



*Taking Governance of Your  
City to the Next Level*


League of California Cities  
2010 Annual Conference

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**Agenda**

- ◆ Challenges of Municipal Governance and Elected Service
- ◆ Overview Policy Governance (Carver Model)
- ◆ Benefits of Policy Governance for Cities
- ◆ Questions and Answers



## Challenge of Elected Service


- ◆ High expectations
- ◆ Critical and difficult role
- ◆ Roles & responsibilities are poorly defined
- ◆ Little or no training or preparation
- ◆ Few measurements to define success
- ◆ Elected officials want to “do” and make a difference



## Typical “Governance” Problems


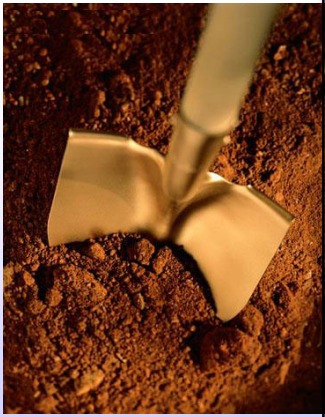
- ◆ Lack of proper focus and forward (future) direction
- ◆ Lack of role of clarity
- ◆ “Border incursions”
- ◆ Council loses control of its agenda & its distinct role
- ◆ City Manager loses control of management responsibilities
- ◆ Reactive, backwards looking, “fix-it” orientation






## The “Work” of the City Council

- ◆ Work for the residents and other stakeholders
- ◆ Determine the desired ends/ results for the City
- ◆ Ensure adherence to City Charter and/or other established policies
- ◆ Establish/revise policies to guide and direct the governance of the City




## The “Work” of the City Council

- ◆ Link with residents & stakeholders to represent their interests
- ◆ Hire and supervise its one employee: City Manager
- ◆ Monitor effective management of City and assure CM performance
- ◆ Act as the “trustee” of City’s money and resources
- ◆ Evaluate resources consumed vs. benefits gained



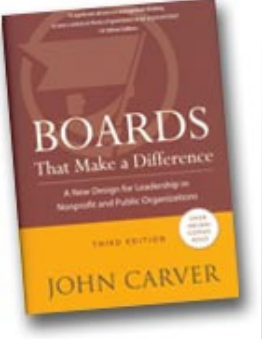



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- Existing Governance Policies - Rules**
- ◆ California and U.S. Constitution
  - ◆ City Charter
  - ◆ Fair Political Practices Commission
  - ◆ Brown Act
  - ◆ General Plan and Specific Plan policies
  - ◆ Budget
  - ◆ Classification & Salary Schedule
  - ◆ Adopted Ordinances
  - ◆ Other




## Policy Governance®: A Model

- ◆ Created by John Carver
- ◆ Used by hundreds of elected bodies, non-profits, and organizations
- ◆ Policy based governance model that more clearly defines the role of the elected officials and CEO
- ◆ Separates organizational purpose (ENDS) from organizational administration (MEANS)


## City Councils Role in Policy Governance

- Linkage with residents and stakeholders
- Define explicit policies about:
  - Ends (results)
  - Executive Limitations
  - Council-Staff Relationships
  - Governance
- Assures executive performance
- Evaluates costs vs. benefits










## Benefits of Clear Ends Policies

- ◆ Allows City Council to provide vision and strategic leadership
- ◆ Council focuses on “what and why” of City operations
- ◆ Manager & staff focus on “who, how, when, & at what cost”



## Ends Policies = Desired Results

- Desired results/outcomes of City services for the “owners”
- Owners = residents, businesses, customers & partners
- Provide clear and tangible results that are measurable to assure performance of CM



Determining Desired Ends, Results and Organizational Goals of Your City is The Most Important Job of the City Council



Ends Policies....

- ◆ Should be written as if you have already succeeded
- ◆ Cities do not exist to “try” or to perform “outputs”
- ◆ Should define:
  - What benefit?
  - For whom?
  - At what cost?





## City Manager determines the “Means” to the “Ends”



## Global or “Overarching” End Policy



- ◆ State the purpose of the organization
- ◆ Broad and Long-range perspective.
- ◆ Must be done prior to creation of narrower ends policies.



## Overarching Organizational Result City of Roseville



Roseville is a great city that is safe, livable and prosperous and an organization that improves lives through the public's experiences with our employees, services and facilities while operating in a fiscally responsible manner.



## Organizational Results – Ends Policies



### Public Safety

- ◆ The Roseville community is safe; fire, accidents & crime are prevented, emergencies that threaten people and property are responded to quickly and capably and the public is educated about personal and public safety



### Stewardship of Public Taxes & Assets

- ◆ The City collects and invests taxes and other revenues in a fiscally responsible and publicly accountable manner in programs, services and facilities for residents, businesses and visitors and is a good steward of the City's assets and infrastructure



## Organizational Results – Ends Policies



### Quality of Life

- ◆ Residents, visitors and businesses benefit from an abundance of public facilities, programs and services that make life better and the Roseville community more healthy, livable, beautiful and enjoyable.



### Natural Resources


- ◆ Open space and park land is preserved in its original, natural state and protect native plants and wildlife, contribute to clean air and water, and to provide green space, natural beauty and passive recreation opportunities for present and future generations

## Setting Ends (Results)





- ◆ Must be observable & measurable
- ◆ Start broadly & become specific
- ◆ Help to define priorities: core, important & discretionary





## Executive Limitations Policy:

- Explicit policy statements of what the City Manager is NOT permitted to do
- Anything not prohibited in EL Policies may be done by CM in pursuit of Council Ends




## Example of EL Policy: “Communications”

With respect to providing information and counsel to the City Council, the City Manager may not permit the Council to be uninformed. Accordingly, he or she may not:


1. Let the Council be unaware of relevant trends, anticipated adverse media coverage, material external and internal changes, particularly changes in the assumptions upon which any council policy has previously been established.
2. Fail to submit the required monitoring data (see policy on Monitoring Executive Performance) in a timely, accurate and understandable fashion, directly addressing provisions of the Council policies being monitored.
3. Fail to marshal as many staff and external points of view, issues and options as needed for fully informed Council choices, particularly with respect to staff opinion on matters of material importance.





## Example of EL Policy: Communications

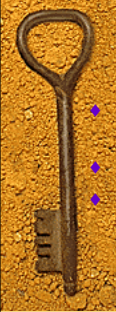
4. Present information in unnecessarily complex or lengthy form.
5. Fail to provide a mechanism for official Council, officer or committee communications.
6. Except for fulfilling individual requests for information, fail to deal with the Council as a whole.
7. Fail to report actual or anticipated noncompliance with any policy of the Council.
8. Fail to provide Council with sufficient information to gain an understanding of the local financial condition (such as tax base trends, sales tax trends, etc.).



## Council - Staff Relations Policy:

- Delegation of authority to City Manager and through him/her to staff
- Defines how City Council and City Manager will operate with each other
- City Manager reports ONLY to full City Council
- City Council directs City Manager ONLY
- City Manager evaluated on ONLY two criteria:
  - Achievement of (City Council prescribed) Ends
  - Avoidance of Violations of Executive Limitations





## Example of CSR Policy - “UNITY OF CONTROL”


- ◆ Only decisions of the City Council acting as a body are binding on the City Manager and City Attorney.
- ◆ 1. Decisions, instructions, or directives of individual Councilmembers are not binding on the City Manager or City Attorney except when the City Council has specifically authorized such exercise of authority.
- ◆ 2. In seeking clarification on informational items, Councilmembers may directly approach professional staff members to obtain information needed to supplement, upgrade or enhance their knowledge to improve Council decision-making. Any Councilmember requests that require substantive work should come before the Council for direction.
- ◆ 3. If Councilmembers request information or assistance without Council authorization, the City Manager or City Attorney may decline such requests that require a material amount of staff time or funds, or are disruptive and refer the request to the full Council for authorization to proceed. The City Manager and the City Attorney have the right to decline and refer such requests to the Council so long as all members of Council are treated the same in this respect.



## Governance Process Policies

- ◆ Establishes how the Council will operate as one entity:
- ◆ Establishes standards of behavior, roles, commitments and code of ethical behaviors
- ◆ Defines City Council’s job description, and ground rules






## GP Policy Example: Governing Style


The Council will approach its task with a style which emphasizes outward vision rather than an internal preoccupation, strategic leadership more than administrative detail, clear distinction of Council and staff roles, future rather than past or present, and proactivity rather than reactivity. In this spirit, the Council will:

1. Direct, control and inspire the organization through the careful establishment of the broadest organizational values and perspectives (policies).
2. Focus chiefly on impacts on the city outside the organization (ends), not on the administrative or programmatic means of attaining those effects.



## GP Policy Example: Governing Style

3. Enforce upon itself and its members discipline to govern with excellence, in such matters as policymaking, role clarification, speaking with one voice and self-policing of any tendency to stray from governance adopted in Council policies.
4. Be accountable to the general public for competent, conscientious and effective accomplishment of its obligations as a body. It will allow no officer, individual or committee of the Council to usurp this role or hinder this commitment.
5. Monitor and regularly discuss the Council's own process and performance. Insure the continuity of its governance capability by retraining and redevelopment.
6. Be an initiator of policy, not merely a reactor to staff initiatives. The council, not the staff will be responsible for Council performance.
7. Ensure that the agenda process is driven by Council directions and initiatives.



## Council's Role in Creating & Monitoring City Governance Policies


Council determines:

- Policy content & changes to established policies
- Method of monitoring (internal, external, direct inspection)
- Frequency of monitoring
- Evaluates City Manager performance on policies

--- FRONT NINE ---										
HOLE	1	2	3	4	5	6	7	8	9	OUT
Par	5	4	4	4	3	4	5	3	4	36
GOLD TEES	502	430	435	404	188	358	586	202	353	3516
BLACK TEES	533	407	407	384	169	337	533	175	330	3295
WHITE TEES	498	378	381	362	140	320	515	156	307	3057
RED TEES	458	334	348	314	120	287	471	128	272	2726
Men's Handicap	7	1	15	17	13	5	3	9	11	
Ladies' Handicap	9	1	7	11	17	5	3	13	15	


--- BACK NINE ---										
HOLE	10	11	12	13	14	15	16	17	18	IN TOT
Par	4	4	3	4	5	4	3	5	4	36 72
GOLD TEES	407	377	183	437	526	409	205	526	415	3486 7001
BLACK TEES	389	354	167	414	502	379	187	509	390	3291 6586
WHITE TEES	363	337	142	384	482	359	167	491	354	3079 6136
RED TEES	335	316	119	348	439	320	149	459	279	2764 5490
Men's Handicap	4	14	16	2	12	6	8	18	10	
Ladies' Handicap	6	10	18	4	2	8	14	12	16	



## Monitoring Process

Every policy monitored by pre-determined process on pre-determined schedule

- Internal or external reports
- Direct inspections
- City Council self-assessment





Monitoring measures what the City hopes to accomplish in successfully serving community



Benefits and Principles of Policy Governance



## Benefits of Policy Governance

- ◆ Allows City Council to provide vision and strategic leadership
- ◆ Council focuses on “what and why” of City operations through ends policies that define success
- ◆ Manager & staff focus on “who, how, when, & at what cost”



## Benefits of Policy Governance

- ◆ Council controls Manager and staff by creating and monitoring policies
- ◆ Provides clarity of roles & expectations
- ◆ Reduces City Council/City Manager conflict







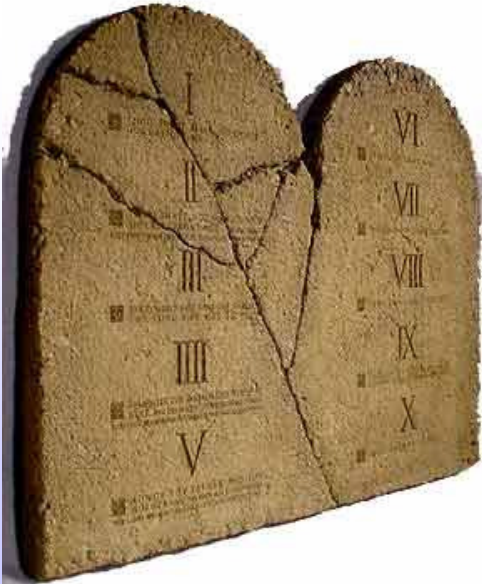
## Benefits of Policy Governance

- ◆ Aligns City resources of with operational priorities (core, important, discretionary)
- ◆ Improves relationship and accountability with residents by defining expectations for performance of both Council and staff



## Summary

# 10 Principles of Policy Governance



# The City Council Establishes its Own Rules & Culture – by Policy




The City Council is Trustee for the Residents





**Central Duties of the City Council:**  
Determine Desired Ends/Results  
Link” with residents & stakeholders





All Important City Council  
Expectations & Decisions Should be  
Embedded in Formal Policy



Policy Should be Formulated by  
Determining the Broadest Values

We are trustworthy.	We keep raising the bar.
We consistently deliver.	We succeed together.

The Council Should Define and Delegate, Not React and Ratify



The Council Speaks with One Voice






The City Council Seeks to Create a Relationship with Management that is Empowering & Safe



The logo is a yellow diamond-shaped sign with a black border. Inside the diamond is a black silhouette of a person being held in a protective embrace. Below the silhouette, the text "SafePlace" is written in a bold, black, sans-serif font, followed by a small "SM" trademark symbol.

10 The City Council's Role in managing operations is through boundaries established through Executive Limitations & Council/Staff Relations Policies



The diagram is a top-down view of a soccer field, colored green. It shows various markings and areas: the top and bottom edges are labeled "Goal Line"; the left and right edges are labeled "Touchline"; a horizontal line in the middle is labeled "Halfway Line"; a circle in the center is labeled "Center Circle" with a "Center Mark" inside; two rectangular areas near the top and bottom goals are labeled "Penalty Area", each with a "Penalty Arc" and "Penalty Mark"; small squares at the corners are labeled "Corner Flag" and "Corner Arc"; and a small square on the left side is labeled "Flagpost (Optional)".



City Manager Performance Must be Monitored Rigorously, Against Established Policy Criteria



Questions, Comments and Observations



## For more information

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