

Executive Policies

The following Executive Policies are contained in this document:

1. GENERAL EXECUTIVE DIRECTOR CONSTRAINT
2. TREATMENT OF CITIZENS, TAXPAYERS, STAFF AND VOLUNTEERS
3. COMPENSATION, BENEFITS, EMPLOYMENT
4. FINANCIAL PLANNING AND BUDGET
5. FISCAL MANAGEMENT AND CONTROLS
6. PROTECTION OF ASSETS
7. IMMEDIATE SUCCESSION
8. COMMUNICATIONS WITH AND SUPPORT OF THE BOARD

Executive Policies

Executive policies provide the necessary guidance for the Executive Director to effectively lead the organization toward progressing the goals and priorities of DRCOG. Executive Policies state conditions that must exist in order to achieve organizational strategic initiatives. Executive Policies prevent the goals from being achieved through means that create liabilities for the organization. For purposes of this document, the term “Board” refers to the entire DRCOG Board of Directors and their alternates acting as such.

1. GENERAL EXECUTIVE DIRECTOR CONSTRAINT

- 1.1 Within the scope of authority delegated to him/her by the Board, the Executive Director shall ensure that any practice, activity, decision or organizational circumstance is lawful and prudent and adheres to commonly accepted business and professional ethics. The Executive Director shall ensure that conditions are safe, fair, honest, respectful and dignified.

2. TREATMENT OF CITIZENS, TAXPAYERS, STAFF, INTERNS, AND VOLUNTEERS

The success of DRCOG depends upon the partnership between the Board, agencies, jurisdictions, citizens, taxpayers, elected officials and DRCOG employees.

The Executive Director shall ensure:

- 2.1 Community opinion/input on relevant issues is obtained when decisions materially affect a community.
- 2.2 Communities are informed on a timely basis about relevant decision-making processes and decisions.
- 2.3 Interactions with the community are organized and clear.
- 2.4 Relevant problems raised by the community are addressed in a timely manner.
- 2.5 Staff is competent, respectful and effective in interactions with the Board, public, etc.
- 2.6 Confidential information is protected from unauthorized disclosure.

Accordingly, pertaining to paid staff, interns and volunteers within the scope of his/her authority, the Executive Director shall ensure:

- 2.7 Written personnel policies and/or procedures, approved by legal counsel, which clarify personnel rules for staff, provide for effective handling of grievances, and protect against wrongful conditions are in effect.
- 2.8 Staff, interns and volunteers are acquainted with their rights upon entering and during their work/time with DRCOG.
- 2.9 Avenues are available for non-disruptive internal expressions of dissent, and protected activities are not subject to retaliation.
- 2.10 Established grievance procedures are readily available and accessible to staff. The Board is appropriately apprised of violations of Board policies and of matters affecting the Board.

3. COMPENSATION, BENEFITS, EMPLOYMENT

With respect to employment, compensation, and benefits to employees, consultants, contract workers and volunteers, the Executive Director shall ensure:

3.1 The fiscal integrity of DRCOG is maintained.

Accordingly, the Executive Director shall ensure:

3.2 His/her own compensation is approved by the Performance and Engagement Committee according to adopted procedures.

3.3 Compensation and benefits are consistent with wage data compiled in DRCOG's regular independent salary survey and approved in the annual budget.

3.4 Adherence to appropriate employment law practices.

3.5 Deferred or long-term compensation and benefits are not established.

4. FINANCIAL PLANNING AND BUDGET

With respect to strategic planning for projects, services and activities with a fiscal impact, the Executive Director shall ensure:

4.1 The programmatic and fiscal integrity of DRCOG is maintained.

Accordingly, the Executive Director shall ensure:

4.2 Budgets and financial planning are aligned to Board-adopted strategic initiatives.

4.3 Financial solvency is maintained by projecting in two- to five-year increments, in addition to annual budgeting.

4.4 Financial practices are consistent with any applicable constitutional and statutory requirements.

4.5 Adherence to Board-adopted strategic initiatives in its allocation among competing budgetary needs.

4.6 Adequate information is available to enable: Credible projections of revenues and expenses; separation of capital and operational items; cash flow projections; audit trails; identification of reserves, designations and undesignated fund balances; and disclosure of planning assumptions.

4.7 During any fiscal year, plans for expenditures match plans for revenues.

4.8 Maintain at a minimum 3 months of operating expenses, excluding amounts for in-kind and pass-through expense or as recommended by the independent auditor.

4.9 A budget Contingency Plan is capable of responding to significant shortfalls with the DRCOG budget.

4.10 No risks are present based on situations described in the Fiscal Management Control Policy.

4.11 Board activities during the year have been adequately funded.

4.12 Reserves and designations are available according to applicable constitutional and statutory requirements and "Generally Accepted Accounting Principles" consistently applied.

5. FISCAL MANAGEMENT AND CONTROLS

With respect to the actual, ongoing financial condition of DRCOG, the Executive Director shall ensure:

- 5.1** Board-adopted strategic initiatives are adhered to and financial controls prevent fiscal jeopardy.
- 5.2** Funds for expenditures are available during each fiscal year.
- 5.3** DRCOG obligations are paid in a timely manner and within the ordinary course of business.
- 5.4** Prudent protection is given against conflicts of interest in purchasing and other financial practices, consistent with the law and established in DRCOG Fiscal Management Control Policy.
- 5.5** Funds are used for their intended purpose.
- 5.6** Competitive purchasing policies and procedures are in effect to ensure openness and accessibility to contract opportunities.
- 5.7** Purchases, contracts and obligations which may be authorized by the Executive Director do not exceed the financial authority approved by the Finance and Budget Committee. Purchases, contracts and obligations exceeding the Executive Director's authority are approved by the Finance and Budget Committee.
- 5.8** In the absence of the Executive Director, the Director of Transportation Planning and Operations signs on behalf of the Executive Director. If the Executive Director and Director of Transportation Planning and Operations are unavailable for a signature, the Administrative Officer provides authorizing signatures.
- 5.9** Adequate internal controls over receipts and disbursements prevent the material dissipation of assets.
- 5.10** DRCOG's audit is independent and external monitoring or advice is readily accepted and available.
- 5.11** Revenue sources are consistent with the Board-adopted strategic initiatives and operations are financed without incurring debt that exceeds the Executive Director's authority unless approved by the Finance and Budget Committee.
- 5.12** Reserved, designated and undesignated fund balances are at adequate levels to mitigate the risk of current and future revenue shortfalls or unanticipated expenditures.
- 5.13** Creditworthiness and financial position are maintained from unforeseen emergencies.

6. PROTECTION OF ASSETS

Within the scope of his/her authority in the Executive Director and given available resources, the Executive Director shall ensure:

- 6.1** Assets are protected and adequately maintained against unnecessary risk.
- 6.2** An insurance program exists to protect DRCOG in the event of a property and/or liability loss, including coverage insuring the Board, officers, employees, authorized volunteers and DRCOG against liabilities relating to the performance of their duties and DRCOG's activities in an amount equal to or greater than the average for comparable organizations and, for tort liabilities, in an amount equal to

or greater than statutory limits on amounts DRCOG may be legally obligated to pay.

- 6.3 A policy exists to insure against employee dishonesty and theft.
- 6.4 Facilities and/or equipment are used properly and maintained (except normal deterioration and financial conditions beyond the Executive Director's control.)
- 6.5 Practices and policies are in place for DRCOG, Board and staff to minimize or prevent liability claims.
- 6.6 A policy exists to ensure protection from loss or significant damage of intellectual property (including intellectual property developed using DRCOG resources), information, files.
- 6.7 Internal control standards for the receipt, processing and disbursements of funds are at adequate levels to satisfy generally accepted accounting/auditing standards and costs for internal controls shall be consistent with the benefits expected.
- 6.8 DRCOG's public image, credibility, and its ability to accomplish Board-adopted strategic initiatives goals are upheld.
- 6.9 Adequate planning is done for short and long-term capital or facility needs.
- 6.10 Board auditors or other external monitors or advisors are independent from internal influence.

7. IMMEDIATE SUCCESSION

- 7.1 To protect the Board from sudden loss of Executive Director services, the Executive Director shall have at least one other member of the management team familiar with Board and DRCOG issues and processes.

8. COMMUNICATIONS WITH AND SUPPORT OF THE BOARD

The Executive Director shall ensure:

- 8.1 The Board is informed and supported in its work.
- 8.2 The Board is provided complete, clear information for the accomplishment of its job.
- 8.3 The Board is informed in a timely manner about relevant events and issues regardless of reporting/monitoring schedule.
- 8.4 Required reports to the Board are submitted in a timely, accurate, and understandable fashion.
- 8.5 The Board is aware of actual or anticipated non-compliance with Board-adopted strategic initiatives or Executive Policies.
- 8.6 The Board is provided decision information it requests, information on relevant trends, or other points of view, issues and options for well-informed Board decisions.
- 8.7 The Board is aware of incidental information it requires, including anticipated adverse media coverage or material external and internal/organizational changes. Notification of planned, non-personnel-related internal changes is provided in advance when feasible.
- 8.8 In consultation with legal counsel, Board is appropriately apprised of pending or threatened litigation.

- 8.9** The Board is informed when the Board is not in compliance with its own policies, particularly in the case of the Board behavior that is detrimental to the work relationship between the Board and the Executive Director.
- 8.10** Information provided to the Board is not overly complex or lengthy.

Revision History

December 16, 2015 - General housekeeping edits to align language with the Balanced Scorecard, reference interns as appropriate; use consistent language throughout the document; clarify location of other adopted policies/procedures.

February 15, 2017 – Deleted reference to Administrative Committee and changed to Performance and Engagement Committee and Finance and Budget Committee, as appropriate.