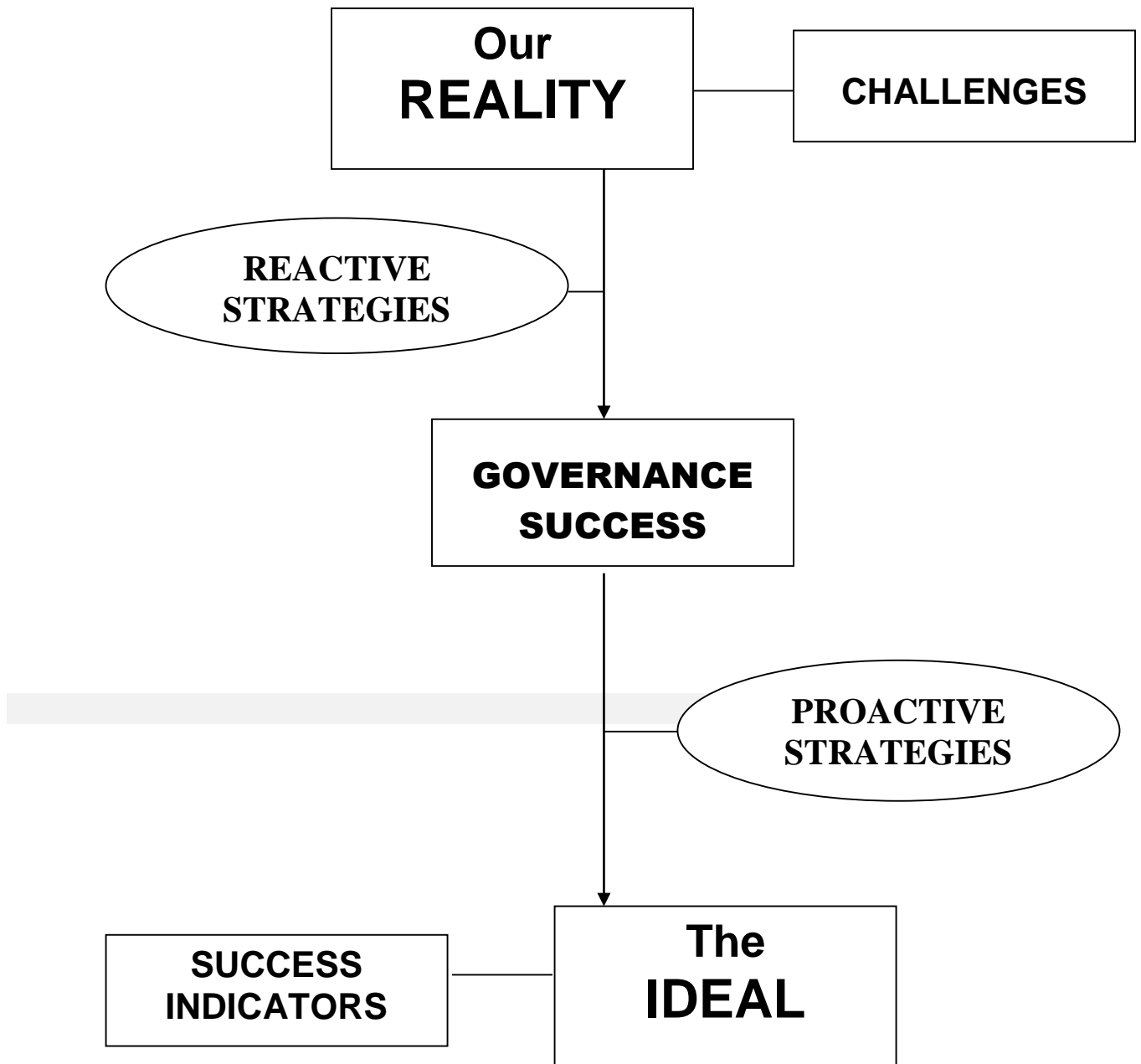
12:00 to 1:00 Lunch

1:00 – 3:00 – CEO ALIGNMENT

- **CEO Situations** – internal and external situations
- **CEO Leadership** – performance, competency and attributes profiling

Deliverable: CEO Profile

1.1 WORKSHOP FRAMEWORK



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1.2 LEADERSHIP INFLUENCES

TREND	INFLUENCE
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
<p>So What! - Two Significant Impacts on the CEO</p>	

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1.3 PARTICIPANTS

PARTICIPANT	ACCOMPLISHMENT
1.	
2.	
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PARTICIPANT	ACCOMPLISHMENT
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2.2 KEY ROLES

Council and Board Roles

The **role of council or a Board** can be summarized as:

- **Making policy** – makes decisions that fall within its delegated powers
- **Setting direction** – determines strategies to be pursued and services delivered
- **Representing the public interest** – reflect the broad interests of the community

Policy-making responsibility involves:

- **Ensuring adequate information** is available for good decision-making. This means that when council/board makes a decision it is fact-based.
- **Having a good debate** so that all views are heard in a respectful manner. All members should have an open mind to hear the views of their colleagues.
- **Establishing policy** that is clear and understandable by staff and the public. Administration clearly understands it and so do citizens.
- **Monitoring the impact** and unintended consequences of policy implementation. Targeted dates to evaluate the actual results.
- **Adjusting policies** as required based on new information, emerging conditions or changing resource conditions.

Direction setting role includes responsibilities such as:

- **Examining trends and conditions** to determine how external and community factors are impacting the community and municipality.
- **Soliciting a wide range of community views** and /or feedback to strategic directions for the community.
- **Creating a shared vision** that articulates a community direction through vision, mission, goal and objective statements.
- **Establishing action strategies** that translate the vision and objectives into action plans with target dates to monitor progress and results.
- **Ensuring funding is in place** to align strategies legislated powers and available fiscal and human resources.

Representing the **public interest** role involves responsibilities such as:

- **Responding to inquiries** – listen and to convey citizen concerns without getting too involved in day-to-day operations.
- **Advocating constituent concerns** – speak on behalf of specific citizen, group or community interests and concerns to Council or Board.
- **Representing the community** – reflect the broad interests of the community in making decisions.
- **Scrutinizing (monitoring) operations** – oversee operations to ensure they are effective and efficient.
- **Ensuring Transparency** – adhere to high ethical and accountability standards that are open to public scrutiny.

Administrative Roles

Staff or 'administration' helps council or a Board to be effective by:

- **Giving policy advice** – options for council/Board to make decisions
- **Implementing directions** – tasks aligned with Board/council's expectations.
- **Reflecting a body of knowledge** – knowledgeable for a specific civic function.

Administration's **giving policy advice** role involves:

- **Providing information** for council/board to make decisions. Provide any internal data and conduct research for further information for council/board
- **Clarifying expectations** so that research is focused. Both Council/Board and CAO need to describe the information required in staff report.
- **Providing options** so that council/Board can consider and debate alternatives. Providing only one option affects council's/board's confidence in staff.
- **Ensuring compliance** with legislation, policies and case law. Council/Board relies on administration to review legislative implications of pending decisions.
- **Indicating implementation requirements** by determining the funds and staff required. Council/Board should know the longer-term impact of the decision.

The **implementing directions role** of administration includes responsibilities such as:

- **Providing data and information** so that council can understand external and internal factors rather than just sentiment to develop strategic directions.
- **Developing action plans** to determine the activities required to implement council /board directions and deliver services.
- **Allocating resources** to ensure materials and staff are in place. Council/Board approves an overall budget; administration implements council/board directions.
- **Reporting on progress** to provide regular reports on activities and results. Also, gives confidence that administration is doing what political wishes.
- **Assessing performance** to ensure the operations are getting value for money. Council/board concerns or performance should direct them to the CAO.

The **reflecting a body of knowledge** or providing expertise role of administration involves responsibilities such as:

- **Ensuring relevance** by providing administrative rather than political advice. The role of staff is to provide facts, data and evidence regarding a matter.
- **Being objective** is a 'must have' characteristic for administration. That is not to say that staff should not have a recommendation to offer council/board.
- **Being thorough** is subjective. There are volumes of information, staff only has so much time, and elected officials have limited time to review staff reports.
- **Being resourceful** by maintaining a knowledge network. Staff should be encouraged to have peers and resources people that they can access.
- **Staying current** on new trends and information that affect their function. Learning must be considered a life-long venture for each staff person.

2.1 CORE FUNCTIONS

The Local Government Functions Framework depicts the political realm revolving around the municipality’s strategic direction and policy choices. Similarly, it portrays service delivery and system coordination as the primary functions in the administrative

POLITICAL REALM	
Strategic DIRECTION Vision for Future Organizational Mission Shared Values Long Term Goals Specific Objectives	Policy CHOICES Legislative Compliance Budget Allocations Policy Decisions Contract Arrangements Short Term Priorities
Systems COORDINATION Personnel Practices Information Systems Financial Accountability Performance Management Communications	Service DELIVERY Action Plans Production Systems Resource Schedules Delivery Strategies Service Standards
ADMINISTRATIVE REALM	

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Strategic Direction is set by Council/Board and implemented by staff. Council/Board strategic planning is usually based on input from staff. Staff work programs are subject to oversight by Council/Board. Some common activities include:

- Vision for the future that reflects the aspirations and needs of the community
- Organizational mission / mandate that defines the scope of what services and issues the municipality will pursue
- Long term goals that shape the key areas to achieve the vision of a community within the municipality’s mandate
- Specific objectives with measurable benchmarks for shorter term implementation to realize the longer-term goals
- Shared values that describe how the organization will operate and conduct its business

Policy Choices are made by Board/Council while operational decisions are undertaken by staff. Council/Board makes decisions using staff advice. Operating procedures are subject to Council/Board policy. Some common activities include:

- Legislative compliance that ensures the municipality's activities and policies are within its jurisdiction and subject to the proper process
- Budget allocations that determine how monies are required and will be spent to delivery service and achieve board/council's strategic directions
- Policy decisions that guide organizational member actions, citizen behaviours and community activities
- Contractual arrangements that define the municipality's obligation to others and vice versa
- Short term priorities that define exactly how resources will be allocated to deal with the implementation of services and community issues

Service Delivery is undertaken by staff in accordance with Board/Council expectations. Staff organizes resources to provide program. Council/Board monitors services to ensure value for money. Some common activities include:

- Action plans which are developed by supervisors to organize staff time and organizational resources in a sequential manner
- Production systems which are maintained by ensuring equipment, technology and supplies are working
- Program schedules which are promoted to make consumers and the public aware of how to access municipal services
- Delivery strategies which are explored to use alternative service methods and maximize service efficiency
- Service standards that are developed to reconcile available resources with achievable service expectations.

Systems Coordination is required to sustain the internal harmony and external credibility. Some common activities in this function include:

- Personnel practices which are put in place to ensure a respectful and productive work place for staff, contractors and volunteers
- Information systems which are essential for the assembly of information for decision making and retrieval of records
- Financial accountability which is the focus of checks and balances along with fiscal recording to ensure the prudent use of funds
- Performance management tools which set and measure performance expectations with steps to continually seek service excellence
- Communications that keeps everyone informed internally and externally to promote services and gain public support

2.2 RESPONSIBILITIES

SOURCE: CEO Forum (22 Mayors & Chairpersons)

March 2011

<p><u>STRATEGIC DIRECTION</u></p> <ol style="list-style-type: none"> 1. Viable and useable strategic plan 2. Timelines for action 3. Ongoing monitoring system 4. Criteria to set priorities 5. Follow-through on decisions 6. Stakeholder involvement/support 	<p><u>POLICY CHOICES</u></p> <ol style="list-style-type: none"> 1. Legislative & policy compliance 2. Diverse, practical options analyzed 3. Clearly defined problem & expectations 4. Transparent discussion and consultation 5. Sound understanding of issue 6. Consistent policy Implementation
<p><u>COUNCIL or BOARD ROLE</u></p> <ul style="list-style-type: none"> • Advocate for a strategic planning process • Ensure organization stays the course • Articulate a vision and long term direction • Set shorter term strategic priorities • Consult with staff and community 	<p><u>COUNCIL or BOARD ROLE</u></p> <ul style="list-style-type: none"> • Identify problems for attention • Describe desired policy outcomes • Consider all views & information • Conduct respectful debate • Convey political decisions to community
<p><u>ADMINISTRATION ROLE</u></p> <ul style="list-style-type: none"> • Coordinate process logistics • Report on progress and results • Advise on capacity requirements • Manage work program efficiency • Provide input to strategy development 	<p><u>ADMINISTRATION ROLE</u></p> <ul style="list-style-type: none"> • Provide high quality, timely information • Maintain a follow-up system • Seek clarity re: political expectations • Ensure policy compliance • Suggest matters for policy consideration
<p><u>SYSTEM COORDINATION</u></p> <ol style="list-style-type: none"> 1. Staff development & retention 2. Good internal communication 3. Sufficient staff & resources 4. Valued-based work place – respect, etc. 5. Ongoing performance assessment 6. Useful technology systems 	<p><u>SERVICE DELIVERY</u></p> <ol style="list-style-type: none"> 1. High customer satisfaction 2. Timely response or processing 3. User-friendly access and response 4. Constant attention to improvements 5. Favourable efficiency metrics 6. Responsive to community needs
<p><u>COUNCIL or BOARD ROLE</u></p> <ul style="list-style-type: none"> • Foster political confidence in staff • Approve fiscal resources & staff levels • Maximize external & public communication • Promote respect among Council members • Ensure organizational performance reviews 	<p><u>COUNCIL of BOARD ROLE</u></p> <ul style="list-style-type: none"> • Refer complaints/feedback via the CAO • Determine service standards • Establish service agenda • Ensure regular monitoring • Interpret & manage public expectations
<p><u>ADMINISTRATION ROLE</u></p> <ul style="list-style-type: none"> • Seek continuous improvement • Facilitate a positive work environment • Coordinate information systems • Assess programs, services & functions • Supervise staff (recruitment & retention) 	<p><u>ADMINISTRATION ROLE</u></p> <ul style="list-style-type: none"> • Deliver reliable services • Follow-up on complaints • Inform Council/Board on sensitive issues • Schedule staff and resources • Ensure value for money

2.3 DETAILED RESPONSIBILITIES

SPHERE _____

ELECTED	ADMINISTRATION
<u>EXPECTATIONS</u> 1. 2. 3.	<u>EXPECTATIONS</u> 1. 2. 3.
<u>ROLES</u> 1. 2. 3.	<u>ROLES</u> 1. 2. 3.
<u>RESPONSIBILITIES</u> 1. 2. 3. 4. 5.	<u>RESPONSIBILITIES</u> 1. 2. 3. 4. 5.
<u>COMPETENCIES</u> 1. 2. 3. 4. 5.	<u>COMPETENCIES</u> 1. 2. 3. 4. 5.

2.4 CEO & CAO ROLES

SOURCE: CEO Forum (22 Mayors & Chairpersons)

March 2011

<u>STRATEGIC DIRECTION</u>	<u>POLICY CHOICES</u>
<p><u>CEO ROLE</u></p> <ul style="list-style-type: none"> • Advocates for a strategic planning process • Ensures priorities are adhered to • Seeks an overall shared political vision • Schedules regular strategic reviews • Encourages public consultation 	<p><u>CEO ROLE</u></p> <ul style="list-style-type: none"> • Facilitates effective debate & meetings • Ensures process transparency • Communicates political decisions to media • Ensures issue is understood by Council • Helps colleagues to be effective
<p><u>CAO ROLE</u></p> <ul style="list-style-type: none"> • Coordinates process logistics • Reports on progress and results • Organizes resources to achieve results • Advises on capacity requirements • Engages staff in the planning process 	<p><u>CAO ROLE</u></p> <ul style="list-style-type: none"> • Ensures high quality, timely information • Maintains a follow-up system • Translates political direction to staff • Provides objective options for debate • Ensures legislative compliance
<u>SYSTEM COORDINATION</u>	<u>SERVICE DELIVERY</u>
<p><u>CEO ROLE</u></p> <ul style="list-style-type: none"> • Fosters political confidence in staff • Provides political advice to CAO • Liaises effectively with the CAO • Ensures transparent processes • Facilitates CAO performance reviews 	<p><u>CEO ROLE</u></p> <ul style="list-style-type: none"> • Refers complaints to CAO • Encourages political recognition of staff • Facilitates service reviews • Chairs policy/level decisions • Helps interests to be heard
<p><u>CAO ROLE</u></p> <ul style="list-style-type: none"> • Seeks continuous improvement of systems • Facilitates a positive work environment • Ensures capacity consistency to expectations • Manages seamless, integrated systems • Ensures access to information 	<p><u>CAO ROLE</u></p> <ul style="list-style-type: none"> • Oversees service delivery • Ensures follow-up on complaints • Advises officials of sensitive issues • Promotes customer service excellence •

2.3 CEO/CAO RESPONSIBILITIES

SPHERE _____

ELECTED	ADMINISTRATION
<u>ROLES</u> 1. 2. 3.	<u>ROLES</u> 1. 2. 3.
<u>RESPONSIBILITIES</u> 1. 2. 3. 4. 5.	<u>RESPONSIBILITIES</u> 1. 2. 3. 4. 5.
<u>COMPETENCIES</u> 1. 2. 3. 4. 5.	<u>COMPETENCIES</u> 1. 2. 3. 4. 5.

3.1 GOVERNANCE CHECKLIST

The collaborative approach to political/administrative relations defies absolute roles. In short, the role alignment process is always evolving with responsibilities expanding and shrinking, tasks changing and expectations shifting to suit the organizational context. Like any relationship, it is handy to have a shared view of success – a checklist to conduct regular check-ins to make sure the political/administrative or management/staff interface is working even amidst contentious issues, internal challenges and external pressures.

Two types of expectations were solicited:

- **Measurable** - quantifiable through percentage or numerical values or tangible such as *meetings end on time*
- **Observable** - qualitative through perceptions or feelings such as *people feel they were heard*

CORE FUNCTION _____

SUCCESS INDICATORS	Observable/Measurable
1. _____	<ul style="list-style-type: none"> • • • • •
2. _____	<ul style="list-style-type: none"> • • • • •
3. _____	<ul style="list-style-type: none"> • • • • •

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3.2 ASSESSING EFFECTIVENESS

Two good questions to ask when using the governance checklist are:

- **What is Working Well** – celebrate what we do well
- **Areas for Attention** – determine opportunities for improvement

Good Practices (What Works Well)	Development Needs (Areas for Attention)
1. _____	• •
2. _____	• •
3. _____	• •
4. _____	• •
5. _____	• •
6. _____	• •
7. _____	• •
8. _____	• •

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4.1 GOOD GOVERNANCE STRATEGIES

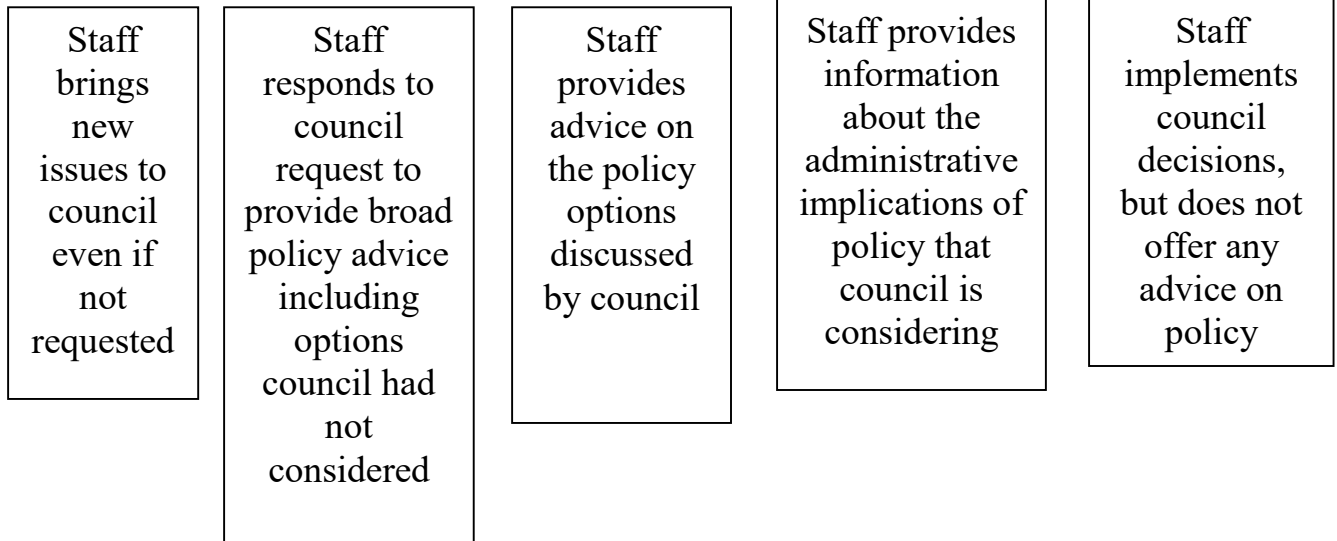
CHALLENGE (Expectations, Behaviours, Practices)	STRATEGIES (CEO, Organizational & Council)	ROLES
	PROACTIVE REACTIVE	CEO CAO
	PROACTIVE REACTIVE	CEO CAO

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5.1 COUNCIL/STAFF BARGAIN

Proactive

Reactive



5.2 CAO PROFILE

Abilities & Behaviours	Responsibility	Skills & Knowledge
	1.	
	2.	
	3.	
	4.	
	5.	
	6.	
	7.	
	8.	
	9.	
	10.	

5.3 CAO FEEDBACK

METHOD/CEO Role	Pros & Cons
1. As Required	
2. Check-Ins	
3. CEO/CAO	
4. Face to Face	
5. 180 internal	
6. 360 internal & external	

5.4 CAO FEEDBACK GUIDANCE

Steps & Principles



5.5 CAO EVALUATION GUIDANCE

Steps & Principles



6.1 CEO PROFILE

Abilities & Behaviours	Responsibility	Skills & Knowledge
	1.	
	2.	
	3.	
	4.	
	5.	
	6.	
	7.	
	8.	
	9.	
	10.	

MY TAKE AWAY

One IDEA I gained from the session

One STRATEGY I will pursue in my organization

One PERSONAL UNDERTAKING I will pursue to be more effective

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NOTES