

Proposed amendments to the Statutory Officer Recruitment, Appointment and Contract Administration Procedures to provide for performance reviews of the Auditor General and City Manager

Amend the Auditor General and City Manager “Contract Administration” sections of the Statutory Officer Recruitment, Appointment and Contract Administration Procedures as follows:

- Auditor General:

Terms and conditions of appointment – Council shall, by public resolution, approve any amendments to the terms and conditions of the Auditor General’s appointment, including but not limited to contract, job description and salary matters that go beyond terms and conditions previously approved by Council. The resolution shall specify any relevant amendments and delegated authority with respect to same. The resolution shall also provide “reporting out” requirements with respect to the exercise of delegated authority.

Performance reviews – The Mayor and the Chair and Vice-Chair of the Audit Committee have delegated authority to conduct confidential performance review meetings for the Auditor General based on written weighted evaluation forms filled out by each Member of Council, in accordance with the process set out in Appendix B. The results of the meetings shall be reported to Council in the manner deemed most appropriate by the Mayor, in consultation with the City Clerk.

Vacation leave, sick leave, expense reports and similar matters – The Mayor has delegated authority to consider and approve/reject vacation leave, sick leave, expense reports and similar matters for the Auditor General.

- City Manager:

Terms and conditions of appointment – Council shall, by public resolution, approve any amendments to the terms and conditions of the City Manager’s

appointment, including but not limited to contract, job description and salary matters that go beyond terms and conditions previously approved by Council.

The resolution shall specify any relevant amendments and delegated authority with respect to same. This may include setting out the delegated authority being approved to seek, negotiate, finalize and/or execute a contract extension as well as any required changes to the contract with respect to term, remuneration, benefits and notice period. The resolution shall also provide “reporting out” requirements with respect to the exercise of delegated authority.

Performance reviews – The Mayor and Deputy Mayors have delegated authority to conduct confidential performance review meetings for the City Manager based on written weighted evaluation forms filled out by each Member of Council, in accordance with the process set out in Appendix B. The results of the meetings shall be reported to Council in the manner deemed most appropriate by the Mayor, in consultation with the City Clerk.

Vacation leave, sick leave, expense reports and similar matters – The Mayor has delegated authority to consider and approve/reject vacation leave, sick leave, expense reports and similar matters for the City Manager.

Add new Appendix B to the Statutory Officer Recruitment, Appointment and Contract Administration Procedures as follows:

Appendix B – Performance Review Process

Annual

1. The performance of the Auditor General/City Manager shall be reviewed annually in accordance with this process.

Written Weighted Evaluation Form

1. The performance review for the Auditor General/City Manager shall include a written weighted evaluation form, filled out by each Member of Council, to assess performance factors, performance measures, key deliverables and core behaviours.
2. The evaluation form process shall provide for all Members of Council to provide comment.

3. Examples of evaluation forms are provided below.

Process

1. The process shall commence at a time of choosing by the Mayor but shall be on an annual basis.
2. The Mayor shall review the previous year's evaluation form and may adjust the present year's form to include assessment of special projects, assigned issues and/or key objectives that may arise from time to time.
3. The Mayor shall provide the Auditor General/City Manager with a copy of the proposed present year's evaluation form and request whether the Auditor General/City Manager has any questions or concerns regarding same.
4. The Mayor shall request that the Auditor General/City Manager provide a submission as it relates to their achievements and successes over the past year.
5. Once the present year's evaluation form is finalized, the Mayor shall send the evaluation form and the Auditor General/City Manager's submission to all Members of Council.
6. Members' responses will be kept confidential in accordance with provisions of the *Municipal Freedom of Information and Protection of Privacy Act*, and Members are not required to answer any or all of the questions on the evaluation form.
7. Once Members have had an opportunity to complete and return the evaluation form to the Mayor (or Mayor's designate), the Mayor, with other approved Council designates, shall meet with the Auditor General/City Manager to review the outcome of the evaluation.
8. To complete the process, the Auditor General/City Manager shall respond in writing to the Mayor with respect to the feedback.
9. The Auditor General/City Manager shall be requested to sign the evaluation. The original shall be kept with the Auditor General/City Manager's employee file in accordance with any record-keeping requirements, with copies to the Auditor General/City Manager, as the case may be.
10. The Mayor shall consult with the City Clerk with respect to the manner deemed most appropriate to report the results of the performance review meetings to Council, and shall report the results of the meetings to Council accordingly.

Administration

- 1. The City Clerk may assist with the administration of this process in a confidential manner upon request from the Mayor. Examples of administration may include, but not be limited, to providing Members of Council with the evaluation form and confidentially receiving responses received from Members of Council on behalf of the Mayor, and administering meetings of the performance review designates.

Confidentiality

- 1. In accordance with confidentiality provisions of the Statutory Officer Recruitment, Appointment and Contract Administration Policy and Procedures, all Members of Council and City staff involved in the performance review process are required to hold in strict confidence all confidential information concerning the process. City staff must abide by confidentiality provisions of the *Municipal Freedom of Information and Protection of Privacy Policy* (MFIPPA), the Employee Code of Conduct and applicable contract provisions relating to confidential and/or personal information. Members of Council are also subject to MFIPPA, as well as provisions of the Code of Conduct for Members of Council relating to confidentiality.

Evaluation Form Examples

Auditor General

Note that the Mayor may adjust the present year’s form to include assessment of special projects, assigned issues and/or key objectives that may arise from time to time.

Auditor General Performance Review

Please note that responses will be kept confidential in accordance with provisions of the *Municipal Freedom of Information and Protection of Privacy Act*. Members are not required to answer any or all of the questions.

Name: _____

Employee Information:	
Name:	

Position Title:	Auditor General	Review Period:	From:
			To:

Performance Factors:	
Description	Rating
<p>1. Communication with Council</p> <ul style="list-style-type: none"> • Effective written and oral presentation • Openness to Mayor and Council feedback • Brings forward appropriate and timely reports • Effective evaluation and dissemination of information • Effectively communicates audit plans and resource requirements, including any impact of resource limitations, to City Council, through the Audit Committee 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>
<p>2. Audit and Risk Management Activities</p> <ul style="list-style-type: none"> • Appropriately performs the duties and functions and exercises the powers assigned • Strong program management to achieve objectives or actions of the audit plan • Ensures audits and risk assessment activities add value to the City and improve the City's programs/services • Effectively consults with City stakeholders to plan, refine, revise and finalize audit plans prior to submitting the annual audit plan to City Council, through the Audit Committee, for approval • Undertakes ongoing monitoring of the performance of the audit activities and conducts periodic reviews performed through self-assessment • Ensures audit activity conforms to the <i>Standards for the Professional Practice of Auditing</i> and discloses any incidents of non-conformance, providing an analysis of the impact of the non-conformance to Council • Provides clear recommendations supported by adequate rationale and documentation 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>

<p>3. Fraud and Waste Activities</p> <ul style="list-style-type: none"> Effectively administers the Fraud and Waste Hotline Effectively coordinates fraud investigation activities with City programs or City agencies, boards and commissions at the Office's discretion 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>
<p>4. Council and Management Relations</p> <ul style="list-style-type: none"> Provides effective liaison with Council, City Manager and Senior Management and adheres to the City Audit Protocol and all relevant policies and procedures Puts information and skills together to better guide choices in order to accomplish goals and objectives 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>
<p>5. Office Management and Staff Relations</p> <ul style="list-style-type: none"> Demonstrates strong human resources management Promotes teamwork and cooperation Understands and values differences among individuals and fosters these values throughout the Office Ensures the policies and procedures for employee hiring, promotion, performance appraisal and discipline are equitable, legal and current Ensures that all staff within or contracted by the Office operate with an impartial, unbiased attitude, and that they avoid any conflict of interest Ensures all staff has the knowledge, skills and other competencies to effectively carry out their professional responsibilities Ensures that the individuals who are part of the audit activity demonstrate conformance with the applicable professional and City Codes of Conduct and the Standards for the Professional Practice of Auditing Ensures that all employees perform work in accordance with applicable legislation 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>

<ul style="list-style-type: none"> Ensures that auditors in the Office of the Auditor General undertake continuing professional development to enhance their knowledge, skills and other competencies 	
<p>6. Effective Community Relations</p> <ul style="list-style-type: none"> Provides effective liaison with the Corporation, Committees of Council, Elected Representatives, as well as local agencies, boards and commissions, the provincial and federal governments, external stakeholders and legislative authorities Responds effectively to public concerns and issues Communicates information to the media in a way that increases public understanding of audit issues and activities Facilitates the flow of ideas, information and understanding between and among individuals 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>
<p>7. Personal Professional Development</p> <ul style="list-style-type: none"> Strives to maintain current knowledge and skill levels Maintains professional links with audit professionals to continually upgrade and expand the knowledge pertaining to the audit field Demonstrates fairness, honesty and ethical and legal awareness in personal and professional relationships and activities Demonstrates a commitment to a balanced life 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>
<p>8. Key Objectives</p> <ul style="list-style-type: none"> <i>Note: May be updated to include matters relating to the Annual Audit Plan</i> 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>

Additional Comments:

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City Manager

Note that the Mayor may adjust the present year's form to include assessment of special projects, assigned issues and/or key objectives that may arise from time to time.

City Manager Performance Review

Please note that responses will be kept confidential in accordance with provisions of the *Municipal Freedom of Information and Protection of Privacy Act*. Members are not required to answer any or all of the questions.

Name: _____

Employee Information:			
Name:			
Position Title:	City Manager	Review Period:	From: To:

Management Performance Factors:	
Description	Rating
<p>1. Communication with Council</p> <ul style="list-style-type: none"> Effective written and oral presentation Openness to Mayor and Council feedback and/or direction 	

<ul style="list-style-type: none"> • Brings forward appropriate and timely reports as requested • Effective evaluation and dissemination of information • Keeps Council informed of any important developments • Meets regularly with Mayor as Head of Council • Helps Members of Council identify, work toward and achieve common goals 	<input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations Comments:
<p>2. Implementation of Council Policy</p> <ul style="list-style-type: none"> • Appropriately performs the duties and functions and exercises the powers assigned • Assists Council in the development and implementation of annual and long-range strategic goals • Effective implementation of Council decisions • Strong program management to achieve objectives or actions of the City Strategic Plan 	<input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations Comments:
<p>3. Council-Staff Relations/Political Acuity</p> <ul style="list-style-type: none"> • Puts information and skills together to better guide choices in order to accomplish goals and objectives • Provides strong staff support for Council • Effectively communicates Council's decisions to staff • Anticipates the possible impacts of decisions in the political context • Demonstrates a commitment to democratic principles by respecting elected officials, community interest groups and the decision-making process 	<input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations Comments:
<p>4. Staff Relations</p> <ul style="list-style-type: none"> • Demonstrates strong human resources management • Demonstrates leadership and promotes the development and performance of staff and employees throughout the organization • Promotes teamwork and cooperation • Understands and values differences among individuals and fosters these values throughout the organization • Ensures the policies and procedures for employee hiring, promotion, performance 	<input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations Comments:

<p>appraisal and discipline are equitable, legal and current</p>	
<p>5. Municipal Services, Financial Planning and Administration</p> <ul style="list-style-type: none"> • Maintains a consistently high level of quality in operational procedures and service delivery • Provides knowledge of service areas and delivery options • Prepares and administers the annual budget, which maintains a multi-year vision • Interprets financial information to assess the short-term and long-term fiscal condition of the community • Positions the organization and the community for events and circumstances that are anticipated in the future • Demonstrates creative problem solving and prompt action 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>
<p>6. Effective Community Relations</p> <ul style="list-style-type: none"> • Promotes productive relationships between the City of Ottawa, local boards and community groups and organizations • Promotes productive relationships between the City of Ottawa and other levels of government • Promotes productive relationships between the City of Ottawa and other municipalities • Responds effectively to public concerns and issues • Communicates information to the media in a way that increases public understanding of local government issues and activities • Facilitates the flow of ideas, information and understanding between and among individuals 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>
<p>7. Personal Professional Development</p> <ul style="list-style-type: none"> • Strives to maintain current knowledge and skill levels • Demonstrates fairness, honesty and ethical and legal awareness in personal and professional relationships and activities • Demonstrates a commitment to a balanced life 	<p> <input type="checkbox"/> Exceptional Performance <input type="checkbox"/> Solid Performance <input type="checkbox"/> Developing Performance <input type="checkbox"/> Not Meeting Expectations </p> <p>Comments:</p>

8. Special Projects/Assigned Issues/Key Objectives

- *Note: May be updated to include matters such as Term of Council Priorities*

- Exceptional Performance**
- Solid Performance**
- Developing Performance**
- Not Meeting Expectations**

Comments:

Additional Comments: