ADMINISTRATIVE STANDARD NO. IS-001

Governance Structure – Internal Services

AUTHORITY FOR STANDARD: Chief Administrative Officer
LAST UPDATED: November, 2010

Standard

THIS STANDARD OUTLINES THE GOVERNANCE STRUCTURE FOR THE PROVISION OF INTERNAL FINANCIAL, HUMAN RESOURCES AND INFORMATION SERVICES AT THE CITY OF WINNIPEG.

A. PURPOSE OF STANDARD

- To provide clear, consistent direction regarding the roles, responsibilities, decision-making mechanisms and accountability of the Deputy CAO/Chief Financial Officer and Director of Corporate Support Services as they relate to the provision of Internal Services (i.e. Financial, Human Resources and Information Services) of the City of Winnipeg.
- To ensure timely and efficient delivery of Internal Services to Departments and Special Operating Agencies in order to support front-line services to the citizens of Winnipeg in accordance with Council policy.

PRINCIPLES

The provision of Internal Services is built on trustworthy, negotiated agreements that respect the needs of the organization and meet the specific operational needs of Departments as well as the leading practices and regulatory/audit compliancy requirements for the internal services being provided. Guiding principles are:

- Commitment to common objectives set by City Council.
- Commitment to teamwork.
- Trustworthy service level agreements.
- Documented, measurable results.

B. KEY ROLES AND RESPONSIBILITIES

Chief Administrative Officer

1. Ensures that department heads are aware of this Standard and its related protocols and procedures.

Deputy CAO/Chief Financial Officer and Director of Corporate Support Services

In their roles of leading Finance, Human Resources and Information Services:

1. Are accountable to Council through the CAO for Financial, Human Resources and Information Services of the City of Winnipeg;
2. Provide direct strategic and tactical leadership to senior Financial, Human Resources and Information Services Leadership Groups to ensure the provision of Internal Services for the organization;
3. Are responsible for guiding operating principles including those related to risk tolerance, delegation of authority, expected levels of management autonomy at the business level including the development and implementation of organizational policies and standards necessary for service provision and/or compliance with legislation;
4. Are responsible for managing core organizational Internal Services activities, including strategic development, business planning, resource allocation, staff development and succession;
5. Ensure performance monitoring to evaluate and communicate operational effectiveness, compliance, and contribution to public service delivery;
6. Provide Internal Services to ensure that Departments can meet the targets and expectations of the CAO and Council;
7. Work with Department Heads to develop and sustain effective Service Level Agreements for supplying and maintaining required service levels and resources.

Department Heads/Chief Operating Officers

In their roles as Heads of Departments and Chief Operating Officers:

1. Are accountable to Council through the CAO for the provision of departmental services;
2. Provide strategic and tactical leadership of departmental functions to ensure that objectives are met;
3. Are responsible for compliance with organizational policies and standards, and for professional standards specific to departmental functions;
4. Ensure that short and long-term needs for Internal Services resources are identified and communicated to the Deputy CAO/Chief Financial Officer and Director of Corporate Support Services through senior Internal Services staff who are embedded in their Departments;
5. Work with Internal Services Leaders to develop and sustain effective Service Level Agreements for supplying and maintaining required internal service levels and resources.

Chief of the Winnipeg Police Service

NOTE: Service Level Agreement to be developed in conjunction with the Winnipeg Police Service.

Finance Leaders (Controllers), Human Resource Leaders, Information Services Leaders

Reporting to their Deputy CAO/CFO or Director of Corporate Support Services, Controllers, Human Resources leaders and Information Services leaders are embedded within Departments to:

1. Lead the implementation of organizational standards and align right practices with the unique business requirements of each department in collaboration with Department Heads and their Departmental Management Teams;
2. Work with Finance, Human Resources and Information Services staff in Departments to ensure services are provided according to terms in Service Level Agreements;
3. Facilitate the development of Service Level Agreements for their respective departmental areas;
4. Ensure consistency in compliance with organizational policies to provide internal services in support of Departmental/SOA business needs;
5. Lead the implementation and management of Service Level Agreements once complete;
6. Facilitate information gathering for performance measurement and reporting;
7. Provide strategic knowledge and expertise as collaborative members of leadership teams reporting to the Deputy CAO/CFO or Director of Corporate Support Services;
8. Assist in developing and maintaining organizational policies and standards;
9. Lead implementation of organizational change for the sustainment and improvement of internal service delivery.

C. REFERENCES AND LINKS TO RELATED STANDARDS

The City of Winnipeg Charter
The City of Winnipeg Organization By-Law No. 7100/97
Plan Winnipeg - Section 2B-04: "Provide Sound Municipal Management"

D. AMENDMENTS

Supersedes and consolidates the following ***:

Administrative Standard No. FM-001 – Governance Structure – Financial Management
Administrative Standard No. HR-001 – Governance Structure – Human Resource Function
Administrative Standard No. IS-001 – Governance Structure – Information Services

*** NOTE: certain relationships and behavior in functional areas addressed by the superseded standards have been retained in the new governance model. Refer to *Appendix D: Functional Services Protocols* for information about delegation of authority, reporting relationships, and responsibilities that apply specifically to Controllers', HR managers, and IS managers and their communities.

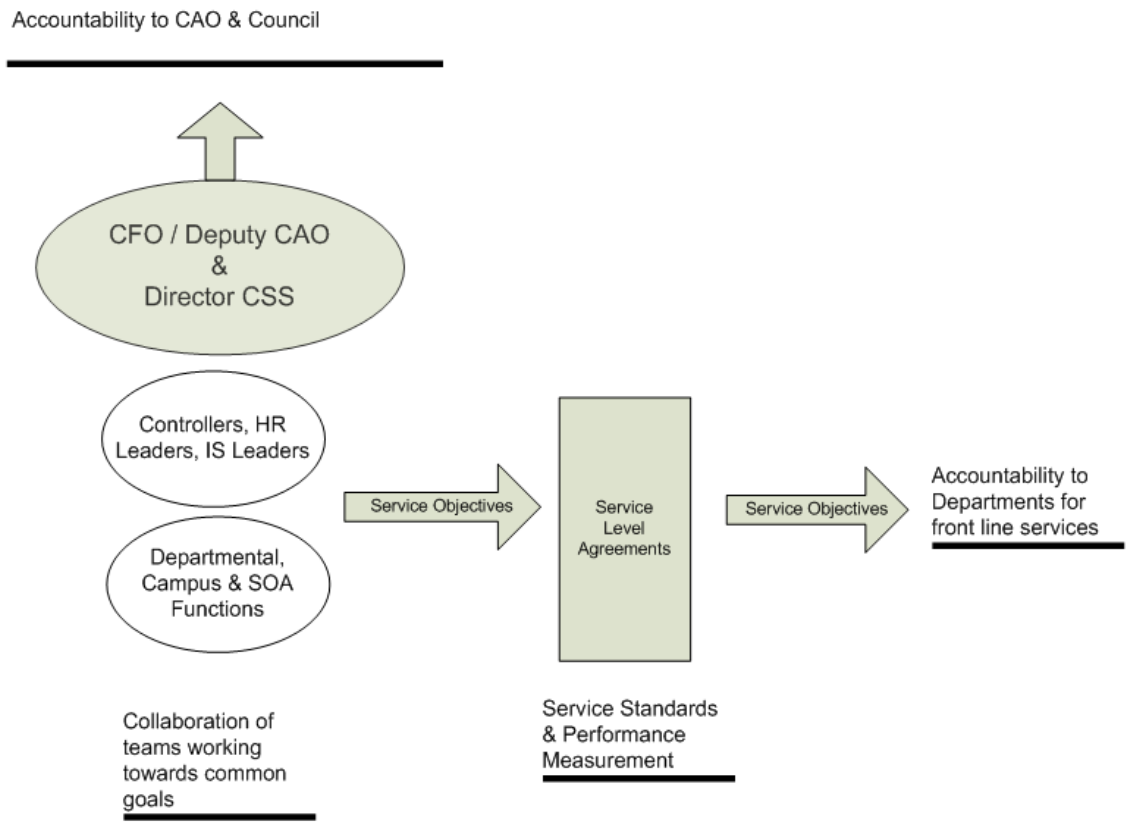
E. REVIEW PROCESS

The Deputy CAO/CFO and Director of Corporate Support Services are accountable for implementing and reviewing and approving this Standard.

F. KEY CONTACTS

Deputy CAO/CFO
Director, Corporate Support Services

Appendix A – Governance Structure



Collaboration

- Located in Departments, working together with Department Heads while reporting directly to the Deputy CAO/CFO / Director of CSS, Managers meet internal service requirements of departmental clients within mutually agreed guidelines established in Service Level Agreements to ensure business needs are met.

Deputy CAO/Chief Financial Officer and Director of Corporate Support Services

- Are accountable to CAO and Council and to Departments for the provision of Internal Services
- Provide strategic leadership for the organization
- Are responsible for organizational policy and standards
- Are responsible to meet regulatory requirements and respond to compliance items and issues.

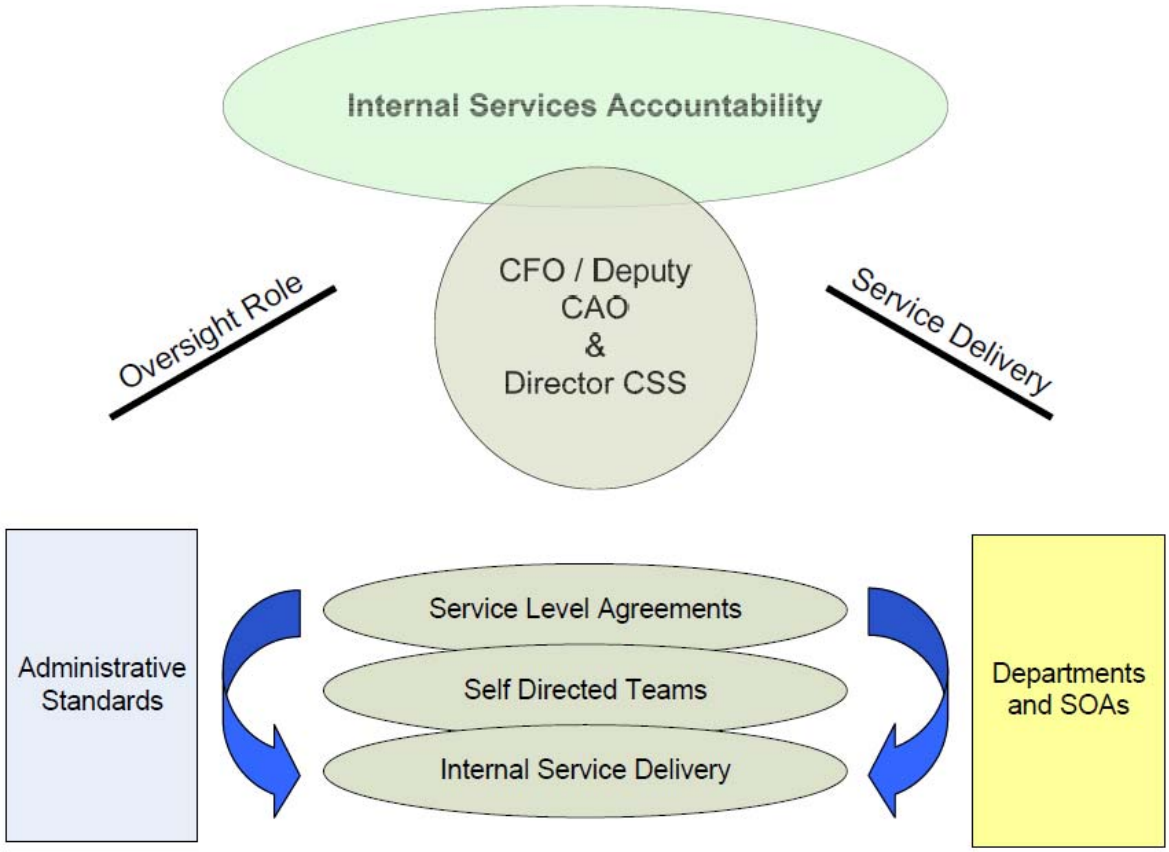
Department Heads

- Are responsible for operations of Departments for services to citizens
- Provide strategic leadership for front line service delivery
- Articulate needs for internal services
- Develop service level agreements in collaboration with the Deputy CAO/Chief Financial Officer and Director of Corporate Support Services for the provision of internal services and resources needed to meet their mandates.

Controllers, Human Resources and Information Services Managers

- Work in Departments to link organizational standards and align right practices with specific business needs and regulatory/compliancy requirements.

Appendix B– Service Delivery Model



Collaboration

- The Deputy CAO/Chief Financial Officer and Director of Corporate Support Services play a central role in delivering services through a collaborative model based on guiding administrative standards for all, based on Service Level Agreements tailored to fit departmental and Special Operating Agency needs.

Accountability

- The accountability position held by the Deputy CAO/Chief Financial Officer and Director of Corporate Support Services is at the apex of operations and is indicative of the need to be in control of and in touch with the teams that deliver services through the Service Level Agreements.

Service Delivery Responsibilities

- The twin responsibilities of service delivery to individual Departments and Special Operating Agencies and their oversight role through development and monitoring administrative compliance with standards and related regulatory requirements is a prerequisite for delivering services through the various teams.
- The arrows at the bottom of the diagram illustrate that within the service delivery, teams will develop service level agreements that meet the requirements of the Departments/SOAs and the administrative standards that guide them.

City of Winnipeg

Master Service Agreement

Between

<Internal Services> and < Department or SOA>

Author/Authors	
Approved By	
Date	
Version	
Revision History	

1. Introduction

This Agreement describes the services and defines the target service levels to be provided, describes the roles and responsibilities of the parties within the agreement and provides for remedies in the event of issues between <Internal Services> to the <Department or SOA>.

This agreement, once signed, will be reviewed on an annual basis to determine if it is meeting the customers' business requirements.

2. Objectives and Purpose

The objectives of this document are to describe and formalize specific services being provided currently and to identify targets against which service quality can be measured, reported, and reviewed.

The purpose of this process is to enhance the Internal Service provider/Department and SOA relationship and ensure that Department and SOA needs are met whenever possible – and that when they are not, such situations are immediately visible and can be investigated and resolved. This will lead to a continuous improvement of service quality.

3. Services

This SLA describes the general services being provided to the < Department or SOA>. It is understood and assumed that more specific Service Level Agreements will be developed to address certain types of services and needs (eg. IT services).

4. Support Provision

Support provisions may include information about the scope of services provided under certain conditions. For example, an Information Services (IS) or an HR (PeopleSoft) SLA would address goals for managing break/fix incidents, service degradation, system performance issues, etc. It would also state the hours of help desk support (if applicable), as well as service response and resolution targets for these activities.

A statement of support provisions may vary according to the type of services provided - these would be different for FN, HR and IS services to Departments.

5. Service Request Protocols

This section will generally describe the protocols for interaction between the internal services provider and the department. At a detailed level it will typically describe how requests for services are made, what rules or guidelines need to be followed, forms to be used (if applicable), and key contact persons/positions at both ends of the process. This section should also provide details about how requests are prioritized, the expected time periods for completion and remedies in the event performance is deemed unsatisfactory.

6. Availability

This section may be a statement of under what conditions services are available/not available (eg. 24 x 7).

7. Service Performance

This section will state the minimum critical standards for provision of services, quality assurance criteria, reliability, etc. It should include criteria for measuring performance in regular service reviews.

8. Service Reviews

The targets agreed upon in this document and service performance will be reviewed on an annual basis. The service provider or the customer may request more frequent reviews or initiate a review should there be issues to discuss. In the case of a major change to a service, the Agreement and review period should be reassessed to ensure they are still appropriate.

9. Signatures

The following parties agree to the terms stated herein:

Signature..... <Customer Department>

Date .....

Signature..... <Internal Services>

Date .....

Signature..... <Internal Services>

Date .....

Appendix D – Functional Services Protocols

This Appendix contains updated information related to Delegated Authorities, Responsibilities, Reporting Relationships and Protocols from previous Administrative Standards FM-001, HR-001 and IS-001.

FINANCIAL MANAGEMENT – FM-001

CHIEF FINANCIAL OFFICER

1. Provides strategic leadership that ensures strong linkages with, and support for, Council direction.
2. Identifies emerging trends, technologies and industry standards that will enable the City to design, develop, and implement effective financial accountability frameworks, systems, and processes; and to develop systems to enable the City to manage the financial aspects of internal and external risks.
3. Develops and recommends City policy regarding financial matters and develops and approves financial administrative directives that ensure integrity and consistency in finance-related activities.
4. Acts as the senior specialist, advisor, and decision-maker on financial issues in support of the Chief Administrative Officer.
5. Strengthens organizational awareness and understanding of the City's financial goals, and ensures consistency between City fiscal policies and the Financial Management Plan.
6. Develops efficient and effective financial services to support the requirements of the Chief Administrative Officer and Department Directors.
7. Recommends improvements, as required, with respect to financial governance structure, organizational structure, and/or policies. Also, the Chief Financial Officer shall implement any necessary changes in overall fiscal direction, plans, and/or directives.
8. Works in conjunction with the Director, Corporate Support Services to ensure inter-functional and inter-departmental opportunities and resources are fully leveraged, and that enterprise-wide improvement initiatives are well coordinated.
9. Continuously evaluates the performance of the Corporate Finance Department, and identifies service areas that can be enhanced.
10. Provides advice on fiscal policy and strategy to the Standing Committee on Finance, the Chief Administrative Officer and through the Chief Administrative Officer, to Council and Executive Policy Committee as mandated in the Organization By-Law.
11. Assumes other specific responsibilities as delegated by the Chief Administrative Officer.

FINANCE LEADERSHIP GROUP

1. The FLG reports to the Chief Financial Officer/Deputy CAO for all financial matters
2. Provides accurate, timely, and reliable financial information for operating and capital budgeting and expenditure/revenue monitoring.
3. Reviews and recommends reasonable and appropriate courses of action where collective efforts are in the best interests of Council (citizens), the organization as a whole, and/or departments.
4. Discusses and recommends priority financial initiatives in such a way as to maximize the ability of the City's financial services to respond.
5. Discusses financial priorities, issues and opportunities and coordinates, collaborates and leverages efforts to ensure the efficient and effective management of the City's human finances.

6. Identifies emerging trends, technologies, industry standards, legislative changes and internal/external risks and proactively recommends changes in policies and standards, systems and/or processes, as required.
7. Recommends standards and practices that align with the City's Business Plan and promotes a shared understanding of the principles and goals of the Plan.
8. Ensures timely progress toward strategic goals through the development and implementation of tactical priorities, plans and working groups, as appropriate.
9. Assists in the development and management of Service Level Agreements.

Membership/Meetings:
1. The Financial Leadership Group reports to the Chief Financial Officer/Deputy CAO for all financial policy related matters. Membership is at the discretion of the Chief Financial Officer.
2. Chaired by the Chief Financial Officer.
3. Meetings are at the call of the Chair.

DEPARTMENTAL CONTROLLERS GROUP
1. The Controllers' Group reports to the Chief Financial Officer/Deputy CAO through the Finance Leadership Group for all operational financial matters.
2. Actively participates on committees involving all financial controllers and the Corporate Controller with a view to sharing common information and improving processes for the benefit of the City.
3. Provides accurate, timely, and reliable financial information on the basis of accounting policies adopted by the City. This includes operating and capital budgeting and expenditure/revenue monitoring.
4. Identifies and discusses risks affecting the City with departmental management.
5. Implement, communicate as appropriate and support corporate policies/directives, systems and processes/activities within the department in which they are embedded. These include corporate processes under the direction of both the Corporate Controller and City Treasurer.
6. Be responsible for other financial systems that are dedicated for the use of individual departments in order to facilitate their operations.
7. Assists in the development and management of Service Level Agreements.

Membership/Meetings:
1. Controllers' Group reports to the Chief Financial Officer/Deputy CAO for all financial policy related matters. Membership includes the Controller from each Department and representatives from the SOAs.
2. Chaired by the Corporate Controller.
3. Meetings are held monthly and at the call of the Chair.

HUMAN RESOURCES – HR-001

DIRECTOR OF CORPORATE SUPPORT SERVICES

1. Acts as the senior specialist, advisor and decision-maker for the human resource function by providing strategic and tactical leadership in the areas of HR structure and accountability, including effective HR committees, philosophy and operating principles, core management activities, including related resources and investments, and performance monitoring that ensures strong linkages with, and support for, Council direction.
2. Identifies emerging trends, technologies, industry standards and internal/external risks that will enable the City to design, develop and implement effective accountability frameworks, systems and processes.
3. Develops and recommends City policy and human resource administrative standards to ensure integrity and consistency within the Human Resource function and with legislative requirements.
4. Implements, reviews, updates and directs, in consultation with stakeholders, the human resource strategic plan. Promotes a shared understanding of the goals of this plan and its alignment with overall Council direction.
5. Develops efficient and effective human resource services to support the requirements of Council, the CAO and Department Directors.
6. Directs and/or champions HR initiatives that have implications across more than one department and/or where significant resources for the initiative are provided by the Corporate Support Services Department. This includes collective bargaining.
7. Directs Departmental HR Managers in the implementation and management of human resource principles, programs, standards and procedures within their departments.
8. Participates with the Department Heads in the selection and annual performance review of Departmental HR Managers.
9. Evaluates, and reports on the performance of HR and, as required, recommend enhancements to the governance structure, organization structure and/or policies, and implement any necessary changes in overall direction, plans or standards.
10. Works closely with the Chief Financial Officer (CFO) and Department Directors to ensure inter-functional and inter-departmental opportunities, investments and resources are fully leveraged, and that organization-wide improvement initiatives are well coordinated.
11. Chairs the Human Resource Leadership Group. Creates forums and/or committees or working groups of organizational HR Managers and staff (departmental and corporate), department directors, managers, employees, union representatives and/or others, as and when required.
12. Updates and reports to Executive Policy Committee at least annually on the Human Resource Strategic Plan.

In addition, the Director of Corporate Support Services has been delegated specific authority to:

13. Subject to applicable collective agreements, appoint, suspend or dismiss employees other than Department Heads and statutory officers appointed by Council.
14. Assign employee duties, responsibilities and their assessment in relation to remuneration; approve the reorganization of any administrative unit, not including whole departments, provided that the number of permanent positions is not increased beyond authorized levels and that new job classifications are not introduced; and resolve alleged anomalies brought to his/her attention by a department head or a recognized bargaining unit.

15. Administer severance policy for high-level employees (below the department director level), other than statutory officers appointed by Council.
16. Appoint the City's nominee to the Board of Arbitration to represent the City on various arbitration boards, and to report semi-annually on all appointments made.
17. Authorize new or special hiring during implementation of a hiring freeze, only if necessary to accommodate an emergency situation or fill positions required under legislation that cannot be temporarily filled from existing resources, and to report immediately to the relevant Standing Committee.
18. All other such human resource matters within the CAO's authority.

HUMAN RESOURCE LEADERSHIP GROUP (HRLG)

1. HRLG members report to the Director, Corporate Support Services for all HR matters.
2. Reviews and recommends reasonable and appropriate courses of action where collective efforts are in the best interests of Council (citizens), the organization as a whole, and/or departments.
3. Discusses and recommends priority HR initiatives in such a way as to maximize the ability of the City's HR services to respond.
4. Discusses HR priorities, issues and opportunities and coordinates, collaborates and leverages efforts to ensure the efficient and effective management of the City's human resources.
5. Identifies emerging trends, technologies, industry standards, legislative changes and internal/external risks and proactively recommends changes in policies and standards, systems and/or processes, as required.
6. Recommends standards and practices that align with the City's Human Resource Strategic Plan and promotes a shared understanding of the principles and goals of the plan.
7. Ensures timely progress toward strategic goals through the development and implementation of tactical priorities, plans and working groups, as appropriate.
8. Assists in the development and management of Service Level Agreements.

Membership/Meetings:

1. Includes the HR Manager from each City department and the HR Manager from each of the HR Divisions of the Corporate Support Services Department, or other HR stakeholders, all at the discretion of the Director of Corporate Support Services.
2. Chaired by the Director of Corporate Support Services
3. Held monthly or at the call of the Chair.

INFORMATION SERVICES – IT-001

DIRECTOR OF CORPORATE SUPPORT SERVICES

1. Provides strategic leadership and ensures strong linkages with, and support for, overall Council direction.
2. Identifies emerging trends, technologies, industry standards and internal/external risks that will enable the City to design, develop and implement effective accountability frameworks, systems and processes.
3. Develops and recommends City policy and develops and approves administrative standards that ensure integrity and consistency in IS related activities.
4. Acts as an advisor and decision-maker on information technology issues.
5. Develops a strategic plan for information technology and promotes a shared understanding of the goals of this plan and its alignment to overall Council direction.
6. Ensures timely progress toward strategic goals by providing tactical leadership to the IS Leadership Group.
7. Develops efficient and effective service areas to support the requirements of the CAO and Department Directors.
8. Evaluates, enhances and reports on the performance of IS and, as required, recommends improvements with respect to the governance structure, organization structure and/or policies and/or implements any necessary changes in overall direction, plans and/or standards.
9. Works closely with the Chief Financial Officer (CFO) to ensure inter-functional opportunities and resources are fully leveraged, and that enterprise-wide improvement initiatives are well coordinated.
10. Directs the Project Management Office (PMO) in its role of providing an oversight function over departments and SOA operations in the area of compliance with all IS Standards.

INFORMATION SERVICES LEADERSHIP GROUP (ISLG)

1. ISLG members report to the Director, Corporate Support Services for all Information Services matters.
2. Identifies where collective efforts are in the best interest of Council (citizens), the organization as a whole and departments, prioritizes these opportunities and prepares and submits business cases in support of responsible and appropriate courses of action.
3. Discusses IS priorities, issues and opportunities and coordinates, collaborates and leverages efforts to insure the efficient and effective use of IS resources, including expert knowledge, hardware, software and data.
4. Discusses, plans and prioritizes IS initiatives in such a way as to maximize the ability of the City's information services to respond.
5. Identifies emerging trends, technologies, industry standards and internal/external risks and proactively recommends changes in direction (i.e. architectures and standards), policies and standards, systems and/or processes as required.
6. Develops and recommends policies and standards to maximize the quality and value of information systems and data.
7. Develops and recommends a strategic plan for IS, promotes a shared understanding of the goals of this plan and its alignment to overall Council direction.
8. Ensures timely progress toward strategic goals through the development and implementation of tactical priorities, plans and, as appropriate, working groups.
9. Assesses and continuously enhances the performance of IS.
10. Assists in the development and management of Service Level Agreements.

Membership/Meetings:

1. IS Leadership Group reports to the Director, Corporate Support Services for all IT policy related matters.
2. Membership includes an IS Representative from each department, the Project Management Office, Shared Data Services and Shared Technology Services.
3. The Chair is the Director, Corporate Support Services.
4. Meetings are held monthly and at the call of the Chair.

INFORMATION SERVICES (IS) INVESTMENT COMMITTEE

1. Reviews and advises on a strategic plan for IS.
2. Provides strategic advice to the Director, Corporate Support Services on IS related opportunities and risks.
3. Reviews and advises on policies and/or standards.
4. Reviews and advises on the overall effectiveness of IS.
5. Receives and approves Business Cases for ongoing IS investment.

Membership/Meetings:

1. Mix of Department Directors and strategic IS and business persons appointed by the Director, Corporate Support Services.
2. Chaired by the Director, Corporate Support Services.
3. Meetings are held at the call of the Chair.