

Request for Decision

CAO Performance Evaluation and Performance Planning and Development

Presented To: Finance and
Administration
Committee

Presented: Tuesday, Jan 17, 2017

Report Date Wednesday, Dec 21,
2016

Type: Managers' Reports

Resolution

THAT the City of Greater Sudbury directs the Chief Administrative Officer and the Director of Human Resources and Organizational Development to implement an annual CAO Performance Evaluation process by adopting the steps outlined in the report dated December 21, 2016 from the Chief Administrative Officer.

Finance Implications

This report has no financial implications.

Signed By

Recommended by the Department

Kevin Fowke
Director of Human Resources &
Organizational Development
Digitally Signed Dec 21, 16

Recommended by the C.A.O.

Ed Archer
Chief Administrative Officer
Digitally Signed Dec 21, 16

Background

The Chief Administrative Officer (CAO) and the Director of Human Resources and Organizational Development (HR & OD) are working on a CAO Performance Evaluation process which would flow logically into the Performance Planning and Development (PPnD) process for Non Union staff. The CAO process is envisioned to provide a forum for the CAO and members of Council to develop a mutual understanding about performance goals, key results, core leadership competencies and performance measures.

Analysis

In 2016 the Canadian Association of Municipal Administrators (CAMA) surveyed CAOs and Council members across Canada on the subject of performance evaluation of CAOs. Their findings resulted in the production of a toolkit for CAO Performance Evaluation. The 2016 CAMA CAO Performance Evaluation Toolkit recommends the following three steps:

1. CAO creates CAO Handbook for Performance Evaluation
2. Mayor and Council meet to create a final performance evaluation report
3. CAO, Mayor and Council meet to discuss the performance evaluation report

The three (3) steps are outlined in the attached Quick Reference Guide entitled Appendix A. This report

recommends the following process be adopted by CGS CAO and Council in light of existing tools prepared through CGS's ongoing work on various Talent Development systems.

1. The CAO Handbook for Performance Evaluation would be comprised of the following :
 - a. The CAO Job Description and Predictive Index profile of the role used by the CAO Hiring Committee;
 - b. The CAO By-law and relevant sections of the delegations By-law;
 - c. S. 229 of the Municipal Act;
 - d. The Level 5 (Enterprise Leadership) competencies from our core Leadership Competency Dictionary;
 - e. The generic accountabilities for Level 5;
 - f. A list of eight (8) to ten (10) goals as decided by the CAO in consultation with Executive Leadership Team (ELT) to be representative of the deliverables for a given year that summarize the goals and key results expected of the CAO; and
 - g. Measures for the goals set by Council for the CAO.
2. There are defined leadership competencies and role accountabilities defined for each level of leadership at CGS. Using the "Level 5" set of competencies and accountabilities would be appropriate for the CAO role. A prescribed form will be used to document goals and expected key results. The source for these goals and expected results would be Council's Strategic Plan and the plans described in the 2017 Budget. It will also record performance results on each item along with feedback on each of the Level 5 leadership competencies and the accountabilities.
3. The process of compiling a report on the CAO's performance anticipates the use of a third party with experience in executive search/talent management. This would typically include 360 degree feedback on the core leadership competencies and related details obtained from confidential personal interviews with councilors, community stakeholders and the Executive Leadership Team. This information would be compiled in a report for the CAO and Council and serve as a basis for discussion in the year end performance review meeting. Council's year end review would be produced on a prescribed form. A sample copy of this review form can be found in Appendix B to this report.
4. The third party report and associated discussions between Council and the CAO would be the subject of a closed meeting agenda item. Similar to previous periods, the Director of HR & OD would facilitate a performance discussion between Council and the CAO. This would include time for the Mayor and Council to discuss the CAO's performance and work with the Director of HR & OD to append additional information to the third party report and/or confirm it reflects Council's views on the CAO's performance.
5. Following this meeting, the Mayor would meet with the CAO and present the completed PPnD Review. It is important to view the process as a method for maintaining productive, positive communication between Council and the CAO and ensuring there is an appropriate level of attention paid to achieving desired longer-term outcomes and day-to-day performance.

Process for 2017

This report recommends the following process timing be adopted at CGS for an annual CAO Performance Review. It is suggested that Mayor and Council begin 2017 by summarizing eight (8) to ten (10) CAO objectives and in so doing, begin the cycle of annual performance review discussions with the CAO. These objectives would be discussed and set by way of a report on the open Council agenda on February 14th,

2017. Council would receive the CAO Handbook for Performance Evaluation shortly thereafter. At the closed session for the August 22nd, 2017 Council meeting, the CAO will lead a performance discussion as a mid-year check on objectives and to begin the preparation process for the annual review. A third party would work during the fourth quarter on gathering feedback that would be used in a report considered at a closed session December 12th. At this meeting, Council would finalize its annual evaluation. The Mayor would meet with the CAO prior to the end of the year to discuss the performance evaluation report.

Conclusion

This evaluation process for the CAO is timely and should naturally dovetail with PPnD conversations to take place at various levels over the next two (2) years as a part of our ongoing roll out of Talent Development sub-systems. All Non Union staff at Level 4 and Level 3 (primarily ELT and Directors) will have similar review cycles established in 2017. All have taken part in 360 degree core leadership competency reviews and this data will be helpful in crafting sound development plans for our senior most leaders as well as more robust process for setting goals and measuring progress throughout the year. In 2018, staff will work on rolling out these PPnD discussions to Levels 2 and 1 in the organization (Managers and Supervisors/Coordinators).



VERSION 1.0

QUICK REFERENCE GUIDE TO THE CAO PERFORMANCE EVALUATION TOOLKIT

CANADIAN ASSOCIATION OF MUNICIPAL ADMINISTRATORS

Please contact us with your questions and comments. CAMA will help connect you with other colleagues.

Contact

Jennifer Goodine
Executive Director
CAMA National Office
PO Box 128, Station A
Fredericton, NB
E3B 4Y2
Tel: 1-866-771-2262
Fax: 1-506-460-2134
E-Mail: admin@camacam.ca


To access templates and best practices documents related to this Toolkit, please use the Member's section of CAMA's website (which is password protected), at: <http://www.camacam.ca/en/MembersArea.asp>

CONTENTS

Overview	1
1. The CAO's Process: Creating the <i>CAO Handbook for Performance Evaluation</i>	2
2. Mayor and Council's Process: Creating the <i>Final Performance Evaluation Report</i>	3
3. CAO, Mayor and Council Meet to Discuss the Performance Evaluation	4
Acknowledgements	5
Permissions	5

OVERVIEW

The Toolkit fosters open conversations between CAO and Mayor and Council to set clear goals for the successes of the organization and community. For both parties, the Toolkit promotes:

- 
- a foundation for good communication;
 - an approach to dialogue and conversation that reduces misunderstandings;

- a process for setting annual work-related goals;
- a shared understanding of performance measures;

- a recognition of the CAO's achievements and assessment of what is being accomplished;
- an identification of performance gaps and proactive measures; and
- a focus on aligning the CAO's goals with the strategic plan for the organization.

To facilitate performance conversations, the *Toolkit* tasks CAOs and Mayor and Council to pick and choose from tools and templates to create deliverables. In the CAO's case, the deliverable is *The CAO Handbook for Performance Evaluation* for Mayor and Council's response. The *Handbook* includes a Performance Evaluation Template that each elected official scores. A consultant may be hired, or a sub-committee struck to compile the scores together into the *Final Performance Evaluation Report*. At this time, the CAO, Mayor and Council review the final report together.

1. THE CAO'S PROCESS

CREATING THE *CAO HANDBOOK FOR PERFORMANCE EVALUATION*

Note that your municipality may not have all the elements described in the process, but because this Toolkit is a “pick and choose” model, you don’t need all of the elements. Use the elements that you do have, and consider, as you read through, whether you’d like to investigate additional elements for next year. As you work through Part 1, you will collect information into a Handbook to give to Mayor and Council for their work in preparing the *Final Performance Evaluation Report* in Part 2. A checklist for your information gathering is provided in [Appendix 2: CAO Process Checklist](#).



1.1 Review Governance Requirements: The CAO gathers and reviews all policies, bylaws, regulations, and acts that relate to or clarify the role of the CAO or that Councils must follow in regard to performance evaluations of their CAO.

1.2 Review Hiring Documents: The CAO gathers and reviews the CAO job description, contract, and covenants (if any).

1.3 Review Goals & Key Results: The CAO gathers and reviews previously agreed-upon strategic goals, key result areas, the strategic plan, and/or Council priorities.

1.4 Review Core Competencies & Performance Metrics: The CAO gathers and reviews previously agreed-upon core competencies and the performance metrics.

Figure 2: Annual CAMA Performance Evaluation Cycle, Part 1

1.5 Pull the Data Together: The CAO has completed a review of relevant documents, gathered the quarterly reviews, and is prepared to share the review with Mayor and Council.

1.6 Conduct the Self-Assessment: The CAO uses Template 1.6A: Performance Evaluation template to conduct the self-assessment. This template will provide you with your own self-assessment process, which you can evaluate prior to the Mayor and Council using the same assessment on you.

2. MAYOR AND COUNCIL'S PROCESS

CREATING THE *FINAL PERFORMANCE EVALUATION REPORT*

Part 2 of the performance evaluation cycle occurs when Mayor and Council have the CAO's Handbook for Performance Evaluation in hand. The deliverable for this stage is the *Final Performance Evaluation Report*.



2.1 Council Receives the CAO's Information Package: Analyze the data that the CAO has provided. This includes the CAO's Self-assessment prepared on the performance evaluation template as well as all the background/foundational data the CAO gathered as part of the package.

2.2 Mayor and Council Organize their Review: The task of gathering and assessing the data involves agreeing on how to get input from all members, whether to designate a committee of Council to lead the exercise and, whether assistance is required from Human Resources or a consultant.

2.3 Using a Template for Performance Evaluation: This is the traditional step of the process wherein Mayor and Council rate the CAO's performance using Template 1.6A: Performance Evaluation.

Figure 3: Annual CAMA Performance Evaluation Cycle, Part 2

2.4: Mayor and Council Discuss their Review of the CAO's Self-assessment – In this step Mayor and Council need to agree on the process for capturing (note taking) agreement on their feedback and developing the *Final Performance Evaluation Report* (rolled up feedback).

2.5: Council Prepares for the Discussion with the CAO – Things to be considered include: the rules of feedback, the purpose and desired outcome of the performance evaluation discussion, and who is chairing the discussion.

2.6: Council Shares the Final Performance Evaluation Report with the CAO – A date is set for discussion.

3. CAO, MAYOR AND COUNCIL MEET TO DISCUSS THE PERFORMANCE EVALUATION REPORT



Figure 4: Annual CAMA Performance Evaluation Cycle, Part 3

3.1: Joint Review of the Final Performance Evaluation Report – The conversation presents and discusses the *Final Performance Evaluation Report*. The templates offer tips about providing constructive feedback. Discussion revolves around the key elements of the Toolkit.

- How well did the CAO’s performance align with Council’s Strategic Goals?
- What were the overall ratings?
- What discussion arises from the final notes? Are there any themes that emerged?

3.2: Final Review of Proposed New Goals for the CAO - A final review of the proposed Strategic Goals and Key Result Areas for the coming year links the CAO’s goals with the municipality’s strategic plan/priorities.

3.3: Meet to Sign off on the Final Performance Evaluation Report – The CAO, Mayor and Council sign off on the document.

3.4: A New Year – Begin the performance evaluation cycle again.

ACKNOWLEDGEMENTS

CAMA CAO Performance Evaluation Project Task Force

Chair

Janice Baker (CAMA Representative for Ontario and CAO/City Manager for the City of Mississauga, ON)

Members

Don MacLellan, CAMA President/Representative for New Brunswick & General Manager of Community Safety Services, City of Moncton, NB

Robert Hughes, CAMA Past President & CAO for the Town of Stratford, PEI

Patrick Draper, CAMA Member/City Manager for the City of St. Albert, AB

Scott Barton, CAMA Member/CAO for the Town of Raymond, AB

Jason Gariepy (Retired Member)

Donald Hrynyk (Retired Member)

Administration

Project Supervisor, Jennifer Goodine, Executive Director, CAMA

Writer, Nancy Mackenzie, Bronze Horse Communications

PERMISSIONS

CAMA gratefully acknowledges support and permissions from the following municipalities and association for use of sample forms and templates used for performance evaluation purposes.

City of Calgary (Alberta Government)	County of Grande Prairie
City of Grande Prairie	Municipality of Jasper
City of Mississauga	Town of Beaumont
City of Moose Jaw	Town of Canmore
City of St. Albert	Town of Essex
City of Summerside	Town of Olds
Comox Valley Regional District	Town of Torbay
Conroy Ross	Town of White City
County of Elgin	International City/Council Management Association (ICMA)

Images used with permission from Microsoft; photo of Fredericton City Hall used with permission of City of Fredericton.

Every effort has been made to provide proper acknowledgement of original sources. If errors or omissions are identified, please notify CAMA so appropriate action can be taken.

Name:	Click here to enter text.		Job Title:	Click here to enter text.	
Date:	Click here to enter a date.	Employee #:	Click here to enter number.	Department #:	Click here to enter number

Corporate / Department Goals					
(Please review the department's performance goals for the year)					
Performance Goals					
(Goals should be aligned with the corporate and departmental goals; should be no more than 10 and stated in "SMART" terms. They may be ongoing goals which are assigned each year or projects which form a significant performance expectation on the year.)					
Performance Goal		Weight of Goal %	Mid-term Status / Comments	Rating	Evidence for Rating / Comments
Goal 1	Click here to enter text.	Enter percentage here	Click here to enter text.	Choose rating	Click here to enter text.
Goal 2	Click here to enter text.	Click here to enter text.	Click here to enter text.	Choose rating	Click here to enter text.
Goal 3	Click here to enter text.	Click here to enter text.	Click here to enter text.	Choose rating	Click here to enter text.
Goal 4	Click here to enter text.	Click here to enter text.	Click here to enter text.	Choose rating	Click here to enter text.
Goal 5	Click here to enter text.	Click here to enter text.	Click here to enter text.	Choose rating	Click here to enter text.
Goal 6	Click here to enter text.	Click here to enter text.	Click here to enter text.	Choose rating	Click here to enter text.
Goal 7	Click here to enter text.	Enter percentage here	Click here to enter text.	Choose rating	Click here to enter text.
Goal 8	Click here to enter text.	Enter percentage here	Click here to enter text.	Choose rating	Click here to enter text.
Goal 9	Click here to enter text.	Enter percentage here	Click here to enter text.	Choose rating	Click here to enter text.
Goal 10	Click here to enter text.	Enter percentage here	Click here to enter text.	Choose rating	Click here to enter text.
Development Plan					
Development Goal ("SMART" terms)			How? (Plans, Resources, Opportunities)	Mid-term Status / Comments	End of Year Status / Comments

Goal 1	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Goal 2	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Goal 3	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

Leadership Competencies Strategic Implementation III Level				
Leadership Competencies	Level Immediate Manager	Level Self	Level Others	Behavioural Examples – Immediate Manager
Business Acumen: The ability to understand the business implications of opportunities and decisions, and to implement successful business strategies to improve organizational performance. <ol style="list-style-type: none"> Not at level 1 Possesses basic knowledge of business Incorporates business fundamentals Understands the internal and external environment Applies broader business metrics Demonstrates strategic agility Directs the organization 	Enter Competency level exhibited	Competency Level	Competency level	Click here to enter text.
Judgment and Decision Making: The ability and willingness to make sound decisions involving varied levels of complexity, ambiguity and risk, and considering the impact of decisions on various individuals or groups. <ol style="list-style-type: none"> Not at level 1 Gathers information to make basic decisions Assimilates and interprets data to make decisions Develops alternatives in making complex decisions Formulates a "big picture" understanding Evaluates long-term business impact 	Enter Competency Level exhibited	Competency Level	Competency Level	Click here to enter text.
Strategic Orientation: The ability to understand the business implications of decisions on one’s role, and link daily work to the organization’s strategy. <ol style="list-style-type: none"> Not at level 1 Understands and aligns actions with strategic goals Thinks in strategic (future-oriented) terms Understands external impact on internal strategy Incorporates complex factors into a strategy 	Enter Competency Level Exhibited	Competency Level	Competency Level	Click here to enter text.
Collaboration: The ability to work and communicate collaboratively within City of Greater Sudbury to create alignment within and across teams and groups. <ol style="list-style-type: none"> Not at level 1 Is willing to help Collaborates within one's area Collaborates beyond one's area Enables organizational collaboration Acts for the enterprise 	Enter Competency level exhibited	Competency Level	Competency Level	Click here to enter text.
Driving for Results: The personal drive to achieve results, and the ability to focus one’s attention on accomplishing key objectives and positive outcomes for oneself, one’s team and the business. <ol style="list-style-type: none"> Not at level 1 Achieves or exceeds performance expectations Establishes own standard to maximize performance Sets and works to meet challenging goals Makes cost-benefit analyses Drives the business forward 	Enter Competency level exhibited	Competency Level.	Competency Level	Click here to enter text.
Impact and Influence: The ability to persuade, convince, influence or gain the commitment of others to get them to accept a point of view, adopt a specific direction, commit to an idea, or take a course of action. <ol style="list-style-type: none"> Not at level 1 Uses direct persuasion Adapts actions or words to persuade Uses customized influence strategies Uses complex indirect influence strategies Uses highly sophisticated influence strategies 	Enter Competency level exhibited	Competency Level	Competency Level	Click here to enter text.
Organizational Awareness: The ability to learn and understand the key relationships, diverse interest groups and power bases within one’s own and other organizations, as well as in the wider community. <ol style="list-style-type: none"> Not at level 1 Understands and uses the formal structure Understands and uses informal structures/networks Understands climate and culture Understands organizational politics Understands long-term organizational issues 	Enter Competency level exhibited	Competency Level	Competency Level	Click here to enter text.

Leadership Competencies Strategic Implementation III Level				
Leadership Competencies	Level Immediate Manager	Level Self	Level Others	Behavioural Examples – Immediate Manager
Building Organizational Capability: Building the organization's capability to produce and sustain results and to ensure the talent is in place to meet future business needs. <ul style="list-style-type: none"> 0. Not at level 1 1. Staffs strategically 2. Builds bench strength 3. Develops future capability 4. Builds organizational capability 	Enter Competency level exhibited	Competency Level	Competency Level	Click here to enter text.
Building Partnerships: The ability to build and maintain reciprocal, strategic relationships with networks of internal and external stakeholders who may assist in attaining the organization's goals. <ul style="list-style-type: none"> 0. Not at level 1 1. Build or maintains rapport 2. Actively seeks input/participation from stakeholders 3. Builds a local network for business benefit 4. Strategically networks for the organization 	Enter Competency level exhibited	Competency Level	Competency Level	Click here to enter text.
Holding Self and Others Accountable: Expecting the best from oneself and others by establishing appropriate levels of responsibility, holding people to account for delivery of objectives, and implementing controls to ensure compliance. <ul style="list-style-type: none"> 0. Not at level 1 1. Provides clear directions 2. Expects excellence and demands high performance 3. Monitors performance and gives corrective feedback 4. Acts to address performance issues 5. Promotes a high performance culture 	Enter Competency level exhibited	Competency Level	Competency Level	Click here to enter text.
Leadership: The ability to inspire others to work toward common goals by engaging and empowering them. It involves providing inspiration, clarity and direction through a compelling vision of the future. <ul style="list-style-type: none"> 0. Not at level 1 1. Manages and informs the team 2. Optimizes team effectiveness 3. Obtains resources and takes care of the team 4. Acts as a credible leader 5. Communicates a compelling vision 6. Galvanizes the organization around a vision 	Enter Competency level exhibited	Competency Level	Competency Level	Click here to enter text.

Accountabilities		
Accountabilities	Rating	Comments
Plan for and monitor progress of the Organization toward its Vision for the future.	Choose a rating	Click here to enter text.
Communicate broadly about the key strategies for the organization in the 5-10 year time horizon (i.e. work that spans the duration of more than one Council.)	Choose a rating	Click here to enter text.
Apply strategic thinking and business knowledge of the environmental influences that could interrupt progress toward organizational goals.	Choose a rating	Click here to enter text.
Lead and communicate significant organization wide changes	Choose a rating	Click here to enter text.
Declare organizational priorities especially as they pertain to the interactions between Departments that cause undesired outcomes and impact service levels.	Choose a rating	Click here to enter text.
Assess potential and manage the talent pool of resources who could reasonably fill Level Four roles in the future.	Choose a rating	Click here to enter text.
Maintain an awareness of performance issues at Level Three, review and decide removal from role.	Choose a rating	Click here to enter text.
Assess, develop and manage the performance of direct reports	Choose a rating	Click here to enter text.

Eligibility for Merit Increase

☐ YES
 ☐ NO

Based on the Employee's performance I recommend they be approved for an annual merit increase

☐ A merit increase is not applicable as this individual is at their maximum step

Comments

Employee Comments

Click here to enter text.

Manager Comments

Click here to enter text.

Signatures

Direct Manager's Signature

Employee's Signature