



MISSISSAUGA PUBLIC LIBRARY BOARD

Governance

Governance in the voluntary sector has been defined as:

“the processes and structures that an organization uses to direct and manage its general operations and program activities.”

It can also be defined as:

“the structures, functions (responsibilities), processes (practices) and organizational traditions that the board of an organization uses to ensure accomplishment of the organizational mission. These determine how power is exercised, how decisions are taken, how stakeholders have their say, and how decision-makers are held to account.”

Governance itself has no normative content. Good governance is about both *achieving desired results* and *achieving them in the right way*; that is, in a way consistent with the normative values of democracy and social justice.

Governance Models

A “governance model” is defined as:

“a distinctive set or cluster of governance structures, responsibilities (functions) and processes (practices) that are logically consistent with one another.”

Structure refers to the parameters for selection and operation of the board established by legislation, regulations, bylaws and policies. Responsibilities (specific tasks or functions) refers to *the what* of governance. Processes (practices) refers to *how* governance functions are exercised.

Governance models vary according to how a board is structured; how responsibilities are distributed between board, management and staff; and the processes used for board development, management and decision-making.

Operational – The Board does the work of the organization as well as governs it. This is typical of a board in the ‘founding’ stage and organizations, such as service clubs, that have no staff and that must rely largely on board members and other volunteers to achieve their aims.

Collective – The Board and staff are involved in ‘single team’ decision-making about governance and the work of the organization; board members may be involved in some of the work either in services or management functions.

Management – The Board manages operations but may have a staff coordinator. Board members actively manage finances, personnel, service delivery, etc.

Traditional – The Board governs and oversees operations through committees but delegates the management functions to the CEO who may have a primary reporting relationship to the Board through the Chair.

Policy Governance (Carver) – The Board governs through policies that establish organizational aims (ENDS), governance approach, and management limitations, and define the Board/CEO relationship. It does not use committees. The CEO reports to the full board.

Corporate – The CEO is a non-voting member of the Board, carries substantial influence over policy-making, is viewed as a full partner with the Board; and has a relatively free hand at managing to achieve objectives established by the Board. Committees are used for monitoring/auditing performance of the Board, the CEO and the organization. Board members are selected for community profile, capacity to ‘open doors’ for the organization, and may be used for selected tasks in their area of expertise.

Constituent Representational – An approach used by publicly elected officials, federations or other constituency elected boards whose primary responsibility is to balance the interests of their constituents against the best interests of the overall organization. They may, and in the case of public elected officials do, carry grievance resolution/ombudsman functions. They may, as in the case of school boards, have prescribed responsibilities for public consultation and human resources.

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MISSISSAUGA PUBLIC LIBRARY BOARD

GOVERNANCE POLICIES

Revised November 2012

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POLICY A1

Policy Type:	EXECUTIVE LIMITATIONS		
Policy Name:	COMMUNICATION AND COUNSEL TO THE BOARD		
Date Approved:	February 19, 2003	(Rev September 10, 2008)	
Reviewed:	Monthly		

The CEO shall not permit the Board to be uninformed, unsupported in its work, or non-compliant with legal or fiscal obligations.

Accordingly, the CEO shall not:

1. Neglect to submit monitoring data required by the Board in a timely, accurate and understandable fashion, directly addressing provisions of the Board policies being monitored.
2. Fail to inform the Board of relevant trends, significant changes in provincial or municipal policies, anticipated adverse media coverage, material external and internal changes, particularly changes in the assumptions upon which any Board policy has previously been established.
3. Fail to advise the Board if the Board is not in compliance with its own policies, particularly in the case of Board behaviour that is detrimental to the work relationship between the Board and the CEO.
4. Fail to respect the adopted standards of service for library service as accepted by the Corporation regarding holdings, annual acquisitions, and space provision, or to ensure the involvement of the Board in the change or addition to such standards by the Corporation.

POLICY A2

Policy Type:	EXECUTIVE LIMITATIONS
Policy Name:	PROTECTION OF SERVICES
Date Approved:	February 19, 2003 (Rev September 10, 2008)
Reviewed:	Semi-Annually – March and September

The CEO shall not fail to protect the services delivered by the Mississauga Library System to its residents.

Accordingly, the CEO shall not:

1. Fail to inform the Library Board of and involve them in the determination of any service reductions and changes to fees.
2. Fail to inform the Board on changes to service levels.
3. Fail to report on satisfaction surveys and customer feedback.
4. Fail to inform the Board semi-annually of service trends and issues for public libraries.
5. Fail to inform the Board of any relevant planned or recent changes at any level (municipal, provincial, federal) in order to allow the Board to consider and comment.

POLICY A3

Policy Type:	EXECUTIVE LIMITATIONS
Policy Name:	TREATMENT OF CUSTOMERS
Date Approved:	November 19, 2003
Reviewed:	Semi-Annually – March and September

With respect to interactions with customers, or those applying to be customers, the CEO shall not cause or allow conditions, procedures, or decisions which are unsafe, undignified, unnecessarily intrusive, or which fail to provide appropriate confidentiality and privacy.

Accordingly, the CEO shall not:

1. Use application forms or procedures that elicit information for which there is no clear necessity.
2. Use methods of collecting, reviewing, transmitting or storing client information that fail to protect against improper access to the information elicited.
3. Maintain facilities that fail to provide a reasonable level of privacy, both aural and visual.
4. Fail to establish with customers a clear understanding of what may or may not be expected from the service offered.
5. Fail to use reasonable judgement in dealing with customers.
6. Fail to inform customers of this policy or to provide a grievance process to those customers who believe that they have not been accorded a reasonable interpretation of their rights under this policy.
7. Fail to ensure the rules and regulations of the Library respect the needs of and convenience of the greatest number of users and are defensible given application and practices elsewhere.
8. Fail to ensure an open, accessible customer comment process.
9. Fail to take all necessary steps to safeguard the safety and welfare of library users in the event of unplanned emergencies.
10. Fail to implement a full communications plan to ensure that all key stakeholders are initially and subsequently informed of the nature and extent of any unplanned disruption of service.
11. Fail to provide full and proper public notice of the privacy policy of the Mississauga Library System.
12. Fail to ensure adherence by employees to the procedures that respect and protect the privacy of personal information of customers and other members of staff.

POLICY A4

Policy Type:	EXECUTIVE LIMITATIONS	
Policy Name:	STAFF TREATMENT	
Date Approved:	November 19, 2003	(Rev September 10, 2008)
Reviewed:	Semi-Annually – March and September	

With respect to the treatment of paid and volunteer staff, the CEO shall not cause or allow conditions that are unfair, undignified, unsafe or in violation of any applicable labour and/or human rights legislation.

Accordingly, the CEO shall not:

1. Operate without written personnel policies that clarify personnel rules for staff, provide for effective handling of grievances, and protect against wrongful conditions.
2. Fail to acquaint staff with their rights under this policy.
3. Fail to take all necessary steps to safeguard the safety and welfare of employees in the event of unplanned emergencies.
4. Fail to implement a full communications plan to ensure that all key stakeholders are initially and subsequently informed of the nature and extent of any unplanned disruption of service.
5. Fail to develop a full staff training plan annually and to report on the results annually to the Board and the wider community.

POLICY A5

Policy Type:	EXECUTIVE LIMITATIONS
Policy Name:	STAFF CONDUCT
Date Approved:	February 19, 2003
Reviewed:	Semi-Annually – March and September

The CEO shall not cause or allow conditions of employment that fail to spell out the expectations for employee behaviour and which do not enforce these expectations in a fair and due process manner.

Further, without limiting the scope of the foregoing by the following, the CEO shall not:

1. Fail to provide to staff a definition of prohibited behaviour, including conflict of interest, harassment of customers or others.
2. Allow any employee to claim as his or her own products which have been developed using the time and resources of the employer.

POLICY A6

Policy Type: EXECUTIVE LIMITATIONS
Policy Name: **FINANCIAL CONDITION/BUDGETING**
Date Approved: January 21, 2004 (Rev September 10, 2008)
Reviewed: Semi-Annually – March and September

Budgets for any fiscal year or the remaining part of any fiscal year shall not deviate materially from Board Ends priorities, the requirements of the Public Libraries Act, nor risk fiscal jeopardy. Budgets are accordingly set in relation to approved Library Board multi-year plans.

Accordingly, he or she shall not cause or allow budgeting which:

1. Contains too little information to enable credible projection of revenues and expenses, separation of capital and operational items, and disclosure of planning assumptions.
2. Is inadequate for a full line or program budget presentation.
3. Plans the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period.
4. Prevents the Board from governing effectively.
5. **Contravenes the requirements and duties as spelled out in the Public Libraries Act or in requirements of the Corporation.**

Each year, the CEO will provide the draft Capital and Operating budget estimates prepared under City requirements to the Board for a Direct Inspection Monitoring Report. The Board will review the budgets according to the following Financial Planning/Budgeting Policy:

- (a) If the estimates are deemed to be a reasonable interpretation of Board policy, the Chair shall place the budgets on the Consent Agenda for acceptance for submission to the City's estimates process.
- (b) If the estimates are not deemed to be a reasonable interpretation of Board policy due to incomplete or unsatisfactory evidence proving compliance with Board policy and multi-year plan, the Board shall require the CEO to provide additional evidence to prove compliance.
- (c) If the estimates are not deemed to be a reasonable interpretation of Board policy due to changes in the assumptions upon which Board policy and multi-year plan are based, the Board shall review and revise the policy and the plan.
- (d) Once the Board has completed its Direct Inspection Monitoring Report, the Board may use the time between the completion of the Monitoring Report and the consideration of the budgets by Council to promote the Library to Council to ensure a clear understanding of library needs and required resources.
- (e) In accordance with approved multi-year plans.

POLICY A7

Policy Type:	EXECUTIVE LIMITATIONS
Policy Name:	FINANCIAL CONDITION
Date Approved:	February 19, 2003 (Rev September 10, 2008)
Reviewed:	Semi-Annually – March and September

With respect to the actual, ongoing financial condition and activities of the organization, the CEO shall not cause or allow the development of fiscal jeopardy or a material deviation of actual expenditures from Board priorities established in Ends policies and under the **Public Libraries Act**.

Accordingly, the CEO shall not:

1. Expend more funds than have been received in the fiscal year to date unless the debt guideline (below) is met.
2. Allow legally required payments or filings to be overdue or inaccurately filed.
3. Fail to aggressively pursue receivables after a reasonable grace period.
4. With respect to the relationship with the City of Mississauga, its staff or officers, shall not fail to comply with the City's requirements and practices unless they contravene the Public Libraries Act, collective agreements or other Board decisions.
5. Fail to operate within the requirements of the Public Libraries Act.

POLICY A8

Policy Type:	EXECUTIVE LIMITATIONS
Policy Name:	EMERGENCY EXECUTIVE SUCCESSION
Date Approved:	February 19, 2003
Reviewed:	Semi-Annually – March and September

In order to protect the Board from sudden loss of chief executive services, the CEO shall not have fewer than two other executives familiar with Board and chief executive issues and processes.

Further the CEO shall not fail to ensure that the four (4) positions reporting to the CEO - 3 Area Managers plus the Manager of Support Services - shall at all times be kept familiar with the duties and obligations of the CEO's position and of the organization.

The CEO shall not fail to ensure the continuance of key positions within the organization.

POLICY A9

Policy Type:	EXECUTIVE LIMITATIONS
Policy Name:	PROTECTION OF PRIVACY
Date Approved:	September 21, 2003
Reviewed:	Semi-Annually – March and September

In order to protect the privacy of users, the CEO as Head of Privacy shall not fail to comply with legislation requiring the establishment and adherence to a retention schedule for personal information that is collected for the purpose of registering customers, and to ensure the public's awareness of the schedule.

POLICY A10

Policy Type: EXECUTIVE LIMITATIONS
Policy Name: **ASSET PROTECTION**
Date Approved: February 19, 2003
Reviewed: Semi-Annually – March and September

The CEO shall not allow assets to be unprotected, inadequately maintained or unnecessarily risked.

Accordingly, the CEO shall not:

1. Fail to comply with the City policies and procedures concerning asset protection except as outlined by the Board.
2. Unnecessarily expose the organization, its Board or staff to claims of liability.
3. Fail to protect intellectual property, information and files from loss or significant damage.
4. Endanger the organization's public image or credibility, particularly in ways that would hinder its accomplishment of mission.
5. Fail to preserve funds and other donations intended for the ownership of the Mississauga Public Library Board and hold such assets in secure instruments.

POLICY A11

Policy Type:	EXECUTIVE LIMITATIONS
Policy Name:	COMPENSATION AND BENEFITS
Date Approved:	February 19, 2003
Reviewed:	Semi-Annually – March and September

With respect to employment, compensation and benefits to employees, consultants, contract workers and volunteers, the CEO shall not cause or allow jeopardy to fiscal integrity or public image.

Accordingly, the CEO shall not:

1. Change his or her own compensation and benefits.
2. Fail to keep the Board apprised of competitive practices regarding compensation and benefits.

POLICY A12

Policy Type:	EXECUTIVE LIMITATIONS
Policy Name:	LEGAL COMPLIANCE
Date Approved:	September 10, 2008
Reviewed:	Semi-Annually – March and September

With respect to the operational aspects of the Library, the CEO shall not fail:

1. To comply with the requirements of the Public Libraries Act and with the requirements of the Corporation, unless they contravene the collective agreement, or other direct Board decisions.
2. To raise to the Board and other parties as warranted any identified or potential issues of conflict among legal requirements.

POLICIES ON GOVERNANCE PROCESS

B1 – B13

POLICY B1

Policy Type:	GOVERNANCE POLICIES		
Policy Name:	GLOBAL GOVERNANCE COMMITMENT		
Date Approved:	February 19, 2003	(Rev June 6, 2012)	
Reviewed:	Annual in March		

The purpose of the Board on behalf of the people who live, work and play in the City of Mississauga, is to see that the Mississauga Public Library Board (a) achieves appropriate results for appropriate persons at appropriate cost, and (b) avoids unacceptable actions and situations.

Accordingly, the Board shall not fail to:

1. Operate in all ways mindful of its accountability to the people who live in Mississauga. No Board officer, committee or member will hinder this commitment.
2. Direct, control and inspire the organization through the careful establishment of the broadest organizational policies (Ends) reflecting the Board's values and perspectives.
3. Operate in accordance with the Public Libraries Act and the requirements of the Corporation.

POLICY B2

Policy Type: GOVERNANCE POLICIES
Policy Name: **GOVERNING STYLE**
Date Approved: February 19, 2003
Reviewed: Annual in March

The Board will govern lawfully with an emphasis on:

- outward vision
- encouragement of diversity in viewpoints
- strategic leadership
- clear distinction of Board and chief executive roles
- collective decisions
- a future orientation
- proactivity
- inclusiveness reflecting the entire community

Accordingly, the Board shall not fail to:

1. Ensure the continuity of governance capability through orientation of new members.
2. Ensure the periodic discussion of the Board's governance policies.
3. Cultivate a sense of group responsibility by using the expertise of individual Board members to enhance the ability of the Board as a whole.
4. Monitor and discuss the Board's process and performance regularly.

POLICY B3

Policy Type: GOVERNANCE POLICIES

Policy Name: **BOARD JOB DESCRIPTION**

Date Approved: February 19, 2003

(Rev June 6, 2012)

Reviewed: Annual in March

Specific job outputs of the Board, as an informed agent of the ownership, are those that ensure appropriate organizational performance.

Accordingly, the Board shall not fail to:

1. Create the link between the ownership and the operational organization by:
 - (a) Maintaining a communication process that ensures reporting on plans, priorities and results each year to the broader community
 - (b) Maintaining involvement in community activities
 - (c) Communicating plans and results routinely to Mississauga City Council
 - (d) Contact both local school boards semi-annually for the purpose of meeting to discuss service delivery to local students, school personnel and parents; send a report to both local school boards and the wider community every spring and fall on service successes for local students, their parents and teachers.
2. Create written governing policies that address the broadest levels of all organizational decisions and situations, specifically:
 - (a) *Ends*: Organizational products, the recipients and the relative worth (what's good for which recipients at what cost).
 - (b) *Executive Limitations*: Constraints on executive authority that establish the prudence and ethics boundaries within which all executive activity and decisions must take place.
 - (c) *Governance Process*: Specification of how the Board conceives, carries out and monitors its own actions.
 - (d) *Board-CEO Linkage*: How power is delegated and its proper use monitored.
2. Create assurance of successful organizational performance.
3. Respond to proposed legislative changes affecting the Library.
4. Hire a CEO as necessary and appoint the CEO each term.
5. Evaluate and remunerate the CEO's performance annually.

POLICY B4

Policy Type: GOVERNANCE POLICIES

Policy Name: **EXECUTIVE POSITIONS**

Date Approved: February 19, 2003

(Rev June 15, 2011)

Reviewed: Annual in March

Executive positions on the Library Board shall be Chairperson and Vice-Chairperson. The Vice-Chairperson will substitute for the Chairperson in an absence.

The term of office is one year with annual elections for both offices.

The Executives assure the integrity of the Board's process and represent the Board to outside parties.

Accordingly, the Chairperson, and in his absence, the Vice-Chairperson, shall not fail to ensure:

1. that the Board behaves consistently with its own rules and those legitimately imposed upon it from outside the organization.
2. that meeting discussions will be on those issues that, according to Board policy, clearly belong to the Board to decide or monitor.
3. that information that is neither for monitoring performance nor Board decisions will be avoided or minimized and always noted as such.
4. that deliberation will be fair, open, and thorough, but also timely, orderly, and kept to the point.

The authority of the Chairperson consists in making decisions that fall within the policies on Governance Process and Board-CEO Relationship, except where the Board specifically delegates authority to others. The Chairperson is authorized to use any reasonable interpretation of the provisions in these policies.

The Chairperson is empowered to chair Board meetings with all the commonly accepted power of that position (e.g., ruling, recognizing).

The Chairperson has no authority to make decisions about policies created by the Board within Ends and Executive Limitations policy areas. Therefore, the Chairperson has no authority to supervise or direct the CEO.

The Chairperson may represent the Board to outside parties in announcing Board-stated positions and in stating Chair decisions and interpretations within the area delegated to him or her.

The Chairperson may delegate this authority but remains accountable for its use.

POLICY B5

Policy Type:	GOVERNANCE POLICIES
Policy Name:	BOARD COMMITTEE PRINCIPLES
Date Approved:	February 19, 2003
Reviewed:	Annual in March

Board committees, when used, will be assigned so as to reinforce the wholeness of the Board's job and so as never to interfere with delegation from Board to CEO.

1. Board committees are to help the Board do its job, not to help or advise staff. Committees ordinarily will assist the Board by preparing policy alternatives and implications for Board deliberation. In keeping with the Board's broader focus, Board committees will normally not have dealings with current staff operations.
2. Board committees may not speak or act for the Board except when formally given such authority for specific and time-limited purposes. Expectations and authority will be carefully stated in order not to conflict with authority delegated to the CEO.
3. Board committees cannot exercise authority over staff. Because the CEO works for the full Board, he or she will not be required to obtain approval of a Board committee before an executive action.
4. Board committees are to avoid over-identification with organizational parts rather than addressing the whole. Therefore, a Board committee which has helped the Board create policy on some topic will not be used to monitor organizational performance on that same subject.
5. Committees will be used sparingly and ordinarily on an ad hoc basis.
6. This policy applies to any group that is formed by Board action, whether or not it is called a committee, and regardless of whether the group includes Board members. It does not apply to committees formed under the authority of the CEO.
7. A committee is a Board committee only if its existence and charge come from the Board, regardless whether Board members sit on the committee. Unless otherwise stated, a committee ceases to exist as soon as its task is complete.

POLICY B6

Policy Type:	GOVERNANCE POLICIES
Policy Name:	AGENDA PLANNING
Date Approved:	February 19, 2003
Reviewed:	Annual in March

To do its job in a manner consistent with Board policies, the Board will follow an annual agenda which (a) completes a re-exploration of policies annually, and (b) continually improves its performance through Board education and enriched input and deliberation.

1. The cycle will conclude each year on the last day of December.
2. In the last one or two months of the cycle, the Board will develop its agenda for the ensuing one-year period.
 - (a) Education, input and deliberation will receive paramount attention in structuring the series of meetings and other Board activities during the year.
 - (b) To the extent feasible, the Board will identify those areas of education and input needed to increase the level of wisdom and forethought it can give to its decisions.
3. Throughout the year, the Board will deal with consent agenda items as expeditiously as possible.
4. CEO monitoring will be included on the agenda if monitoring reports show policy violations or if policy criteria are to be debated.
5. CEO remuneration will be decided each year end after a review of monitoring reports received over the last year.

POLICY B7

Policy Type:	GOVERNANCE POLICIES
Policy Name:	BOARD MEMBERS' CODE OF CONDUCT
Date Approved:	February 19, 2003
Reviewed:	Annual in March

The Board commits itself and its members to ethical, businesslike and lawful conduct, including proper use of authority and appropriate decorum when acting as Board members.

1. Board members must have loyalty to the ownership, unconflicted by loyalties to staff, other organizations, and any personal interest as a consumer.
2. Board members must avoid any conflict of interest with respect to their fiduciary responsibility by adhering to the regulations of the Municipal Conflict of Interest Act.
 - (a) There will be no self-dealing or any conduct of private business or personal services between any Board member and the organization except as procedurally controlled to assure openness, competitive opportunity and equal access to inside information.
 - (b) Board members will not use their position to obtain employment in the organization for themselves, family members or close associates. Should a member desire employment, he or she must first resign.
 - (c) Members will disclose their involvements with other organizations, vendors, or any other associations that might produce a conflict.
3. Board members may not attempt to exercise individual authority over the organization.
 - (a) Board members' interaction with the CEO or with staff must recognize the lack of authority vested in individuals except when explicitly authorized.
 - (b) Board members' interaction with the public, press or other entities must recognize the same limitation and the inability of any Board member to speak for the Board except to repeat explicitly stated Board decisions.
 - (c) Except for participation in Board deliberation about whether reasonable interpretation of Board policy has been achieved by the CEO, Board members will not express individual judgements of performance of the CEO or of any Library employee.
4. Members will respect confidentiality appropriate to issues of a sensitive nature.
5. Members will be properly prepared for Board deliberation
6. Members will govern with excellence with respect to:
 - policy-making principles
 - respecting roles
 - speaking with one voice
 - rules of order
 - attendance

POLICY B8

Policy Type: GOVERNANCE POLICIES
Policy Name: **RECRUITMENT PROCESS FOR THE CEO**
Date Approved: November 9, 2009
Reviewed: Annual in March

The recruitment process for the CEO would recognize the unique role of the Board with the City's hiring process as follows:

1. A vacancy is declared to the Library Board and the Commissioner of Community Services.
2. A current job effectiveness description and pay level are confirmed for the position with the Library Board.
3. Human Resources prepares a job posting.
4. The Commissioner presents the posting to the Library Board for its approval.
5. A competition is announced by Human Resources for a set period of time.
6. Human Resources receives and ranks the applications.
7. The Commissioner and Human Resources develop a shortlist.
8. Shortlisted applicants are interviewed by the Commissioner, Human Resources and representatives of the Library Board.
9. The interview team determines a successful applicant.
10. The Commissioner informs the City Manager and the Library Board which formally approves the selection.
11. Human Resources arranges the announcement of the appointment.
12. Human Resources employs the successful candidate and sets the probation in place.
13. The Commissioner recommends the completion of probation to the Library Board which approves the decision.

POLICY B9

Policy Type:	GOVERNANCE POLICIES
Policy Name:	COUNCIL OF FORMER LIBRARY BOARD MEMBERS
Date Approved:	April 1, 2009
Reviewed:	Annual in March

In appreciation of the maintenance of the strongest possible contact with the community and key stakeholder groups in it, the Board will ensure that all former members of the Library Board are kept aware of the Library Board's plans, priorities and results through the establishment of a council of such members who may also be a valuable resource in on-going Board activities.

POLICY B10

Policy Type:	GOVERNANCE POLICIES
Policy Name:	ROLES AND KEY RESPONSIBILITIES
Date Approved:	December 16, 2009
Reviewed:	Annual in March

To be effective, the Library Board will work co-operatively and collaboratively with the City, senior management at the City and senior management in the Library. The attached document summarizes the unique roles and key responsibilities of these four partners in the five key areas of Library Board activity.

Mississauga Public Library Board
Roles and Key Responsibilities
COUNCIL, LIBRARY BOARD, CHIEF EXECUTIVE OFFICER
AND COMMISSIONER OF COMMUNITY SERVICES

COUNCIL	LIBRARY BOARD	CEO	COMMISSIONER
1. Governance/Policy Making			
Responsible for: 1.1 appointing a board every 4 years under clear criteria 1.2 relaying identified community issues and needs 1.3 providing orientation to prospective Board members 1.4 assisting Board with legal guidance 1.5 developing support for the Library and the Library Board	Responsible for: 1.1 determining mission, purpose and strategic goals 1.2 setting annual objectives and evaluating performance against objectives 1.3 determining policies in response to community data and needs 1.4 providing orientation for new members and development for all members 1.5 approving appropriate governance policies and monitoring compliance 1.6 ensuring compliance with Library legislation 1.7 Requiring the CEO's efforts of compliance in areas of corporate responsibility	Responsible for: 1.1 developing purpose and goals 1.2 proposing annual objectives 1.3 reporting on progress 1.4 collecting and providing community data 1.5 participating in orientation 1.6 preparing and implementing policies 1.7 maintaining current legal information 1.8 attending and recording all meetings 1.9 ensuring compliance	Responsible for: 1.1 providing input on purpose and goals 1.2 providing input on annual objectives 1.3 monitoring progress 1.4 supplying information as required
2. Community Relations/Services			
Responsible for: 2.1 conveying community opportunities 2.2 encouraging trustee activity 2.3 seeking cooperative opportunities	Responsible for: 2.1 ensuring appropriate service standards are in place 2.2 participating in community activities 2.3 seeking to extend library service 2.4 participating in trustee activities 2.5 cooperating with officials 2.6 maintaining a working relationship with local school boards 2.7 maintaining a working relationship with local libraries and information providers	Responsible for: 2.1 implementing programs to support goals 2.2 identifying community contacts and developing partnerships 2.3 providing information on trustee activities 2.4 arranging opportunities for Board activity	Responsible for: 2.1 reviewing proposed policies 2.2 identifying community opportunities/needs 2.3 involving the Board as appropriate

COUNCIL	LIBRARY BOARD	CEO	COMMISSIONER
3. Finance			
Responsible for: 3.1 giving financial direction 3.2 keeping informed of library requirements 3.3 communicating with the Board 3.4 approving annual budgets	Responsible for: 3.1 approving resource priorities and strategies 3.2 adopting annual budgets and monitoring performance 3.3 communicating with Council 3.4 ensuring sound financial management	Responsible for: 3.1 developing resource strategies 3.2 presenting and implementing annual budgets and expenditure reports 3.3 providing sound financial operations	Responsible for: 3.1 supplying operational support 3.2 providing direction for budgets and expenditures
4. Personnel			
Responsible for: 4.1 providing input on senior staff recruitment and retention 4.2 enabling appropriate compensation 4.3 enabling good working conditions 4.5 enabling staff development	Responsible for: 4.1 employing and annually evaluating a Chief Executive Officer 4.2 approving policies on human resources 4.3 determining compensation 4.4 providing for agreeable working conditions 4.5 providing for the proper development and training of staff	Responsible for: 4.1 directing all staff 4.2 preparing policies on human resources 4.3 providing data on compensation 4.4 providing workplace amenities 4.5 providing staff training and development plans 4.6 negotiating satisfactory labour agreements	Responsible for: 4.1 awareness of library staffing 4.2 ensuring sound policies in place 4.3 supporting funding needs 4.4 supporting workplace needs 4.5 supporting training needs
5. Legal			
Responsible for: 5.1 keeping aware of library legislation 5.2 keeping aware of library operations 5.3 maintaining a full Board	Responsible for: 5.1 responding to proposed legislative changes 5.2 ensuring complete and accurate records are kept 5.3 reporting on library operations to Council 5.4 maintaining full membership of the Board 5.5 ensuring the Library makes reasonable efforts to comply with all applicable legislation	Responsible for: 5.1 interpreting legislative changes 5.2 creating and retaining complete and accurate records 5.3 ensuring the legal operation of the library	Responsible for: 5.1 providing legal direction

POLICY B11

Policy Type:	GOVERNANCE POLICIES
Policy Name:	ANNUAL PERFORMANCE REVIEW OF CEO
Date Approved:	December 15, 2010
Reviewed:	Annual in March

The Library Board each November will prepare a summary evaluation of the Director based on a review of the Ends monitoring reports provided to the Board over the year. The summary will cite dates of specific monitoring reports (internal, external or direct inspection). It will address the following points regarding Ends policies compliance:

1. Which Ends has the Director achieved or achieved acceptable progress towards?
2. Which Ends has the Director not achieved or not made acceptable progress towards?
3. Which Ends has the Director exceeded over the year?

Over the year, the Board will also provide a summary evaluation of the Director based on a review of the Executive Limitations monitoring. The summary will cite dates of specific monitoring reports (internal, external or direct inspection). It will address the following points regarding Executive Limitations policies compliance:

- (a) Has the Director consistently operated within the constraints of the executive limitations policies?
- (b) Has the Director reported contraventions, provided acceptable rationales and a plan for future compliance which has been met?
- (c) Has the Director contravened the executive limitations without reporting the contravention or providing an acceptable rationale or remedy?

POLICY B12

Policy Type: GOVERNANCE POLICIES
Policy Name: ANNUAL LIBRARY BOARD SELF-EVALUATION
Date Approved: December 16, 2009 (Rev November 28, 2012)
Reviewed: Annual in March

In order to ensure sound operations of the Board, the Board will use the following tool to evaluate its strengths and weaknesses annually:

Roles and Key Responsibilities	Satisfactory or Unsatisfactory	Suggestions for Improvement
1. Governance/Policy Making <ul style="list-style-type: none">(a) determining mission, purpose and strategic goals(b) setting annual objectives and evaluating performance against objectives(c) determining policies in response to community data and needs(d) providing orientation for new members and development for all members(e) approving appropriate governance policies and monitoring compliance(f) ensuring compliance with Library legislation(g) requiring the CEO's efforts of compliance in areas of corporate responsibility 2. Community Relations/Services <ul style="list-style-type: none">(a) ensuring appropriate service standards are in place(b) participating in community activities(c) seeking to extend library service(d) participating in library board activities(e) cooperating with officials(f) maintaining a working relationship with local school boards(e) maintaining a working relationship with local libraries and information providers 3. Finance <ul style="list-style-type: none">(a) approving resource priorities and strategies(b) adopting annual budgets and monitoring performance(c) communicating with Council(d) ensuring sound financial management 4. Personnel <ul style="list-style-type: none">(a) employing and annually evaluating a Chief Executive Officer(b) approving policies on human resources(c) approving compensation(d) providing for agreeable working conditions(e) providing for the proper development and training of staff(f) approving collective agreements 5. Legal <ul style="list-style-type: none">(a) responding to proposed legislative changes(b) ensuring the retention of complete and accurate records(c) reporting on library operations to Council(d) maintaining full membership of the Board(e) ensuring the Library makes reasonable efforts to comply with all applicable legislation		

POLICY B13

Policy Type: GOVERNANCE POLICIES
Policy Name: **BOARD DECISION-MAKING**
Date Approved: February 19, 2003
Reviewed: Annual in March

In order to ensure a sound decision-making process, the Board will use the following framework for making major board decisions, employing all relevant criteria.

1. Clearly identify the issue to be decided.
2. Gather data to understand the issue:
 - (a) Legislation, government policy and direction
 - (b) General and specific community input (ownership)
 - (c) Past, present and future demographic information
 - (d) Comparative information, e.g., municipal, provincial, national
 - (e) Cost
 - (f) Relevant measurement data
 - (g) Resources available or possible, including third party sources
 - (h) Projected demand and future trends
 - (i) Liability
 - (j) Limiting factors
3. Develop alternatives:
 - (a) Consider short-term consequences
 - (b) Consider long-term consequences
4. Apply the following criteria for decision-making:
 - (a) Fairness
 - Giving consideration to the needs of the group(s), communities, individuals, etc.
 - Treating similar cases in a similar way
 - Striving for equitability (allocating resources to areas of greater need)
 - Looking at short and long-term consequences
 - (b) Impact of Benefits
 - Identify the benefits
 - Consider detriments to those affected
 - (c) Autonomy of Individuals Affected by Decision
 - Individuals are able to make voluntary and intentional decisions
 - Consider opinions of those affected

POLICY B13 contd....

Policy Type: EXECUTIVE LIMITATIONS
Policy Name: **BOARD DECISION-MAKING**
Date Approved: February 19, 2003
Reviewed: Annual in March

- (d) User Reliance
 - Users are encouraged to do what they can independently
 - Necessary support is provided
 - Dependency is minimized
 - (e) Maximizing Utility
 - Providing the most good for the most people within available resources
 - Considers opportunity cost (what can't we do because we're doing this?)
 - (f) Potential for partnerships
5. Make the decision and record in organizational records.
6. Create a communications plan from internal to external including:
- Mayor and Council
 - Local School Boards
 - Staff
 - Union
 - Other stakeholders
 - Media
 - Community ownership

Note: The Board Decision Making work sheet will be used in applying this policy.

Board Decision-Making Worksheet

This worksheet is designed to assist the Board in preparation for sound decision-making:

Steps in Decision-Making Process	Required Data	Comments/Action to be taken
<i>Decision to be made:</i> Maintain or discontinue Bookmobile service		
<i>Gather data to understand the issue</i> <ul style="list-style-type: none"> e.g. legislation, government policy and direction 		
<ul style="list-style-type: none"> General and specific community input (ownership) 		
<ul style="list-style-type: none"> Past, present and future demographic information 		
<ul style="list-style-type: none"> Comparative information, e.g. municipal, provincial, national 		
<ul style="list-style-type: none"> Cost 		
<ul style="list-style-type: none"> Relevant measurement data 		
<ul style="list-style-type: none"> Resources available or possible, including third party sources 		
<ul style="list-style-type: none"> Projected demand and future trends 		
<ul style="list-style-type: none"> Liability 		
<ul style="list-style-type: none"> Limiting factors 		
<i>Development alternatives</i> <ul style="list-style-type: none"> Consider short-term consequences 		
<ul style="list-style-type: none"> Consider long-term consequences 		
Apply the following criteria for decision-making		
<i>Fairness</i> <ul style="list-style-type: none"> Giving consideration to the needs of the group(s), communities, individuals, etc. 		
<ul style="list-style-type: none"> Treating similar cases in a similar way 		
<ul style="list-style-type: none"> Striving for equitability (allocating resources to areas of greater need) 		
<ul style="list-style-type: none"> Looking at short and long-term consequences 		

Steps in Decision-Making Process	Required Data	Comments/Action to be taken
<i>Impact of Benefits</i> <ul style="list-style-type: none"> Identify the benefits Consider detriments to those affected 		
<i>Autonomy of Individuals Affected by Decision</i> <ul style="list-style-type: none"> Individuals are able to make voluntary and intentional decisions Consider opinions of those affected 		
<i>User Reliance</i> <ul style="list-style-type: none"> Users are encouraged to do what they can independently Necessary support is provided Dependency is minimized 		
<i>Maximizing Utility</i> <ul style="list-style-type: none"> Providing the most good for the most people within available resources Considers opportunity cost (what can't we do because we're doing this?) 		
<i>Senior Government Direction</i> <ul style="list-style-type: none"> Considering whether the decision is in keeping with the desired senior government directions 		
<i>Potential for partnerships</i>		
<i>Make the decision and record in organizational records</i>		
<i>Create a communications plan from internal to external including:</i> <ul style="list-style-type: none"> Mayor and Council Staff Union Other stakeholders Media Community ownership 		

BOARD – CEO LINKAGE

C1 – C5

POLICY C1

Policy Type:	BOARD – CEO LINKAGE
Policy Name:	GLOBAL GOVERNANCE - MANAGEMENT CONNECTION
Date Approved:	February 19, 2003
Reviewed:	Annual in February

The Board's sole official connection to library operations, achievement, and conduct will be through a Chief Executive Officer.

POLICY C2

Policy Type: BOARD – CEO LINKAGE

Policy Name: **UNITY OF CONTROL**

Date Approved: February 19, 2003

Reviewed: Annual in February

Only decisions of the Board are binding on the CEO.

1. Decisions or instructions of individual Board members, officers or committees are not binding on the CEO except in rare circumstances when the Board has specifically authorized or delegated such exercise of authority.
2. In the case of Board members or committees requesting information or assistance without Board authorization, the CEO can refuse such requests.

POLICY C3

Policy Type:	BOARD – CEO LINKAGE
Policy Name:	ACCOUNTABILITY OF THE CEO
Date Approved:	February 19, 2003
Reviewed:	Annual in February

The CEO is the Board's only link to operational achievement and conduct, so that authority and accountability of staff, as far as the Board is concerned, is considered to be the authority and accountability of the chief executive.

1. The Board will never give instructions to persons who report directly or indirectly to the CEO.
2. The Board will refrain from evaluating, either formally or informally, any staff other than the CEO.
3. The Board will view CEO performance as achievement of stated Ends and compliance with stated means.

POLICY C4

Policy Type: BOARD – CEO LINKAGE
Policy Name: **DELEGATION TO THE CEO**
Date Approved: February 19, 2003
Reviewed: Annual in February

The Board will instruct the CEO through written policies that prescribe the organizational Ends to be achieved and describe organizational situations and actions to be avoided, allowing the CEO to use any reasonable interpretation of these policies.

1. The Board will develop policies instructing the CEO to achieve certain results, for certain recipients, at a specified cost. These policies will be developed systematically from the broadest, most general level to more defined levels and will be called **Ends** policies.
2. The Board will develop policies that will limit the latitude the chief executive may exercise in choosing the organizational means. These policies will be developed systematically from the broadest, most general level to more defined levels and they will be called **Executive Limitations** policies.
3. As long as the chief executive uses *any reasonable interpretation* of the Board *Ends* and *Executive Limitations* policies, the chief executive is authorized to establish all further policies, make all decisions, take all actions, establish all practices and develop all activities.
4. The Board may change its *Ends* and *Executive Limitations* policies, thereby shifting the boundary between Board and chief executive domains. By so doing, the Board changes the latitude choice given to the chief executive. But as long as any particular delegation is in place, the Board and its members will respect and support the chief executive's choices.

POLICY C5

Policy Type: BOARD – CEO LINKAGE
Policy Name: **MONITORING EXECUTIVE PERFORMANCE**
Date Approved: February 19, 2003
Reviewed: Annual in February

The Library Board will ensue an on-going performance review process for the CEO that is complimentary with that in use at the City for comparable positions.

The CEO's performance will be measured against the expected organizational outputs and accomplishments that support the Board's policies on Ends and are achieved within the Board's policies on Executive Limitations.

1. The Board shall monitor the degree to which Board policies are being met. Only data that supports this will be considered relevant to the review.
2. The Board will acquire monitoring data by:
 - (a) compliance reports from the CEO to the Board.
 - (b) external evaluative reports to assess compliance with Board policies.
 - (c) direct inspection by the Board to assess compliance with Board policies.
3. Under the City process currently in place annually the Board shall:
 - (a) in January communicate its expectations of the CEO to the CEO and the Commissioner of Community Services;
 - (b) in February approve the CEO's performance agreement for The year;
 - (c) in June provide an evaluation of the CEO's compliance with Board policies as evidenced in January to June compliance reports and against expectations captured in the formal performance agreement;
 - (d) in September receive the CEO's mid-year review from the Commissioner and the CEO;
 - (e) in November provide an evaluation of the CEO's compliance with Board policies as evidenced in January to November compliance reports and against expectations captured in the formal performance agreement;
 - (f) in December approve the CEO's year-end review from the Commissioner and the CEO.
4. In every case, the standard for compliance shall be "*any reasonable interpretation by the CEO of Board policy.*"
5. All policies will be reviewed by the Board according to its annual schedule.
6. The Board may exercise discretion in the evaluation of the CEO's performance based on circumstances.

POLICY C5 Contd...

Policy Type:	BOARD – CEO LINKAGE
Policy Name:	MONITORING EXECUTIVE PERFORMANCE
Date Approved:	February 19, 2003
Reviewed:	Annual in February

7. The following questions be answered by the Board to finalize the CEO's performance review:
 1. Has the Director achieved acceptable progress towards the Library Board's Ends?
 2. Are there any Ends the Director has not made acceptable progress towards?
 3. Are there any Ends the Director has made exceptional progress towards?
 4. Has the Director consistently operated within the Executive Limitations policies?
 5. Has the Director contravened any Executive Limitations without providing a rationale or remedy?
 6. Have contraventions, if any, been properly acted on by the Director?

ENDS

D1 – D2

POLICY D1

Policy Type:	ENDS
Policy Name:	LEVEL 1 ENDS POLICY
Date Approved:	February 19, 2003
Reviewed:	Monthly

The Mississauga Library System exists so that every resident can develop skills; acquire knowledge and information; improve the quality of his/her life and the life of the community; and enjoy a welcoming, service- friendly environment in a high tech, 21st- century city, while receiving value for the cost.

POLICY D2

Policy Type:	ENDS
Policy Name:	LEVEL II ENDS POLICY
Date Approved:	February 19, 2003
Reviewed:	Monthly

D2.1 Developing Skills:

- Residents can develop a variety of skills to meet their needs
- High school students have appropriate research skills to effectively prepare for college or university
- Seniors, teens and at-risk youth can develop basic computer and information literacy skills
- Newcomers can increase literacy and English language skills
- Parents can improve parenting skills
- Life-long learners have the skills to pursue personal goals

D.2.2 Acquiring knowledge and information:

- Residents have the information and knowledge they need to function effectively in their community
- Residents recognize the Library as the primary source of community information
- Residents connect with their community, its government and other agencies
- New Canadians can obtain information that assists them to integrate into the community more effectively
- Small business owners have the information they need to support their business activities

D2.3 Improving quality of individual life and the life of the community:

- Residents can enjoy recreational reading
- Residents can understand and celebrate the cultures that make up Mississauga
- Families have the opportunity to enjoy recreation and entertainment together
- Children in at-risk locations have opportunities for recreation and entertainment
- Residents who are home-bound can obtain recreational and other reading materials

D2.4 Providing a welcoming, customer friendly environment:

- Residents enjoy a pleasant and safe location in which to meet, study, relax and enjoy recreational and entertainment opportunities
- Residents recognize their local libraries as neighbourhood hubs for community activity

...../Contd

POLICY D2

Policy Type: ENDS
Policy Name: **LEVEL II ENDS POLICY**
Date Approved: February 19, 2003
Reviewed: Monthly

D2.5 ...In a high-tech 21st Century city:

- Residents recognize the Central Library as a major component of Mississauga's vibrant downtown
- Residents using the Library enjoy state-of-the-art electronic equipment and services

D.2.6 While receiving value for cost:

- Residents recognize the value they receive for their library expenditure
- Residents get a library service striving to improve its performance

POLICY SCHEDULE

Policy A – EXECUTIVE LIMITATIONS	J	F	M	A	M	J	J	A	S	O	N	D
A1. Communication & Counsel to the Board												
A2. Protection of Services												
A3. Treatment of Customers												
A4. Staff Treatment												
A5. Staff Conduct												
A6. Financial Planning/Budgeting												
A7. Financial Condition												
A8. Emergency Executive Succession												
A9. Protection of Privacy												
A10. Asset Protection												
A11. Compensation and Benefits												
A12. Legal Compliance												
Policy B – GOVERNANCE PROCESS	J	F	M	A	M	J	J	A	S	O	N	D
B1. Global Governance Commitment												
B2. Governing Style												
B3. Board Job Description												
B4. Chairperson's Role												
B5. Board Committee Principles												
B6. Agenda Planning												
B7. Board Members' Code of Conduct												
B8. Board Decision-Making												
Policy C – BOARD – CEO LINKAGE	J	F	M	A	M	J	J	A	S	O	N	D
C1. Global Governance Management Connection												
C2. Unity of Control												
C3. Accountability of the CEO												
C4. Delegation to the CEO												
C5. Monitoring Executive Performance												
Policy D – ENDS – Levels 1 and 2	J	F	M	A	M	J	J	A	S	O	N	D