Sharpen Your Policy Skills

Municipal Administration Training Institute (MATI) Foundations Program

August 2012
Table of Contents
INTRODUCTION ........................................................................................................................................ 1
ACKNOWLEDGEMENTS .......................................................................................................................... 2
WHAT IS A POLICY ISSUE? .................................................................................................................... 3
WHAT IS POLICY ANALYSIS? .................................................................................................................. 4
  Quotable Quotes.................................................................................................................................. 4
WHAT IS POLICY ANALYSIS? .................................................................................................................. 6
POLICY SKILLS diagram .......................................................................................................................... 7
DEFINING THE ISSUE ............................................................................................................................... 8
  Sample questions to ask.......................................................................................................................... 8
DEFINING THE ISSUE ............................................................................................................................... 9
  Examples of research sources................................................................................................................ 9
DEFINING THE ISSUE - analyzing results .............................................................................................. 10
DEVELOPING OPTIONS - sources ......................................................................................................... 11
DEVELOPING OPTIONS - design questions ........................................................................................... 12
DEVELOPING REALISTIC OPTIONS ..................................................................................................... 13
CHOOSING THE RECOMMENDED OPTION .......................................................................................... 14
  Examples of types of implications ........................................................................................................ 14
CHOOSING THE RECOMMENDED OPTION .......................................................................................... 15
  Examples of criteria to apply when judging the implications of an option .............................................. 15
    Legitimacy ........................................................................................................................................ 15
    Effectiveness ................................................................................................................................... 15
    Affordability ................................................................................................................................... 15
    Fairness .......................................................................................................................................... 16
    Legality .......................................................................................................................................... 16
    Community .................................................................................................................................... 16
    Region .......................................................................................................................................... 17
    Inter-jurisdictional relationships ...................................................................................................... 17
    Feasibility ....................................................................................................................................... 17
    Measurability ................................................................................................................................. 17
    Support .......................................................................................................................................... 18
MAKING THE RECOMMENDATION - tips .............................................................................................. 19
MAKING THE RECOMMENDATION – know your audience ................................................................. 21
PUBLIC PARTICIPATION -- Early Questions To Ask Yourself ............................................................... 22
PUBLIC PARTICIPATION -- 5 “Stances” or Types for Governments* .................................................. 23
PUBLIC PARTICIPATION -- Is the Consultation Stance Appropriate? ................................................ 24
CASE STUDY 1: THE GANGS OF DOWNTOWN ................................................................. 25
CASE STUDY 1 – THE GANGS OF DOWNTOWN – DEBRIEF ............................................................. 26
CASE STUDY 2: COASTAL SURVIVOR ............................................................................................... 27
CASE STUDY 2 - COASTAL SURVIVOR -- DEBRIEF ....................................................................... 28
CASE STUDY 3: WATER, WATER EVERYWHERE .............................................................................. 29
CASE STUDY 3 - WATER, WATER EVERYWHERE -- DEBRIEF .......................................................... 30
PRACTICE SCENARIO ............................................................................................................................ 31
PRACTICE SCENARIO - Discussion Guide............................................................................................ 32
SHARPEN YOUR POLICY SKILLS

<table>
<thead>
<tr>
<th>MATI POLICY TOOL KIT</th>
<th>.................................................................................................................. 33</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Toolkits, Guides, Workbooks, Tutorials .......................................................................................................................... 33</td>
</tr>
<tr>
<td>REPORT FORMATS AND EXAMPLES</td>
<td>................................................................................................................................. 1</td>
</tr>
<tr>
<td>Town of Ladysmith</td>
<td>......................................................................................................................................................... 1</td>
</tr>
<tr>
<td>City of Port Coquitlam</td>
<td>....................................................................................................................................................... 11</td>
</tr>
<tr>
<td>Capital Regional District</td>
<td>.................................................................................................................................................... 17</td>
</tr>
<tr>
<td>City of Victoria</td>
<td>......................................................................................................................................................... 21</td>
</tr>
</tbody>
</table>
Introduction

Sharpen Your Policy Skills
Municipal Administration Training Institute
August 2012

“Like the travel agent, the policy analyst’s job is to identify alternative destinations, the major features of the landscape, possible attractions and dangers, the expected costs and benefits of a visit and the alternate ways of getting there”

Policy Analysis in Government, Canada School of Public Service

“Policy analysis is more art than science”

A Practical Guide for Policy Analysis, Eugene Bardach

“In solving public problems, art is important but method helps”

The Australian Policy Handbook, Peter Bridgman and Glyn Davis

Welcome!

This course is intended to introduce local government staff to policy analysis and its key components – defining the issue; developing options; choosing the recommended option; making the recommendation – along with important related topics such as research and public consultation.

This course is not an in-depth or academic discussion of policy analysis – there are entire books and programs devoted to that! Instead, this course attempts to outline key concepts and enable the course participant to see how those concepts might be applied in their role of helping decision makers decide. While the concepts of policy analysis are universal, the course focuses on applying those skills in the context of local government. The course also focuses on the practical -- providing checklists and tips for using policy skills to deal with the wide array of policy issues that arise for local governments.

Any comments on the course content or material are welcome and can be addressed to: Nicola.Marotz@gov.bc.ca.
ACKNOWLEDGEMENTS

“Sharpen your Policy Skills” was originally presented in 2006 as a day-long workshop held at 5 different locations throughout the province. Sponsored by the Local Government Management Association (LGMA), the workshop was a collaborative effort of the LGMA, the then Ministry of Community Services and the Union of British Columbia Municipalities (UBCM).

The original developers of materials and presenters of the workshop were at the time:

- Tom MacDonald, Executive Director, LGMA
- Allison McNeil, Senior Policy Analyst, UBCM
- Nicola Marotz, Director of Legislation, Ministry of Community Services
- Rob Woodland, Corporate Administrator, City of Victoria
- Ted Townsend, Senior Manager, Corporate Communications, City of Richmond
- Kim Decker, Communications Officer, City of Richmond

The materials in this binder have been adapted from that workshop for the purposes of a 1.5 hour presentation to the Municipal Administration Training Institute (MATI). The presentation was first made to MATI in August 2007, and again every year since.

The inspiration and creative effort behind these materials came from the people noted above; any error, changes or discrepancies from the original are solely my responsibility.

Nicola Marotz
August 2012
WHAT IS A POLICY ISSUE?

Policy issues are everywhere. Just imagine…..

- The regional district’s sewage treatment plant is facing minor, but chronic, equipment malfunctions. What is the board going to do about it?

- Your municipality’s business and industrial taxpayers are concerned that their share of property taxes is too high. The local paper is running articles about “out of control” salaries and other municipal spending. How could your council respond?

- There is a battle going on between two community groups that will play itself out at Monday night’s council meeting. People Opposed to Off-leash Pets (POOP) wants no exceptions to the dog leash bylaw, while Friends of Independent Dogs Outside (FIDO) wants expanded off-leash areas in city parks. What approach should council take on this issue?

- The provincial government creates a task force on homelessness, and wants local governments to make it easier to get land use approvals for low cost housing and housing for the “hard to house”. The Union of British Columbia Municipalities is seeking input from its members to help shape its involvement on the task force. Recently, there has been an increase in complaints to your regional district about illegal camping, trespass, garbage on properties and transient people in one of the electoral areas (the one right on the fringe of an urban centre). That urban municipality has been struggling with the issue of emergency shelters – how to fund them, whether they are effective, and how to allay neighbours’ concerns about their location. How will your regional district figure out what to do about this issue and how it should get involved?

- Your local government is facing a wave of upcoming retirements and is having problems recruiting and retaining staff. You’re hearing some staff say it’s because there’s not enough flexibility in hours of work; others say it’s because wages are too low; still others say it’s because it’s too hard to advance into more senior positions. Your CAO says that the solution is to hire more co-op students, and wants a report on how to go about doing that. How are you going to figure out what to say in your report?

- For the 2013 tax year, your council wants to deliver all property tax notices electronically (i.e. by e-mail). Where do you start?

What policy issues do you face in your community?
WHAT IS POLICY ANALYSIS?

Quotable Quotes

“Policy is about the future of your community, whether tomorrow, next week, or years from now. Policy-making is about visions, goals, choices and possibilities“

Local Government Policy-Making Process, Municipal Research & Services Centre

“Like the travel agent, the policy analyst’s job is to identify alternative destinations, the major features of the landscape, possible attractions and dangers, the expected costs and benefits of a visit and the alternate ways of getting there.”

Policy Analysis in Government, Canada School of Public Service

“Policy analysis is the process of synthesizing and, therefore, adding new value to available information in order to draw sound conclusions about current and anticipated future realities in the area of study — if no action is taken and if specific actions are taken. Analysis is proactive, anticipating issues and changing needs. Analysis moves to potential solutions that are sound, compatible with the political and public environments and based on clearly articulated anticipated outcomes…”

Good Public Policy, Ministry of Community and Social Services, Province of Ontario

“No matter what solutions are considered — tax increases, new policy initiatives, reorganizations, or budget cuts aimed at “rightsizing” government — the need for reliable, usable information to guide difficult decisions has never been greater. Properly done and consumed, policy analysis, the systematic assessment of policy problems and their solutions, can provide some, if not all, of the information necessary to make viable policy decisions to ensure effective, efficient and fair public policies…”

Policy Analysis for West Virginia’s State and Local Governments, David M. Hedge
“Governments may do things for a wide variety of reasons — patronage, political competition, reflex, tradition — but when their actions are grounded in policy, they presumably are taking a course of action that has been thought through in terms of the nature of the problem they are addressing and the circumstances they face…”

Beyond Policy Analysis, Leslie A. Pal

“Policy advice plays a key role in ensuring that government resources are used effectively and efficiently. Thus the impact of poor quality advice on government decision-making is potentially profound and costly. The stronger the policy capacity, the greater the potential for good decision-making and ultimately, good government…”

A Review of Policy Development Capacity within Government Departments
Office of the Provincial Auditor, Province of Manitoba

“Policy is a holistic experience. One does not have an innovative policy implemented by sitting in one’s office and writing a great report. It has to go through the channels, it has to be communicated appropriately, and it has to recognize the political realities”

Personal Reflections on the State of Public Policy Analysis in Canada, Don Drummond

“Policy analysis is more art than science”

A Practical Guide for Policy Analysis, Eugene Bardach

“In solving public problems, art is important but method helps”

The Australian Policy Handbook, Peter Bridgman and Glyn Davis
WHAT IS POLICY ANALYSIS?

Some characteristics of policy analysis….

- it’s a process for making choices and solving problems
- it provides a path through a morass of information and possibilities that leads to a decision
- it helps decision makers decide on “should we” and “what/how should we” in an increasingly complex environment of increasingly tough choices
- policy analysis is a process; the outcome of that process (i.e., the decision) may be implemented in many forms, including as a policy (written or unwritten), a bylaw, a contract or another type of action
- it’s about day-to-day problem resolution and management
- it will not “solve” all problems – but it can help in thinking about ways to manage even the most “wicked” (ingrained or knotty) problems
- it builds on skills that virtually everyone uses intuitively; it is not something that only happens elsewhere in an “ivory tower” or in a super-specialized “policy shop”
- it highlights the important role of staff in providing the best information possible to decision makers so that they can make informed decisions
- it strengthens your analytical, problem-solving and interpersonal skills
- it involves both “art” and “science” – applying objectives, principles, ethics, process, information, experience, intuition and creativity to problems
- has steps but is not linear – it tends to involve going around in a few circles and retracing some steps in order to move forward
- it is messy – it operates in a world of grey, not black and white; there is no one “right” answer; and there is no “cookie cutter” for how to do it
- it is ongoing, since the result of a policy process will often raise new policy issues, which require analysis leading to a recommendation and a decision -- there will always be more questions!
- it occurs in a “political” environment – it reflects competing, often conflicting values and underlying assumptions about how the world works or who should have a say
- it makes for better decisions – not necessarily decisions with which everyone will agree, but decisions that are defensible (based on information), sustainable (based on consultation) and considered (have looked at the alternatives)
POLICY ISSUE

Define the Issue
- Look at all aspects of the issue
- Gather and assess the information
- Describe the nature of the problem

Develop Options
- Understand the objective
- Identify and assess various choices
- Describe the realistic choices

Choose a Preferred Option
- Identify the implications of each choice
- Assess the pros and cons
- Describe the balance of pros and cons among the choices – and choose

Make Recommendations
- Tell the key parts of the story
- Include implementation and evaluation
- Describe how the recommended choice will solve the problem

DECISION

Monitoring – Implementation - Evaluation
DEFINING THE ISSUE

Sample questions to ask…

- Is this a policy issue (i.e., is it an issue that seems to require some choice)?

- What is the nature of the issue you are trying to address?
  - What does it look like (i.e., what are its symptoms)?
  - What are its impacts?
  - What are its underlying causes?

- Where did the issue come from? Who raised it? In what context?

- Has any direction been given on the issue? If so, what is it? Who has given it?

- Is the issue new? Is it unexpected? Is it unique? Is the issue recurring? What is its history? What was done last time it came up?

- How big is the issue?
  - How widespread is it (e.g., geographically; interests affected)?
  - How severe is its impact?
  - How urgent is it? Is it a crisis?
  - Is it changing in size, severity or urgency?

- Has the issue come up in other jurisdictions (e.g., other local governments)?

- Who is involved in the issue (e.g., within your local government; the public; particular interests; other governments)?
  - Who is most affected by the issue? How and why, and to what extent?
  - What are the relations among the parties involved (i.e., good; neutral; negative)?
  - How do those involved perceive the issue? What positions are they taking? What are their underlying interests?
  - Who has decision-making authority on this issue? Who has influence?

- Is the issue connected to other issues? If so, how and to what extent?

- Are there deadlines or other timing matters relevant to the issue?

- What rules are relevant to the issue (e.g., policies; permits; bylaws; programs; legislation; court cases)?

- What limits are relevant to the issue (e.g., budget; local government jurisdiction)?

- Does your local government have an objective or goal related to this issue? Are there conflicting goals or objectives? Do others (i.e., province) have a goal?
DEFINING THE ISSUE

Examples of research sources...

- **Observation** — i.e., watch what is actually happening; ask colleagues; undertake primary research; ask key informants
- **Local government records** — e.g., bylaws and policies; community plans; annual reports; staff reports; police incident records
- **Other local governments** — e.g., Web sites; annual reports; conversations
- **CivicInfo BC** (http://www.civicinfo.bc.ca/) — e.g., newsletter; discussion groups; news stories; document library; surveys and statistics; e-mail broadcasts; practices and innovations
- **UBCM** (http://www.civicnet.bc.ca/) — e.g., Member links; Area Associations; UBCM resolutions and responses; policy papers; funding programs such as gas tax; UBCM News and other publications; MOUs and protocols
- **LGMA** (http://www.lgma.ca/) — e.g., LGMA manuals; programs; local chapters; Exchange magazine
- **Ministry of Community, Sport and Cultural Development**, Local Government Department (http://www.cscd.gov.bc.ca/lgd/) — e.g., guides and publications; contacts for advice; grants
- **Statistics**
  - Local govt (http://www.cscd.gov.bc.ca/lgd/infra/statistics_index.htm)
  - BC Stats (http://www.bcstats.gov.bc.ca/)
  - Statistics Canada (http://www.statcan.ca/start-debut-eng.html)
- **Legislation**
  - B.C. (http://www.bclaws.ca/)
  - Canada (http://laws-lois.justice.gc.ca/eng)
  - other provinces (http://www.canlii.org/en/index.html)
- **Journals, newspapers and newsletters** — e.g., Municipal World; Planning West (PIBC); law firm newsletters; Economic Analysis of BC (http://www.central1.com/publications/economics/index.html)
- **Universities, colleges and institutes** — e.g., UVic Local Government Institute (http://www.uvic.ca/hsd/publicadmin/professionalDevelopment/home/localgovernment/index.php); SFU Public Policy Program (http://www.sfu.ca/mpp)
- **Interest groups** — e.g., community organizations; Business Council of BC (http://www.bcbbc.com/); Social Planning and Research Council of BC (http://sparc.bc.ca/); West Coast Environmental Law (http://www.wcel.org/)
DEFINING THE ISSUE

Some tips for analyzing information (the results of your research)…

- set aside your assumptions or inclinations as to the appropriate “solution”
- question, question, question!
- pull apart the information to help identify the constituent elements of the issue
- identify which of these are the most important elements
- group and re-group the information, looking for connections among the elements of the issue
- categorize the elements – e.g. financial; legal; political; process
- look for patterns in the information
- look for connections between the elements of the issue and other issues or factors
- identify information gaps – where do you need to do more research?
- look for common interests among those involved in the issue or affected by it
- look for the key points of difference among them – what is the source of the differences?
- look at the information from the perspectives of all involved in the issue or affected by it
- look at the information from all angles – turn it upside down!
- mull it over – you won’t see everything with just one look
- take a break and come at it fresh again – you might see something new
- involve others – e.g. brainstorm with colleagues in your own area or across your local government
- retest your analysis against your initial assumptions or inclinations as to the appropriate solution – how different is the result?
- apply the information to refine and redefine the issue
DEVELOPING OPTIONS

Where do options come from? Examples of sources...

- initial direction – i.e. that was given when the policy issue was first identified, for example by council/board or by the Chief Administrative Officer
- initial proposed solution – i.e. as part of the initial direction
- perspectives of those involved in or affected by the issue – e.g. views you heard in your consultations
- the facts of the issue
- turning the issue upside down and looking at it from another perspective
- previous experience with this issue
- analogous situations – i.e. you haven’t experienced this particular issue, but previously your organization went through something similar on another issue
- experience of other local governments – e.g. what are your neighbours doing? Is there UBCM policy on this?
- experience of other governments or other jurisdictions – e.g. is there something analogous at the provincial level? What are local governments in Alberta doing?
- known perspectives – e.g. research you’ve done into the positions of non-governmental organizations, such as resolutions of the BC Chamber of Commerce
- an independent source – e.g. a consultant’s study; an academic report; a “watchdog’s” review, such as the Ombudsman; a court decision
- options inherent in the issue – i.e. if it’s broken, fix it
- ideas from your colleagues – whether in your own Department, other Departments or in other local governments
- your own ideas, experience and creativity
DEVELOPING OPTIONS

Examples of questions to ask in designing an option…

- is this a function for government or is it best left to individuals, “the market” or other interests?
- does local government have a role?
- if so, what type of role (i.e. informal involvement, such as educating or facilitating meetings v. formal involvement, such as providing a service, regulating activity, or providing a tax exemption)
- if local government’s role is formal involvement…
  - what level or type (e.g. if it is regulatory option, is local government regulating, prohibiting or imposing requirements, or is it doing all 3)?
  - is it mandatory or permissive?
  - what are its key elements (e.g. if it involves providing a service, key elements might include: land; facility; operations; rules)?
  - how will it be delivered and who will deliver it (e.g. if it involves providing a service, will local government provide it directly; indirectly through a commission; through a non-profit contractor; under a partnering agreement; through the regional district; in an intermunicipal scheme)?
  - where will it be delivered (e.g. in all of a municipality; in a local service area; in a regional district service area covering a number of municipalities and rural areas?)
  - when will it be implemented?
  - how will it be paid for and who will pay? Does it involve capital costs and operational costs?
  - what process will be involved in implementing it (e.g. is there a requirement for electors approval; is there provincial involvement)?
  - are there ancillary or additional powers that are relevant (e.g. different rules for different users or areas; a licensing scheme; expropriation of property)?
  - what requirements, conditions or limitations will apply once it is up and running (i.e. what are the rules)?
  - is there any review or appeal mechanism needed (i.e. if a delegate, such as staff or a committee is making decisions, should there be a right of reconsideration by council of the delegate’s decision)?
  - how will it be enforced?
  - how will it be measured or evaluated?
- is this option consistent with local government’s objective on this issue?
DEVELOPING OPTIONS

Tips for making your options realistic….

- Test your options against the *objective* – i.e. what is your local government trying to achieve on this issue and what is the political environment in which it is occurring?
  - look for the vision or goals of the local government
    - find them in… e.g. the annual report; the official community plan; the financial plan; a “state of the local government” letter to residents
  - consider guiding principles – (such as “fairness”, “efficiency”, “accountability”; or “no tax increases”)
    - find them in…. e.g. principles of public policy; principles of local government in the *Community Charter* or *Local Government Act*; political direction from the council/board
  - look for underlying assumptions (such as “user pay” for services; neighbourhoods’ say in land use decisions; municipalities also have regional responsibilities)
    - find them in – e.g. the political and organizational culture of the local government; community identity or traditions; the nature of the local government system
  - consider constraints and limitations (such as the date of the next election; jurisdictional limitations)
    - find them in – e.g. directives or policies of the local government; legislation; financial plan; political reality

- Try to…
  - avoid “straw man” options
    - it is risky to put forward options that have no connection to the problem or no merit simply to try to steer the decision-maker to your preferred option
  - consult on options
    - if you can’t consult formally, then at a minimum test run options with colleagues or other “sounding boards”

- Always consider…
  - the issue at hand
    - is this option related to the problem? would it do anything to fix it?
  - the potential response
    - how would this option look on the front page of the newspaper, or presented at a neighbourhood association meeting?
## CHOOSING THE RECOMMENDED OPTION

### Examples of types of implications

- **Financial** — e.g., costs (capital; operating); revenues; methods of financing; tax exemptions
- **Legal** — e.g., jurisdiction; discrimination; bylaws; legislation; court decisions; approvals;
- **Geographic** — e.g., municipal boundaries; service area; electoral area
- **Regional** — e.g., effect on other members of your regional district; inter-municipal services; regional services; regional district directors’ relations; multi-regional district impacts
- **Political** — e.g., public reaction; effect on local government objectives; relations among council/board members
- **Environmental** — e.g., greenhouse gas emission reduction; water quality/conservation; protection of trees; soil contamination; air pollution; adaptation to climate change
- **Economic** — e.g., business climate; job creation; economic development; economic region
- **Labour** — e.g., collective agreement; terms of employment for officers; working conditions
- **Social** — e.g., homelessness; access for persons with disabilities; seniors; youth; families
- **Culture and recreation** — e.g., arts; cultural events; amateur sports; access to recreation; quality of life
- **Health** — e.g., sanitation; physical fitness; anti-smoking
- **Regulatory** — e.g., business regulation; licensing; animal control; nuisance/noise regulation; building inspection
- **Service** — e.g., types of services (parks, roads, recreation centres, sewers); forms of service delivery (e.g., by employees; through partnering agreements); infrastructure; integration of services (e.g., sewer/solid waste and energy)
- **Land use** — e.g., community plans; zoning; development permits; phased development agreements; subdivision; regional growth strategies; heritage conservation
- **Protective** — e.g., policing; fire prevention; fire suppression; emergency plans
- **Enforcement** — e.g., ticketing; prosecutions; remedial action requirements; bylaw notice forums
- **Administrative** — e.g., local government operations; council/board procedures; conduct of council/board meetings; implementation
- **Public accountability** — e.g., elections; ethical standards for elected officials; access to information; annual reports; progress reporting; public meetings; tax policy disclosure
- **Inter-governmental** — e.g., relations with First Nations; provincial approvals; impact on other local governments
CHOOSING THE RECOMMENDED OPTION

Examples of criteria to apply when judging the implications of an option…

Legitimacy

- Does the option involve action that is the role of local government? Is it consistent with the types of activities local governments undertake or with local government purposes?
- To what extent does the option fit with the political/community culture?
- Would those involved in the issue consider the action to be legitimate?
- To what extent is there objective or external information on which the option is based or that supports the option (e.g., an independent study)?

Effectiveness

- To what extent will the option address the issue (i.e., solve the problem) — minimally? somewhat? fully? fully plus more?
- Will the option address all key elements of the issue? If not, which ones?
- To what extent is the option consistent with the local government’s objective in addressing the issue?
- Will the option create new issues? Would those new issues be bigger, smaller or just different than the one being addressed?

Affordability

- How high are the financial costs of taking action under this option? Capital costs? Salary costs? Other operational costs?
- Will this option require new money? What is the source of funds? What requirements must be met (e.g. electors approval for borrowing)?
- What is the time frame (i.e., how long will the costs last)?
- What is the relationship between “who pays” and “who benefits” under this option (i.e., are they the same or different people)?
- Are secondary or indirect financial costs likely with this option (e.g., the cost of a subsequent legal action)?
- What are the financial costs of not taking action under this option?
SHARPEN YOUR POLICY SKILLS

Fairness
- To what extent does this option benefit groups or individuals – and which ones more than others?
- To what extent does this option negatively affect individuals (e.g., impinge on private property; require personal information; restrict ability to carry on business)?
- Does this option treat similar individuals differently (i.e., does it discriminate)?
- Does this option distribute the benefits and the negative effects fairly (e.g., across the population; within a defined class)?
- Are the negative effects of this option proportional to the problem being addressed (i.e., not overkill)?
- Does this option more significantly affect vulnerable populations (e.g., seniors; the poor)?
- Does this option enhance or detract from the accountability and transparency of local government actions?
- Would those affected by the option consider it fair?

Legality
- Is this option within the jurisdiction of local government?
- To what extent does this option affect existing legal arrangements (e.g. contracts; trade agreements)?
- Is this option likely to be challenged in court?
- Does this option increase or decrease the local government’s risk of legal liability?
- Does this option require particular legal steps to implement it (e.g. provincial approval)?

Community
- Are the environmental, economic, social, cultural, and health implications positive or negative?
- To what extent does this option affect community values (e.g., aesthetics; sense of well-being; sense of neighbourhood)?
- Will the option increase or decrease the community’s sense of security?
- How will the option affect the economic health of the community?
SHARPEN YOUR POLICY SKILLS

- How will the option affect the shape of the community (i.e., its physical characteristics)?
- Will the option be perceived negatively or positively by community groups (e.g., neighbourhood associations)?

Region
- To what extent does the option affect other members of the regional district?
- Will the option enhance or detract from relations on the board?
- To what extent will the option affect other regional services or matters such as water supply, economic development, transportation, or regional growth strategies?

Inter-jurisdictional relationships
- To what extent does the option affect people outside the boundaries of the local government?
- Will this option enhance or detract from relations with neighbouring local governments or First Nations?
- Does this option directly involve the provincial or federal government? Does it conflict with provincial or federal interests?

Feasibility
- How doable is this option (i.e., what will implementation take, technically, administratively and legally)?
- Does the local government or someone else have the responsibility or authority to implement this option?
- How long will it take to implement?
- What type of changes to bylaws, policies or organizational structures would be required to implement this option — none; minimal; complex?
- Will those affected co-operate in implementation of the option? If not, what other measures might be necessary (i.e., enforcement)?

Measurability
- How likely is this option to succeed or meet its goal?
- Does this option provide a long term or a short term way of addressing the issue?
- To what extent will the effects of this option change over time?
SHARPEN YOUR POLICY SKILLS

- To what extent can the effects of this option be evaluated?
- How difficult and costly will it be to evaluate the effects?

Support
- Is this option likely to get a positive or negative response from decision-makers in local government (e.g., CAO; councillors?)
- In general, is this option likely to have more support or more opposition in the community?
- Is the opposition or support likely to come from specific groups or interests or from the community generally? Which specific groups and interests? Which will oppose and which will support, and to what extent?
- What would it take to find answers to these questions (i.e. extent of consultation needed)?
- If there is opposition to this option, what would it take to reduce that opposition?
MAKING THE RECOMMENDATION

Tips for clear and persuasive recommendations, whether written or oral...

- **Know your audience**
  - who are they (e.g. political? technical? ultimate decision-maker?)
  - what are their interests (e.g. have they stated a position on the issue; did they give initial direction; what are their strategic interests?)

- **Don’t assume your audience knows**
  - you have done the research and thought through the issue – chances are, your audience hasn’t
  - explain concepts and background; use plain language, not jargon
  - keep it simple (i.e. concise and focused)

- **Know your role**
  - you are typically the guide, not the ultimate decision-maker
  - you may need to guide not only on the substance of the issue, but also on the policy process (e.g. help them see the value of weighing options/considering implications)
  - you are a professional – understand and manage your personal views
  - make it “safe” for the decision-maker to make a decision (i.e. let them know the full picture/what they are up against)

- **Acknowledge negative implications**
  - no option – not even the preferred option – is perfect
  - don’t let the decision-maker be blindsided; point out potential problems (and help avoid the “why-didn’t-you-tell-us-that” recriminations later)

- **Don’t just tell – explain**
  - be organized, logical and explain “why” (e.g. why a particular option is the preferred option; why other alternatives are less workable)
  - share key facts/findings, to make your recommendation credible

- **Focus on key messages**
  - while you need to explain, don’t detail everything and don’t let the detail be the driver
  - know your “story” and its main points (i.e. concentrate on the essential elements that the decision maker must understand in order to decide)
  - make it real for the decision-maker (e.g. use concrete examples to illustrate why this issue matters)
• Try the “one minute” test
  o it is said that a speaker has about one minute to make their point before they lose the listener’s attention – so, when speaking, focus!
  o for written briefings, include an executive summary or other way of highlighting key points up front in the materials

• Be flexible
  o adapt how you deliver your message to the needs of the decision-maker and the circumstances of the briefing
  o anticipate that circumstances will change (e.g. a ½ hour briefing becomes 10 minutes – so have Plan B ready!)

But remember… the recommendation is only as good as the thinking behind it
MAKING THE RECOMMENDATION

“Know your audience” means understanding the needs and perspectives of elected officials, including...

- they want to be responsive to electors (i.e. be timely; be effective)
- they want to make a difference (i.e. they want to solve problems; they want to be positive; they want to do something)
- they hear directly from electors (e.g. their information may come from specific individuals or groups with specific perspectives; they hear anecdotes or positions)
- their starting point is often “solutions” rather than problems
- their most important questions are “why” and “when” (and often “how much”), rather than the technical detail of “how will this actually work”
- they want to understand the scale of the decision they need to make (i.e. are they creating new policy; are they applying or making an exception to existing rules?)
- they usually don’t start with the benefit of the full range of information (e.g. what other jurisdictions are doing; previous comparable situations; legislative requirements; financial implications)
- they are not subject-matter experts, but often bring with them wide-ranging experience
- they have views, perspectives and perhaps a bigger vision or goal (i.e. that’s why they ran for office)
- they may have committed themselves to a particular solution (i.e. philosophically; have made previous public statements)
- they have limited time (i.e. being a councillor/director is usually not their full-time job)
- they are expected to be familiar with and make decisions on large amounts of information covering many different issues
- they don’t like surprises (i.e. they need to know about all who will be affected by a decision and how they are likely to react)
- they want to have (and make) realistic choices (i.e. they are decision-makers)
- they would (of course) be happiest with a “win/win” solution; if it is “win/lose”, they are interested in how to ease the impact
- they may need time to understand and fully appreciate the decision-making process and the role of staff in that process

What does this mean for how you make your recommendation?
Public Participation -- Early Questions To Ask Yourself

At the start of a participation process, key questions can help decide your approach:

Who are you? For example:

☐ Someone in a position of power controlling funds or other resources
☐ Someone with influence because you are planning or managing a participation process
☐ Someone with professional expertise or knowledge

What do you want to achieve by working in a participatory style? To:

☐ Simply share information (informative)
☐ Try and develop plans that meet people’s expectations (consultative)
☐ Give people a say in the plans (deciding together)
☐ Give people control over the solutions (acting together)

Who will have the final say over decisions?

☐ Yourself
☐ A management team
☐ Everyone who gets involved
☐ A political institution (e.g. council/board) or other body

How ready are you/your organization and other people/organizations, to work in a participatory way?

☐ Do they have the desire?
☐ Do they have the skills, resources and capacity?
☐ Do they have the authority?

Does the nature of the issue affect the participation possible?

☐ Is it urgent, or have other timing considerations? Is it hugely complex?
☐ Are there real confidentiality considerations or other high risk factors?
☐ Is there real choice about how this issue could be addressed?
Public Participation – 5 “Stances” or Types for Governments*

☐ Information giving (*minimum public participation*)
- one-way; informing and educating the public
- provide detailed information on an initiative, its objectives, and its implications

☐ Public consultation
- exchange information; seek input
- offer a number of options; obtain, record and consider public feedback; follow up

☐ Involvement (Deciding together)
- cooperation in decision-making
- encourage public to put forward additional ideas/options; provide some say in decisions made

☐ Collaboration (Acting together)
- partnership; joint action and decision-making
- share in all aspects of the process, including process design and implementation

☐ Empowering others to decide/act (*maximum public participation*)
- public control of final decision-making
- provide the framework of support (i.e. legislative; financial) for public to decide

Adapted from The Guide to Effective Participation by David Wilcox and the International Association of Public Participation’s “Spectrum of Public Participation”
Public Participation -- Is the Consultation Stance Appropriate?

Before taking up a consultation stance consider:

☐ Are you clear which “publics” you are consulting, and have you the means to contact them? Are there barriers to consulting them (e.g. cultural/linguistic)?

☐ What, if any, commitments have been made to them about the nature of or process for public participation?

☐ Do you know what you are expecting from consultations? Are you able to communicate those expectations, and the limits of consultation, to them?

☐ What are they expecting? Are they likely to be satisfied with consultation? If not, how will you manage their concerns?

☐ Can you present your vision and options for achieving that vision in a way that people will understand and to which they can relate?

☐ Have you identified appropriate communication methods for the content of the vision/options, time available and likely participants? What are they?

☐ Can you and your colleagues handle the feedback (gather, analyze, present, consider), both positive and negative?

☐ What will you do with negative feedback?

☐ Do you have time to/are you prepared to report back to those consulted? If so, how and when?

☐ Do you have time to/are you prepared to change your stance if people want more than consultation (e.g. want to share in decision-making)? If not, are you prepared to explain why?

☐ What would it take to change your stance (e.g. approvals)? What would be the impact (i.e. timing of getting to a decision)?

☐ Are you just seeking endorsement of your plans (i.e. are you just communicating a decision already made)?
CASE STUDY 1: THE GANGS OF DOWNTOWN

Council is concerned with the direction they see their downtown moving. Once safe and maybe even a bit too quiet, the downtown now appears increasingly to be a gathering place for large groups of people (apparently mostly youth), especially late in the afternoon, through the evening and often late into the night. Downtown business owners are complaining about increased noise, fights, litter, graffiti and public drunkenness. An editorial in the local paper talked about ordinary citizens not wanting to come downtown to shop or eat out, and called for enforcement of the Safe Streets Act legislation (aimed at aggressive panhandling and trespass on private business property). A few letters to the editor have noted that “teens will be teens”. The Downtown Outreach Agency thinks young people often come from outlying areas to “hang out” downtown, although it is worried that some youth may not actually have safe homes. The police haven’t entered into the public debate, but have previously expressed concerns about increasing numbers of drug dealers and other more organized criminal activities in the downtown area. Downtown businesses and the local Chamber of Commerce are pushing for a ban on group gatherings in downtown along with more police enforcement. “Get rid of the gangs” is becoming a slogan among some of the candidates in the upcoming election campaign.

The municipality owns a fair amount of land downtown (some parks, some public squares; a couple of adjacent vacant lots; some former light industrial property). Council has often been indecisive in the past, so not much has happened with these lands. Two and a half years ago, council was approached by a church-affiliated society looking for land to build and operate a seniors housing project (a combination of subsidized and market units). Ground has just been broken on this development on one of the 2 vacant properties. The head of the society is very concerned about the success of the project and about what she is reading about “the gangs of downtown”. She has been asking the mayor and other councillors what role council and the municipality are playing downtown, now and in the future.

Council has asked you to provide some recommendations on downtown issues.
CASE STUDY 1 – THE GANGS OF DOWNTOWN – DEBRIEF

Defining the Issue:
- recognize that the actual nature of the problem is unclear -- i.e. not clear that it is actually an organized “gang” problem
- consider the need to figure out the nature of the problem (i.e. get all the differing perspectives)
- identify some potential sources of research (e.g. police statistics re downtown incidents; information from the Downtown Outreach Agency)
- avoid defining the problem in terms of the proposed solutions
- recognize that there may be a disconnect between the proposed solutions and the actual problems
- avoid defining the issue simply as a ‘regulatory”/undesirable activity problem; it also has a “municipality as property-owner” component

Developing Options
- consider objectives that council might have – i.e. for downtown (a place that people want to go to; a place where people of all types feel safe to live; a place of activity)
- recognize that council has difficulty making decisions, which may be exacerbated with the timing of the upcoming election
- consider process options – e.g. town hall meeting to discuss concerns; creating a “vision” for downtown – particularly if see the issue at this point as primarily getting a shared understanding of the nature of the problem
- substantive options consider both the “stick” (regulatory measures) and the “carrot” (use of land to attract/encourage desirable activities)
- recognize that council might need to look at hybrid options – e.g. putting a few proposals “up the flagpole”, but recognize the risk of that if haven’t got a shared understanding of the problem

Choosing a Preferred Option
- look at the full range of implications and criteria to judge the implications – e.g. perspectives; safety; feasibility; social; cost; legality
- demonstrate “balancing” – social concerns v. safety/policing
- choose a preferred option that is realistic and connected to the definition of the issue (e.g. doesn’t fall into the “Safe Streets” trap)

Making a Recommendation
- consider what it will take to make the option actually work (e.g. if it is regulatory, what things would be needed to make rules actually enforceable)
- plan for post-implementation evaluation (especially important given the differing perspectives on the actual problem, not just the solutions)
- clearly and concisely “tell the story”, explaining the issue and the difficulties and making a recommendation
CASE STUDY 2: COASTAL SURVIVOR

Your community has faced its share of bad times. While located in a beautiful natural setting at the head of a coastal inlet, the municipality’s primary industrial employer (the fish packing plant) shut down 3 years ago with the loss of permanent, well-paying jobs and displacement of much of the area’s fishing fleet. Over the past year or so, there have been glimmers of hope – kayakers and eco-tourists are slowly discovering the area and some former fish boats are now in business running eco-tours. At the same time, the Main Street of the community is still showing effects of the bad times – some store fronts remain empty and the 2 hotels, while still open, are run down.

Council has been keen to find new economic development opportunities, but has not been as active as the neighbouring municipality at the mouth of the inlet, which recently instituted a revitalization tax exemption. That municipality is providing a 5 year tax break for the construction or upgrading of any Class 6 (business) improvements anywhere in the municipality.

Recently, an out-of-town property owner, who owns a huge tract of prime land that begins in your municipality, runs down the side of the inlet and ends up in the neighbouring municipality, has approached your council with an idea to develop a large, destination waterfront hotel/resort. In your municipality, the site – which would need rezoning -- would be on the edge of town, in part overlooking the old plant site. However, you get the impression that the developer is still “shopping” for locations -- he has also approached the council of the other municipality and the regional district board, and has been talking about finding the most “financially and economically attractive” site in the area. Talk at the local pub about the proposal is mixed – lots of enthusiasm about new jobs but also concerns about low wages. Members of the union that represented the plant workers are saying it would be better if someone bought and re-opened the plant. The owner of the 2 existing hotels in town has confided her fears that competition will finally drive her out of business, and one of the eco-tour operators has questioned whether a large waterfront development would mar the coast line that his clients come to enjoy. The First Nation in the region has not weighed in but has generally favoured development that provides jobs for its members and is also compatible with traditional uses of its territory.

Council has asked you to provide some recommendations in anticipation of receiving a formal proposal for the waterfront development.
CASE STUDY 2 - COASTAL SURVIVOR -- DEBRIEF

Defining the Issue

- recognize that there is both the specific aspect of the problem (i.e. what to do if you get a formal proposal for the waterfront development), but also the more fundamental question (i.e. “what type of economic development is best for the community”). If you don’t also cover more fundamental issues, you will miss aspects of the problem – e.g. differing views of economic development
- recognize that there are some key information gaps – i.e. what is the First Nation’s view; what are the specifics of the development proposal?
- recognize that there are 2 main elements to the specific aspect of the problem – financial (e.g. tax exemption) and land use (e.g. rezoning)
- avoid defining the problem in terms of the proposed solution

Developing Options

- recognize council’s economic development interest, but also that the question is really: “what type of economic development”?
- recognize this as a fundamental issue to the community; consultation will be crucial
- consider process options – e.g. town hall on the economic future of the community, survey to residents/businesses, key stakeholder meetings (or a mix of such options)
- recognize that in a small town, the process might need to be “neutralized” in some way – e.g. an independent consultant
- look for examples/guidance from other jurisdictions that have faced similar issues
- think beyond your boundaries – what are the regional options?

Choosing a Preferred Option

- consider a full range of implications, including regional impacts – e.g. region’s economic well-being; a “race to the bottom” between local governments; long-term sustainability; relations with and commitments to First Nations
- demonstrate “balancing” – e.g. economic concerns of whole community balanced with those of individuals/groups, long-term vision for community balanced with immediate opportunity for development and job creation
- recognize that the option preferred is constrained by significant gaps in information; more likely to recommend how to proceed once in receipt of proposal or process to undertake development of economic vision, rather than how to respond to proposal

Making a Recommendation

- consider what it will take to make the option actually work – e.g. details of the regulatory decisions and/or consultation process
- clearly and concisely “tell the story”, explaining the issue and the difficulties and making a recommendation
- include short-term and long-term options if applicable – e.g. response to proposal vs. drafting community economic development plan
CASE STUDY 3: WATER, WATER EVERYWHERE...

The municipal water system is aging. In particular, the water treatment facility has needed lots of repairs lately – nothing major now, but the engineer believes that the trend will continue and in 2-3 years the problems will be much, much more significant.

The municipal water system is paid for through property taxes. Council prides itself on a strong sense of fiscal responsibility and has been reluctant to increase spending, often asking municipal staff to “make do” for some time before deciding on new expenditures.

Water quality has been an issue of concern in various parts of the regional district for some time. Residents of the electoral area just outside your municipality’s boundaries (whose private water system was just taken over by the regional district) have in the past faced seasonal “boil water” advisories issued by the drinking water protection officer for the region. In the neighbouring municipality (which is similar in size to yours and is located on the other side of the electoral area), 25% of electors just petitioned against proposed borrowing for a state-of-the-art chlorination/ozoneation facility. That facility, if it proceeds, is to be built and operated through a public-private partnership. That municipality won’t be deciding on holding a vote of electors on the borrowing until after the upcoming general local election this November.

The debate in the neighbouring municipality has been of interest in yours, with newspaper editorials warning of the public health consequences of not paying enough attention to fixing problems in a region that has water quality concerns. At the same time, the citizen’s group PURE (People Urging Respect for the Environment) has been distributing information throughout the region about the health and environmental benefits of natural forms of water purification, and the dangers of fluoridation. Some candidates in your municipality’s election campaign are picking up on the “pure water” theme.

You need to bring your municipality’s water treatment facility issue forward to Council and make some recommendations.
CASE STUDY 3 - WATER, WATER EVERYWHERE -- DEBRIEF

Defining the Issue
- recognize that the issue has many potential layers – e.g. economic feasibility, public safety, adequate service, deteriorating infrastructure; water quality, water quantity, jurisdiction (local vs. regional), political viability, long-term and short-term needs
- recognize that important information is yet unclear – e.g. are there actually current water quality and quantity issues in the municipality?
- recognize the need to clarify and evaluate the extent of the problem – e.g. seek an engineering assessment of the nature, extent and probability of future problems
- identify sources for relevant information and research on water treatment facilities – e.g. case studies, academic research, local Health Authority, etc.
- assess the level of awareness and concern with the public and relevant stakeholders
- identify any relevant obligations or risks to the Council in taking action on this issue – e.g. health risks, legal action, requirements under Drinking Water Protection Act.

Developing Options
- consider objectives or other commitments that council might have – e.g. political viability and pending election, other capital works projects
- gather options from the experience of other jurisdictions on this issue
- gather accurate and detailed information for each option – e.g. costs, timelines
- consider relevant rules and powers of council – e.g. relating to borrowing
- recognize that this is potentially an important and delicate issue for the community; consultation is important and how the issue is framed will drive form of consultation – e.g. household survey on long-term service vision vs. immediate plebiscite on chlorination/ozoneation
- don’t limit your options to “municipal only” – e.g. are there regional approaches?
- consider a series of options, starting with process (e.g. feasibility studies; formal engagement with regional district; public consultation process)

Choosing a Preferred Option
- look at the full range of implications and criteria to judge options – e.g. differing perspectives; safety; feasibility; cost; political viability
- demonstrate “balancing” – political/economic reality vs. public safety and services
- ensure that the preferred option is realistic and connected to problem definition – e.g. if the deterioration rate is significant, is “do nothing” a realistic option?

Making a Recommendation
- consider what it will take to make the option work and suggest additional strategies to ensure success – e.g. external funding partners
- clearly and concisely tell the story of the issue and outline the trade-offs and difficulties in making a recommendation
- include long-term and short-term options in the recommendation
- don’t forget your audience’s perspective and concerns – e.g. “fiscally frugal council”
PRACTICE SCENARIO

Councillor Smith comes to you and says “The problem with our animal control bylaw is that it doesn’t regulate cats”..... Is that the real problem?

In researching this issue, you have discovered:
- the SPCA, which handles dog control for your municipality, hasn’t noticed any real increase in complaints about cats in the past few months
- the SPCA’s animal shelter has more young cats than usual waiting to be adopted
- none of your neighbouring municipalities regulates cats (most of your colleagues laughed and asked how you would keep the licence attached to the cat!)
- at the recent LGMA conference you attended, you heard about a municipality using its Community Charter authority to require cats to be neutered or spayed
- the SPCA has just published an educational brochure for cat owners and prospective cat owners called “An Indoor Cat is a Happy and Safe Cat”
- the medical health officer for your area advises that in some circumstances, cat feces can be a health problem but she hasn’t noticed any real increase in complaints about cats in the past few months
- the local cat fanciers’ club is holding its annual cat show at the civic centre next month and is expecting participants and spectators from across the province
- Councillor Smith, who is an avid bird watcher, naturalist and gardener, wants to raise the problem as he sees it at council next week.

Where do you go from here?
Discussion Guide

Take a minute or two to read the scenario. What it provides is the results of some initial research that you have done on this issue. So, what might you do with this information in order to figure out what the problem is?

- Break down the information, to try to identify the various aspects of the problem, and to figure out what you know, what you don’t know and what you’re not sure of:
  - Are there any symptoms or impacts (e.g. cat feces; dead birds)? Don’t know
  - Are there any causes? Not sure
    - Might be a population explosion of cats
  - Are there any limits? Know
    - Nature of cats as free roaming animals
  - Are there any perspectives? Know, not sure and don’t know
    - Cat fanciers (like cats);
    - SPCA (believes in education);
    - Councillor Smith? (believe he might not like cats)
    - Other councillors?
- For things that you are not sure of or don’t know, need to do some further research
  - talk to SPCA, local vets or the cat fanciers -- has there been a cat explosion?
  - find out from Councillor Smith what symptoms he has seen and what prompted his concern about cats
    - think about the political environment:
      - talk to him directly or through CAO (depends on the culture/rules in your local government)
      - timing – better to discuss before next council meeting?
  - find out if this has been an issue for other councillors
    - again, think about environment (direct or through CAO; alliances on council) and basic human relationships – want to avoid embarrassing Councillor Smith or creating a point of contention;
      - may want to say to Councillor Smith privately, “other councillors don’t seem to see a problem” (if true), to give him a graceful exit
- If there is, in fact, a problem that needs some options, what would you need to know in order to develop options?
  - political environment – is council keen on regulation? Is it trying to become a destination stop for cat fanciers?
- What are some possible options?
  - community consultation (if in fact you are still not sure as to the nature of the problem, but it appears to be more than just perception)
  - supporting an education campaign (about neutering/spaying, if there is a population explosion; about keeping cats indoors)
  - imposing requirements (e.g. neutering/spaying)
  - regulating cats (e.g. licensing)
- What are the implications of those options?
SHARPEN YOUR POLICY SKILLS

MATI Policy Tool kit

Toolkits, Guides, Workbooks, Tutorials


The purposes of this publication are to describe the local government policy-making process, outline effective roles for local officials, and to provide practical tips to make the local policymaking process more satisfying and productive.

It is written from a practical standpoint and is intended to provide the reader with a better understanding of the roles and responsibilities of legislators as policy-makers. It discusses how local public policy is created and provides practical tips, based on experience, on how to make the policy-making process more productive and satisfying for participants.

Policy Analysis in Government: Policy Wonk’s Travel Guide, Canada School of Public Service.

For a copy, contact the Canada School of Public Service National Library: http://www.csps-efpc.gc.ca/ltotnli-eng.asp

This paper is intended to help the policy practitioner organize his or her work. It concentrates on the questions the policy analyst should ask in develop a good briefing and in providing helpful advice, but is not intended to represent the organization of the final product of the policy analysis process.

Strategic Policy Toolkit Website, Australian Government:
The Strategic Policy Toolkit is an online resource which provides easy access to essential policy guidance. The system saves time while allowing policy officers in public service to follow a robust process and learn key lessons from other policy projects: http://strategicpolicy.govspace.gov.au/

Policy Link, Northern Ireland Civil Service: http://www.ofmfmni.gov.uk/index/improving-public-services/policylink.htm

Established as part of a programme of measures to promote good practice in policy-making in the Northern Ireland Civil Service (NICS). Policylink seeks to assist the development of policies which meet Northern Ireland requirements, by making available a range of resources to support policy-making.

Is intended to provide a practical overview of the key steps and key phases in the policy development process. It is divided into individual workbooks, which are structured around the key stages of the policy process to enable policy-makers to dip into the guidance as appropriate.

**Government Examples**

The following provide a variety of policy development processes from various levels of government in Canada and internationally.

**Canada – Provincial Government**

**Community Charter – Policy Analysis**, British Columbia - Ministry of Community, Sport and Cultural Development:
http://www.cscd.gov.bc.ca/lgd/gov_structure/community_charter/policy_analysis.htm

This site offers direction on the policy analysis process in relation to powers and decisions under the *Community Charter*. This site outlines:

- The policy analysis process;
- The players involved in the process; and
- Situations in which policy analysis may be considered.

**Community Charter – Regulatory Best Practices Guide**, British Columbia - Ministry of Community and Rural Development:
http://www.cscd.gov.bc.ca/lgd/gov_structure/community_charter/services_regulatory/regulatory_guide.htm

This guide is written to encourage the best possible use of municipal regulatory authority in relation to a number of broadly stated “spheres of jurisdiction” set out in the *Community Charter*. It also encourages non-regulatory approaches to addressing difficult local issues. In particular, this guide includes:

- Tips on how to decide whether government action is warranted;
- How to assess what type of government action might be considered;
- Key elements of good regulatory practice;
- Tips on the process for developing good regulatory schemes; and
- Examples of real issues to illustrate approaches to regulatory practice.

**A Brief Guide to Understanding Policy Development**, Rural Communities Impacting Policy Project (Nova Scotia):

This guide was created to help guide rural communities become involved with the policy making process as it impacts their communities. It provides an introduction to the framework of policy making as well as the players and timelines and includes a bibliography for further reference.
A Guide to Policy Development, Manitoba – Office of the Auditor General:  
http://www.oag.mb.ca/reports/PolicyDevelopmentGuide.pdf

This purpose of this guide is to promote excellence in policy development for management and policy analysts. It is broken into three parts:

1. Leading and managing policy development  
2. Policy processes attributes  
3. Policy product attributes

Each section provides guidance, including practical suggestions on some of the more challenging aspects of policy development. The guide also includes the perspectives of various elected representatives which serve to give the practitioner insight into the expectations of elected officials.

Canada – Federal Government


This document is intended to provide a common, general basis for risk management decision-making. Although this framework was initially developed as a risk management tool, it has become a cornerstone for policy development at Health Canada. The documents in themselves are not intended to be implementation manuals; rather to be used by individual programs to develop specifically tailored procedures to meet their particular needs.

United Kingdom

How to be a Civil Servant, Martin Stanley:  http://www.civilservant.org.uk/
Societies fail if their governments are ineffective, and governments are ineffective if their civil servants are ineffective. This website examines the skills and effectiveness of the UK Civil Service. Includes the following tools:  
Case Studies

Building Policy Research Capacity – Briefing December 2007, Conference Board of Canada

This briefing was created to answer the question “what would be required to enhance governments’ policy research capacity?” The result is the identification of four international organizations dedicated to rebuilding policy and research capacity.

The briefing outlines core competencies of professional policy making and a summary of the form and functions of the case-study organizations.

Available from the Conference Board of Canada: http://www.conferenceboard.ca/


This two-part case is designed to provide the student of public or business administration with sufficient descriptive and analytical information to be able to accomplish the following tasks:

1. to propose a method of evaluating the cost-effectiveness of a machine translation system;
2. to discuss administrative and organizational problems which might arise as part of the evaluation;
3. to propose a strategy for carrying out the evaluation;
4. to interpret the results of this evaluation using representative data; and
5. to propose a policy decision based on these results. The first three objectives are completed in Part 1 and the latter two are addressed in Part 2.

Available for purchase at the IPAC store for $5.00 per report: http://www.ipac.ca/Store


This case study helps to identify the structured decision processes used to resolve conflict and achieve collaboration while seeking to ensure that the decision process would culminate in a decision that was politically acceptable and both managerially and technically feasible.

Available for purchase at the IPAC store for $5.00 per report: http://www.ipac.ca/Store

IPAC CASE STUDY 1.80: "Reality Sets In! Municipal policy-making"
Michael C. Ircha

This case study traces some of the policy making process that Fundy-by-the-Sea Council faces in today’s changing political, social and economic environment. The case is based upon a series of newspaper articles tracing the development of Council policy.

Available for purchase at the IPAC store for $5.00 per report: http://www.ipac.ca/Store
SHARPEN YOUR POLICY SKILLS


This report reviewed a selection of organizations and jurisdictions and has examined best practices in developing and managing public policy. This report outlines findings, including best practices, used in the development of recommendations for the Ministry.


The paper offers an introduction to analysis of the policy process. It identifies and describes theoretical approaches in political science, sociology, anthropology, international relations and management. It then reviews five cross-cutting themes: (a) the dichotomy between policy-making and implementation; (b) the management of change; (c) the role of interest groups in the policy process; (d) ownership of the policy process; and (e) the narrowing of policy alternatives. The paper concludes with a 21-point check-list of ‘what makes policy happen’. A glossary of key terms is also provided.

Evidence-Based Decision Making

GSR - Government Social Research Unit, UK Civil Service: http://www.gsr.gov.uk/

The GSR provides strategic leadership to the Government Social Research service and supports it in delivering an effective service. It has a broad role in promoting the use of evidence in strategy, policy and delivery and leads on strategic social research issues and standards for social research in government. It represents GSR and its work within government and in the wider research community.

Civic Engagement, Participation and Communication


Policy consultation has traditionally been undertaken using methods such as submissions, seminars, public hearings, consultative committees and surveys. The methods agencies choose depend on a variety of factors, including the nature of the policy issue, the goals of the consultation, the key stakeholders and the capacity of the agency.

The Internet provides agencies with the opportunity to complement existing consultation methods. The benefits of online policy consultation parallel those of traditional consultation. That is, they improve the transparency of government deliberative processes, increase the accessibility of policy-based and decision-making information, and may increase uptake by citizens of government programs.
Online methods, however, extend the reach of government consultation through greater access, including availability 24 hours a day, 7 days a week. Online methods can also provide a safer and more deliberative way in which agencies can engage with citizens through secure, faster and more manageable ways of handling a large-scale group input. Online methods can also attract sectors of the community (for example, youth) who may not usually engage with government.


The examples have been selected for their ability to maximise the opportunities provided by new technologies. The examples showcase what is possible, and to stimulate thought and discussion on what is best or better practice in each category.

**Policy Toolkit for Public Involvement in Decision Making**, Health Canada

This document has been developed to respond to the expectations around public involvement, including citizen engagement in the policy development process. It aims to build on the department's capacity to acquire and act upon good ideas, whatever their origins, in the following ways:

- enhance the department's culture and capacity for public involvement in developing policy, delivering programs and improving Canada's health system;
- provide a policy framework and practical guidance for public involvement, which clarifies departmental expectations and roles and cuts through the jargon around public involvement concepts;
- facilitate more strategic and coordinated public involvement activities with improved results for all; and
- reflect the department's commitment to improving the way information is shared internally and externally so that our work environment is always conducive to creativity, empowerment and continuous learning.


This article discusses risk reduction through public participation in municipal decision making. It discusses the pitfalls of failing to consult the public in major decisions as well as the benefits. It provides an overview of what public consultation should look like as well as outlines key terms and steps in the process.


The primary objective of this workbook is to enhance knowledge, skills, and abilities relating to the development of public policy, with specific emphasis on the meaningful inclusion of stakeholders and citizens. A basic understanding of public participation and policy
development is assumed. Emphasis is placed on the development of crosscutting or horizontal policy and on increased inclusion of stakeholders and the policy community.


This toolbox is designed to help voluntary organizations to participate in the Canadian public policy development process. The audience for this toolbox is primarily organizations that do not have full-time government relations staff; however some of the tools and resources are helpful to all organizations who want to participate in the various aspects of policy development/ government relations, etc.

As well as an introduction to the government and the policy development process, this toolbox provides resources on effective policy development, information gathering, advocacy, becoming involved in the process, and more: [http://ginsler.com/resources/](http://ginsler.com/resources/)

**Performance Measurement-Evaluation**


This Guide aims to describe an approach to performance measurement in the public sector. The Guide will help to think through a wide range of performance-measurement challenges.

The central idea is that good performance measurement is an exercise in storytelling. A well developed performance framework allows you to tell a convincing story, backed by credible evidence, about the value added by your program to some particular segment of Canadian society.

**Publications**


This book is written as a guide to doing policy analysis by addressing the psychology, and logic of the analytical process. The contents break down the stages of policy analysis:

- define the problem;
- assemble evidence;
- construct alternatives;
- select criteria;
- project outcomes;
- confront trade-offs;
- decide.

Includes an appendix with a section called “Things Governments Do”

This handbook describes the processes used in making public policy, and the relationships between political decision makers, public service advisers, and those charged with implementing the programs that result. Chapters cover the following:

- Why policy matters
- Institutions of public policy
- Policy cycle
- Identifying issues
- Policy analysis
- Policy instruments
- Consultation
- Coordination
- Decision
- Implementation
- Evaluation
- Managing the policy process

The book includes multiple policy checklists, references and internet resources.


This book defines what municipal governance is all about. Written in a no-nonsense style, the book offers advice about the appropriate roles of council members, the head of council, and the administration with emphasis on:

- orientation;
- art of governance;
- understanding leadership;
- council management problems;
- governance best practices; and
- hallmarks of successful elected officials


The growth of what some academics refer to as ‘the policy analysis movement’ represents an effort to reform certain aspects of government behaviour. The policy analysis movement is the result of efforts made by actors inside and outside formal political decision-making processes to improve policy outcomes by applying systematic evaluative rationality to the development and implementation of policy options.

This volume offers a comprehensive overview of the many ways in which the policy analysis movement has been conducted, and to what effect, in Canadian governments as well as in business associations, labour unions, universities, and other non-governmental organizations.
SHARPEN YOUR POLICY SKILLS


Why do some ideas thrive while others die? And how do we improve the chances of worthy ideas? This book reveals the anatomy of ideas that stick and explain ways to make ideas stickier, such as applying the “human scale principle,” using the “Velcro Theory of Memory,” and creating “curiosity gaps.” The book demonstrates numerous sticky messages, both successes and failures.


Public policy is the business end of political science. This surveys all the major approaches to public policy using an innovative structure that responds to the very latest scholarship. Its chapters touch upon institutional and historical sources and analytical methods, how policy is made, how it is evaluated and how it is constrained. In these ways, the Handbook shows how the combined wisdom of political science as a whole can be brought to bear on political attempts to improve the human condition.


This book examines the shifting environment of public sector governance. The text goes through the stages of policy formulation, design, implementation, and evaluation but within the context of the way today’s governments operate. The book focuses on analytic tools and the conceptual side of public policy, combining theory with examples and real-world context.


This book presents quickly applies basic methods for analyzing and resolving planning and policy issues at state and local levels. Quantitative and qualitative methods are combined in a systematic approach to addressing policy dilemmas. Besides methods, the book presents the rationale and process of policy analysis as well as policy application cases.


This book is written specifically to help councils and staff in their challenging task of governing Canada’s municipalities. Examples of municipal best practices from across Canada are used to illustrate the keys to good governance described in this Guide. The book provides analysis on a wide range of issues facing municipalities including:

- strategic planning and identification of priorities;
- municipal service delivery review;
- performance measurement;
- public engagement;
- opportunities for partnerships;
- values and ethics; and
- a protocol for effective council-staff relations.

In this book the authors analyze scores of both private and public-sector cases, as well as crisis scenarios such as the Alaskan oil spill, the silicone breast implant controversy, and nuclear plant malfunction at Three Mile Island. They show how resistance to both public and private initiatives can be overcome by a mutual gains approach involving face-to-face negotiation.

The book outlines the six key elements of this approach in order to help business and government leaders negotiate, rather than fight, with their critics. In the process, it shows how to identify who the public is, whose concerns to address first, which people and organizations must be convinced of the legitimacy of action taken, and how to assess and respond to different types of anger effectively. Acknowledging the crucial role played by the media in shaping public perception and understanding, the book suggests a way to develop media interaction which is consistent with the six mutual gains principles, and also discuss the type of leadership that corporate and government managers must provide in order to combine these ideas into a useful whole.


Developed by a group of ten partners, this manual provides practical lessons for the establishment and operation of effective government-community collaborations on policy. Though poverty reduction was the lens through which collaboration on policy was viewed, the lessons presented are applicable to any complex problem. The many examples, tools and references provided in the manual are helpful both to those new to policy work and to groups already engaged in collaborations on policy.


This book both introduces and explores the ‘hows’ and ‘whys’ of the practices of public policy. It provides practical advice about how to conduct policy analysis and demonstrate the application of advanced analytic techniques. Emphasis is placed on:

- client-orientation and ethical issues in policy analysis;
- rationales for public policy, including the limitations to effective public policy and generic policy solutions;
- advice for implementing policy analysis;
- examples illustrating how analysts have approached policy problems and the differences that their efforts have made;
- the role and work of the analyst and challenges the analyst to both “do-well and do-good.”

This paper describes a systematic process for examining complex public policy choices that has been developed and refined over the past 50 years and is often called policy analysis. Its purpose is to assist policymakers in choosing preferred courses of action by clarifying the problem, outlining the alternative solutions and displaying tradeoffs among their consequences. In most real-world policy situations there are many possible alternatives, many uncertainties, many stakeholders and many consequences of interest. Also, there is usually no single decision maker and little chance of obtaining agreement on a single set of preferences among the consequences. As a result, there is no way to identify an optimal solution. Instead, policy analysis uses a variety of tools to develop relevant information and present it to the parties involved in the policymaking process in a manner that helps them come to a decision. It is a problem-oriented approach that does not presume a model structure for assessing the consequences of a policy or ranking the alternatives. The paper provides a brief history of policy analysis, describes the most important elements of the policy analysis process, provides an illustrative example of the use of the approach and suggests directions for future developments that can enrich the approach and increase the chances for successful use of the results.


This guide is written for the community member and activists seeking to get other people involved in social, economic and environmental projects and programmes.

The print guide that preceded Partnerships Online: [http://www.partnerships.org.uk/guide/index.htm](http://www.partnerships.org.uk/guide/index.htm)
Report Formats and Examples

Town of Ladysmith

Guidelines for the Preparation of Reports to Council

1.0 INTRODUCTION .................................................................................................................................................. 2
   Guiding Principles.................................................................................................................................................... 2
2.0 KEY TIMELINES ...................................................................................................................................................... 3
   Report Submission Cycle ......................................................................................................................................... 3
   Agenda Preparation Deadlines ................................................................................................................................. 4
   Late Reports .............................................................................................................................................................. 5
   Electronic Meeting Files .......................................................................................................................................... 5
3.0 TYPES OF REPORTS .............................................................................................................................................. 5
4.0 REPORT FORMAT .................................................................................................................................................... 6
   Report Checklist ....................................................................................................................................................... 9
5.0 REPORT TEMPLATES ............................................................................................................................................ 10

Adapted from the City of Williams Lake & the City of Whitehorse
1.0 INTRODUCTION

This manual is intended as a guide to assist in the production and presentation of reports on which Municipal Council bases its decisions.

The purpose / desired outcome of these guidelines is to:

- Improve readability and consistency of reports;
- Provide Council with full information required for good decision-making; and,
- Ensure Council is presented with a full range of options for consideration and is aware of the impacts of their decisions.

**Guiding Principles:**

- The process of communicating facts and details about municipal business, in a formal manner from staff to elected officials, is key to effective governance and good decision-making.
- The author of every report will assume the responsibility for a submission from the point of its preparation to its conclusion.
- All reports should adhere to a consistent format, type sizes/fonts as described in these guidelines. They should also follow a consistent review and approval process.
- Reports should reflect standards of high quality and presentation to the public.
- Reports should be considered a key communication tool that provides Council and the public with all the necessary information related to the topic.
- All reports must contain recommendations and, when necessary, optional recommendations for Council.
- The responsibility for the process outlined in these guidelines is that of the author of the report.
2.0 KEY TIMELINES

Report Submission Cycle

STEP 1 – Manager downloads report template from Intranet and completes report according to guidelines.

STEP 2 – Manager posts completed report in in appropriate meeting workspace on the Intranet. CM automatically notified.

STEP 3 – CM reviews report. (Using “checkout” function on Intranet

NOT APPROVED
CM checks report back in with comments to Manager. Manager “checks out” report and makes changes by Thursday at 1:30. Revised reports submitted after the deadline for submission to the draft agenda (Thursday at 1:30) will not be

APPROVED
CM indicates approval electronically and okays for agenda.

Approved reports to draft agenda (1:30 p.m. Thurs.)

Draft agenda reviewed by:
• Mgr. Corp Svs (Thurs. p.m.)
• Mayor

1. Agenda packages printed for Council & City Manager. (Friday a.m.)
2. Full package scanned and posted to web site (for staff & public viewing) by 4 p.m.
# Agenda Preparation Deadlines

<table>
<thead>
<tr>
<th>WEEK 1</th>
<th>MONDAY</th>
<th>TUESDAY</th>
<th>WEDNESDAY</th>
<th>THURSDAY</th>
<th>FRIDAY</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>12:00 p.m. Deadline for report submission to CM</td>
<td>1:30 p.m. Approved reports on X drive printed for draft agenda</td>
<td>8:30 – 12:00 Amendments</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12:00 p.m. Agenda packages copied / electronic files scanned &amp; posted</td>
</tr>
<tr>
<td>WEEK 2</td>
<td>6:30 p.m. – 7:15 p.m. Council meeting starts (in-camera)</td>
<td>7:30 Regular Meeting 1st &amp; 3rd Mon</td>
<td>2:30 p.m. Draft agenda submitted to Mgr Corp Svcs / Chair for review</td>
<td>4:30 p.m. – Government Services meeting starts 2nd Mon</td>
<td></td>
</tr>
</tbody>
</table>

- Reports intended for inclusion with the scheduled Monday Council or Government Services agenda packages will be accepted by the City Manager up to, but no later than, NOON (12:00 p.m.) of the Wednesday prior to the scheduled meeting.
- Reports must be posted to the Intranet in the appropriate meeting workspace. The City Manager will receive automatic notification when a report has been posted.
- The City Manager will indicate support for a report electronically.
- Approved reports will be printed for drafting of the agenda package at 1:30 p.m. on the Thursday prior to the meeting.
- The draft agenda package will be reviewed by the Manager of Corporate Services (Thursday afternoon) and the City Manager / Chair (Friday mornings).
- Full agenda package will be finalized on Friday morning and printed / scanned (.pdf) & posted to the appropriate meeting files on the web site.
**Late Items**

Reports that do not meet the deadlines are considered late. It is recognized, however, that circumstances exist wherein reports may have to be submitted late for inclusion within the printed agenda package. The following principles shall apply with respect to consideration of late items:

- Staff or Council members wishing to submit a late item must submit a report or an “Agenda Item Submission Form” by 4:00 p.m. on regular meeting days or at least 3 hours prior to a special meeting.
- The City Manager and Mayor will review ALL applications for late items.
- Late items are normally NOT accepted and are moved to the following meeting of Council, or Government Services.
- Exceptions to late items being received will be at the discretion of the Mayor and City Manager.

**Electronic Meeting Files**

Reports must be posted to Intranet in the appropriate meeting workspace by 12:00 p.m. (noon) on the Wednesday prior to the scheduled meeting. The City Manager will be automatically notified when a report has been submitted.

**3.0 TYPES OF REPORTS**

There are two types of reports: Information and Action

**Information Reports**

Reports directed to Council for information do not contain any specific recommendations. The **RECOMMENDATION** heading of the report to Council would state: "That Council receive the (report subject) for information." The sole purpose of information reports is purely to inform Council of some fact, event or interpretation.

**Action Reports**

Action reports are used to implement programs or activities under existing legislation and budgets, under existing Council policy direction, or under established practice. Examples include tender reports, property purchase reports, or local improvement initiatives and petitions, and investment matters. Most important is that Action reports deal with policy making and approval of bylaws also.
Action reports to Council also include requests for Council to decide on a direction of Municipal regulation or the delivery of Municipal services. They generally involve a change in the established rules or pattern of doing things, or they introduce a new initiative. Action reports of this type may recommend a new area plan, changes to a zoning or building bylaw, or suggest a new or improved level of service.

When is a memo appropriate?

A memo is appropriate as a covering note for a bylaw or a brief report on an action item from Council – generally in cases where analysis is not required or as a formality (covering note) to a bylaw or other information that has been collected for Council.

These should be submitted the same as a staff report (for CM approval) and should follow same font style / size as reports but with fewer sections (i.e. no in-depth analysis).

4.0 REPORT FORMAT

All reports to Council will be of the same format. That is, there will be consistent headings and sub-headings. Furthermore, reports will conform to an established word processing format in order to provide Council with consistent readability. Report templates may be downloaded from the Intranet.

The accepted report format, in terms of headings and sub-headings, is as follows:

1. TITLE SECTION
   - Date of report
   - Date / type of meeting (i.e. Council or Gov Services, regular or in-camera)
   - From
   - Subject
   - File Number

2. COMMUNITY CHARTER REFERENCE (in camera only)
   - A list of conditions under which closed meetings may be held will be listed in the report template – delete all sections and sub-sections that do not apply.

3. RECOMMENDATION(S):
   *This section highlights the preferred recommendation. Other options appear in Section 6 – Analysis.*

   - All actions and decisions required of Council must be explicitly identified in the recommendation(s).
   - Each recommendation shall begin with the bold word: "That". The wording of the recommendation should include a strong action word such as:

     That Council approve ....
**That** Council direct staff to ....

- Recommendations should clearly set out a specific action - who is to act, which member of staff, or Mayor, or Member of Council, to whom is the issue addressed, or how the issue will be raised.
- Recommendations with more than one element should be split.
- Recommendations must stand on their own.
- Recommendations must not refer generally to the content of a report. Council should be able to select the elements they wish to support without having to re-write.

**4. SUMMARY OF KEY POINTS**

This section is intended to provide a concise summary of the salient points in a report that support the recommendation, allowing the reader to grasp the most important issues and draw conclusions. The summary would generally be written as one or two paragraphs and should never be more than a page in length.

**5. BACKGROUND / HISTORY**

This section of a Council report is to be used to describe past actions by Council and other relevant historical information necessary for Council to understand the basis of the discussion section. The author should identify the origin of the report, including specific Council directions, and relevant history of the issue, except for all Special Closed Meetings motions, unless moved by Council to public agenda.

Any correspondence which has been received or referred for a report will be referred to in this section and will include relevant dates and briefly describe any instructions received from the referral.

Previous motions of Council which relate to the current report are to be included in this section. The following wording will introduce a previous motion of Council which shall be quoted and indented so as to clearly enable the reader to pick it out:

"On (insert date) Council endorsed the following Resolution:

   THAT the Director of Development Services inquire with ...."

No reference will be made to identify the mover or seconder of any such motion

**6. ANALYSIS**

This section will form the majority of the Council report. It will provide the rationale to the Recommendation(s). The recommendations noted in the RECOMMENDATION section of the Council report are not to be repeated in the discussion section, nor are there to be any new recommendations made. A simple referral to the recommendations, in this section, is quite appropriate.
There might be a number of sub-headings in the discussion section which will assist the reader to more easily identify specific areas of subject importance. If there is nothing relevant under a specific heading, then it will not be necessary to include it in the discussion of the report.

Some of the possible sub-headings may include:

- Applicable Policies
- Legislation
- Legal Implications
- Intergovernmental Implications
- Interdepartmental Implications
- Community Implications
- Environmental Implications
- Financial Implications
- Cost and Resource Allocations
- Optional Recommendations/Alternatives

**IMPORTANT:**

_The Optional Recommendations/Alternatives_ are presented when a report warrants consideration for any possible alternatives and will indicate the pros and cons for Council consideration and assistance. If there are reasonable alternatives, especially with respect to complex and sensitive issues, they should be made clear and available to Council.

7. ATTACHMENTS

Reports may have appendices to supply supplementary information or detail a recommendation or background information only. These will be included with Council reports as attachments. All information of direct and substantive relevance to the report recommendations is to be contained in the body of the report, not in the attachments.

All attachments are to be properly referred to in the body of the report. They will be denoted using an alphabetical symbol, e.g. **ATTACHMENT A, ATTACHMENT R**, etc.

Attachments should be neat and presentable. If possible they should not include handwritten or rough notes. They should be ‘camera ready’ for copying and any larger sized documents / maps should be flagged. However, sometimes attachments come from external sources on which staff have no control.

Attachments are to be listed in this section for easy reference. For example:

- ATTACHMENT A Location Plan
- ATTACHMENT B Detailed Proposal from Developer
- ATTACHMENT C Letter from resident
8. CITY MANAGER CONCURRENCE BLOCK

Once the City Manager has reviewed and approved the report for inclusion on the appropriate agenda, she shall type her initials in an approval block at the bottom of the report. This signifies approval for inclusion on the draft agenda.

Report Checklist

- Keep it short. Be specific and concise.
- Avoid technical jargon and clichés.
- Use plain and gender neutral language.
- Arrange your thoughts and information in a logical order.
- Avoid bias. Write to inform, not to sell. Disclose all relevant information, whether it fits your recommendations or not.
- Disclose all costs and impacts, including those which are indirect and incidental. Always total costs.
- When citing policy, cite all relevant policy. Do not pick and choose.
- If there are meaningful alternatives, identify them and compare them objectively to your recommended solution.
- Provide a complete and understandable analysis, but avoid excessive detail. Keep the report as brief as possible.
- Anticipate questions. If the question is significant and the answer is not obvious in your report, rewrite it.
- Recommendations must be based on staff's best objective judgement, even if this conflicts with the expected position of Council - unless Council has already made a clear decision on the subject. Where there is a clear Council direction, staff reports should respect this.
- Address timing, phrasing, and implementation explicitly, and identify if a report is part of an on-going program.
- Make sure the fundamental purpose or objective of the report is crystal clear. All readers should be able to easily determine why the report has been written and what it is trying to achieve.
- Whenever a particular site is referred to, a general location map is to be included.
➢ Write to communicate, not to impress. Use common words and short, simple sentences.

➢ Use acronyms and initials only if defined at their first use in the report.

➢ Always use short paragraphs and point form, where appropriate. Write so that your report can be scanned for important points.

➢ Edit out all unnecessary modifiers. Make sure all adjectives and adverbs contribute to meaning and understanding.

➢ Avoid using contractions, such as "don't", "can't", "won't", etc.

➢ Always carefully proof-read for spelling, punctuation, and grammar before submitting a report. REMEMBER, THE AUTHOR OF THE REPORT IS RESPONSIBLE FOR ITS QUALITY AND ACCURACY.

5.0 REPORT TEMPLATES

Available for download on the Intranet in the applicable meeting workspace.
City of Port Coquitlam

*Guidelines for the Preparation of Reports to Council and In-Camera Reports*

**INTRODUCTION**

Reports serve as the communication and decision making tools used by Council. Clear, concise reports that follow an expected format help to avoid misunderstandings.

**RECOMMENDATIONS**

Recommendations should say exactly what action is to take place. Do not combine actions in one paragraph.

**Rule of Thumb**

If you remove the recommendation from the report the reader should clearly understand what is to happen, where it is to happen, the costs (if applicable), and ‘subjects’ (if applicable).

i.e. “That Council approve the installation of a traffic signal at Coast Meridian Road and Laurier Avenue at an estimated cost of . . .” *not* “That Council approve the attached report”.

**REPORT DUE DATES**

Council reports are to be delivered to the Secretarial Assistant to the City Clerk *no later than 12:00 pm* on the Tuesday prior to the Council Meeting.

Late Reports are generally *not* accepted.
TIPS FOR A BETTER REPORT

The manner in which a report is prepared can influence the reception it will receive from Council. The following tips are provided as assistance in developing a good report. The suggestions are divided into content and style categories.

Content

- Try to avoid bias. The report should be written to inform, not to sell. Make sure that you disclose all of the relevant information, whether it supports your recommendation, or not.

- Always disclose the full history. If, for example, estimates for a project have changed, provide the original estimates and explain the differences. Always disclose prior Council instructions.

- Disclose all costs and impacts.

- Cite all relevant policies when referencing Council policy. Do not pick and choose only those policies that support your position.

- If there are meaningful options, identify and compare these objectively to your recommended solution.

- Provide a brief but complete analysis. Avoid excessive detail.

- Recommendations should be based on the best judgment of staff, even if at odds with the expected position of Council; however, the exception being if Council has already made a clear decision regarding this subject, staff reports should then respect Council’s direction.

- Always ensure that timing, phasing, and implementation is clearly addressed. Do not just write about end states, make sure the process of getting there is addressed.

- Always ensure that the fundamental purpose of objective is clearly written. The reader should be able to easily determine why the report has been written, and what it is trying to achieve.

Style

♦ Reports should be written to communicate, not to impress. Use common wordage in short, simple, sentences.

♦ Try to avoid the use of technical jargon. If it must be used, take the time to define it.

♦ Define acronyms and/or initials when they are first used in the report.
♦ Write the report so it can easily be scanned for important points by using short paragraphs, and if appropriate, point form.

♦ Use only adjectives and adverbs that are essential contributions to the meaning and understandability of the report.

♦ Write factually and dispassionately. Avoid the use of inflammatory or political verbiage. Do not write headlines for the media.

♦ Use good, simple graphics to assist in communicating the objectives of the report. (One picture is worth a thousand words).

♦ Always proofread for spelling, punctuation, typos, and grammatical errors.

♦ Write reports in the “third person” (i.e. avoid using I, we, etc.).

REPORT CHECKLIST

⇒ Is the report as brief as possible? Are all questions that are raised in the report answered?

⇒ Does the report adequately justify the recommendation?

⇒ Can the recommendation stand alone? i.e. “That Council approve the installation of a traffic signal at Coast Meridian Road and Laurier Avenue at an estimated cost of . . .” not “That Council approve the attached report”.

⇒ Have financial, budgetary, or policy considerations been addressed?

⇒ Have you proofread the entire package for punctuation, spelling, grammatical, or typographical errors?

⇒ Have you consulted, or given other departments the opportunity to endorse the report, if applicable?

⇒ If the report is a result of an inquiry from a citizen, community organization, or other group, have you included a recommendation that they be provided with a copy of the report?

⇒ If you have worked with an outside group, have you mentioned them in the report?

⇒ Are drawings, maps, and pictures that are included in the report legible enough to be photocopied effectively? Are roads, streets, etc. clearly marked to enable readers to locate the specific areas outlined in your report?

⇒ Have you left an inch at the bottom of each and every page, including drawings, maps, and attachments, to enable page numbering?
# Mandatory and Optional Report to Council Components

<table>
<thead>
<tr>
<th>HEADINGS</th>
<th>MANDATORY</th>
<th>OPTIONAL</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>RECOMMENDATION</strong></td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Actions/decisions required of Council to be explicitly identified in this section.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>PURPOSE</strong></td>
<td></td>
<td>*</td>
</tr>
<tr>
<td>To identify the subject or issue. The recommendation usually illustrates the purpose.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>BACKGROUND &amp; COMMENTS</strong></td>
<td>*</td>
<td></td>
</tr>
<tr>
<td>Section to briefly &amp; clearly present pertinent information, analysis of issues, consultation, &amp; identification of origins of material.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>BUDGET CONSIDERATIONS</strong></td>
<td></td>
<td>*</td>
</tr>
<tr>
<td>Use if recommendation creates a budgetary impact</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>POLICY CONSIDERATIONS</strong></td>
<td></td>
<td>*</td>
</tr>
<tr>
<td>Use to support recommendation, or if recommendation is at a variance with City Policy or normal practices.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ALTERNATIVES</strong></td>
<td></td>
<td>*</td>
</tr>
<tr>
<td>Use to identify other options available, listing advantages as well as disadvantages for comparative value.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ENVIRONMENTAL or SOCIAL IMPACT</strong></td>
<td></td>
<td>*</td>
</tr>
<tr>
<td>Used if recommendation invokes environmental or social implications.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>SUMMARY</strong></td>
<td></td>
<td>*</td>
</tr>
<tr>
<td>To provide a brief statement to summarize the principle conclusions or issues. Not to be used to repeat the recommendations.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(Maximize your space by setting “page setup” for “0.2” top, 1” bottom, and 1” margins)
The Corporation of the
City of Port Coquitlam

REPORT TO COUNCIL or IN-CAMERA REPORT

DATE: Month xx, 1998

TO: T.M. Chong, P. Eng.
City Administrator

FROM: S. Rauh, CMC
City Clerk

SUBJECT: BOLDED & CAPPED (if new subject or RE: “referring” to ongoing subject)
(XX Committee Meeting of month xx, 1998)

RECOMMENDATION:

Mandatory. Actions/decisions required of Council to be explicitly identified in this section. Each recommendation should begin with the word “That”, as follows:

That xxxxxx; and

That xxxxxx; and further

That xxxxxx.

BACKGROUND & COMMENTS:

Mandatory. Section to briefly & clearly present pertinent information, analysis of issues, consultation, & identification of origins of material.

Treasurer’s Comments: (if required)
There is sufficient funding in the abovenoted reserve for this purpose.
Susan Rauh, CMC
City Clerk

J.G.S. Maitland
City Treasurer/Deputy Administrator

Please Note: All Reports to Council, or In-Camera Reports are to be in Times Roman 12, justified, and in full block style.

Make use of an “automatic document filepath macro”, (see below) to enable all staff to find and file your reports.

SR:gc
Z:\Logov_dept_common\LGD_Shared\Policy_Skills\MATcourse_2012\Policy_Skills_Workshop_complete_manual_Revised_June_2011.doc
Capital Regional District

REPORT TO ENVIRONMENT COMMITTEE
MEETING OF WEDNESDAY, 24 JANUARY 2007

SUBJECT  MUNICIPAL RURAL INFRASTRUCTURE FUNDING APPLICATION FOR CAPITAL REGIONAL DISTRICT HEADQUARTERS BUILDING GREEN ROOF/LIVING WALL PROJECT

PURPOSE

To obtain Capital Regional District (CRD) Board approval for a funding application to the Canada/British Columbia Municipal Rural Infrastructure Fund (MRIF) for a project to install a demonstration green roof/living wall at the CRD headquarters building.

BACKGROUND

The upcoming MRIF program presents an opportunity to make an application for funding to install a green roof/living wall demonstration project at the CRD headquarters building. Green roofs/living walls are environmental building features that create a sustainable building. They improve energy efficiency and reduce energy costs, retain rainwater and reduce runoff, regulate temperature in and around buildings and increase the life span of a roof (further details are provided in Appendix A).

A green roof/living wall at the CRD headquarters building would provide an important and much needed demonstration site for these technologies in the Capital Region and would help establish the CRD as a leader in sustainability. Staff are aware of only one other green roof in the region at the University of Victoria. An additional benefit of the installation of a green roof/living wall is that this would contribute to the points needed to achieve additional Leadership in Energy and Environmental Design (LEED) credits for the headquarters building. A preliminary concept and costing for the green roof/living wall project has been completed. The total cost estimate is $150,000. If the MRIF application is successful, detailed project planning will be completed and submitted to the Environment committee for its review.

ALTERNATIVES

1. That an application to MRIF for $150,000 for the green roof/living wall project be submitted and that the one-third CRD costs be funded from the capital reserve fund for the headquarters building (present balance $350,000).

2. That an application to MRIF for $150,000 for the green roof/living wall project be submitted and that the one-third CRD costs be included in the 2008 or 2008/09 budgets.

3. That an application not be submitted to MRIF for the CRD green roof/living wall project.
FINANCIAL IMPLICATIONS

1. The cost estimate for the green roof/living wall projects is $150,000. If the MRIF funding application is successful, the CRD would be responsible for one-third of the project cost ($50,000). These costs could be funded from the capital reserve fund for the CRD headquarters building.

2. Alternatively, these costs could be included in the 2008 budget or split between the 2008 and 2009 budgets. Staff will also investigate other funding sources for the CRD portion of the costs.

Operating costs (estimated at $1,000 per year) for the first two years will be included in the funding application (these costs are included in the $150,000). The first two years of operating costs will cover initial plant care, which is more intensive as plants are becoming established. Maintenance costs following plant establishment will be minimal. Typically, green roof/living walls require very little weeding and watering.

SUMMARY/CONCLUSIONS

An opportunity exists to apply for funding from the MRIF project to install a green roof/living wall system on the CRD headquarters building. This would provide an important and much needed demonstration site for these technologies in the Capital Region, contribute points needed to achieve additional LEED credits and help to establish the CRD as a leader in environmental sustainability. The visibility of these systems from Centennial Square, Victoria City Hall and from seaplanes flying overhead would serve as an outreach tool to educate the public about the benefits of green roofs and living walls, sustainable building design, innovative technologies and the need to mimic the water cycle as much as possible in an urban environment.

RECOMMENDATION

That the Environment committee:

1. direct staff to submit an application to the Municipal Rural Infrastructure Fund for $150,000 for the proposed green roof/living wall project; and
2. recommend to the Board that it:
   a. endorse the application; and
   b. fund the one-third CRD cost from the capital reserve fund for the headquarters building.

____________________________________  ______________________________________
Laura A. Taylor, M.Sc.                  Dwayne Kalynchuk, P.Eng
Senior Manager, Scientific Programs     General Manager, Environmental Services

Concurrence

____________________________________
DETAILS ON GREEN ROOFS/LIVING ROOFS

A green roof, also called an eco-roof or living-roof, is an extension of an existing roof, covered with vegetation. A living wall is a vertical garden where plants are rooted in compartments between two sheets of fibrous material anchored to a wall. Ideally, green roofs and living walls are low maintenance and their self-sustaining plants and soil do not require irrigation, fertilizers or pesticides.

No green roof systems are identical but they all include:
- a synthetic, high quality, waterproof membrane
- drainage layer
- soil layer
- light-weight, medium plants

There are two major types of green roofs:

1. Extensive: minimal or no-required maintenance with restricted variety of plants, resistant to frost, wind and drought; located on almost any flat or low slope roof deck that maximizes water retention
2. Intensive: regular maintenance required (irrigation, fertilizing, pruning, mowing); greater variety of plants; deeper, heavier and richer soil.

In a nutshell, they differ from each other by weight, types of plants, accessibility, costs, maintenance and water requirements.

BENEFITS OF GREEN ROOFS/LIVING WALLS

Green roof/living walls provide not only a return on their initial costs but also result in a number of economic and environmental benefits.

**Economic Benefits**

In spite of higher initial costs, green roof/living roofs provide a payback over the lifetime of a building through:
- a longer material lifespan: the green roof can be expected to last two to three times longer than conventional roofs, which leads to lower maintenance and replacement costs
- savings on heating and cooling: due to a reduced peak energy demand
- potential reduced stormwater/wastewater charges from the municipality
- potential grants
- potential greenhouse gas emissions trading credits, stemming from energy savings

**Environmental Benefits**

**Air**
- carbon dioxide/oxygen exchange: 1.5 m² (16.15 ft²) of uncut grass, produces enough oxygen per year to supply one human with their yearly oxygen intake requirement
- cleaner air: 1 m² (10.76 ft²) of a grass roof can remove between 0.2 kg of airborne particulates from the air every year
Appendix A
Details on Green Roofs/Living Roofs
Page 2

- reduction of the ambient air temperature: prevention of the heat-island effect as green roofs do not absorb as much heat as conventional roofs

Water
- cleaner stormwater: removal of approximately 95% of the cadmium, copper and lead
- stormwater management: reduction of the stormwater volume and a slower water flow
- green roofs absorb between 50% and 95% of the rainfall on the site
- waterproofing capacity
- soil erosion reduction: through mitigation of stormwater volume

Building
- increased lifespan of a roof: two to three times
- reduction of the building’s footprint
- improved views for neighboring building occupants, as they look at a greenscape instead of black tar or mechanical equipment

LEED Credits Related to Green Roofs/living Walls
Depending on design and their integration with other building systems, green roofs/living walls can contribute to up to 15 credits under the LEED certification system and can, therefore, strongly improve the LEED rating of a given building.

Green roofs/living walls can lead to direct LEED credits in the following areas:
- reduced site disturbance: protect or restore open space
- landscape design that reduces urban heat islands
- stormwater management
- water-efficient landscaping
- innovative wastewater technologies
- innovation in design
Executive Summary

The Executive Summary (ES) must make sense to the reader who is likely not an expert in the field you are writing about. It should be clear, concise and written in plain language. Remember that your report may also be one of 15-20 reports on the agenda.

The ES is a summary of the entire report that should only mention the most important points, issues, conclusions and/or recommendations, and should be written last. Specific references to data, tables, schematics, etc. appear in the body of the report and should be avoided in this section. General references to specific sections of the report that contain, for example data, should be used instead.

E.g. The Analysis demonstrates that...

The ES should be composed of three to four, 2-3 sentence paragraphs that capture the main elements of the report, and should not contain information that is not in the body of the report:

> Paragraph 1 - Purpose of the report.
> Paragraph 2 - Background and history of the issue, and recent developments.
> Paragraph 3 - Clear description of the key issues being addressed in the report.
> Paragraph 4 - The analysis and conclusions that lead to the recommendation.

Often paragraphs 2 & 3 or 3 & 4 can be merged into one paragraph.

Recommendation

This section clearly states the recommended course of action that flows from the report's analysis and conclusions. Alternatively, it may also recommend some interim action required to complete the analysis of the issue (E.g. Public consultation).

Respectfully submitted

Report author
Title

Author's
Director
Title

Other Affected
Director
Title
4.a. Options

What are the viable courses of action that you might recommend?

In addressing complex issues it is always good practice to outline all viable options that will address the issue(s). This practice of outlining all viable options is necessary since decision makers will bring other perspectives to the table when they consider any given issue. Be sure to identify each option's level of congruency with the City's Corporate Strategic Plan, policies and bylaws.

Viable options that warrant Council's consideration should also be explicitly compared in terms of their respective "pros and cons". If the "triple bottom-line" approach is used in your analysis then each option should be compared relative to their respective social, economic and environmental impacts.

4.b. Resource Impacts

Clearly outline the impact on City's resources flowing from the options. Try to quantify these impacts in terms of dollars. If this is not practical try to ensure you use the same impact measure(s) to compare each option. In some cases it may be appropriate to assess the resource impacts in terms of staffing assignments or departmental priorities.

4.c. Conclusions

What conclusions can you draw from your analysis of the issues?

Generally speaking, this section allows you to rationalize a particular course of action that is your recommended option. This section allows you to take the findings or results of your analysis and apply them to the specific context of the City's issue.

Your analysis may suggest that there are several options available to address the issue. However, on balance there are specific factors that lead you to favour one option over the others. This section allows you to explain why you are choosing to recommend a particular course of action. For example, your recommended option may be the one that has the most positive environmental and social impacts, a neutral economic impact, is the least expensive and is identified as a priority in the Corporate Strategic Plan.

5. Recommendations

Based on the foregoing report, what is the recommended course of action of the author(s)?

State your recommendation in a clear and forthright manner. If Council does not agree they may choose one of the other options provided to them or request additional work to be done.

In many cases, a staff report and recommendation is one of many inputs Council receives regarding a matter before them. You should be fair and objective in presenting your recommendation, and be prepared to answer questions that may arise on account of differing community perspectives on the issue. Your obligation is to provide Council with sound advice based upon the technical expertise, analytical methodology and or community consultation used in developing your report and recommendations.
Executive Summary:
Liquor-licensed businesses provide significant social, entertainment and employment opportunities for the community, most of which are focused in downtown Victoria. Patron consumption of alcohol and business hours of operation often create conflicts with residential land uses. These unique factors dictate that these businesses require extraordinary regulation through the Liquor Control & Licensing Branch, City police and bylaw officers.

Victoria City Police advise that many liquor-primary businesses are engaging in the irresponsible business practice of selling alcoholic beverages at a price below cost. Such "cheap drink nights" provide strong incentives for patrons to over-consume alcohol at the licensed establishment, which results in a host of policing issues when the bars close for the night. It is recommended that Council consider establishing a minimum retail drink price through the Business Licence Bylaw to regulate the price of alcoholic beverages sold in restaurants and bars.

The cost of regulating liquor-licensed businesses greatly exceeds the revenue collected through business licensing fees. There is a greater need for more effective regulation through a targeted monitoring & enforcement program undertaken jointly by City Bylaw Officers and Victoria City Police. Increases to business licence fees for liquor-licensed businesses are recommended to fund the proposed monitoring & enforcement program.

Recommendations:
1. That Council endorses the proposed business licence monitoring and enforcement program outlined in this report subject to the provision of funding in the 2005 Budget.
2. That Council instructs the City Solicitor to amend the Business Licence Bylaw to add provisions that:
   a. Establish a $2.50 per serving minimum retail drink price for alcoholic beverages sold in food primary and liquor-primary businesses licensed by the City of Victoria; and
   b. Increase the business licence fees for food-primary and liquor-primary businesses licensed by the City of Victoria in accordance with the fee schedule set out in Schedules A & B of this report.
3. That Council gives Notice to businesses affected by the proposed bylaw amendments and invites their input at a public hearing to be held prior to Council's final consideration of the bylaw amendments.

Respectfully submitted,

Robert G. Woodland
Corporate Administrator
Background

Downtown community stakeholders continue to express concerns about persistent nuisances (E.g. noise) from liquor-primary businesses, and noisy, nuisance (E.g. littering, public urination) and/or criminal behaviour (E.g. vandalism, assault) by patrons of liquor-primary businesses. Victoria City Police note there is an obvious connection between public drunkenness and such nuisance or criminal behaviour adjacent to liquor-primary businesses, especially after closing hour at 02:30h.

Council is concerned that nuisances arising from liquor-primary businesses, and nuisance and/or criminal behaviour by late night bar patrons are detrimental to the well being of downtown. Of primary concern is how these activities impact other downtown businesses and properties, and how they conflict with the City's efforts to increase the downtown residential population.

The City began regulating cabarets through Good Neighbour Agreements (GNA) in 2003 and then expanded this regulation to include all liquor-primary businesses in 2004. The GNA sets the terms and conditions by which liquor-primary businesses must abide in order to hold a City of Victoria business licence. The GNA regulates the conduct of the liquor-primary business and not the conduct of patrons.

The City adopted Noise Bylaw No. 03-12 in March 2004, which establishes a decibel rated enforcement scheme for nuisance noise. The Noise Bylaw is effective at dealing with persistent and ongoing noise nuisances, but is less effective against intermittent noise nuisances arising from people on the street. These latter types of nuisance are most frequently associated with bar patrons on downtown streets past midnight.

Issues

This report identifies two key issues that the City should address in an effort to reduce conflicts between liquor-primary businesses, their patrons and the community:

1. Patron over-service in liquor-licensed establishments that results from deeply discounted prices for alcoholic beverages; and
2. Licensee compliance with the Liquor Control & Licensing Act, the Business Licence Bylaw and other City regulatory bylaws.

Intoxication of bar patrons is especially pronounced whenever liquor-primary businesses deeply discount the price of alcoholic beverages to attract patrons. Police note that there is a strong correlation between the over-consumption of alcoholic beverages and the incidence of nuisance and criminal behaviour downtown after midnight.
Liquor Control & Licensing Branch (LCLB) regulations require liquor-licensed businesses to offer the same drink price for the entire business day regardless of the price. If a bar patron has a fixed budget for entertainment then they will be able to purchase more alcoholic beverages at $1 per drink than at $5 per drink. This is an example of a discounted drink price that is not uncommon in some liquor-primary businesses.

Police advise that they are increasingly tied up with street level enforcement issues in the late evening and early morning hours. Most of the downtown street issues during these hours are associated with patrons of liquor-licensed businesses. In light of these demands for service, police resources are becoming less available for routine monitoring and enforcement of liquor-licensed businesses.

Liquor-primary establishments with higher patron capacities are more difficult to police. These establishments have a higher likelihood to present LCLB enforcement issues regarding patron over-capacity, presence of minors and over-service. These establishments also create larger clusters of problem street behaviours when their patrons are discharged onto the streets at closing time.

The combination of large capacity liquor-primary businesses and deeply discounted drink prices often create volatile street conflicts after 02:30h. These conflicts are often worst near late night takeout eateries that attract crowds of people who linger on the sidewalks and streets. As the crowd size grows conflicts with vehicular traffic arise. Interactions between intoxicated patrons in the crowd and/or passersby, vehicles or residential neighbours sometimes lead to criminal incidents.

**Analysis**

Better regulation of liquor-primary businesses through direct monitoring and enforcement by City police and bylaw officers is seen as an effective means to indirectly manage patron behaviour issues that arise in the early morning hours. Two approaches are recommended:

1. Regulate liquor-licensed businesses by setting a minimum price for the retail sale of alcoholic beverages to reduce incentives for patrons to over-consume alcoholic beverages on premises.
2. Increase City resources directed at the enforcement of LCLB and City bylaw regulations governing liquor-licensed businesses.

**Minimum Price**

Council could establish a new business licence term and condition that sets a minimum retail price for standard servings of alcoholic beverages in all liquor-licensed businesses.

This regulation is supportable on the, grounds that there are few community benefits associated with businesses selling alcoholic beverages at or below their actual cost:

- Businesses are harmed as price-cutting reduces net revenues for all businesses in the market;
- Individuals are harmed as price-cutting provides a strong incentive for patrons to consume too much alcohol, which is detrimental to, their health and safety;
- The community is harmed by the negative externalities associated with public drunkenness such as vandalism, assault, impaired driving, injury, etc.

A reasonable minimum drink price should benefit businesses by ensuring that there are financial penalties to offset any business incentive to sell cheap drinks. This regulation will ensure that all businesses have the potential to earn net revenues from their alcoholic beverage sales and reduce the incentive for patron over-consumption.
Monitoring & Enforcement

A business licence is required for the lawful conduct of a liquor-licensed business in the City of Victoria. A licensee who operates in violation of LCLB regulations and/or municipal bylaws is subject to enforcement action. Currently, there is no targeted bylaw officer enforcement of the Good Neighbour Agreement for liquor-primary businesses. Police monitoring and enforcement activities for liquor-licensed businesses are *ad hoc*, and are primarily focused on LCLB regulations.

The experience in Vancouver and New Westminster suggests these cities pursue specific enforcement strategies for their municipal bylaws and/or (LCLB) regulations. These enforcement efforts are tied into Council’s authority to suspend or revoke a business licence to directly deal with problem licensees. The suspension or revocation of the business licence is a last resort, which effectively closes the licensed establishment.

In order to improve City monitoring and enforcement efforts for liquor-licensed businesses additional resources are required. Funding for targeted monitoring and enforcement initiatives by City police and bylaw officers should be raised through increased business licenses fees paid by liquor-licensed businesses. This approach is consistent with the principle that businesses pay for the costs of regulation by the City.

Victoria City Police calculated the costs for the monitoring and enforcement of downtown liquor-primary businesses and the policing costs directly related to downtown liquor offences at $280,000 per year. Current business licence fees collected from downtown liquor-primary businesses are $41,272 out of a total of $66,000 revenue collected from all liquor-primary businesses (2004). There is a strong case for higher business licence fees for liquor-primary businesses to offset the City’s costs for regulating these businesses.

Victoria City Police advise that demand for policing and LCLB enforcement activities are directly associated with the size of the liquor-primary establishment and its hours of operation. Police advise that the lowest demands for service are associated with small hotel bars (< 100 patron capacity) and that the highest demands for service are associated with larger, stand-alone bars (> 225 patron capacity) open until 02:30h. Call demands for neighbourhood pubs vary based upon their size and the character of the immediate neighbourhood.

From these observations it is reasonable to conclude that additional monitoring and enforcement activities should be proportionate to the impact that the liquor-licensed business has on the community. The liquor-licensed business’ patron capacity, hours of operation and location are the most relevant variables that predict demand for LCLB/bylaw monitoring & enforcement and associated policing.

The majority of liquor-primary businesses open past 01:00h with patron capacities greater than 225 are located in the downtown area. While these businesses play an important role in creating a vibrant downtown entertainment district, the high density of these businesses downtown create negative externalities directly through noise and indirectly through noisy, nuisance and/or criminal behaviour of their patrons. As the number of transient accommodation and residential units downtown increases so will demands for more effective regulation of liquor-licensed businesses and their patrons.

The inevitable result is an increasing demand for the intervention by police and bylaw enforcement resources.

The variables and relationships noted above lead to a proposed scheme for increased LCLB/Bylaw monitoring & enforcement that is proportionate to the impact that the liquor-primary business has on
the community. Increased business licence fees proportionate to the liquor-primary business' impact on the community will fund the proposed monitoring & enforcement scheme. Community impact is estimated in terms of:

- The location of the liquor-primary business (downtown or outside downtown).
- The size of the liquor-primary establishment.
- The liquor-licence classification (liquor-primary, liquor-primary club, food-primary).

In preparing this report it was discovered that the liquor-primary club licensees have not been required to obtain a City (liquor-primary) business licence. The majority of these establishments are not-for-profit organizations that cater to members and their guests. However, these establishments should not be exempted from City regulations and business licence fees since the City incurs costs for their regulation. In recognition of the specific licensing conditions for the "liquor-primary club" licence, the organizations' not-for-profit status and the lower estimated community impact a fixed fee schedule is proposed.

**Conclusions**

**Minimum Retail Price**

Minimum retail prices for alcoholic beverages sold in liquor-licensed establishment are recommended for the following standard *servings*:

<table>
<thead>
<tr>
<th>Beverage</th>
<th>Serving Size</th>
<th>Serving Size (Unit)</th>
<th>Price per Serving</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spirits</td>
<td>30ml</td>
<td>(1 ounce)</td>
<td>$2.50 per serving</td>
</tr>
<tr>
<td>Wine</td>
<td>150ml</td>
<td>(6 ounce)</td>
<td>$2.50 per serving</td>
</tr>
<tr>
<td>Bottled Beer</td>
<td>350ml</td>
<td>(12 ounce)</td>
<td>$2.50 per serving</td>
</tr>
<tr>
<td>Draft Beer/Cider</td>
<td>350ml</td>
<td>(12 ounce)</td>
<td>$2.50 per serving</td>
</tr>
<tr>
<td>Bottled Ciders/Co</td>
<td>350ml</td>
<td>(12 ounce)</td>
<td>$2.50 per serving</td>
</tr>
</tbody>
</table>

Spirits may be classified as those beverages that are greater than 17% alcohol by volume. Beer, cider and coolers (bottled refreshment *beverages*) may be classified as those *beverages* with an alcohol content by *volume* of at least 1.5%.

**Licensee Regulation**

To *effectively* enforce the Good Neighbour Agreement for liquor-primary establishments, other terms and conditions of the *Business Licence Bylaw* and other bylaws regulating the conduct of liquor-licensed businesses (E.g. *Noise Bylaw*) Council should consider additional bylaw officer resources.

It is recommended that an equivalent to 0.5 *FTE* Bylaw Officer position be created to specifically monitor and enforce City regulations for liquor-licensed establishments. This position should be primarily oriented to evening and weekend hours to correspond with the times for most effective monitoring and enforcement. The annual cost for this Bylaw Officer resource is approximately $33,500 including benefits.

The proposed Bylaw Officer position should be augmented with an additional $10,000 in business licence revenue, which would be expended on additional police resources required to complement the Bylaw Officer's enforcement activities. Coordinated enforcement efforts between the Bylaw Officer and the Police is necessary for two reasons:

> The Bylaw Officer is not authorized to issue contravention notices under the Liquor Control & Licensing Act.
The Bylaw Officer's authority will be enhanced by the presence of a police officer.

It is recommended that Victoria City Police consider designating a number of police members who would be available to assist the Bylaw Officer in this targeted enforcement scheme. Overtime costs or extra salary costs for the provision of police personnel to assist the Bylaw Officer will be paid from the additional business licence fee revenues.

Table 1 below provides a summary of the recommended increases to business licence fees needed to fund a targeted monitoring and enforcement program.

<table>
<thead>
<tr>
<th>Business Class</th>
<th>Person Capacity</th>
<th>Total Revenue</th>
<th>Marginal Revenue</th>
</tr>
</thead>
<tbody>
<tr>
<td>Downtown Liquor Primary</td>
<td>7,707</td>
<td>$72,756</td>
<td>$31,484</td>
</tr>
<tr>
<td>--&gt; $300 fixed fee + $8 variable fee</td>
<td>52%</td>
<td>66%</td>
<td>73%</td>
</tr>
<tr>
<td>Outside Downtown Liquor-Primary</td>
<td>3,469</td>
<td>$28,614</td>
<td>$4,408</td>
</tr>
<tr>
<td>--&gt; $300 fixed fee + $6 variable fee</td>
<td>24%</td>
<td>26%</td>
<td>10%</td>
</tr>
<tr>
<td>Liquor-Primary Club &amp; Cultural Facilities</td>
<td>3,572</td>
<td>$9,300</td>
<td>$7,970</td>
</tr>
<tr>
<td>--&gt; Fixed Fee Schedule</td>
<td>24%</td>
<td>8%</td>
<td>19%</td>
</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td>14,749</td>
<td><strong>$110,671</strong></td>
<td><strong>$43,863</strong></td>
</tr>
</tbody>
</table>

The proposed fees for liquor-primary licensees are structured into two rate categories by geographic area:

>- Downtown Zone - as proposed on the map appended as Schedule B.

>- Outside Downtown - all areas outside the Downtown Zone.

Downtown Zone fees are composed of a $300 fixed fee and an $8.00 variable fee.
Outside Downtown fees are composed of a $300 fixed fee and a $6.00 variable fee. The total variable fee payable is the product of the variable fee rate multiplied by the person capacity of the liquor-primary business. A detailed breakdown of the specific impact on liquor-primary businesses arising from Table 1 is shown in the shaded areas of the attached Schedule A.

Fees for downtown liquor-primary licensees are higher because the City currently focuses most of its police resources on these establishments due to the high concentration of these establishments over a small geographic area. Similarly, it is predicted that proportionately more of the proposed Bylaw Officer's monitoring and enforcement efforts will be focused on the downtown licensees.

For comparison purposes only, the $8.00 and $6.00 variable fees are contrasted with a $35.00 variable fee, which is the fee that would fully recover the City's current costs for police monitoring and enforcement of downtown liquor-licensed businesses only.
Although not shown in Schedule A, it should be noted that downtown food-primary businesses that have a "food optional" licensed lounge would also pay the $8.00 variable fee for each "seat" in their lounge. This would result in a maximum business licence fee increase of $80.00 per year for a downtown food-primary business with a lounge.

**Options**

**Minimum Retail Price**

If Council wishes to impose a minimum retail price for alcoholic beverages then there are many options as to what that minimum price should be. The proposed minimum price in this report is suggested as being reasonable. Council should seek public input from affected licensees before reaching a decision as to what the minimum price should be.

The fundamental principle to keep in mind is that the pricing schedule should be based on price per volume, so that enforcement officials can adapt the unit standard to different volumes of drinks. For example, wine is typically sold by the glass (150ml), small carafe (500ml), bottle (750ml) and carafe (1000ml). Adopting the unit price standard as the glass (150ml) makes it easier to calculate multiples for the other serving sizes for enforcement purposes. Council should also keep in mind how the base unit price affects larger volume servings.

**Licensee Regulation**

The costs for the proposed targeted enforcement scheme drive the recommendations for the proposed business licence fees. If Council wishes to modify the proposed enforcement scheme by allocating more resources then the business licence fees should be increased to cover the additional resource costs.

The City currently recovers less than 25% of the costs attributed to police monitoring and enforcement of downtown liquor-licensed businesses. Reducing the scope of the proposed enforcement scheme does not alter the relatively low recovery of regulatory costs.

While it is not recommended, options for lower business licence fees for liquor-licensed businesses may also be considered by lowering the variable capacity fee. However, consequential reductions in business licence revenue available to fund the proposed monitoring & enforcement scheme may preclude the implementation of the proposed scheme.

**Recommendations**

1. That Council endorses the proposed business licence monitoring and enforcement program outlined in this report subject to the provision of funding in the 2005 Budget.

2. That Council instructs the City Solicitor to amend the *Business Licence Bylaw* to add provisions that:

   a) Establish a $2.50 per serving minimum retail drink price for alcoholic beverages sold in food-primary and liquor-primary businesses licensed by the City of Victoria; and
   
   b) Increase the business licence fees for food-primary and liquor-primary businesses licensed by the City of Victoria in accordance with the fee schedule set out in Schedules A & B of this report.
3. That Council gives Notice to businesses affected by the proposed bylaw amendments and invites their input at a public hearing to be held prior to Council's final consideration of the bylaw amendments.