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**Subject:** Chief Administrative Officer (CAO) Recruitment, Selection, Offer of Employment and Performance Management Policy and Procedures

**Report to:** Corporate Services Committee

**Report date:** Wednesday, February 12, 2020

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## Recommendations

1. That the Chief Administrative Officer Recruitment, Selection, Offer of Employment and Performance Management, attached to Report HR 01-2020 REVISED as Appendix 1, **BE APPROVED**;
2. That the corresponding Procedure Chief Administrative Officer Recruitment, Selection, and Offer of Employment, attached to Report HR 01-2020 REVISED as Appendix 2, **BE APPROVED**;
3. That the Chief Administrative Performance Management Procedure, attached to Report HR 01-2020 REVISED as Appendix 3, **BE APPROVED**.

## Key Facts

- The purpose of this report is to obtain Council's approval of the CAO Recruitment, Selection, Offer of Employment and Performance Management Policy and Procedures.
- The Chief Administrative Officer Recruitment, Selection, and Offer of Employment Procedure includes a Terms of Reference for a CAO Recruitment Committee made up of the Regional Chair, specific members of Council, and applicable staff as noted therein.
- Council approval of the attached Policy and Procedures will satisfy the previous direction given to staff in Report CAO 17-2019 to take the necessary steps to implement the corresponding recommendations provided in the Ontario Ombudsman Report "Inside Job" dated November 2019 related to the CAO Recruitment process.
- **The initial report was discussed at Special Council on January 23, 2020. Council provided input on changes within the policy and procedures pertaining to the CAO Recruitment, Selection, and Offer of Employment Policy and Procedures, and subsequently referred the report to Corporate Services Committee.**
- **This revised report captures a number of the suggestions made at Special Council as they pertain to the CAO Recruitment, Selection, and Offer of Employment Policy and Procedures, there were no suggested changes to the Performance Management Procedure, as a result no changes have been made.**

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- The Policy and Procedures are newly created with research conducted of best practices and survey of other municipal partners; if approved these would come into effect immediately upon Council approval.
  - The approval of the Policy and associated Procedures will provide Council the mechanisms to move forward with the recruitment of a permanent CAO should they wish to do so, it will ensure any CAO Recruitment is undertaken in a way that will address the concerns raised as a result of the 2016 hiring process.

## **Financial Considerations**

The recommendations, as a result of the Ombudsman Report, are primarily policy and procedure focused and do not have any direct financial implications, save and except staff time to undertake the work, members of Council time to sit on the noted Committees, and the future costs associated with the services of an external Executive Search Firm to undertake the CAO recruitment and selection process in the future.

Should Council wish to proceed with the recruitment of a permanent CAO, any costs related to CAO recruitment activities in 2020 will be funded through the existing, and Council approved, 2020 budget.

## **Analysis**

On November 29, 2019, the Ontario Ombudsman released his report titled “Inside Job” respecting the investigation he conducted regarding the process Niagara Region undertook in the 2016 hiring of its Chief Administrative Officer (CAO); the administration of the CAO’s contract, including any extension and amendment; and Niagara Region’s response to concerns about the CAO’s hiring, including the municipal ombudsman’s investigation and the external governance auditor.

The Ombudsman put forward 15 recommendations within the report to address the issues that were identified as part of his investigation (and a 16th recommendation requiring Niagara Region to report back at six-month intervals on progress in implementation of the recommendations). This Report and the corresponding Appendices serve to directly address the following numbered recommendations from the Ontario Ombudsman Report:

- 3. The Regional Municipality of Niagara should require all officials and staff with access to confidential hiring process information to sign a specific confidentiality agreement at the outset of the process.*
- 4. The Regional Municipality of Niagara should ensure that the terms of reference it establishes for a recruitment committee provide for a complete list of the staff and officials permitted to access confidential information.*
- 6. The Regional Municipality of Niagara should adopt a policy clarifying that employees should not engage in any behaviour that provides an unfair*

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*advantage to a candidate during a hiring process, including assisting candidates by providing inside information such as interview questions and suggested answers.*

9. *The Regional Municipality of Niagara should adopt a policy setting out the process for hiring a Chief Administrative Officer, including the appropriate roles of staff and their accountability to council or a committee of council charged with the hiring.*
12. *Before making changes to a contract affecting its legal interests, the Regional Municipality of Niagara should require staff to consult legal and human resources staff to ensure the terms are lawful and consistent with the municipality's interests.*
13. *The Regional Municipality of Niagara should adopt a policy governing the process for CAO performance appraisals.*

The attached CAO Recruitment, Selection, Offer of Employment and Performance Management Policy and corresponding Procedures are entirely new; they were drafted in response to the recommendations contained within the Ombudsman Report. In accordance with the recommendations of this report, staff have reviewed what is currently in place, researched best practices, considered tools and resources suggested in the Ombudsman Report, including reached out to a number of upper and lower tier municipalities to ensure that any Policy and Procedures that are put in place, subject to Council approval, would satisfy the recommendations of the Ombudsman.

Regarding the Terms of Reference for the CAO Recruitment Committee, staff ***have amended some of the provisions as outlined in the attached CAO Recruitment, Selection, and Offer of Employment Policy and Procedures, including the CAO Recruitment Committee Terms of Reference contained therein.*** ~~are recommending that this Committee be comprised of the 3 Chairs, and in the case of the Public Health and Social Services Committee 1 of the Co-Chairs, of each of the 4 Standing Committees (it also does include the process to select replacement members), plus the Regional Chair who will also assume the Chair of the CAO Recruitment Committee. The recommendation regarding the participation of the Chair's of the Standing Committee's is based primarily on how their respective roles work closely with the role of the CAO, and that their role as Chair of their respective Committee's are required to work within a mandate and make recommendations to be considered by Council.~~

Niagara Region currently has some other policies in place that are relevant to the aforementioned recommendations such as: Code of Ethics/Conflict of Interest, Accountability and Transparency, Delegation of Powers and Duties, Execution of Documents By-law, and Employment and Staffing. Staff will ensure, in light of the Ombudsman's recommendations, that those policies are strengthened and consistent with the attached Policy and Procedures and will be respectively brought back to Council at a future date.

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The recruitment of a permanent CAO has been held in abeyance pending the completion of the Provincial governance review and the Ombudsman's Report into the 2016 CAO hiring process. Given that both of those matters have now been concluded, staff have created the Policy and Procedures as directed by Council in Report CAO 17-2019. The approval of these items will ensure that the corresponding Policy and Procedures, and the amended By-law that has been prepared under separate Report, are in place prior to a to a CAO recruitment process being initiated. As a result, should Council approve this Report, staff recommends proceeding with the recruitment of a permanent CAO done so in accordance with this Policy. Should Council **Approve this Policy**, a Report outlining next steps in the CAO recruitment process will be brought to the Corporate Services Committee meeting on **March 11, 2020 and will include direction to staff to proceed with the appointment of members to the Recruitment Committee at Regional Council.**

### **Alternatives Reviewed**

Municipalities, both local and beyond, were contacted for information on their CAO recruitment practices, including requests for copies of any policies related to same. Although the existence of a policy specific to the recruitment of a CAO are not generally in place, there is a fairly consistent approach that Human Resources facilitate the engagement of an external executive search firm to guide any candidate search, and to form a committee of Council tasked to be a recruitment committee.

Consideration was given to have internal staff and resources from Human Resources conduct the CAO Recruitment process; this alternative is not recommended for a number of reasons; namely Human Resources currently reports to the CAO and the optics of hiring their own manager are not favourable to the corporation. The inclusion of an Executive Search Firm (ESF) as part of the Policy brings the objectivity, specialized skills, and ability to perform a broader search for optimal candidates, still allows the Region to set the scope of work any ESF would undertake in the CAO recruitment process.

### **Relationship to Council Strategic Priorities**

This report is based on the recommendations of the Ontario Ombudsman and Council's prior confirmation of same; however, the implementation of this Policy and corresponding Procedures aligns with Council's Strategic Priority of Sustainable and Engaging Government.

### **Other Pertinent Reports**

- CAO 17-2019 – Recommendations from the Ontario Ombudsman Report "Inside Job" November 2019

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**Submitted by:**

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Acting, Chief Administrative Officer

*This report was prepared in consultation with Ann-Marie Norio, Regional Clerk, and Jodie Middleton, Manager Organizational Development and Talent Acquisition.*

**Appendices**

Appendix 1 – **REVISED** Chief Administrative Officer Recruitment, Selection, Offer of Employment and Performance Management Policy

Appendix 2 – **REVISED** Chief Administrative Officer Recruitment, Selection, and Offer of Employment Procedure

Appendix 3 – DRAFT Chief Administrative Officer Performance Management Procedure

<i>Policy Category</i>  <i>Human Resources</i>	<i>Name of Policy</i>  <i>Chief Administrative Officer – Recruitment, Selection, Offer of Employment, and Performance Management</i>
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<b>Policy Owner</b>	Corporate Administration, Human Resources, Director Human Resources
<b>Approval Body</b>	Regional Council
<b>Approval Date</b>	
<b>Effective Date</b>	
<b>Review by Date</b>	

### 1. Policy

Regional Council is committed to engaging in good governance through approved policy and procedures for both the recruitment (attraction, selection and offer of employment) and performance management (performance appraisal, objective setting and development plan) for the position of Chief Administrative Officer (CAO).

### 2. Purpose

The CAO is the senior appointed official of the Regional Municipality and provides leadership in all operational areas, policy, government affairs, business/service delivery, and implementation of Council's strategic priorities. Ensuring the CAO is qualified for the role; that the terms and conditions of their employment are appropriate; that their annual performance is properly aligned to key priorities; and that the incumbent is functioning at an appropriate level, is a key accountability of Council.

### 3. Scope

This policy applies to the role of the CAO, Council, and key designated external vendors and staff roles accountable for execution of the policy.

There are to be no acts of favouritism or discrimination in the CAO recruitment process. Members of Council, staff, external vendors, and anyone else approved to be part of the recruitment process shall not attempt to influence the hiring of any applicant in a manner that is inconsistent with this policy. This includes that no one shall engage in any behaviour that provides an unfair advantage to a candidate during the CAO recruitment process to assist any candidates by providing inside information, such as but not necessarily limited to, interview questions and suggested answers, presentation materials, information about other candidates, or any information gathered in meetings, conversations, email or any other form of communication or discussion.

<p><i>Policy Category</i></p> <p>Human Resources</p>	<p><i>Name of Policy</i></p> <p>Chief Administrative Officer – Recruitment, Selection, Offer of Employment, and Performance Management</p>
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### 3.1. Roles and Responsibilities

#### 3.1.1. CAO New Hire Recruitment, Selection and Offer of Employment

- Regional Chair: Serves as Chair of the **Recruitment Committee and oversees performance management process**; ensures the requirements of XXX Policy is fulfilled. Includes establishing **Council approved Recruitment Committee** membership, working with any external Executive Search Firm (**ESF**), enforcement of roles and responsibilities, **provide regular detailed updates in writing to Council concerning the recruitment and selection process including particulars of preferred candidate(s)**, along with integrity and confidentiality requirements. Oversees hiring process through Recruitment Committee and ESF selection, to **Council approval** of candidate offer of employment.
- Recruitment Committee Member: **Acts on behalf of members of Council in the recruitment and selection process**. Engages in all procedural elements as outlined in respective XXX Procedure. Includes mandatory attendance at all meetings and interviews, engaging in the development of selection criteria and position profile development as required, **collaborating with the Chair and ESF on providing regular detailed updates in writing to Council concerning the recruitment and selection process including particulars of preferred candidate(s)**. Requires alignment to all integrity and confidentiality requirements.
- Director, Human Resources: Facilitates the recruitment process on behalf of the Regional Chair and Recruitment Committee, **and the performance management process**. Serves as primary contact point for any ESF; provides guidance and advice to the Chair and Recruitment Committee members ensuring best practices and legal interests of the corporation are upheld, **supports the Chair and Recruitment Committee in the preparation of regular detailed written update(s) to Council**, leads the procurement of an ESF, facilitates Legal consultation and candidate offer of employment and/or offer letter creation, and any amendment to the employment contract; is required to attend all meetings with the Recruitment Committee and with Council, and any other meetings upon request of the Chair.
- Executive Search Firm (ESF): An external firm or specialized consultant who works with the Chair and Recruitment Committee to confirm the CAO profile, position competencies, and search, selection and offer strategy. **ESF** accountabilities will align with the **defined** scope of work, which may include but not necessarily limited to – attraction, screening of prospective candidates, development of short list of candidates to be interviewed by the Committee, including they may support the interview, reference **checking** and offer of employment process as required. **Required to attend meeting(s) of Council to provide detailed updates to members of Council concerning the recruitment and selection process, be**

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***prepared to present to Council on its processes to short list candidates, provide candid feedback on the recruitment process, provide observation(s) on any short listed candidates, along with responding to any inquiries made by members of Council.***

- **Acting/Interim CAO:** A member of the Region's Corporate Leadership Team or an external person appointed by Council to fulfil the duties of the CAO on an acting or temporary basis. The appointment of the Acting CAO does not preclude their candidacy in the selection process for a permanent CAO. If they are not a candidate for the permanent role, they may participate as a member of the Recruitment Committee if approved by the Chair and Recruitment Committee. However, if they are a candidate for the position as permanent CAO, they are not permitted to participate or influence the recruitment process and must excuse themselves from all business associated with same.
- **Regional Clerk:** Ensures required governance related supports and advice to ensure effective completion of the process; provides agenda and meeting management functions; is required to attend all meetings with the Recruitment Committee and with Council, and any other meetings upon request of the Chair.
- **Regional Council:** Responsible for the hiring of the CAO and all associated approvals noted within this Policy and its Procedures. ***Attendance at any meeting of Council where matters pertaining to the CAO recruitment, selection, and offer of employment are being discussed.***

### 3.1.2. Performance Management

- **Regional Chair:** Ensures the mandate of the XXX Procedure is fulfilled annually. Includes development and execution of annual performance management schedule, providing feedback to CAO; enforcement of roles and responsibilities, annual rating selection, report creation to Council, annual objective and development plan setting with the CAO as well as integrity and confidentiality requirements.
- **Chief Administrative Officer:** Completing annual assessment; engaging in all aspects of the process as laid out in this XXX policy and the procedure document. Engaging in the performance appraisal process, and development of annual objectives and development plan.
- **Director, Human Resources:** Initiates and facilitates the performance appraisal process and creation of annual objective and development plan on behalf of the Regional Chair in accordance with the Region's Non-Union Performance Management Program. Sources and serves as primary point of contact for additional resources or supports such as Legal or Consultants. Provides guidance and advice to the Chair as required, is required to attend all meetings with Council, and any other meetings upon request of the Chair.

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- Regional Clerk: Ensures required governance related supports and advice to ensure effective completion of the process; provides agenda and meeting management functions; is required to attend all meetings with Council, and any other meetings upon request of the Chair.
- Regional Council: Responsible for the evaluation of the performance of the CAO and all associated approvals noted within this Policy and Procedures. **Attendance at any meeting of Council where matters pertaining to CAO performance management are being discussed.**

**4. References and Related Documents.**

List related legislation, directives, By-laws and associated procedures

**4.1. Legislation, By-Laws and/or Directives**

- Municipal Act, 2001
- Employment Standards Act, 2000
- CAO By-law # XXX

**4.2. Procedures**

- XXX – Chief Administrative Officer Recruitment, Selection, Offer of Employment
- XXX – Chief Administrative Officer Performance Management

**5. Related Policies**

- Non-Union Compensation C-HR-001
- Employment and Staffing C-HR-010

**6. Document Control**

The electronic version of this document is recognized as the only valid version.

**Approval History**

Approver(s)	Approved Date	Effective Date

**Revision History**

Revision No.	Date	Summary of Change(s)	Changed by

<p><i>Policy Category</i></p> <p><i>Human Resources</i></p>	<p><i>Name of Policy</i></p> <p><i>Chief Administrative Officer – Recruitment, Selection, Offer of Employment, and Performance Management</i></p>
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<i>Procedure Category</i>	<i>Name of Procedure</i>
Human Resources	Chief Administrative Officer – Recruitment, Selection, and Offer of Employment

<b>Procedure Owner</b>	Corporate Administration, Human Resources, Director Human Resources
<b>Parent Policy</b>	XXX – Chief Administrative Officer Recruitment, Selection, Offer of Employment, and Performance Management
<b>Approval Body</b>	Regional Council
<b>Approval Date</b>	
<b>Effective Date</b>	
<b>Review by Date</b>	

The following procedure outlines the Chief Administrative Officer (CAO) Recruitment, Selection, and Offer of Employment.

When a permanent vacancy for CAO occurs, the Regional Chair (**Chair**) notifies the Director, Human Resources (HR) to initiate the recruitment process to fill the permanent CAO vacancy **in accordance with** the XXX Policy and XXX Procedure.

**The Director HR, *in consultation with the Chair, will initiate the CAO selection process in accordance with the CAO Recruitment Committee Terms of Reference as follows:***

### **Chief Administrative Officer Recruitment Committee Terms of Reference**

#### **Mandate / Scope**

The mandate of the Chief Administrative Officer (CAO) Recruitment Committee is to facilitate the recruitment process for the CAO and recommend to Regional Council a preferred candidate for the role of CAO.

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## Goals/Purpose

### 1. Formation of a CAO Recruitment Committee

- a. *The Committee will be comprised of the Regional Chair, who will serve as Committee Chair, and four (4) members of Regional Council to be appointed by Regional Council. Members must be able to commit to full and active participation over the course of the CAO recruitment, including mandatory attendance at all meetings, interviews, etc.*
- b. *CAO Recruitment Committee will be governed by the Region's Procedural By-law.*

### 2. Engagement of an External Executive Search Firm (ESF)

- a. *CAO Recruitment Committee, in consultation with Director Human Resources, to determine scope of work and select ESF, as per the Niagara Region Procurement By-law.*
- b. *ESF to develop the key CAO character traits and competencies required, in consultation with the CAO Recruitment Committee, to drive results forward in Niagara.*
- c. *ESF to undertake CAO candidate search, with active engagement of the CAO Recruitment Committee.*
- d. *ESF, in consultation with the Recruitment Committee, to provide detailed updates to Council concerning the recruitment and selection process, be prepared to present to Council on its processes to short list candidates, provide candid feedback on the recruitment process, observation(s) on any short listed candidates, along with responding to any inquiries made by members of Council.*

### 3. CAO Recruitment Process

- a. *CAO Recruitment Committee members actively participate in a transparent, competitive, and comprehensive recruitment process, while holding in strict*

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***confidence all confidential information concerning matters dealt with by the Committee.***

- b. CAO Recruitment Committee, with ESF, to provide detailed updates to members of Council concerning the recruitment and selection process.***
- c. Upon completion of the recruitment process, the CAO Recruitment Committee to present up to three (3) preferred candidate(s) to Regional Council for approval of a preferred candidate and approval on presented associated terms and conditions of employment.***
- d. Upon Regional Council's approval of the preferred candidate, Council authorizes the Director, HR, to extend the approved terms of employment to the preferred candidate, in a form satisfactory to the Director Legal and Court Services, in consultation with any external legal counsel as required, ensuring all legal requirements are met.***

### ***Recruitment Committee Membership***

The membership structure of the CAO Recruitment Committee will be comprised of ***five (5) members of Regional Council, including the Regional Chair, who will serve as Committee Chair.***

### **Privacy Considerations**

The CAO Recruitment Committee will comply with all open meeting provisions. Information provided to the CAO Recruitment Committee, specifically pertaining to applicants for the position of the CAO, will be held in strict confidence and managed in accordance with the principles of protection of personal information as defined by the *Municipal Freedom of Information and Protection of Personal Privacy Act (MFIPPA)*.

The CAO Recruitment Committee shall hold in strict confidence all confidential information concerning matters dealt with by the Committee, members of the Recruitment Committee, and any approved staff who support the recruitment process, will be required to execute a confidentiality agreement at the outset of the recruitment and selection process.

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**Attendance**

A recruitment best practice is that all candidates are interviewed by a consistent interview panel, in support of a fair, transparent, and comprehensive recruitment process. It is mandatory that members of the CAO Recruitment Committee actively participate in all stages of the CAO recruitment process, with specific attention paid to attending all CAO candidate interviews, at any/all steps of the process.

A member of the CAO **Recruitment** Committee who is absent for two (2) consecutive meetings shall be deemed to have resigned from the committee and Regional Council will be notified that a re-appointment is necessary.

The aforementioned does not preclude Council from re-appointing the Committee member in question.

**Staff Support to Committee**

The Director, HR, Director, Legal and Court Services, and the Regional Clerk, or their respective designates, will function in an advisory capacity to the CAO Recruitment Committee, and the selected ESF. Involvement of any staff not noted herein will require Recruitment Committee approval prior to being engaged to provide any support to the Committee or be in attendance at meetings. In any event, any staff engaged to support the Recruitment Committee shall hold in strict confidence all confidential information concerning matters dealt with by the Committee, including all such staff will be required to execute a confidentiality agreement prior to engaging in support of the Committee. The Director HR, and the Regional Clerk, or their respective designates, are required to attend all Recruitment Committee and Council meetings.

**Financial Resources**

The CAO Recruitment Committee will consult with the Director, HR, to secure the required financial resources to fulfill the direction of the committee to facilitate the CAO recruitment.

**Frequency of Reporting**

Regular, ***detailed written updates will be provided to Regional Council throughout the CAO recruitment and selection process up to and including particulars of preferred candidate(s)***

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***being presented*** to Regional Council. ***This will include participation of ESF representative, as defined in XXX Policy.***

### **Termination of CAO Recruitment Committee**

The CAO Recruitment Committee shall cease at the conclusion of a successful recruitment of a new CAO.

### **Meetings**

Meetings shall be governed by Niagara Region's Procedural By-law as may be amended from time to time.

The following is intended to provide further clarity concerning the above Terms of Reference in support of the CAO recruitment process:

1. The Recruitment Committee will be orientated to By-laws, Policies, and Procedures relevant to the recruitment of a CAO. They will be educated on the roles, responsibilities and accountabilities of their role including confidentiality and ethics based expectations, along with executing a confidentiality agreement at the outset of the recruitment and selection process.
2. The Recruitment Committee, with the support of the Director HR and ESF, will engage in a thorough and comprehensive analysis of the position requirements of Senior Leader Competencies, skills, experience, knowledge and qualifications of the role. Due to the importance of this position, consultation with the Corporate Leadership Team, other ***relevant*** staff, and community stakeholders may be initiated and incorporated into the recruitment and selection process.
3. The recruitment methodology inclusive of any testing and/or evaluations will be determined by the Recruitment Committee through consultation with the ESF and Director HR, and will be aligned to Regional Policy. The position will be advertised both internally and externally.
4. In consultation with the Recruitment Committee and Director HR, the ESF will undertake CAO recruitment activities within the approved scope of work, which may include but not be limited to: posting the vacant position through appropriate channels, targeted recruitment, review of all applicant resumes and follow up to clarify applicant experience for short listing purposes,

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screen prospective candidates and develop a formal short list of candidates to be recommended to the Recruitment Committee, leadership assessment, reference checking, and preparation of a written summary of a specific number of candidates as agreed to with the Recruitment Committee for consideration for short listing.

5. The Recruitment Committee and the ESF will interview and assess selected candidates with the intent to identify preferred candidates.
6. Based on the results of interview(s), any testing, evaluation, or assessment, reference checking, etc... the Recruitment Committee will make a recommendation on preferred candidates ***in a report to Regional Council for consideration.***
7. The Director, HR will be responsible for the preparation of ***the Council approved terms of the offer of employment*** to the preferred candidate, including the responsibility to engage the Director Legal and Court Services, and any external Legal Counsel when preparing the offer of employment, and negotiation with the preferred candidate, if any. The Offer of Employment documentation will align to corporate practice and meet all legal requirements, including ensuring compensation is aligned to the Non-Union Compensation Policy and Salary Administration Procedures.
8. Any report to Council as noted above will include a detailed summary of the recruitment and selection process undertaken by the Recruitment Committee.

### Definitions

Regional Chair: Serves as Chair of the ***Recruitment Committee***; ensures the requirements of XXX Policy is fulfilled. Includes establishing ***Council approved*** committee membership, working with Director HR and the ESF, enforcement of roles and responsibilities, ***provides regular detailed updates in writing to Council during the recruitment and selection process including particulars of preferred candidate(s)***, along with integrity and confidentiality requirements. Oversees hiring process through Recruitment Committee and ESF selection, to ***Council approval of preferred*** candidate offer of employment.

Recruitment Committee Member: ***Acts on behalf of members of Council in the recruitment and selection process.*** Engages in all procedural elements as outlined in respective XXX Procedure. Includes mandatory attendance at all meetings and interviews, engaging in the

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development of selection criteria and position profile development as required, **collaborating with the Chair and ESF on providing regular detailed updates in writing to Council concerning the recruitment and selection process including particulars of preferred candidate(s)**. Requires alignment to all integrity and confidentiality requirements.

Director, Human Resources: Facilitates the recruitment process on behalf of the Regional Chair and Recruitment Committee. Serves as primary contact point for any ESF; provides guidance and advice to the Chair and Recruitment Committee members ensuring best practices and legal interests of the corporation are upheld, **supports the Chair and Recruitment Committee in the preparation of regular detailed written update(s) to Council**, leads the procurement of an ESF, facilitates Legal consultation and candidate offer of employment and/or offer letter creation, and any amendment to the employment contract; is required to attend all meetings with the Recruitment Committee and with Council, and any other meetings upon request of the Chair.

Executive Search Firm (ESF): An external firm or specialized consultant who works with the Chair and Recruitment Committee to confirm the CAO profile, position competencies, and search, selection and offer strategy. **ESF** accountabilities will align with the **defined** scope of work, which may include but not necessarily limited to – attraction, screening of prospective candidates, development of short list of candidates to be interviewed by the Committee, including they may support the interview, reference **checking** and offer of employment process as required. **Required to attend meeting(s) of Council to provide detailed updates to members of Council concerning the recruitment and selection process, be prepared to present to Council on its processes to short list candidates, provide candid feedback on the recruitment process, provide observation(s) on any short listed candidates, along with responding to any inquiries made by members of Council.**

Regional Clerk: Ensures required governance related supports and advice to ensure effective completion of the process and provides agenda and meeting management functions; is required to attend all meetings with the Recruitment Committee and with Council, and any other meetings upon request of the Chair.

Regional Council: Responsible for the hiring of the CAO and all associated approvals noted within this Policy and its Procedures. **Attendance at any meeting of Council where matters pertaining to the CAO recruitment, selection, and offer of employment are being discussed.**

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Competencies: In addition to high character traits, are the attitudes and behaviours required at a high level of performance for an individual to be successful in a role.

**1. Appendices**

None

**2. Document Control**

The electronic version of this document is recognized as the only valid version.

**Approval History**

Approver(s)	Approved Date	Effective Date

**Revision History**

Revision No.	Date	Summary of Change(s)	Changed by

<i>Procedure Category</i> <i>Human Resources</i>	<i>Name of Procedure</i> <i>Chief Administrative Officer – Performance Management</i>
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<b>Procedure Owner</b>	Corporate Administration, Human Resources, Director Human Resources
<b>Parent Policy</b>	XXX - Chief Administrative Officer Recruitment, Selection, Offer of Employment, and Performance Management
<b>Approval Body</b>	Regional Council
<b>Approval Date</b>	
<b>Effective Date</b>	
<b>Review by Date</b>	

The following procedure outlines the annual Chief Administrative Officer (CAO) Performance Management process:

1. On an annual basis, the Director Human Resources (HR) initiates the Performance Appraisal process in consultation with Regional Chair (Chair)
  - Director HR initiates with Chair within the same timelines as the Non-Union Performance Management Program cycle.
  - Director HR and Chair prepare Performance Appraisal documents for approval by Chair, and then completion by CAO.
  - Director HR and Chair prepare CAO Performance Evaluation Survey to be distributed to all members of Council for completion.
  - Director HR and Chair assume accountability for process to begin CAO consultation and preparation for the annual performance appraisal process.
2. CAO is issued Performance Appraisal documents
  - CAO provided Performance Appraisal documents to complete first part of assessment process; completion of their self-assessment based on senior leader competencies, their annual objectives and development plan.
  - CAO submits completed Performance Appraisal documents to Regional Chair by required submission date.
3. Regional Council invited to participate in CAO Performance Appraisal
  - Chair distributes CAO Performance Evaluation Survey to all members of Council.

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- Members of Council complete CAO Performance Evaluation Survey and return to Chair by required submission date.
4. Chair reviews all documentation to determine final rating, and creates Performance Appraisal report to Council.
    - Reviews Council feedback provided in CAO Performance Evaluation Survey that contain aggregated results and comments summary.
    - Reviews CAO submission of Performance Appraisal documents.
    - In consideration of the above, completes the Leader section of the CAO Performance Appraisal form
    - Provides feedback to CAO taking into account Council CAO Performance Evaluation survey, the CAO self-appraisal, and any additional Chair feedback.
    - Determines final performance rating.
  5. CAO Performance Appraisal Report for submission to Council prepared by the Chair.
    - Report based on Council CAO Performance Evaluation survey, the CAO self-appraisal, and any additional Chair feedback.
    - Report structured to answer questions, such as:
      1. How well did the CAO's performance align with Council's Strategic Priorities.
      2. How well did CAO's performance align with annual objectives.
      3. What themes or key discussion points emerged?
      4. Is there a recommendation for performance development planning for next cycle?
      5. What is the final performance rating?
  6. Regional Chair meets with the CAO to review CAO Performance Appraisal Report
    - Chair and CAO engage in feedback discussion, discuss any revisions of the Report for consideration by the Chair.
    - Once discussion(s) are complete, sign off by the CAO and Chair will then occur.
  7. Chair report out to Council for Performance Appraisal approval.
    - Chair presents Report to Council, which will include Performance Rating.
  8. Council approval of CAO Performance Rating and CAO compensation
    - Council approves Chair Report on CAO Performance, and the Rating
    - Any improvement to CAO compensation aligns with Non-Union Compensation Policy and Salary Administration Procedure, unless approved otherwise by Regional Council.
    - Amendment of CAO employment contract, if any, is subject to Council approval.

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9. CAO with Chair completes next year Performance Objectives and Development Plan draft within the same timelines and utilizing all documents of the Non-Union Performance Management Program.
  - CAO and Chair complete the Objective and any Development plan for coming year.
10. Council approves Objectives and Development Plan
  - CAO Objectives and Development Plan for the performance year are approved.

## Definitions

**Regional Chair:** Ensures the mandate of this XXX Procedure is fulfilled annually in accordance with the Non-Union Performance Management program. Includes, development and execution of annual performance management schedule, providing feedback to CAO; Objective and Development Plan setting for the performance year, as well as integrity and confidentiality requirements.

**Chief Administrative Officer:** Completing annual performance appraisal; engaging in all aspects of the performance management process as laid out in XXX Policy. Engaging in development of annual Objectives and Development Plan. Report(s) provided to Chair and Council as required.

**Director, Human Resources:** Responsible for facilitating with the Chair and CAO the Performance Management Program process and all associated tools used to support same. Sources and serves as primary point of contact for additional resources or supports such as Legal or Consultants. Provides guidance and advice to Chair, CAO, and Council as required, is required to attend all meetings with Council, and any other meetings on request of the Chair.

**Regional Clerk:** Ensures required governance related supports and advice to ensure effective completion of the process and provides agenda and meeting management functions. Attends all meetings of Council.

**Performance Appraisal:** is a key performance indicator of the effectiveness of the CAO's strategic management decisions and actions. This is executed through a standardized set of documents prepared by Human Resources as part of the Performance Management Program that allows for both the CAO and Chair to document performance. A performance assessment and rating are attached to the appraisal. This performance appraisal and rating are then aligned to the Non-Union Compensation Policy and Salary Administration Procedure to determine any increase in annual compensation, or compensation as otherwise approved by Council.

**Performance Appraisal process:** Is the standardized and approved methodology used to ensure a quality, equitable performance process is conducted. It entails a standard timeline, series of steps and evaluation methodology and tools.

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Performance Management Program: Is the complete set of documents, tools and instructions as well as pictorial workflow for the performance appraisal process. The program consists of performance appraisal documents; objective and development planning documents for the upcoming year; CAO competencies; instructions and workflow document as well as open appendices for any additional documentation deemed relevant by the CAO, Chair, or Council.

Competencies: Are the attitudes and behaviours required at a high level of performance for an individual to be successful in a role.

Council Performance Evaluation Survey: a qualitative and quantitative method based on a questionnaire to gather information and feedback on CAO impact and performance in the performance evaluation year.

CAO Performance Appraisal Report: A Report prepared by the Chair, which may include support of the Director HR, based on constructive feedback that summarizes findings from the assessment process as well as recommendations on a performance rating and performance objective and development planning.

## 1. Appendices

None

## 2. Document Control

The electronic version of this document is recognized as the only valid version.

### Approval History

Approver(s)	Approved Date	Effective Date

### Revision History

Revision No.	Date	Summary of Change(s)	Changed by