City of Hallandale Beach

ADMINISTRATIVE POLICY MANAGEMENT

Analysis of Current Processes and Opportunities for Improvement

A Roger's Raiders Project

OCTOBER 2018

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EXECUTIVE SUMMARY

The Roger's Raiders Leadership Development Program provides an opportunity for candidates to participate in special projects, strategic learning events, and informal mentoring. Projects are assigned as individual or group projects. As part of the Roger's Raiders Program, the scope of this individual project was to review and analyze the City's administrative policy management process. The analysis would provide a snapshot of current practices and identification of immediate and future opportunities to improve the process for creating, approving, disseminating, updating, voiding, and storing policies.

This report contains a summary of opportunities and next steps in making the Administrative Policy Management process more accessible, efficient and modern-based for the City of Hallandale Beach. The following are key **deliverables**: ♦ Document accessibility and current policy repositories ♦ Assess Manual process and paper-based files ♦ Determine update period of documents ♦ Revision of policy governance document to establish policy management and provide guidelines for the entire policy lifecycle.

This project report includes recommendations that will provide a smooth transition from current practice to a more streamlined/automated approach of policy management. Proposed **recommendations** include: ♦Establishing a centralized repository of documents ♦Creating an online collaborative platform, with security controls, for the creation and update of administrative policies ♦Defining a comprehensive review process within a specified timeframe, and ♦Using existing technology investments to eliminate manual processes.

The ultimate goal of this project is to reduce tangible and intangible costs, increase efficiency, transparency, and to modernize City processes through the use of technology.

✔ PROJECT SCOPE AND EXCLUSIONS

Scope

Review the City's current administrative policy management process as it pertains to policy life cycle; identify opportunities; and provide recommendations for overall process improvement.

Exclusions

Police General Orders and Departmental Policies are excluded from this analysis.

❗ BACKGROUND AND OPPORTUNITIES

Background

Historically, for the City of Hallandale Beach, the administrative policy process has been addressed in waves that usually coincide with the appointment of a new administration. A big wave was observed in the 1980's, 1990's, and early 2000's, as the majority of the administrative policy documents reviewed as part of this project, have issue dates within those years. The last wave took place in 2014 when the directive was to establish and adopt Standard Operating Procedures (SOPs) as an alternative to administrative policies. This directive changed the look, feel and content of policy documents for all operational areas; however, it did not evaluate the relevance or applicability of older, but active administrative policy documents. This resulted in an active pool of Policies that require further analysis and determination of applicability to current operational practices.

In 2017, the City Manager requested to develop new administrative policies which changed the prior practice of developing SOPs for administrative governance documents. This initiated a resurgence of administrative policy documents for new or revised processes that took place over the last 18 months. While new administrative processes are currently documented as Administrative Policies, SOPs require further validation of applicability, and transition to an Administrative Policy format.

Through the Roger's Raider Program, members of the City Manager's office, viewed this challenge as an opportunity for improvement, and as a project that would enable a Raider to step out of their core job duties and explore opportunities to make a difference in moving the City forward.

Opportunities

Opportunities identified during the review of the City's current process were categorized in three main areas including accessibility, guidelines, and maintenance.

Accessibility - The City Manager's Office is the official keeper of administrative policies. These documents reside in the City Manager's electronic server drive, to which, only a select group of individuals have exclusive access.

Governance Document and Process Guidelines - The process for writing policies is documented in Policy No. 2001.001.R3 entitled "Administrative Policy". This policy was issued on April 22, 1982 and the last revision is dated August 20, 2010. This policy provides an opportunity to include clearly defined Roles and Responsibilities and best practices of other government agencies such as audit logs of historical changes.

Maintenance – Another opportunity is found in the maintenance of the administrative policy management process. Complex manual processes for indexing, version control, and storage of electronic and paper files could potentially be eliminated.

DISCOVERY PROCESS AND FINDINGS

The Discovery Process

To gain a better understanding of how policy is made at the City and what the current process entails, the City's Code of Ordinances was researched, senior staff were interviewed regarding the lifecycle of administrative policies, documents were collected and organized, best practices were analyzed, and the use of technology was assessed. A summary of each step follows.

Step 1 - Research City's Governance Hierarchy - There are three types of policy documents as shown in figure 1.

City Commission - Ordinances and Resolutions

Policy that sets standards of performance for the City as a whole, and provides guidelines for the manner in which City initiatives and activities will be carried out. These documents are outward-facing in that they relate to interactions between the City (and entities representing or working on behalf of the City) and the public.

- City Commission • Ordinances and Resolutions
- City Manager • Administrative Policies
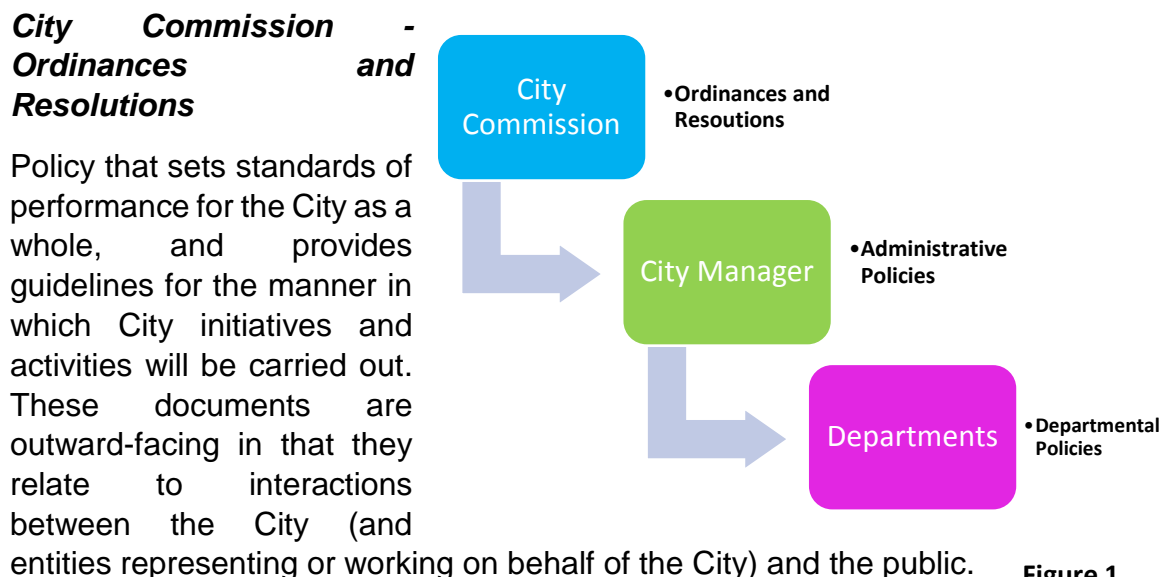- Departments • Departmental Policies

Figure 1

An **ordinance** is defined by the City's Code (*Section 5.01: Ordinances and Resolutions*) as an official, legislative action of the Commission, which action is a regulation of a general and permanent nature and enforceable as a local law. A **resolution** is an expression of the Commission on matters of official concern, opinion, or administration, of a temporary character, or a provision for the disposition of a particular item of the administrative business of the governing body (*Ord. No. 80-44, § 1(b), I, 12-2-1980/3-10-1981; Ord. No. 90-20, § 1, 11-6-1990; Ord. No. 2003-28, § 2, 11-18-2003*).

Ordinances and Resolutions are adopted by the City Commission and maintained by the Office of the City Clerk.

City Manager - Administrative Policies

Administrative Policies are guidelines and directives that City employees must adhere to when performing their job duties on behalf of the City. They are inward-facing in that they provide guidance to City staff and direct them to related procedures, manuals, standards or other attachments to a particular administrative directive.

Administrative policies are approved and maintained by the City Manager in cooperation with the relevant departments. The City Manager is tasked with developing administrative policies and procedures as mandated by the City's Code (*Sec. 2-2. – Administrative Code*) for the purpose of implementing ordinances passed by the Commission (*Ord. No. 1057, 1-9-1976/3-9-1976*).

Departments - Departmental Policies

Departmental policies follow the same format as that of Administrative Policies except that these policies apply solely to one department or one topic. Departmental policies should not conflict with Administrative Policies, but may be written to expand or enhance clarity to an existing administrative policy *(Policy No. 2001.004.R2).*

Step 2 - Administrative Policy Lifecycle - Figure 2 represents the complete lifecycle of the City's administrative policies as explained by Senior Staff and as stated on Policy No. 2001.004.R3.

Administrative policies are promulgated at the request of the City Manager or by the initiative of a Department Director. All administrative polices must be approved and distributed by the City Manager to Directors for dissemination to appropriate personnel. *(Policy No. 2001.004.R3).*
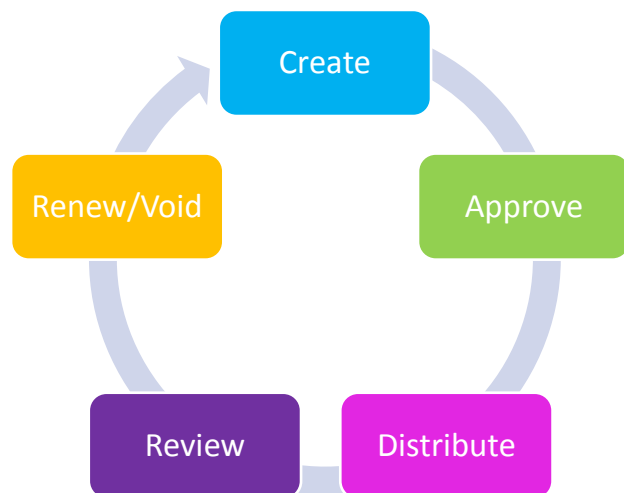

Figure 2

Revisions are submitted to the City Manager. Upon approval, the administrative policy is returned to the Director for dissemination. *(Policy No. 2001.004.R3).*

Renewals and Voids are not discussed in the current policy; however, voided administrative policies are manually marked as such and tracked in the Administrative Policy Indexes.

Step 3 - Document Search - With the assistance of the Innovation Technology Department and the City Manager's Office, administrative policy documents were retrieved from current locations and placed in a temporary central location for review.

Step 4 - Review of Existing Policy Index - The current policy indexes account for current administrative policy documents in circulation. Indexes are available by department and by subject. Maintenance of these indexes has been kept up to date by the City Manager's Office and has traditionally been the responsibility of this department. Policies are manually added or marked "Voided" on each index as policies are created or become obsolete.

Step 5 - Use of Technology Assessment - At the present time, the Administrative Policy Management process is a manual process. Technology is limited to the use of Word and Adobe PDF applications for the development of policy documents. Use of existing technology is not currently used for collaboration, dissemination, version control, workflow, and archiving.

Step 6 - Best Practice Related to Online Publishing – The past practice has been for staff to publish administrative policies electronically in various repositories. This presented an opportunity to determine the effort required to consolidate and publish administrative policies in the intranet (internal access) or internet (public access). In an effort to determine best practice for online accessibility to general administrative policy documents, an online search of municipal policy sites was conducted. Initially, this search was limited to 30 cities with populations ranging from 35,000 – 50,000 residents in Broward (10), Miami-Dade (10), and West Palm Beach (10) Counties. Searching for best practice in publishing to internet sites using this criteria produced zero results.

An additional online search for municipal administrative policy internet sites, anywhere in the State of Florida, was conducted. This search showed only five cities that published their general administrative policies for public access in the internet. These included:

City of Coral Springs
https://www.coralsprings.org/government/other-departments-and-services/city-policies

City of Largo
https://www.largo.com/document_center/HR/Employee%20Resources/Administrative%20Policies%20and%20Procedures.pdf

City of Melbourne
http://www.melbourneflorida.org/departments/human-resources/employees-only/administrative-policies-procedures

Considering the number of municipalities there are in the State of Florida, it was concluded that public access to administrative policies is not common practice. The limited internet publishing could be attributed to security threats commonly known as social engineering and publishing sensitive operational documentation. Social engineering is the practice of malignant actors foot printing the operational conditions of an organization for purposes of conducting hacks or for malicious intents.

Findings

- Limited accessibility to a common single-source location for administrative policy documents
- Need for central repository of documents (intranet site)
- Manual process and paper files (writing, workflow, updating, version control, voiding, dissemination)
- Various formats (Administrative Policies and SOPs) – need for standard template
- Need for periodic/systematic update of documents
- Need for historical audit logs of each administrative policy
- Need for a revised/updated guiding document to establish administrative policies
- Opportunity for using document management technology to manage the policy lifecycle

KEY PROJECT DELIVERABLES

Policy Inventory

A total of 1,300 administrative policy related documents were sorted by Department. Each policy listed on the current Index was retrieved, placed in a Department Folder and inventoried in a searchable database to account for

Documents Sorted — 1300

Administrative Policies Inventoried — 300

Figure 3

status, department responsible for document, policy number, version number, date of issue, last revision date, type and category. Figure 3 shows the number of documents sorted and inventoried as part of this deliverable.
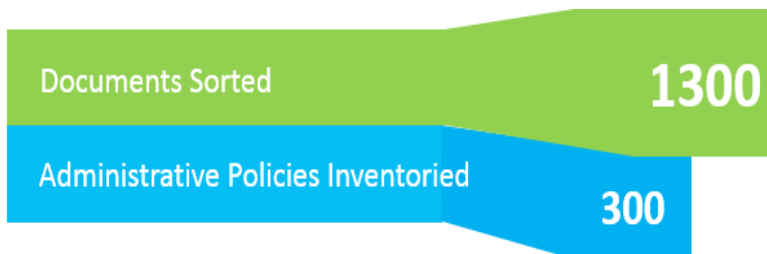
Administrative Policy Revision, Template, Forms and Writing Guide

Based on analysis and best practices, revision number four to Administrative Policy No. 2001.001.R3 was completed and submitted for City Manager review and approval. This revision changes the title to **Establishing Administrative Policies**; adds new sections Forms, Attachments, Frequently Asked Questions and History; provides a new template for drafting administrative policies and incorporates new forms nd attachments; establishes a new electronic dissemination and acknowledgement method, as well as a new online collaborative workspace and library; includes the provision of training requirements for new policies; and establishes a required time period for conducting comprehensive reviews of existing policies. Additionally, a Guide to Writing Administrative Polices was developed as a quick reference guide for staff tasked with writing policies.

Centralized Repository & Online Collaborative Platform
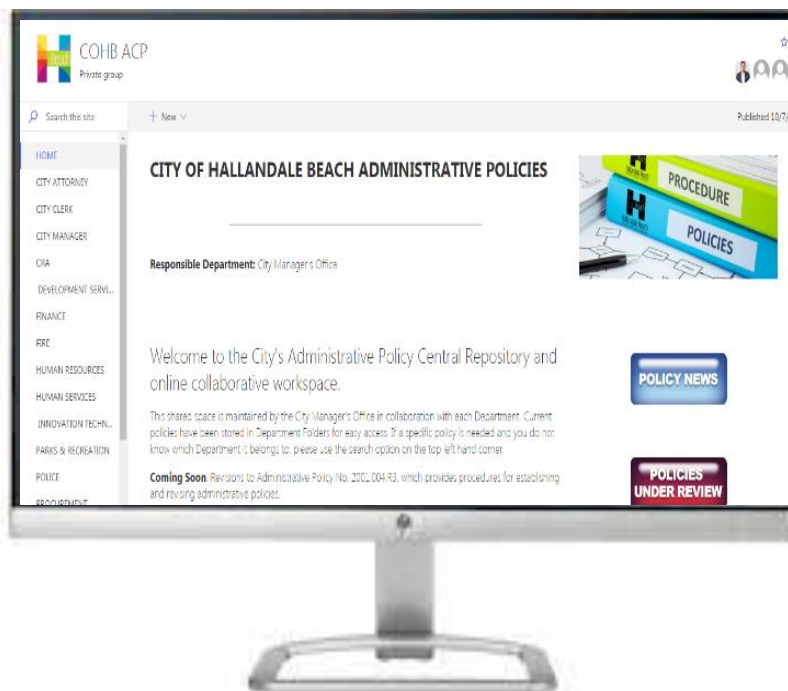
In an effort to centralize and modernize the Administrative Policy Management Process, a SharePoint site was created. This new site will be used as a collaborative online work space where all Administrative Policies will reside. Department Directors will have access to their assigned policies to collaborate with the City Manager's Office when creating or revising a policy. This site will also function as the official central repository and library hosting administrative policy documents, forms, templates, and instructions.

The SharePoint site is titled City of Hallandale Beach Administrative Policies (COHBAP) and it is located in the City's intranet at https://hallandalebeach.sharepoint.com/sites/COHBACP. This site will feature security controls and will soon be able to handle document version control.

Plan for Comprehensive Review Process

The purpose of a comprehensive review is to take an in depth look at existing administrative policies to: 1) determine if a policy is still needed or if it should be combined with another; 2) determine if changes are required to improve the effectiveness or clarity of the policy and procedures; and 3) to ensure that ongoing review of the policy is occurring.

The approach and steps to be taken were documented as part of the revised Administrative Policy entitled Establishing Administrative Policies - Policy No. 2001.001.R4. The proposed approach is to conduct Biennial Comprehensive Reviews every other year starting in FY 2018/2019. This effort will be spearheaded by the City Manager's Office and Directors will be responsible for reviewing and/or revising their assigned policies within a specified timeframe.

The plan provides instructions for the transition of Standard Operating Procedures into Administrative Policies; includes instructions on how to handle administrative policies that are less than 12 months old; and what to do when revisions are needed outside of the Biennial Comprehensive Review Process.

RECOMMENDATIONS AND TIMELINE

Policy Liaisons and Training

It is recommended that each department designate a Departmental Policy Liaison to act as the point of contact for all Administrative Policy related matters between the Department and the City Manager's Office. It is also recommended that training be provided to Liaisons to review the new governance document and related forms in preparation for a Citywide Administrative Policy Comprehensive Review Process.

Comprehensive Review Process

Historically, the City has reviewed administrative policies on an as needed basis. To ensure continued applicability of administrative policies to current City operations, the implementation of the proposed Biennial Comprehensive Review is recommended starting in FY 2018/2019 and every other year thereafter.

Policy Process Automation – Technology Enhancement

As an impactful process improvement, the use of technology and software to eliminate manual processes is highly recommended. As previously mentioned, SharePoint will host administrative policies, forms, and templates and will also serve as an online collaborative work space. It should be noted that additional costs for SharePoint licensing are not required as these are part of the existing Microsoft Enterprise agreement that the City currently has.
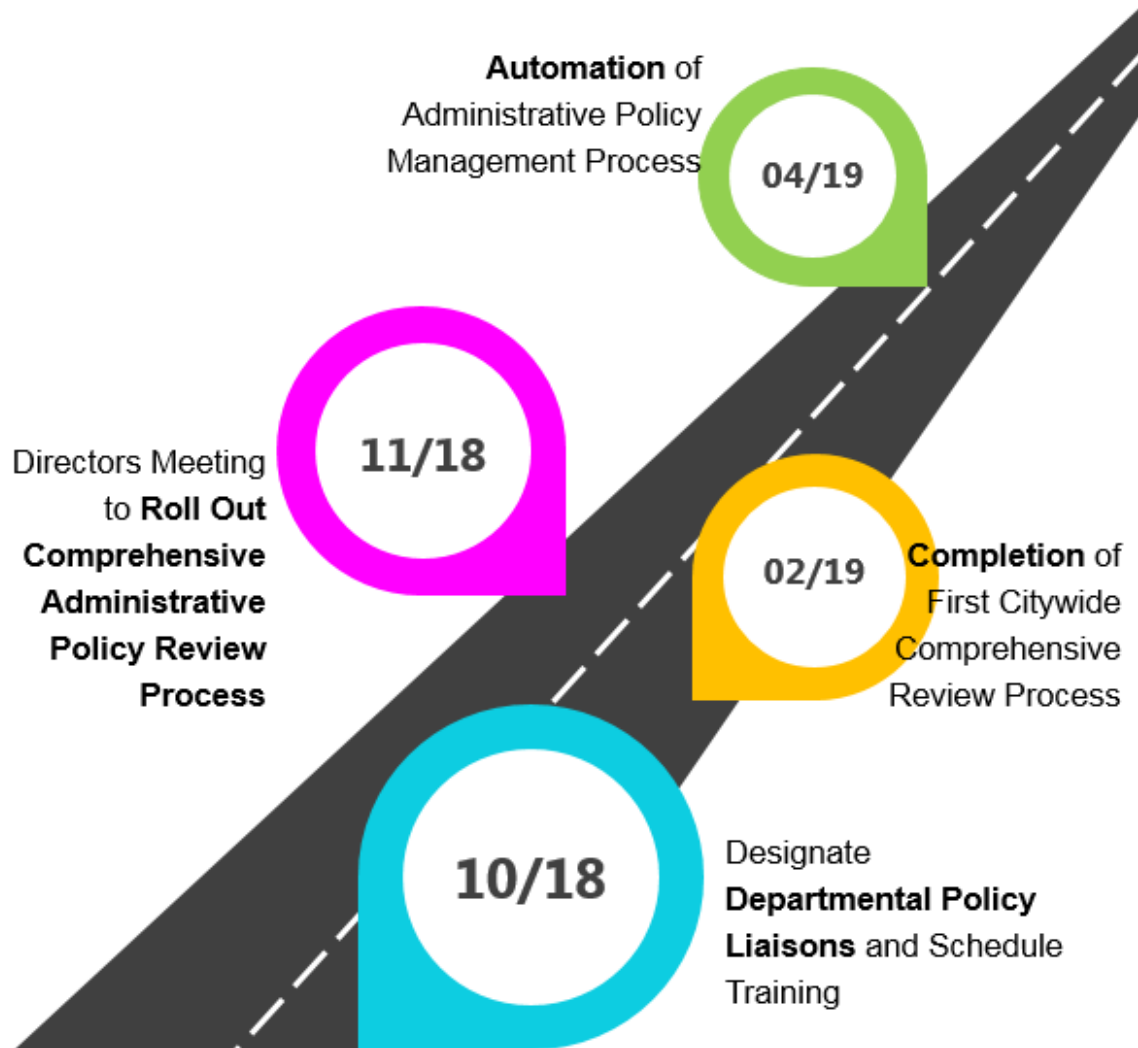
This workspace can be greatly enhanced by the use of software such as Convergepoint, which is compatible with SharePoint, to automate workflow, version control, archives and dissemination of documents.

Convergepoint or other Policy Management Software allows for the automation of the entire policy lifecycle. Main software features include:

- Data and Document Integrity
- Automated Version Control
- Custom Electronic Workflows
- Document Storage
- Real-Time Dashboards
- Role-Based Access
- Expiration Notifications
- Revisions and Renewals
- Event-Based Alerts
- Search and Reports

Cost and options vary by product. Product demos are recommended should this option be of interest to the City. Software that was reviewed as part of this recommendation include Covergepoint Software, MyPolicies Software, and Power DMS Software.

Timeline

Automation of Administrative Policy Management Process — 04/19

Directors Meeting to **Roll Out** **Comprehensive** **Administrative** **Policy Review** **Process** — 11/18

02/19 — **Completion** of First Citywide Comprehensive Review Process

10/18 — Designate **Departmental Policy** **Liaisons** and Schedule Training

TANGIBLE AND INTANGIBLE RETURN ON INVESTMENT

Paper Cost Savings

Traditional manual processes, like paper based ones, incur significant costs that can be entirely avoided if these were running on a digital and automated platform. Although it is difficult to quantify paper savings, the use of paper would be completely eliminated when distributing and storing executed policies online; thus reducing the City's paper footprint.

According to Power DMS, a policy management software company, entities such as City of Clearwater Florida, City of Syracuse New York, City of Tucson Arizona, and Jefferson County Colorado, have gone paperless with their Policy Management Process and have each saved an average of 325,000 printed pages which equates to paper savings of $9,775. (https://www.powerdms.com/customers/municipalities/paperless-cities/).

Efficiency

Manual and outdated processes require an extraneous effort to maintain. Considering creating, distributing and acknowledging policies and procedures require input from numerous employees, an online collaborative platform will streamline the various processes and increase efficiencies.

Clear Expectations and Employee Engagement

Updated Administrative Policies will set clear expectations across the board that are aligned to current City operations. The new electronic dissemination process will make documents accessible to the great majority of staff. The new training requirement will ensure awareness and accountability.

Updated Administrative Policies will also cultivate and maintain culture and provide an opportunity for employee engagement and increased productivity. A study by *Watson Wyatt-Work USA Survey* reported that highly engaged employees produce 26% higher in performance than those not engaged (https://www.dartican.com/watson-wyatts-workusa-survey-identifies-steps-to-keep-employees-engaged-productive/).