

Category: Governance

Title: Governing Policy for Corporate Policy Program

Policy Number: GOV-100

Approved by: Council Resolution No.

Administered by: Office of the CAO

Effective: [insert Date]

1. Background

The City of Brampton has a Corporate Policy Program which provides the foundation for good governance to ensure consistent and transparent delivery and operation of City services, programs, and facilities.

Council Policies and Administrative Directives provide clear direction on how the City governs itself and have corporate-wide implications. They communicate City priorities, provides guidance for present and future decisions, sets standards of performance and service delivery, and articulates principles of acceptable behaviour and action.

The creation of Council Policies and Administrative Directives can frequently bring about the creation of other supporting documents to more specifically guide staff in the application of Council and Corporate Leadership Team (CLT) intentions.

Sections 225, 227, and 229 of the *Municipal Act, 2001*, as amended, outline the role of Council, the Chief Administrative Officer, and City Administration in the development and approval of policies.

Staff should refer to the City of Brampton's Guide to Quality Policy Development and Review for instruction on quality standards and how policy is developed, approved, reviewed and made public.

2. Purpose

The purpose of this Policy is to:

- a) Provide a framework for the development, review and approval of Council Policies and Administrative Directives;
- b) Define lines of accountability; and
- c) Ensure proper measures are in place for compliance, and corporate-wide consistency.

3. Application and Scope

This Policy applies to:

- a) All Members of Council, and staff of the City of Brampton; and
- b) All Council Policies and Administrative Directives.

3.1 Exceptions:

This Policy does not apply to:

- a) Standard Operating Procedures; and
- b) Guidelines.

4. Outcomes

- 4.1 Open government, transparency and accountability through public posting of Council Policies and Administrative Directives on the Policy Library.
- 4.2 Policies are consistent and complementary and support good governance and decision-making.
- 4.3 Accurate tracking and monitoring of records of Council Policies and Administrative Directives through the Policy Registry and Policy Library.

5. Principles

- 5.1 **Accountability and Transparency** – Council Policies and Administrative Directives are part of the foundation of a well-run city and apply to political process, decision-making and the administrative management of the City. These are a priority in maintaining trust in Council and in the management of the City.
- 5.2 **Adherence to Legislative Requirements** – This Policy ensures the City develops and maintains policies consistent with legislative requirements.
- 5.3 **Quality and Standardization** – This Policy ensures the application of quality standards, rigour and consistency to Council Policies and Administrative Directives to ensure alignment and integration of decision-making. This ensures policy work is completed by the appropriate level of authority in a timely and efficient manner.

6. Policy Statements

6.1 The level of approval required for a policy document (Council Policy and Administrative Directive) is dictated by the subject matter.

6.1.1 Council Policies seek Council approval for matters related to:

- a) A legislative requirement that a “municipality” shall have a policy;
- b) A significant risk of liability to the City;
- c) A desire to articulate City’s position on a public issue;
- d) A specific request from Council for the policy;
- e) Matters that affect the public in a direct and significant way;
- f) Budgetary matters;
- g) Public accountability;
- h) Strategic direction of City programs and services;
- i) Self-governance; and
- j) Any other matter Council wishes to address.

6.1.2 Administrative Directives seek CAO approval and CLT consultation for matters related to:

- a) Implementation of Council decisions;
- b) Matters that do not meet the criteria of Council Policies as outlined in 6.2; and
- c) The administrative management of the City as per the *Municipal Act, 2001*.

6.2 Approval of amendments and rescindment of existing Council Policies and Administrative Directives falls upon the initial Approval Authority whether it be Council or the CAO.

6.3 Council Policies and Administrative Directives will be reviewed and updated a minimum of every 3 years or more frequently if required by legislation or business practices to ensure they continue to meet the needs of the City.

6.4 Council Policies and Administrative Directives will be communicated and be easily accessible through the Policy Library to Council, City Administration,

and the general public in order to promote accountability, transparency, and openness.

- 6.5 Exceptions will be made to posting Council Policies and Administrative Directives publicly for matters that deal with security, confidentiality and/or emergency measures. These will be made at the discretion of the CAO.

7. Roles and Responsibilities

7.1 Council is responsible for:

- a) developing and evaluating the policies and programs of the City;
- b) ensuring that policies, practices, and procedures are in place to implement the decisions of Council;
- c) ensuring their staff comply with this Policy; and
- d) acting as an Approval Authority by approving, amending, and rescinding Council Policies.

7.2 The Chief Administrative Officer (CAO) is responsible for:

- a) approving, amending, and rescinding Administrative Directives
- b) ensuring Council has appropriate policies to ensure services are delivered with accountability and due diligence;
- c) ensuring Council's policies, plans, and decisions are implemented; and
- d) acting as an Approving Authority while ensuring the Corporate Leadership Team (CLT) is consulted in the review and approval of Administrative Directives that focus on the general control and administrative management of the City.

7.3 The Corporate Leadership Team (CLT) is responsible for:

- a) acting as the advisory board for the CAO in the process of approving, amending and rescinding of Administrative Directives; and
- b) ensuring Council Policies and Administrative Directives align with current practices and precedents to ensure a complementary organizational policy environment;

7.4 Department Heads are responsible for:

- a) keeping Council Policies, Administrative Directives, and other supporting documents associated with their areas of program up-to-date;

- b) working through the City Solicitor to obtain any legal advice and consulting with other affected divisions/departments and any additional consultations as appropriate, in the development of Council Policies, Administrative Directives and supporting documents;
- c) ensuring coordination with the Corporate Policy Team for Council Policies and Administrative Directive development and reviews.
- d) ensuring implementation, communication and ongoing monitoring of Council Policies, Administrative Directives, and any other supporting documents; and
- e) ensuring staff comply with this Policy.

7.5 Supervisors are responsible for:

- a) keeping Council Policies, Administrative Directives, and other supporting documents associated with their areas of program up-to-date;
- b) ensuring coordination with the Corporate Policy Team for Council Policies and Administrative Directive development and reviews.
- c) ensuring that Council Policies and Administrative Directives are developed and maintained in accordance with this Policy; and
- d) ensuring their staff comply with this Policy.

7.6 All Staff are responsible for:

- a) understanding, and acting in accordance with this Policy.

7.7 Director Internal Audit or designate is responsible for:

- a) reviewing Council Policies and Administrative Directives as part of the approval process, if appropriate,

7.8 Corporate Policy Manager or designate is responsible for:

- a) administering and co-ordinating the City's Corporate Policy Program and keeping this Policy up to date;
- b) establishing and updating templates for policy documents and guidelines to ensure consistent format and assist staff in effective policy writing;
- c) identifying conflicting provisions between Council Policies and/or Administrative Directives and assisting in their resolution;

- d) consulting and providing advice in the development, review or rescission of a Council Policy and Administrative Directive;
- e) reviewing Council Policies through committee/Council agenda management workflow;
- f) reviewing Administrative Directives prior to CAO/CLT approval of Administrative Directives;
- g) co-ordinating the annual policy review cycle; and
- h) classifying, indexing, and incorporating policies into a Policy Registry and co-ordinating their publication in the Policy Library consistent with section 6.7.

8. Monitoring and Compliance

- 8.1 Council Policies and Administrative Directives will be reviewed and updated a minimum of every 3 years or more frequently if required by legislation or business practices to ensure that they continue to meet the needs of the City.
- 8.2 Corporate Policy Unit may provide an Obsolete Policy Report to Council on behalf of other business units whose policies are out of date, redundant and/or ineffective and should be rescinded.
- 8.3 Consequences of non-compliance
 - 8.3.1 Failure to follow this Council Policy may result in Council Policies and Administrative Directives that:
 - a) do not meet quality standards and are non-compliant with current legislation;
 - b) are out-of-date, provide contradictory direction which may impact decision-making and/or service and program delivery; and
 - c) may result in reputational risk due to unaccountable and non-transparent practices.

9. Definitions

- 9.1 **Administrative Directive** – is a policy document that is a written statement of position, intent, or direction on matters that focus on the internal operations and/or administration of the City. It provides guidance for present and future decisions, sets standards of performance and service delivery, and articulates principles of acceptable behaviour and action. CAO is the Approving Authority

for all Administrative Directives and conducts the approval in consultation with the Corporate Leadership Team (CLT).

- 9.2 **Approval Authority** – means Council for all Council Policies and CAO for all Administrative Directives.
- 9.3 **Corporate Policy Program** – is the framework that guides policy development, review, and to build policy capacity. It also ensures a solid foundation from which the City can govern itself efficiently and effectively in a manner which is accountable, transparent and consistent with legislative obligations.
- 9.4 **Council Policy** – is a policy document that is a written statement of position, intent, or direction. It communicates City priorities, provides guidance for present and future decisions, sets standards of performance and service delivery, and articulates principles of acceptable behaviour and action. Such policies may include those that have legislative requirements, are externally focused or have implications for budgets. Council is the Approving Authority for all Council Policies.
- 9.5 **Guideline** – means a supporting document that operationalizes a Council Policy or Administrative Directive, service and/or program and may be related to a direction, although they are not subject to the same governance or enforcement as Council Policies or Administrative Directives on their own.
- 9.6 **Obsolete Policy Report** – is a mechanism by which the Corporate Policy Team can bring forward obsolete policies that are redundant, no longer needed and are recommended for rescindment.
- 9.7 **Policy Library** – is the official point of reference for all active Council Policies and Administrative Directives at City of Brampton. There is an internal (Brampton’s Corporate Library) and an external (Brampton’s Policy Library) Policy Library.
- 9.8 **Policy Registry** – tracks the policy documents and initiatives through their lifecycle
- 9.9 **Policy Repository** – retains the official copies of Council Policies and Administrative Directives in accordance with the Records Retention By-law.
- 9.10 **Program** – planned and co-ordinated groups of activities or services often for a specific purpose or are intended to meet a public need, managed in a coordinated manner, and may be developed to implement a policy direction.
- 9.11 **Standard Operating Procedure (SOP)** – is a supporting document that operationalizes a Council Policy or Administrative Directive, program and/or service with step-by-step instructions to help staff carry out routine tasks.

9.12 **Supervisor** – is a person who is in charge of a Workplace or authority over an Employee and can include, but is not limited to, Members of Council, Senior Leaders, Directors, Managers, or Supervisors.

10. References and Resources

This Policy should be read and applied in conjunction with the following references and resources as updated from time to time. Please note that some of the following documents may not be publicly available.

External references

- [Municipal Act, 2001](#)

References to related bylaws, Council policies, and administrative directives

- [Administrative Authority By-law 216-2017](#)
- [Records Retention By-law](#)

References to related corporate-wide procedures, forms, and resources

- [City of Brampton's Guide to Quality Policy Development and Review](#)
- [City of Brampton's Policy Library \(external\)](#)
- [City of Brampton's Corporate Library \(internal\)](#)

Revision History

Date	Description
2015/12/09	Replaced previous version approved in 2002
2017/10/11	Replaced previous version approved by CS172-2015
2020/ /	Scheduled Review. Updates Governing Policy 1.1.0 to: <ul style="list-style-type: none"> • Re-name to Governing Policy for Corporate Policy Program (GOV-100) • Clarify definitions of Council Policy, Administrative Directive, SOPs and Guidelines • New definitions added: Approval Authority; Policy Library; Policy Registry and Policy Repository; Supervisor • Clarify role of the Corporate Leadership team as the advisory board for the CAO • Clarify roles and responsibilities, adding Internal Audit and Supervisors; • Clarifying development, review, approval and rescission processes; • Changes made to comply with Corporate Policy Program template including adding outcomes and principles,

Date	Description
	consequences of non-compliance, and references and resources. <ul style="list-style-type: none"><li data-bbox="492 338 1365 373">• Housekeeping amendments to improve readability and flow