

STATEMENT of POLICY and PROCEDURE			
Chapter:	Corporate Services	SPP No.	SBPP 1
Section:	Strategic Business Planning and Performance	Issued:	NOV 20, 2018
Subject:	Strategic Business Planning Policy and Procedure	Effective:	JAN 1 2019
Issue to:	All Manual Holders	Page:	1 of 9
		Replaces:	
Issued by:	Strategic Business Planning & Performance	Dated:	

1 POLICY

- 1.01 All potential new projects/programs or proposed modifications to existing initiatives must proceed through Toronto and Region Conservation Authority's (TRCA) Strategic Business Planning workflow, created by this policy. New or *modified* initiatives must be documented in TRCA's Business Intelligence Tool (BIT), and accompanied by an approved business development statement of interest (SOI) and depending on the risk identified by Strategic Business Planning and Performance, Senior Leadership Team, or Board of Directors, a business plan inclusive of a sustainable financial plan. *Account Leads* are responsible for following the procedures outlined as part of this policy to ensure that all levels of approval are met.
- 1.02 The *Senior Leadership Team (SLT)* has sole discretion to determine which *project/program* requests move forward in the Strategic Business Planning workflow (Appendix 1A & 1B).
- 1.03 TRCA's Board of Directors undertakes an annual approval process for TRCA's budget documents which are submitted to partner municipalities. To determine the key financial priorities for the organization, the Board of Directors will review SOI reports and business plans as required.

2 PURPOSE

- 2.01 The purpose of this policy is to formalize a corporate-wide approach and standard for the initiation, planning, execution, monitoring and controlling, and closeout of projects/programs which ensure that all TRCA initiatives are aligned and positioned to maximize success in achieving the organization's strategic priorities as outlined in TRCA's Strategic Plan (2013-2022). This Statement of Policy and Procedure will improve the efficiency and positioning of (1) new projects/programs or (2) modifications to existing projects/programs to better ensure successful outcomes, reduce risks, and improve TRCA's ability to monitor the status of its initiatives and report on desired outcomes.

3 SCOPE

- 3.01 This Statement of Policy and Procedure is applicable to new or *modified* projects/programs. In addition to this Statement of Policy and Procedure, all projects/programs shall operate within the context of all other TRCA policies, procedures and best management practices.

4 RESPONSIBILITY

4.01 *Board of Directors*

- Shall review and approve *unmet needs* report and a summary of the key priorities organized by member municipality.
- Shall Review and approve TRCAs annual budget with access to all additional information contained within the *BIT* by request.
- Shall review all SOI reports and business plans following SLT approval, as applicable.

4.02 *Chief Executive Officer (CEO)*

- Shall be responsible for making recommendations to the Board of Directors based on the advice of the SLT.

4.03 *Chief Financial and Operating Officer*

- Shall ensure that financial impacts to the extent they are known are communicated to SLT and Board of Directors.
- Shall review and approve divisional *BIT* inputs including all *deliverables* and associated reporting.

4.04 *Senior Leadership Team*

- Shall review and approve business development SOI reports and business plans to determine if the items continue to the Board of Directors for consideration and approval.
- Shall review and approve TRCA *unmet needs* and a summary of key priorities organized by member municipality prior to putting forward a recommendation to the Board of Directors for consideration and approval.
- Shall ensure all projects/programs reflect and support TRCAs Strategic Plan.
- Shall be responsible for making recommendations to the Chief Executive Officer (CEO).

4.05 *Senior Directors/Directors*

- Prior to SLT review, shall approve divisional business development SOIs, business plans, *unmet needs* and *BIT* inputs including all *deliverables* and associated reporting.
- Shall ensure all projects/programs reflect and support TRCAs Strategic Plan.
- Shall communicate this policy to all relevant staff in their division and create internal processes to ensure the correct implementation of this policy across all related business units.

4.06 *Associate Directors / Senior Manager / Manager*

- Shall provide *project/program* direction, innovation, and motivation.
- Shall provide oversight of business unit *project/program* planning and associated outputs/*deliverables* and desired outcomes.
- Shall monitor departmental implementation of this policy and its related instruments.
- Understands both the strategic and user needs of the *project/program*.
- Shall provide *project/program* direction, innovation, and motivation.
- Shall provide oversight of business and *project/program* planning and associated outputs/*deliverables* and desired outcomes.
- Shall monitor departmental implementation of this policy and its related instruments.

4.07 *Account Lead:*

- Shall be responsible for a large portion of content development throughout the implementation of this policy and procedure.
- Responsible for collaborating with the appropriate business units across the organization to ensure all requirements are met.
- Shall ensure all *BIT* accounts and inputs are accurate and reflect the ongoing work including ensuring the strategic requirements of the *project/program* are being met.
- Shall ensure all timelines and approvals are met and secured.

4.08 *Strategic Business Planning and Performance (SBPP):*

- Shall prepare reports for SLT and Board of Directors which summarize all new Business Development SOI reports and business plans, as required.
- As required, shall develop reports to the Board of Directors regarding all business SOI's and business plans for review and approval.
- Shall provide innovative, strategic and professional advice and recommendations regarding all new or modified business plan submissions to CFOO and CEO in support of ensuring the corporate strategies and vision are aligned.
- Shall work with *Account Leads* to determine if a change to an existing *project/program* classifies as a modification that requires adherence to this Statement of Policy and Procedure.
- Shall work with *Account Leads* to verify the quality and viability of all business plans.
- At the request of staff, will update budgetary documents, and create *BIT* account records for all new *unmet needs* requests.
- Shall provide SLT with a summary report and recommendations regarding business plans.
- Shall provide ongoing training, leadership and direction in the completion of all strategic business planning for projects/programs, securing funding, and advises on all inputs into the *BIT*.
- *Account Leads* shall work with SBPP business unit to establish appropriate outputs and desired outcomes for each account record.

5 DEFINITIONS

Account Lead – The assigned staff who oversees the planning, tracking and monitoring of projects/programs and the associated information within the *BIT*. The assigned *Account Lead* is identified for each account record within the *BIT* and is ultimately held responsible for the information submitted. In certain scenarios, the Account Lead is also the Project/Program Manager.

Business Intelligence Tool (BIT) – The *BIT* is TRCA's corporate platform that users input and track all *project/program* information necessary to manage and allocate resources for the greatest potential benefit. The system captures and integrates key inputs to organizational operation including finances, staff, assets and materials, contracts, daily time and resource consumption, and background information and directives. With these inputs, the real costs of programs and *deliverables* can be readily established and the relationship on investments to outcomes examined.

Deliverable – A *deliverable* is a product or service created to achieve a *project/program* objective or satisfy a key milestone. *Deliverables* must be:

- **Specific** – Define the scope of what you are trying to accomplish while addressing the who, what and where.
- **Measurable** – State the measures and performance specifications you'll use to determine whether you've met your objectives.
- **Achievable** - Choose objectives where you have a reasonable expectation of successfully completing.
- **Relevant** – Set objectives that are attainable and that align with strategic objectives.
- **Time-based** – Include the date or specific period by which you'll achieve the objectives.

Modification – Any change to an existing *project/program* that effects the *risk*, financial commitments, internal capacity and/or external audience. SBPP shall be responsible for determining if potential modifications are required to be assessed through this policy.

Municipal Levy – Municipal Levies - In accordance with the Conservation Authorities Act, TRCA is permitted to levy funds to its partner municipalities to cover unfunded expenditures, which TRCA levies as follows: (i) Operating - Unrestricted funding provided by partner municipalities to fund the organization's operating expenses; (2) Non-Operating - Consisting of capital and special levies, this represents restricted funding provided by partner municipalities, to be spent on specific projects and programs, with the expectation of agreed upon outcomes.

Project/Program Manager - Assigned by the organization to lead the team that is responsible for achieving the predetermined objectives.

Risk – Represents an uncertain event or condition that, if it occurs, has an adverse effect on at least one project/program objective.

Unmet Needs – A budget document which outlines funding pressures that are not currently allocated in the organizations existing budget. This includes an increase in service level, additional staffing, or new programs or modifications that are not part of the base operating budget from the previous year. SLT reviews all unmet need requests and then categorizes the requests into three *unmet needs* categories:

- **Mandatory** – Projects/programs which are due to new or changes to existing legislation;
- **Board of Director Initiated** – Project/programs arising out of Board of Director requests; and
- **Staff Recommended** – Projects/programs which are all other discretionary items or services to be considered over and above base budget funding. These items or services can include new programs, new services, increases in staff complement, increases in service levels, increases to reserve fund allocations or any other discretionary budget increase. All *unmet needs* are presented to SLT and the Board of Directors for review and endorsement. Should there be sufficient funds or an urgent need for the staff, service or program, the highest priority pressure would receive the additional funding.

7 PROCEDURE

7.01 NEW BUSINESS OPPORTUNITY

1. Where a new *project/program* is desired or modifications to an existing *project/program* is required, the *Account Lead* shall create a business development SOI using the approved template which SBPP will submit to SLT as an agenda item under Business Development and Project Execution Model for approval. This submission shall be completed with the approval of the Manager/Senior Manager/Associate Director, Director and/or Senior Director of the related business unit/division prior to SLT review. Once approved by SLT, SBPP shall create an *unmet need* record and *BIT* account using the information provided within the Business Development SOI. If SLT does not approve the SOI, the initiative does not move forward.

Where possible, the *Account Lead* shall make an effort to group projects according to a larger initiative and submit as one SOI in place of multiple smaller projects. This enables SLT to evaluate the larger vision and potential of the initiative in order to make informed decisions.

If staff are unsure whether a change to an existing *project/program* is classified as a modification and will be required to adhere to this Statement of Policy and Procedure, SBPP will analyze the potential change to determine the effects to the *risk*, financial commitments, internal capacity and external audience to determine how the *project/program* will move forward in the Strategic Business Planning Workflow.

2. SBPP will prepare board reports that outline all SLT approved SOIs to inform the *Board of Directors* regarding upcoming TRCA initiatives. The proposed *projects/programs* do not move forward if the item is held, until all requirements are met. If a resolution cannot be reached, a *project/program* does not move forward.

Not all *projects/programs* will be required to continue through the Strategic Business Planning Workflow depending on the assessed risk of the initiative as evaluated by the SBPP team.

If the item is received from the *Board of Directors*, the *Account Lead* shall work in partnership with SBPP and any additional business units that may be involved in the implementation of the *project/program* (ie. PMO, Marketing and Events etc.) to develop a comprehensive business plan including a sustainable financial plan. These plans shall be created using an approved template and be supported by the responsible divisional director/ senior director.

3. Once the divisional director/senior director has signed off on the completed business plan, SBPP shall work with the appropriate divisional staff lead to develop a report and recommendations to be presented to SLT for approval regarding the new initiative. The report and recommendations shall take into account: viability of the business and financial plan; alignment with TRCAs Strategic Plan; availability of potential funding; political support; internal staff capacity; and *risk*.

4. If the *project/program* is approved by SLT, SBPP shall prepare a board report to the Board of Directors that outlines important details from the business plan and the next steps moving forward. If the item is held and a resolution cannot be reached, the *project/program* does not move forward. If the item is received from the Board of Directors, the *Account Lead* shall work with SBPP to formalize the initiative on the *unmet needs* document including accurate financial projections.

Account Leads shall also work with SBPP to initiate and complete the process of seeking out and confirming a supporting funding model for implementation. If the

potential funding type is *municipal levy or special funding* and grants, the *Account Lead* is required to work with SBPP. For certain grants and any fundraising, *Account Leads* are required to work with the TRCA Foundation.

7.02 FUNDING

1. Where *project/programs* have secured funding, regardless of the type, the *Account Lead* must request from SBPP that a new account record be created within TRCAs *BIT* to input all *project/program* details.

2. The *Account Lead* shall complete annual forecasting for *project/program deliverables* and costs and input all required information in the *BIT* in accordance with this policy and with adherence to corporate timelines. All required *project/program* information shall be accurately reflected within the *BIT* once funding details have been approved. In some cases, this may result with in-year reporting to maintain up to date *project/program* information within the *BIT*.

3. Each account record in the *BIT* shall include *deliverables*. This information will assist in increasing the ability to track metrics, and increase accountability of *project/program* activities.

4. The SBPP team shall work with *account leads* to ensure *deliverables* have consistent linkages to municipal strategic plans, TRCA's Strategic Plan and TRCA's approved budget. Wherever possible, *deliverables* shall also be linked to the approved budget. The SBPP team shall work with *Account Leads* to ensure a consistent corporate standard for *deliverables* is met, and that each submission is clear and municipally specific.

7.03 IMPLEMENTATION

1. *Account Leads* shall engage all impacted business units depending on the project or program.

2. As required, depending on the type of *project/program*, the *account lead* shall transfer the *project/program* to the appropriate subject matter expert.

3. Regardless of *project/program* activity and status, the *project/program* lead must submit reports which identifies actions taken, or a forecast of when activity will be initiated.

4. In addition to this Statement of Policy and Procedure, all projects/programs must adhere to all other TRCA Policies and Procedures.

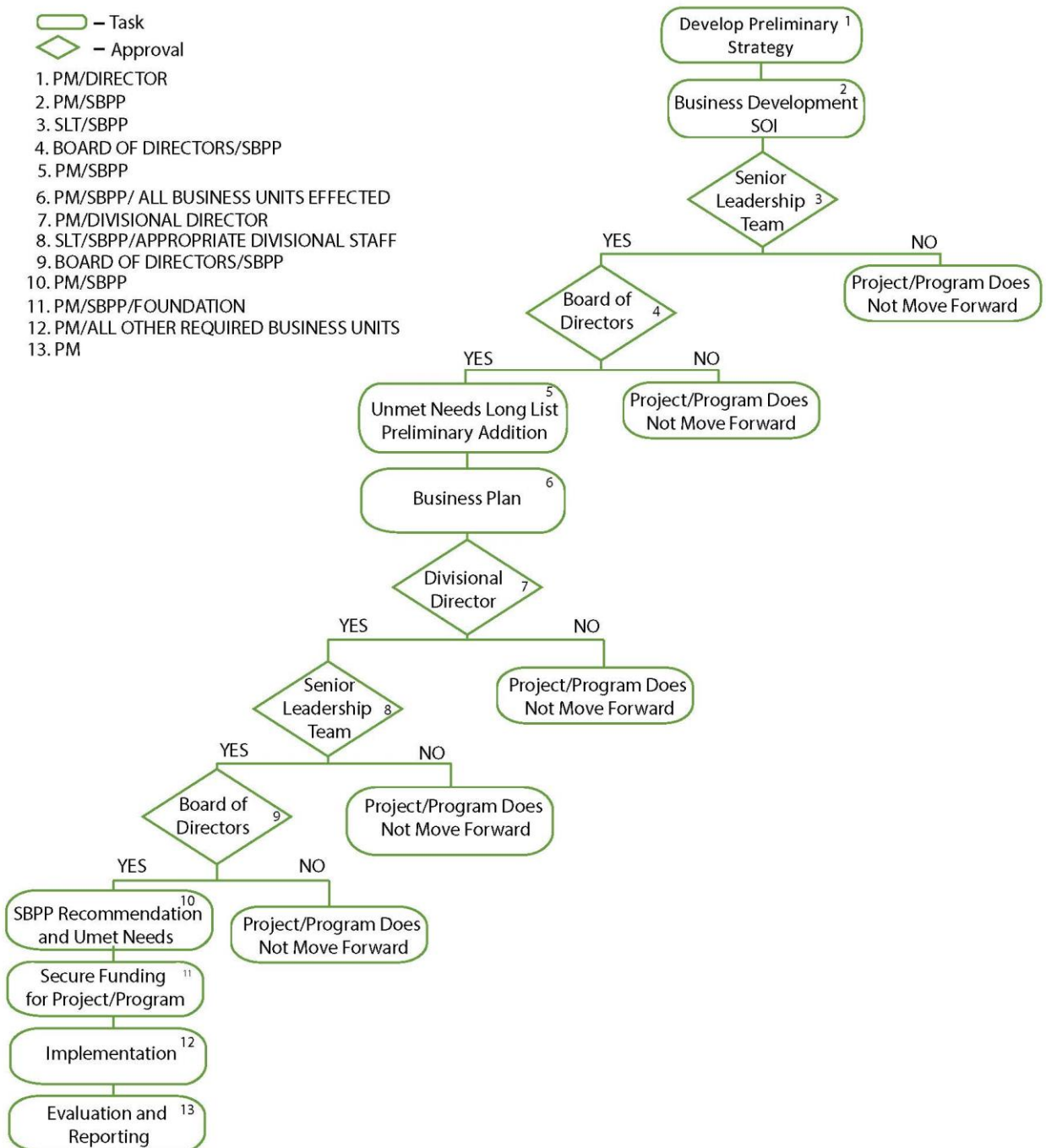
7.04 EVALUATION AND REPORTING

1. *Account leads* shall be responsible for monitoring the status of the *project/program* and all associated *deliverables* and updating the *BIT* to reflect any variances in schedule, scope or cost.

2. The *account leads* shall report quarterly on the status of all *deliverables* in each account record within the *BIT*. Regardless of *project/program* activity and status, the *account lead* must submit reports which identifies actions taken, or a forecast of when activity will be initiated.

3. The *account lead* shall be responsible for ensuring that all other monitoring, reporting and communication requirements are met as set out by the funder's terms and conditions.

Appendix 1A- Strategic Business Planning Workflow



Appendix 1B - Strategic Business Planning Workflow

Task	LEAD	SUPPORT
Idea and preliminary strategy is developed	PM/Director	SBPP
Business development SOI is written and submitted to SBPP	PM	SBPP
Business development SOI is presented to SLT for approval to move forward with <i>project/program</i>	SLT/SBPP	PM
IF NOT APPROVED – <i>project/program</i> does not move forward. IF APPROVED – SBPP shall develop a monthly board report (as required) of all approved SOIs for information to the Board of Directors.	Board of Directors/SBPP	
IF APPROVED – SBPP shall add project to the <i>unmet needs</i> list using information from the SOI and the initiative moves on to the next phase. IF NOT APPROVED – <i>project/program</i> does not move forward	SLT	SBPP
<i>Project/Program</i> undergoes a comprehensive business financial planning process to assess the viability of the new <i>project/program</i> .	PM	SBPP/All other impacted business units (PMO, marketing, watershed strategies)
Divisional director signoff on business and financial plan	PM/Director	
Summary report with accompanying recommendations regarding the new <i>project/program</i> business plan is presented to SLT for approval.	SLT	SBPP/Divisional staff lead
IF NOT APPROVED –the <i>project/program</i> does not move forward. IF APPROVED – SBPP to develop a monthly Board Report (as required) of all approved business plans for information to the Board of Directors.	PM/SBPP	
IF APPROVED – SBPP to formalize <i>project/program</i> on the <i>unmet needs</i> long list and moves to the next stage. IF NOT APPROVED –the <i>project/program</i> does not move forward.	SBPP/Board of Directors	
Process to identify and confirm funding to support initiative.	PM	SBPP
<i>Project/Program</i> Implementation	PM/Appropriate Business Units	
Evaluation and Reporting on status of <i>project/program</i> using the <i>BIT</i> .	PM	SBPP

