

Markham Public Library Board
Policy Governance

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Policy Type:	Ends Policy
Policy Number:	E-1 Page 1 of 1
Policy Title:	Global Ends Policy
Revision Dates:	October 25, 2004, June 26, 2006, May 28, 2007, June 23, 2008, May 31, 2010, May 30, 2011, September 24, 2012

Level 1:

Markham Public Library (MPL) exists so that people who live, work, or study in Markham enjoy an enhanced quality of life at a level that justifies the funds invested.

Level 2:

- 2.1 Individuals and families are readers, lifelong learners, and have a gathering space.
- 2.2 The community is enriched and strengthened.

Policy Type:	Governance Process
Policy Number:	GP-1 Page 1 of 1
Policy Title:	Global Governance Commitment
Revision Dates:	September 24, 2012

The purpose of the Board is to:

1. Represent the interests of moral ownership of the people who live and work in Markham (the “community”). The Board will proactively pursue community input, not waiting to be initiated by the community.
2. Determine the benefits that the organization will provide, keeping a long term, strategic perspective (the Ends Policies).
3. Ensure that the operating organization accomplishes what it should (described in the Ends Policies) in ways that the Board determines are acceptable (described in the Executive Limitations Policies).

Policy Type:	Governance Process	
Policy Number:	GP-2a	Page 1 of 1
Policy Title:	Governing Style	
Revision Dates:	June 30, 2003	

The Board will govern lawfully with an emphasis on:

- A. Outward vision, rather than internal preoccupation
- B. Diversity in viewpoints
- C. Strategic leadership, rather than administrative detail
- D. Clear distinction of Board and chief executive roles
- E. Collective rather than individual decisions
- F. Future orientation
- G. Proactivity, rather than reactivity
- H. Inclusiveness to reflect the community.

Accordingly, the Board will:

1. Commit to understand the needs of the community.
2. Cultivate a sense of group responsibility. The Board, not the staff, will be responsible for excellence in governing. The Board will be the initiator of policy, not merely a reactor to staff initiatives. The Board will use the expertise of individual members to enhance the ability of the Board as a body rather than to substitute individual judgments for the Board's values.
3. Allow no officer, individual or committee of the Board to hinder or be an excuse for not fulfilling its commitments.
4. Direct, control, and inspire the organization through the careful establishment of broad written policies reflecting the Board's values and perspectives about ends to be achieved and means to be avoided.
5. Enforce upon it whatever discipline is needed to govern with excellence. Discipline will apply to matters such as attendance, preparation for meetings, policy making principles, respect of roles, and ensuring the continuance of governance capability. Although the Board can change its governance process policies at any time, it will observe them while in force.
6. Ensure the continuance of governance capability through continual Board development, such as orientation of new Board members in the Board's governance process and periodic Board discussion of process improvement.
7. Monitor and discuss the Board's process and performance regularly. At each meeting, complete a meeting process analysis. Annually, complete a formal comparison of Board activity and discipline to policies in the Governance Process and Board-CEO Linkage categories.

Policy Type:	Governance Process	
Policy Number:	GP-2b	Page 1 of 1
Policy Title:	Board Job Description	
Revision Dates:	May 16, 2003, June 26, 2006, September 24, 2012	

The job of the Board is to serve as an informed agent of the community, representing the community in determining and requiring appropriate organizational performance. To distinguish the Board's own unique job from the jobs of staff, the Board's job products will be the following:

1. The link between the community and Markham Public Library:
This includes relationships with municipal council and the community outside of the Library, for the purpose of achieving the Board's governance commitment.
 - a) Board members must be outreach agents to the community at the governance level of organizations in the community. The Board should create an annual plan. There are three aspects to outreach or linkage with the community.
 - i) The first is listening to the community in order to understand their needs and values. The Board's job is to listen to the interests of the community, not their customer issues.
 - ii) The second is educating the community about the way that the Board governs the organization.
 - iii) The third is building relationships within the community, so that listening and educating can take place easier.

2. Written governing policies that address the broadest levels of all organizational decisions and situations:
 - a) *Ends*: Organizational products, impacts, benefits, outcomes, recipients, and their relative worth (what good for what people at what cost).
 - b) *Governance Process*: Specification of how the Board conceives, carries out and monitors its own task.
 - c) *Board-CEO Linkage*: How power is delegated and its proper use monitored; the CEO's role, authority, and accountability.
 - d) *Executive Limitations*: Constraints on executive authority that establish the prudence and ethics boundaries within which all executive activity and decisions must take place.

3. Assurance of successful organizational performance, including Board performance and CEO performance.

Policy Type:	Governance Process	
Policy Number:	GP-2c	Page 1 of 1
Policy Title:	Chair's Role	
Revision Dates:	June 30, 2003, April 25, 2005, February 27, 2012, September 24, 2012	

The Chair ensures the integrity of the Board's process and represents the Board to outside parties.

1. The expected result of the Chair's job is that the Board behaves consistently within its own rules and those legitimately imposed upon it from outside the organization.
 - a) The Chair is responsible for preparing agendas and ensures an annual Board agenda is used for Board meetings according to Board policy. The Chair may consult with the Vice Chair, CEO, or other Board members as appropriate.
 - b) The Chair is empowered to chair Board meetings with all the commonly accepted power of that position (e.g. ruling, recognizing).
 - i) Meeting discussion content will be on those issues that, according to Board policy, clearly belong to the Board to decide or monitor.
 - ii) The Chair will ensure that the focus of the Board's discussion is on monitoring and decision making.
 - iii) Deliberation will be fair, open, and thorough, but also timely, orderly, and kept to the point.

2. The authority of the Chair consists in making decisions that fall within the topics covered by Board policies on Governance Process and Board-CEO Linkage, with the exception of employment or termination of a CEO, and where the Board specifically delegates portions of this authority to others. The Chair is authorized to use any reasonable interpretation of the provisions in these policies.
 - a) The Chair has no authority to make decisions about policies created by the Board within the Ends and Executive Limitations policy areas. Therefore, the Chair has no authority to supervise or direct the CEO.
 - b) The Chair 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.
 - c) The Chair may delegate this authority but remains accountable for its use.
 - d) The Chair may be required to maintain a file of confidential materials as needed and pass those materials on to the subsequent Board Chair.

Policy Type:	Governance Process
Policy Number:	GP-2d Page 1 of 1
Policy Title:	Board Committee Principles
Revision Dates:	May 16, 2003, December 8, 2003, April 25, 2005, June 22, 2009, September 24, 2012

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. Committees will be used sparingly, only when other methods have been deemed inadequate.
2. Board committees are to help the Board do its jobs, not to help the staff do their jobs. 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 the current staff with the exception of the Committee Secretary.
3. 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.
4. Board committees cannot exercise authority over staff. The CEO has sole responsibility to exercise authority over staff.
5. This policy applies to any group that is formed by Board action, whether or not it is called a committee, and regardless whether the group includes Board members. It does not apply to staff committees formed under the authority of the CEO.
6. Committees will be selected by members of the Board at Board meetings.
7. Committee members accept committee appointments with the understanding that meeting attendance and timely responses to deadlines are expected.
8. All Board members shall receive committee correspondence including meeting notices, agenda, etc. All Board members are welcome to attend committee meetings. Only committee members may move and second motions and vote in committee meetings. All Board members may participate in discussion of matters before the committees.
9. The CEO or staff designate shall attend committee meetings and act as Committee Secretary, unless otherwise instructed by the Board at the time the committee is struck.
10. All committee communications should be copied to the Board Secretary.
11. The initial responsibilities of each committee shall be to:
 - a) review Policy GP-2d Board Committee Principles,
 - b) select a Chair and a Secretary,
 - c) set a timetable (with response deadlines) that will be forwarded to the Board Secretary who will in turn forward it to all Board members.

Policy Type:	Governance Process	
Policy Number:	GP-2e	Page 1 of 1
Policy Title:	Committee Structure	
Revision Dates:	September 24, 2012	

A committee is a Board committee only if its existence and charge come from the Board, regardless whether Board members sit on the committee. The only Board committees are those which are set forth in this policy. Unless otherwise stated, a committee ceases to exist as soon as its task is complete.

1. Sample Committee

- a) Products:
[description of the products of the committee that will help the Board accomplish one of its jobs – see GP-2b]
- b) Authority: To incur costs of no more than \$XX direct charges and no more than X hours of staff time.
- c) Composition: Membership shall be ...

Policy Type:	Governance Process
Policy Number:	GP-2f Page 1 of 2
Policy Title:	Agenda Planning
Revision Dates:	June 30, 2003, September 13, 2003, February 2, 2004, April 25, 2005, October 24, 2005, November 28, 2005, December 19, 2005, February 27, 2006, September 24, 2012, February 25, 2019

To accomplish its job products with a governance style consistent with Board policies, the Board will follow an annual agenda which completes a re-exploration of Ends policies annually, and continually improves its performance through Board education and enriched input and deliberation.

1. The cycle will conclude each year on the last day of June so that administrative planning and budgeting can be based on accomplishing a one-year segment of the Board's most recent statement of long-term Ends.
2. The cycle will start with the Board's development of its agenda for the next year. Outreach initiatives will be determined in September.
 - a) Consultations with selected groups in the community, or other methods of gaining community input, will be determined and held during the balance of the year.
 - b) Governance education and education related to Ends determination (e.g. presentations by futurists, demographers, advocacy groups, and staff) will be arranged by September, to be held during the balance of the year.
 - c) Review of organizational compliance with Executive Limitations policies will be completed throughout the year.
 - d) Review of Board compliance with Governance Process and Board-CEO Linkage policies will be undertaken throughout the year.
3. Throughout the year, the Board will attend to consent agenda items as expeditiously as possible.
4. CEO monitoring will be on the agenda if reports have been received since the previous meeting, if plans must be made for direct inspection monitoring, or if arrangement for third-party monitoring must be prepared.

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Policy Type:	Governance Process
Policy Number:	GP-2f Page 2 of 2
Policy Title:	Agenda Planning
Revision Dates:	June 30, 2003, September 13, 2003, February 2, 2004, April 25, 2005, October 24, 2005, November 28, 2005, December 19, 2005, February 27, 2006, September 24, 2012, February 25, 2019

MONITORING GRID FOR BOARD INITIATIVES

BOARD PLANNING YEAR		
ACTION	FREQUENCY	DATE
Amend Ends Policies, if necessary	Annually or as needed	January
Review Executive Limitations Policies	Annually	January
Review Governance Process and Board-CEO Linkage Policies	Annually	January
Board/Committee of the Whole meets about audit	Annually	As needed
Determine Board's Costs of Governance for upcoming year (developmental and training needs, audit and other third-party monitoring, surveys, focus groups, opinion analyses, and meeting costs)	Annually	To be decided
Succession Planning (information kit to applicant and new Council)	Election year	September
CEO performance review and remuneration determination	Annually	March
Monitor, assess, and discuss Board's process, performance, and educational needs	Annually	As per schedule
Set agenda for ensuing one-year period	Annually	January

Policy Type:	Governance Process	
Policy Number:	GP-2g	Page 1 of 1
Policy Title:	Board Members' Code of Conduct	
Revision Dates:	June 30, 2003, February 23, 2004, June 26, 2006, September 24, 2012	

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 be loyal to the interests of the community that the Board serves. This accountability supersedes any conflicting loyalty such as that to advocacy or interest groups and membership on other boards, organizations or staffs. This accountability supersedes the personal interest of any Board member acting as an individual consumer of the organization's services.
2. Board members must avoid any conflict of interest with respect to their fiduciary responsibility, by adhering to relevant legislation including but not limited to the *Municipal Conflict of Interest Act*, and the *Public Library 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 positions to obtain employment in the organization for themselves, family members or close associates.
3. Board members may not attempt to exercise individual authority over the organization except as explicitly set forth in Board policies.
 - a) Board members' interaction with the CEO or with staff must recognize the lack of authority in any individual Board member or group of Board members except as noted above.
 - b) Board members' interaction with the public, press or other entities must recognize the same limitation and the similar inability of any Board member or Board members to speak for the Board, with the exception of the Chair or designate.
 - c) Board members will make no judgments of the CEO or staff performance except as that performance is assessed against explicit Board policies or by the official process.
4. Board members will respect the confidentiality appropriate to issues of a sensitive nature, including but not limited to all personnel issues, certain financial and certain legal and property issues.
5. Board members will be responsible for governing with excellence. Such responsibility will include:
 - a) Attendance
 - b) Informed preparation for Board deliberations
 - c) Speaking with one voice on a matter arising from a Board decision
 - d) Policy making principles
 - e) Respect of roles
 - f) Rules of order

Policy Type:	Governance Process	
Policy Number:	GP-2h	Page 1 of 1
Policy Title:	Cost of Governance	
Revision Dates:	May 15, 2003, June 30, 2003, September 13, 2003, February 2, 2004, June 26, 2006, May 26, 2008, September 24, 2012	

The Board recognizes the importance of its governance job and commits to investing resources towards governing with excellence.

1. Board skills, methods, and supports will be sufficient to assure governing with excellence.
2. Costs will be prudently incurred, though not at the expense of endangering the development and maintenance of superior capability.
 - a) The CEO is expected to provide for the Board's Governance Process in such a manner as she determines in the best interests of the Board and the Markham Public Library.
3. The Board has determined that the following processes, in the hierarchy of priorities noted, will ensure that it governs with excellence.
 - a) Training will be used liberally to orient new members, and retraining, including attendance at conferences and workshops, to maintain and increase existing Board member skills and understandings;
 - b) Membership in relevant library organizations for the Board and members;
 - c) Outside audit and other third party monitoring assistance of organizational performance will be arranged so that the Board can exercise confident control over its organizational performance;
 - d) Meeting and other Board administrative costs;
 - e) Board and staff events that support and improve the relationships of the members of the Board and recognize the Board's appreciation and link with the staff of the Markham Public Library;
 - f) Community linkage, including surveys, focus groups, opinions analyses, and other outreach tools and activities will be used as needed to ensure the Board's awareness of owner viewpoints and values.
4. The Board may by motion determine additional processes to improve or support its governance processes. The Board will establish its cost of governance budget for the next fiscal year during the month of September.

Policy Type:	Governance Process	
Policy Number:	GP-2i	Page 1 of 1
Policy Title:	Ends Policy Review Procedure	
Revision Dates:	November 28, 2005, September 24, 2012, February 25, 2019, January 24, 2022	

The Ends Policy Review Procedures enables Board members to gather information and ideas regarding Ends throughout the year, get staff feedback on that information and then review the information annually to set Ends priorities.

Throughout the year, Board members contact the Chair and Board Secretary with Ends amendment ideas. Suggestions for amendments will be noted throughout the year. All Policy Governance documents will be included in the November Board package. The Chair will advise the Board to review the documents and bring forward any suggestions prior to the January meeting.

The CEO will review the suggestions or amendments and provide the Board with relative costs or implications to those suggestions at the January meeting.

All of this information will be assembled and put into the January Board package. Board members can then prepare for the meeting by commenting on each of the proposed amendments.

At the January Board meeting the amendments will be discussed and voted on to complete the Ends Policy review.

	Type	Frequency	Date
Review	Ends	Once a year	January

Policy Type:	Governance Process	
Policy Number:	GP-2j	Page 1 of 1
Policy Title:	Board Member Expenses	
Revision Dates:	September 24, 2012, October 26,2020	

Board members will be appropriately reimbursed for their expenses as follows:

1. Board members shall receive an honorarium of \$200 per year to compensate them for expenses incurred as a Board member, or the amount equal to the months served in the year, and the CEO is authorized to approve the expenses. The Board Chair shall receive an honorarium of \$300 per year to compensate for expenses incurred in the position, and the CEO is authorized to approve the expenses.
2. Board members may be reimbursed for any out-of-pocket expenses associated with their duties as Board members, including conferences, training, and other expenses as authorized by the Board Chair.
3. When attending approved out of town conferences, Board members will be reimbursed according to the current City of Markham Business Expense and Conference Policy.
5. Board members may be reimbursed for mileage and associated expenses (i.e. parking, toll charges) in accordance with the Library's policy on travel expenses to attend Board activities outside the jurisdiction of Markham as authorized by the Board Chair.

Policy Type:	Governance Process
Policy Number:	GP-2k Page 1 of 2
Policy Title:	Risk Management
Revision Dates:	December 17,2018

PURPOSE

This policy outlines the library's policy on how risk is identified, assessed, treated and reported in the organization under the MPL Enterprise Risk Management Program.

PRINCIPLES

MPL's ERM is developed based on three principles:

- *Integration:* the MPL ERM focuses on enhancing strategic decision making and business planning across the whole organization, holding in balance the objectives of its multiple business units. The objective of the ERM is therefore to enhance integration of organizational strategies by managing risk holistically.
- *Sustainability:* The MPL ERM is developed in the context of the library's overall mission, strategic priorities and operational constraints. The ERM will be implemented in the context of the library's existing strategy and business planning processes; moreover it will be embedded as part of the library's organizational culture and overall way of working.
- *Impact:* the MPL ERM is designed to support innovation and operational excellence. It does this by not only providing a framework for controlling negative risk, but for optimizing positive risk. The MPL ERM will support appropriate risk appetite in order for MPL to pursue its mandate of innovation.

OBJECTIVES

The objectives of the MPL ERM are:

- To clarify MPL's threshold for tolerable uncertainty so that staff and stakeholders understand that events that fall within this threshold can be accommodated according to the risk management plan.
- To ensure ongoing legal and regulatory compliance and identify any threats to this compliance.
- To enhance business continuity and innovation by applying a risk framework.
- To deepen social responsibility by anticipating threats and opportunities vis-à-vis the library's role in the community.
- To safeguard our commitment as stewards of taxpayers' funds and enhance stakeholder confidence in our fiscal management processes.
- To enhance integration of our strategic planning processes and to collaboratively manage trades-off amongst goals.

Policy Type:	Governance Process
Policy Number:	GP-2k Page 2 of 2
Policy Title:	Risk Management
Revision Dates:	December 17, 2018

RESPONSIBILITIES

The ownership of the library's ERM program resides with the Board, and will be implemented under the direction of the CEO.

MPL Board:

- Review and approve the Governance Process GP-2K Risk Management
- Receive reports on the implementation of the ERM Program, and risk reports via the Risk Register in the CEO's report on a semi-annual basis.
- Review and approve MPL's Risk Appetite Statement.

CEO:

- Ensure that procedures, processes, and resources are in place to effect this Policy.
- Direct the preparation of the Risk Register for identifying and addressing organizational risks.
- Prepare semi-annual reports to the Board, highlighting significant risks and documenting risk treatment strategies.

Action	Type	Frequency	Date
Review	Risk Management	Twice a year by staff	March, September

Policy Type:	Board-CEO Linkage
Policy Number:	BCL-1 Page 1 of 1
Policy Title:	Global Governance-Management Connection
Revision Dates:	September 24, 2012

The Board's sole official connection to the operational organization, its achievement, and conduct will be through a CEO, whose sole accountability is to the Markham Public Library Board.

Policy Type:	Board-CEO Linkage
Policy Number:	BCL-2a Page 1 of 1
Policy Title:	Unity of Control
Revision Dates:	

Only decisions of the Board acting as a body 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 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 that require, in the CEO's opinion, a material amount of staff time or funds, or are disruptive.

Policy Type:	Board-CEO Linkage
Policy Number:	BCL-2b Page 1 of 1
Policy Title:	Accountability of the CEO
Revision Dates:	May 17, 2004, May 30, 2005, September 24, 2012

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 CEO.

1. The Board will not 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 CEO shall be accountable only to the Board.

Policy Type:	Board-CEO Linkage	
Policy Number:	BCL-2c	Page 1 of 1
Policy Title:	Delegation to the CEO	
Revision Dates:	December 12, 2011, September 24, 2012	

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. These policies will be developed systematically from the broadest, most general level to more defined levels and will be called Ends policies. All issues that are not ends issues as defined here are means issues. Ends policies answer the following 3 questions about what the organization will produce: "What Good? For Whom? And At What Cost?"
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. These limiting policies will describe those practices, activities, decisions and circumstances that would be unacceptable to the Board even if they were to be effective. The Board will never prescribe organizational means delegated to the CEO. Therefore, all means are considered pre-approved by the Board unless explicitly prohibited in the Executive Limitations Policies.
3. As long as the CEO uses any reasonable interpretation of the Board's Ends and Executive Limitations Policies, the CEO is authorized to establish all further policies, make all decisions, take all actions, establish all practices and develop all activities. Such decisions of the CEO shall have full force and authority as if decided by the Board.
4. The Board may change its Ends and Executive Limitations Policies, thereby shifting the boundary between Board and CEO domains. By so doing, the Board changes the latitude of choices given to the CEO. But as long as any particular delegation is in place, the Board and its members will respect and support the CEO's choices.
5. The highest level policy in any category is not necessarily limited to the sum of the subsidiary levels of that policy.
 - a) Below the global (highest) level, the aggregate of limitations on any given level may embrace the scope of the foregoing level, but only if justified by the CEO to the Board's satisfaction.

Policy Type:	Board-CEO Linkage
Policy Number:	BCL-2d Page 1 of 2
Policy Title:	Monitoring Executive Performance
Revision Dates:	May 16, 2003, June 17, 2003, June 30, 2003, May 30, 2005, June 26, 2006, May 28, 2007, January 23, 2012, September 24, 2012, January 23, 2017, January 25, 2021

Systematic and rigorous monitoring of CEO job performance will be solely against the expected job outputs: organizational accomplishments of Board policies on Ends and organizational operation within the boundaries established in Board policies on Executive Limitations, and avoidance of Board prescribed means.

1. Monitoring is simply to determine the degree to which Board policies are being met. Data that do not assist in doing so will not be considered to be monitoring data.
2. The Board will acquire monitoring data by one or more of four methods:
 - a) Internal report, in which the CEO discloses compliance information to the Board;
 - b) External report, in which a disinterested, external third party selected by the Board, assesses compliance with Board policies;
 - c) Direct Board inspection, in which a designated member or members of the Board assess compliance with the appropriate policy criteria;
 - d) Confidential report: Internal or external report deemed to be confidential according to the *Public Libraries Act*.
3. In every case, the Board will judge:
 - a) the reasonableness of the CEO's interpretation, and
 - b) whether data demonstrates accomplishment of the interpretation (regarding Ends) or compliance with the interpretation (regarding Executive Limitations).
4. The standard for compliance shall be any reasonable CEO interpretation of the Board policy being monitored. The Board is the final arbiter of reasonableness, but will always judge with a "reasonable person" test rather than with interpretations favoured by Board members or by the Board as a whole.
5. All policies that instruct the CEO will be monitored at a frequency and by a method chosen by the Board. The Board can monitor any policy at any time by any of the above methods, but will ordinarily depend on a routine schedule.
6. The Board will conduct a yearly formal evaluation of the CEO based on the previous year's monitoring reports for the Executive Limitations Policies and Ends Policies. By monitoring compliance with the Executive Limitations and achievement of the Ends Policies according to the established schedule, the Board will have evaluated the CEO's performance.

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Policy Type:	Board-CEO Linkage
Policy Number:	BCL-2d Page 2 of 2
Policy Title:	Monitoring Executive Performance
Revision Dates:	May 16, 2003, June 17, 2003, June 30, 2003, May 30, 2005, June 26, 2006, May 28, 2007, January 23, 2012, September 24, 2012, January 23,2017,January 25,2021

EXECUTIVE LIMITATIONS AND ENDS POLICY MONITORING GRID

No.	Executive Limitations Policy	Method	Frequency	Date
EL-1	General Executive Constraint	Internal	Annually	November
EL-2a	Customer Treatment	Internal	Annually (include survey bi-annually)	November
EL-2b	Staff Treatment	Internal	Annually	October
EL-2c	Budgeting/Forecasting	Internal	Twice yearly	*May October
EL-2d	Financial Condition	Internal	Thrice yearly	*March, May, September
EL-2e	Asset Protection	Internal	Annually and as needed	April
EL-2f	Protection of Services	Internal	Annually	January
EL-2g	Emergency Executive Succession	Internal	Annually and as needed	March
EL-2h	Community Relations	Internal	Annually and as needed	June
EL-2i	Compensation and Benefits	Internal	Annually (monitoring report to include comparative grid)	June
EL-2j	Communication and Counsel to the Board	Internal	Thrice yearly	March, June, October

* Some adjustments may be required during election years.

Ends Policy	Method	Frequency	Date
Annual Ends Report of Library Achievements	Internal	Annual	January
Board Statistical Report	Internal	Quarterly	January, April, June, September,
Strategic Plan Update	Internal	Quarterly	January, April, June, September

Policy Type:	Board-CEO Linkage
Policy Number:	BCL-2e Page 1 of 5
Policy Title:	Chief Executive Officer Performance Review
Revision Dates:	April 25, 2005, September 24, 2012, January 28, 2013, May 27, 2013, January 27,2020, January 25,2021

The Chief Executive Officer's performance review is conducted subject to the Board's policies. The review is conducted annually at the March Board meeting. It is undertaken by the Board as a whole in two In Camera sessions, with the CEO participating in the second of the two.

The Board's policies provide that the CEO's performance be considered to be synonymous with monitoring organizational performance against achievement of Board policies on Ends and compliance with Executive Limitations. Therefore, the CEO evaluation considers only data derived from monitoring these policies during the previous year.

The purpose of the CEO's evaluation is to summarize the actions previously taken by the Board as it monitored Ends and Executive Limitations Policies during the year, and to draw conclusions on the basis of that on-going monitoring process, relative to organizational performance and, consequently, the CEO's performance.

The procedure for completing the review is as follows:

1. Throughout the year all Board members review and understand all monitoring reports. Every time that a monitoring report is presented to the Board, a record of the Board's decision with respect to that monitoring report must be recorded in a summary document entitled "Policy Monitoring Worksheet – Board Decision Summary" maintained by the Board Secretary. (Revised January 2013.)
2. In the March Board package, all Board members will receive and review a copy of the above-noted summary document, "Policy Monitoring Worksheet – Board Decision Summary."
3. Before the March meeting, all Board members will review the previous year's monitoring reports summarized in the "Annual Ends Report of Library Achievements" submitted to the Board in January. As needed, the Board members will fill in Section 1 of the attached CEO's Annual Summative Evaluation (Appendix "A") for submission to the Board Chain and discussion. (Revised January 2013.)
4. At an In Camera session at the March meeting, all Board members will discuss Section 1. The Chair records the conclusions reached by the Board under Section 1. These conclusions only pertain to the CEO's performance under the Ends and Executive Limitations Policies. If over the course of the year's monitoring, the Board did not accept an action of the CEO as a reasonable interpretation of a policy, the action taken by the Board at that time may be noted here.
5. The Chair will then consolidate that information and deliver it to the CEO between the March and April meetings.
6. At an In Camera portion of the April meeting, in open discussion, the Board and the CEO review Section 1, and complete Section 2 of the CEO's Annual Summative Evaluation. The Chair records the recommendations and decisions for the upcoming year under Section 2. These may pertain to directions to the CEO (enacted through revisions to Board policy in Ends or Executive Limitations) or activities to be undertaken by the Board.

(over)

Policy Type:	Board-CEO Linkage	
Policy Number:	BCL-2e	Page 2 of 5
Policy Title:	Chief Executive Officer Performance Review	
Revision Dates:	April 25, 2005, September 24, 2012, January 28, 2013, May 27, 2013, January 27,2020, January 25,2021	

7. Between the April and May meetings, the CEO’s Annual Summative Evaluation is formalized and signed by the Board Chair and the CEO. The CEO signs the review to indicate she has read it and the CEO may add comments. The review is filed in the CEO’s Personnel File and copied to the Chair. The Chair’s files pertaining to the CEO’s performance review are stored in a locked file cabinet in the Board Secretary’s office and a copy stored on a secured server. The review is confidential and other copies may only be made for the Board upon Board motion.
(Revised May 2013)

8. At the May Board meeting, the Chair gives notice to the Board that the CEO performance review has been completed and filed as per procedure.

Attachments: Appendix “A”
 Appendix “B”

(over)

Policy Type:	Board-CEO Linkage
Policy Number:	BCL-2e Page 3 of 5
Policy Title:	Chief Executive Officer Performance Review
Revision Dates:	April 25, 2005, September 24, 2012, January 28, 2013, May 27, 2013, January 27,2020, January 25,2021

APPENDIX "A"

CEO'S ANNUAL SUMMATIVE EVALUATION

During the preceding year, the Board monitored all MPL Ends and Executive Limitations Policies, with receipt of monitoring reports considered to be evidence of satisfactory organizational and CEO's performance.

SECTION 1 SAMPLE Policy Monitoring Worksheet (*sample text in italics*) Board Decision Summary

Policy no. and Title	Report received according to monitoring schedule? Date received.	Interpretation determined "reasonable" by Board?	Data sufficient to satisfy Board of compliance or achievement?	Board decision and Date for re-submission (if necessary)	Results of re-submission
EL-1 General Executive Constraint	Yes. <i>Sept. Board meeting</i>	Yes	<i>No, item #3 inadequate evidence to determine compliance</i>	<i>Deficiency, October Board meeting</i>	<i>In compliance</i>
EL-2a Customer Treatment	Yes. <i>Sept. meeting</i>	Yes	Yes	<i>In compliance, recorded in Board minutes.</i>	<i>n/a</i>
EL-2b Staff Treatment					
EL-2c Budgeting/ Forecasting					
EL-2d Financial Condition					
EL-2e Asset Protection					
EL-2f Protection of Services					
EL-2g Emergency Executive Succession					
EL-2h Community Relations					
EL-2i Compensation & Benefits					
EL-2j Communication & Counsel to the Board					
E-1 Global Ends Policy (Annual Ends Report of Library Achievements due in January)					

Policy Type:	Board-CEO Linkage
Policy Number:	BCL-2e Page 5 of 5
Policy Title:	Chief Executive Officer Performance Review
Revision Dates:	April 25, 2005, September 24, 2012, January 28, 2013, May 27, 2013, January 27, 2020, January 25, 2021

APPENDIX “B”

Question Guide: Annual CEO’s Evaluation Consistent with Policy Governance®

1. Based on a review of the monitoring reports in Ends over the time period being evaluated, which Ends has the CEO:
 - a) Achieved or, if they are long-term Ends, achieved acceptable progress towards?
 - b) Not achieved, or not made acceptable progress towards?
 - c) Exceeded?

2. On what evidence is the above judgment made? (Cite dates of specific internal monitoring reports, external monitoring reports, or direct Board inspections.)

3. Based on a review of the monitoring reports for Executive Limitations over the time period being evaluated, has the CEO:
 - a) Consistently operated within the constraints of the Executive Limitations?
 - b) Occasionally contravened the limitations, but reported the contravention promptly, providing acceptable rationale and a plan for future compliance, which was met?
 - c) Occasionally contravened the limitations, but without reporting the contravention, or without acceptable rationale?
 - d) Frequently contravened the limitations?

4. On what evidence is the above judgment made? (Cite dates of specific internal monitoring reports, external monitoring reports, or direct Board inspections.)

Policy Type:	Executive Limitations	
Policy Number:	EL-1	Page 1 of 1
Policy Title:	General Executive Constraint	
Revision Dates:	May 29, 2006, September 24, 2012	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Annually	November

The CEO shall not cause or allow any practice, activity, decision or organizational circumstance which is unlawful, imprudent or in violation of commonly accepted business and professional ethics, including, but not limited to the *Public Libraries Act, RSO 1990, c. P. 44* and relevant City of Markham policies adopted by the Markham Public Library, either Board or Administration.

Policy Type:	Executive Limitations	
Policy Number:	EL-2a	Page 1 of 1
Policy Title:	Customer Treatment	
Revision Dates:	May 16, 2003, June 17, 2003, June 30, 2003, September 13, 2003, June 26, 2006, September 24, 2012	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Annually (include survey bi-annually)	November

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 customer information that fail to protect against improper access to the information elicited.
3. Allow customers to be unaware of what may be expected and what may not be expected from the service offered.
4. Allow customers to be unaware of this policy, or unaware of a grievance process for those who believe they have not been accorded a reasonable interpretation of their rights under this policy.
5. Operate facilities without appropriate accessibility, privacy, safety, and cleanliness.
6. Allow access to inappropriate material on the Internet.

Policy Type:	Executive Limitations	
Policy Number:	EL-2b	Page 1 of 1
Policy Title:	Staff Treatment	
Revision Dates:	May 16, 2003, June 17, 2003, September 13, 2003, October 23, 2006, October 26, 2009, September 24, 2012, January 23, 2017	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Annually	October

With respect to the treatment of paid and volunteer staff, the CEO shall not cause or allow conditions that are unfair, undignified, unsafe, or unclear.

Accordingly, the CEO shall not:

1. Operate without personnel and management policies and procedures which:
 - a) clarify rules for staff, including but not limited to, conflict of interest (e.g. gifts, payments for services) and workplace harassment prevention;
 - b) provide for effective handling of grievances;
 - c) protect against wrongful conditions;
 - d) preserve the confidentiality of personal information.
2. Retaliate against an employee for non-disruptive expression of dissent, or for reporting to management or to the Board (per the grievance procedure in the personnel manual) acts or omissions by staff, management or the Board that the employee believes, in good faith and based on credible information, constitutes a violation of provincial or federal law or a governing policy of the Board. (Whistleblower policy)
3. Allow staff to be unaware of their rights under this policy.
4. Allow the talents and skills of employees to be unsupported, unrecognized or unrewarded.
5. Allow staff to be unprepared to deal with emergency situations.
6. Allow staff to be unfamiliar with the CEO's interpretations of their protections under this policy.

Policy Type:	Executive Limitations	
Policy Number:	EL-2c	Page 1 of 1
Policy Title:	Budgeting/Forecasting	
Revision Dates:	June 17, 2003, June 30, 2003, January 24, 2005, May 28, 2007, September 24, 2012, September 4, 2013, January 23,2017	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Twice yearly	March, October (Some adjustments may be required.)

Budgeting in any fiscal year or the remaining part of any fiscal year shall not deviate materially from Board Ends priorities, risk fiscal jeopardy, or fail to show a generally acceptable level of foresight.

The CEO is authorized to work with the City's Financial Services Department to prepare budget estimates for Council approval. The CEO submits operating and capital budget requirements for the ensuing year by the September Board meeting.

1. Operating Budget

Accordingly, the CEO shall not cause or allow budgeting which:

- a) Contains too little information to enable accurate projection of revenues and expenses, separation of capital and operational items, cash flow, and disclosure of planning assumptions.
- b) Provides inadequate information to support a full line or program budget presentation.
- c) Plans the expenditures in any fiscal year of more funds than are conservatively projected to be received in that period.
- d) Fails to include a provision for Board governance, such as costs of fiscal audit, Board development, and Board and committee meetings. (See also Governance Process policy GP-2h, Cost of Governance).

2. Capital Budget

Accordingly, the CEO shall not:

- a) Prepare capital budget estimates which lack sufficient detail to credibly describe the nature, scale and scope of the proposal, or which fail to disclose full consideration of the costs to acquire, install/build, operate, support, maintain and repair/replace for the life expectancy of the capital item.
- b) Fail to project accurate financing options and annual repayment costs.
- c) Cause or allow budgeting for a capital item which plans the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period.

Policy Type:	Executive Limitations	
Policy Number:	EL-2d	Page 1 of 1
Policy Title:	Financial Condition	
Revision Dates:	June 17, 2003, June 30, 2003, September 13, 2003, February 24, 2005, October 27, 2006, May 28, 2007, September 24, 2012, September 4, 2013, January 23,2017,January 25,2021, January 24,2022	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Thrice yearly	March, June, September (Some adjustments may be required.)

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.

Accordingly, the CEO shall not:

1. Expend more funds than have been received in the fiscal year to date unless the debt guidelines (below) are met.
2. Indebt the organization in an amount greater than can be repaid by certain, otherwise unencumbered revenues within 60 days, or hold the controllable expenditures to avoid overspending funds.
3. Allow payroll and debts to be handled in an untimely manner.
4. Withhold, nor otherwise delay, from the Board the results and recommendations of the auditors and the Administrative response thereto.
5. Acquire, lease, rent, encumber or dispose of real property.
6. Fail to aggressively pursue receivables, fines and fees, after a reasonable grace period.
7. Allow tax payments or other government-ordered payments or filings to be overdue or inaccurately filed.

Policy Type:	Executive Limitations	
Policy Number:	EL-2e	Page 1 of 1
Policy Title:	Asset Protection	
Revision Dates:	June 17, 2003, September 13, 2003, March 21, 2005, April 25, 2005, September 24, 2012	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Annually and as needed	April

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

Accordingly, the CEO shall not:

1. Subject facilities and equipment to improper use.
2. Allow intellectual property, information or files to be exposed to loss, improper access or significant damage, or operate without maintaining records in accordance with a records retention schedule.
3. Allow damage to the long-term preservation of primary and secondary sources of the Libraries' collections.
4. Dispose of substantial assets.
5. Name or rename any Board asset.
6. Make any purchase wherein normally prudent protection has not been given against conflict of interest.
7. Allow unbonded personnel access to material amounts of funds.
8. Receive, process, or disburse funds under controls which are insufficient to meet the Board-appointed auditor's standards.
9. Allow the organization, Board members, staff, and volunteers to be uninsured against liability losses, theft, fire and casualty losses to an amount consistent with City of Markham coverage, and against liability losses.
10. Unnecessarily expose the organization, its Board, or staff to claims of liability.
11. Allow the Board to be unaware of theft or vandalism of assets worth \$1,000 or more.
12. Risk or endanger the uniqueness of the Library as being distinct from the City.

Policy Type:	Executive Limitations	
Policy Number:	EL-2f	Page 1 of 1
Policy Title:	Protection of Services	
Revision Dates:	June 30, 2003, May 29, 2006, December 18, 2006, September 24, 2012, January 25,2021	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Annually	January

The CEO shall not allow the services delivered to the customers of the Markham Public Library to be compromised.

Accordingly:

1. Hours

The CEO shall not, without the approval of the Board, change the total hours of the Library system or of any Branch, with the exception of scheduling statutory holidays and holiday periods, emergencies, and incidents that affect health and safety.

2. Services/Facilities

The CEO shall not, without the approval of the Board, close, relocate, or combine any Branches of the system.

Policy Type:	Executive Limitations	
Policy Number:	EL-2g	Page 1 of 1
Policy Title:	Emergency Executive Succession	
Revision Dates:	May 16, 2003, June 17, 2003, June 30, 2003, March 21, 2005, September 24, 2012, January 24, 2022	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Annually and as needed	March

In order to protect the Board from sudden loss of CEO services, the CEO shall not have fewer than two other executives familiar with Board and CEO issues and processes and able to carry on the responsibilities of CEO as set out in the policies.

Policy Type:	Executive Limitations	
Policy Number:	EL-2h	Page 1 of 1
Policy Title:	Community Relations	
Revision dates:	May 16, 2003, June 17, 2003, September 13, 2003, April 28, 2004, May 30, 2005, November 28, 2005, April 27, 2009, September 24, 2012, January 23,2017	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Annually and as needed	June

With respect to the Board's reputation and standing in the community, the CEO shall not endanger the organization's public image, credibility, or its ability to accomplish Ends.

Accordingly, the CEO shall not:

1. Allow the public to be without access to information that keeps them informed of the work of the organization including:
 - a) Agendas and approved Minutes of each Regular public meeting or annual meeting;
 - b) Reports including annual achievements, financial statements, statistical reports and other reports at the discretion of the CEO.

2. Fail to develop and implement policies concerning receipt and use of donations and gifts (monetary or in-kind) that consider:
 - a. ownership and timelines;
 - b. appropriate recognition

3. Fail to make the Library visible in the community.
4. Fail to have policies and procedures in place that monitor the Library's reputation.
5. Fail to enter into partnerships or collaborations that are cost effective and of mutual benefit.
6. Fail to seek public input on library services and operations.

Policy Type:	Executive Limitations	
Policy Number:	EL-2i	Page 1 of 1
Policy Title:	Compensation and Benefits	
Revision Dates:	May 16, 2003, June 17, 2003, November 28, 2005, September 24, 2012, January 24, 2022	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Annually (monitoring report to include comparative grid)	June

With respect to employment, compensation and benefits to employees, consultants, and contract workers, the chief executive 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. Promise or imply permanent or guaranteed employment.
3. Establish current compensation and benefits which:
 - a) Deviate materially from the geographic or professional market for the skills employed;
 - b) Create obligations over a longer term than revenues can be safely projected, subject to losses of revenue and legally imposed restraints.

Policy Type:	Executive Limitations	
Policy Number:	EL-2j	Page 1 of 2
Policy Title:	Communication and Counsel to the Board	
Revision Dates:	May 16, 2003, November 24, 2003, November 28, 2005, November 27, 2006, September 24, 2012, January 22,2018, January 25,2021	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Thrice yearly	March, June, October (Some adjustments may be required during election years.)

The CEO shall not permit the Board to be uninformed or unsupported in its work.

Accordingly, the CEO shall not:

1. Neglect to submit monitoring data required by the Board (see policy on Monitoring Executive Performance) in a timely, accurate and understandable fashion, directly addressing provisions of the Board policies being monitored and including the CEO's interpretations consistent with the "Delegation to the CEO" policy, as well as relevant data.
2. Let the Board be unaware of significant changes in provincial or municipal policies, anticipated adverse media coverage, material external and internal changes (including purchases of over \$350,000), particularly changes in the assumptions upon which any Board policy has previously been established.
3. Allow the Board to be unaware that, in the CEO's opinion, the Board is not in compliance with its own policies on Governance Process and Board-CEO Linkage, particularly in the case of Board behaviour that is detrimental to the work relationship between the Board and the CEO.
4. Present information in unnecessarily complex or lengthy form or in a form that fails to differentiate among information of three types: monitoring, decision-preparation, or other.
5. Allow the Board to be without a workable mechanism for official Board, officer or committee communications.
6. Allow the Board to be without secretarial support, including draft minutes within two weeks of each Board meeting and any action list arising from meetings.
7. Favour or privilege certain Board members except when:
 - a) Fulfilling individual requests for information or;
 - b) Responding to officers or committees duly charged by the Board.

(over)

Policy Type:	Executive Limitations	
Policy Number:	EL-2j	Page 2 of 2
Policy Title:	Communication and Counsel to the Board	
Revision dates:	May 16, 2003, November 24, 2003, November 28, 2005, November 27, 2006, September 24, 2012, January 22,2018, January 25,2021	
TYPE OF REPORT	FREQUENCY	DATE
Internal monitoring report	Thrice yearly	March, June, October (Some adjustments may be required during election years.)

8. Allow the Board to be unaware of an actual or anticipated non-compliance with Ends or Executive Limitations policy of the Board regardless of the Board’s monitoring schedule.
9. Fail to submit to the Board a required approval (consent) agenda containing all items delegated to the CEO, and required by law or contract to be Board-approved, along with the monitoring assurance pertaining thereto.
10. Allow the Board to be unaware of complaints identified by customers which in the judgment of the CEO are of pressing concern.
11. Allow personal information about Board members to be unprotected or compromised (except for Board member’s names, photographs, and any authorized tag lines on the Library website and other promotional vehicles).
12. The CEO shall not fail to advise the Board in a timely manner of trends, facts and information relevant to the Board’s work.