

EXECUTIVE LIMITATIONS POLICIES
Rutland Regional Planning Commission
Adopted May 17, 2005

Summary of Policies

General Executive Constraint

The Executive Director shall not cause or allow any practice, activity, decision or organizational circumstance which is either imprudent, unlawful, or in violation of commonly accepted business and professional ethics.

Treatment of clients

With respect to interactions with clients the Executive Director shall not cause or allow conditions, procedures, or decision which are unsafe, disrespectful, unduly undignified, unnecessarily intrusive, or which fail to provide appropriate confidentiality and privacy.

Staff treatment

With respect to treatment of paid and volunteer staff, the Executive Director may not cause or allow conditions that are arbitrary, capricious, undignified or unsafe.

Budgeting

Budgeting any fiscal year or the remaining part of any fiscal year shall not deviate materially from adopted Commission priorities, violate executive limitations policies or risk fiscal jeopardy.

Financial condition

With respect to the actual, ongoing condition of the Commission's financial health, the Executive Director may not cause or allow the development of fiscal jeopardy or a material deviation of actual expenditures from adopted Commission priorities.

Executive succession

In order to protect the Commission from sudden loss of Executive Director services, the Executive Director may not have fewer than one other person familiar with Commission and Executive Director issues and processes.

Asset protection

The Executive Director may not allow assets to be unprotected, inadequately maintained or unnecessarily risked.

Compensation and benefits

With respect to employment, compensation and benefits to employees, consultants, contract workers and volunteers, the Executive Director may not cause or allow jeopardy to fiscal integrity or public image.

Communication and counsel to the Commission

With respect to providing information and counsel to the Commission, the Executive Director may not permit the Commission to be uninformed.

Ends Focus of Grants and Contracts

The Executive Director may not enter into any grant or contract arrangements that fail to emphasize primarily the mission.

Details of Policies

Executive Limitations Policy #1: Policy Title: Treatment of Clients

With respect to interactions with clients the Executive Director shall not cause or allow conditions, procedures, or decision which are unsafe, disrespectful, unduly undignified, unnecessarily intrusive, or which fail to provide appropriate confidentiality and privacy.

Accordingly, he or she may not:

1. Fail to communicate clearly with clients what may be expected and what may not be expected from the Commission.
2. Fail to inform clients of this policy or to provide a process to those clients who believe that they have not been accorded a reasonable interpretation of their rights under this policy.

Executive Limitations Policy #2: Policy Title: Staff Treatment

With respect to treatment of paid and volunteer staff, the Executive Director may not cause or allow conditions that are arbitrary, capricious, undignified or unsafe.

Accordingly, he or she may not:

1. Operate without written personnel procedures that clarify personnel rules for staff, provide for effective handling of grievances, and protect against wrongful conditions.
2. Discriminate against any staff member for expressing an ethical dissent.

3. Prevent staff from grieving to the Commission when: a) Internal grievance procedures have been exhausted b) The employee alleges either
-that Commission policy has been violated to his or her detriment
-that Commission policy does not adequately protect his or her human rights.
4. Fail to acquaint staff with their rights under this policy.

Executive Limitations Policy #3: Policy Title: Budgeting

Budgeting any fiscal year or the remaining part of any fiscal year shall not deviate materially from adopted Commission priorities, violate executive limitations policies or risk fiscal jeopardy.

Accordingly, he or she may not cause or allow budgeting which:

1. Contains too little information to enable credible projection of revenues and expenses, separation of capital and operational items, cash flow, and disclosure of budget plan assumptions.
2. Plans the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period or drawn down from reserves.
3. Uses reserves without approval from the Commission.
4. Endangers the fiscal soundness of future years or ignores the building or organizational capability sufficient to achieve adopted Commission priorities for future years
5. Is inconsistent with regulatory requirements or contractual obligations of the Commission.

Executive Limitations Policy #4: Policy Title: Financial Condition

With respect to the actual, ongoing condition of the Commission's financial health, the Executive Director may not cause or allow the development of fiscal jeopardy or a material deviation of actual expenditures from adopted Commission priorities.

Accordingly, he or she may not.

1. Expend more funds than have been received in the fiscal year to date unless the debt guideline (below) is met.

2. In debt the organization in an amount greater than can be repaid by certain, otherwise unencumbered revenues within 90 days.
3. Use any long-term reserves without prior approval of the Executive/Finance Committee unless otherwise approved as part of the Annual Budget.
4. Fail to settle payroll and debts in a timely manner.
5. Allow tax payments or other government-ordered payments or filings to be overdue or inaccurately filed.
6. Fail to anticipate and promptly communicate to the Commission future financial needs in excess of revenue reasonably expected in order for the Commission to plan appropriately.
7. Violate the purchasing policies of the Commission.
8. Acquire, encumber or dispose of real property.

Executive Limitations Policy #5: Policy Title: Executive succession and absence

In order to protect the Commission from sudden loss of Executive Director services, the Executive Director may not have fewer than one other person familiar with Commission and Executive Director issues and processes.

In order to ensure the Commission continues to operate in a normal manner, when the Executive Director is absent, the Executive Director shall not leave without a primary individual to execute his or her functions.

Executive Limitations Policy #6: Policy Title: Asset Protection

The Executive Director may not allow assets to be unprotected, inadequately maintained or unnecessarily risked.

Accordingly, he or she may not:

1. Fail to insure against theft and casualty losses to at least 80 percent replacement value and against liability losses to Commission members, staff or the organization itself in an amount equal to or greater than the average of other Commission's of comparable size and in consultation with a risk manager.
2. Allow unbonded personnel access to funds in excess of \$10,000.
3. Subject plant and equipment to improper wear and tear or insufficient maintenance. Under no conditions let plant or equipment deteriorate such that it endangers health or safety.
4. Unnecessarily expose the organization, its Commission or staff to claims of liability.
5. Make any purchase that is inconsistent with the Commissions Procurement System Policy.
6. Fail to protect intellectual property, information and files from loss or significant damage.
7. Receive, process or disburse funds under controls that are insufficient to meet the Commission-appointed auditor's standards.
8. Invest or hold operating capital in insecure instruments, including uninsured checking accounts and bonds of less than AA rating, or in non-interest bearing accounts except where necessary to facilitate ease in operational transactions.
9. Endanger the organization=s public image or credibility, particularly in ways that would hinder its accomplishment of mission.

Executive Limitations Policy #7: Policy Title: Compensation and Benefits

With respect to employment, compensation and benefits to employees, consultants, contract workers and volunteers, the Executive Director may not cause or allow jeopardy to fiscal integrity or public image.

Accordingly, he or she may not:

1. Change his or her own compensation and benefits.

2. Promise or imply permanent or guaranteed employment.
3. Establish current compensation and benefits which deviate materially from the geographic or professional market for the skills employed.
4. Create obligations over a longer term than revenue can be safely projected, in no event longer than one year and in all events subject to losses of revenue.
5. Award compensation increases without an objective evaluation process.
6. Award compensation increases based on longevity alone.

Executive Limitations Policy #8: Policy Title: Communication and Counsel to the Commission

With respect to providing information and counsel to the Commission, the Executive Director may not permit the Commission to be uninformed.

Accordingly, he or she may not:

1. Neglect to submit information required by the Commission in a timely, accurate and understandable fashion, directly addressing provisions of the Commission policies being monitored.
2. Let the Commission be unaware of relevant trends, anticipated adverse media coverage, material external and internal changes, particularly changes in the assumptions upon which any Commission policy has previously been established.
3. Fail to advise the Commission if it is not in compliance with its own policies and, when developed, on policies relating to Governance Process and Commission-Staff Relationship, particularly in the case of Commission behavior that is detrimental to the work relationship between the Commission and the Executive Director.
4. Fail to marshal for the Commission as many staff and external points of view, issues and options as needed for fully informed Commission choices.
5. Present information in unnecessarily complex or lengthy form.
6. Fail to provide a mechanism for official Commission, officer or committee communications.

7. Fail to deal with the Commission as a whole except when a) fulfilling individual requests for information and b) responding to officers or committees duly charged by the Commission.
8. Fail to report in a timely manner an actual or anticipated noncompliance with any policy of the Commission.
9. Fail to supply for the consent agenda all items delegated to the Executive Director yet required by law or contract to be Commission-approved.

Executive Limitations Policy #9: Ends Focus of Grants and Contracts

The Executive Director may not enter into any grant or contract arrangements that fail to emphasize primarily the mission.

Accordingly, the Executive Director shall not fail to prohibit particular methods and activities to preclude grant funds from being used in imprudent, unlawful or unethical ways.

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