

Policies and Procedures

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1. Updating Policies and Procedures

This document outlines the policies and procedures for the various areas of CASTA operations. As such, it should be a living document with updates and changes. However, it is important that staff and board members are aware of and agree to changes. Unless circumstances warrant, team members will identify areas of updating on a separate document for review and incorporation twice a year at board meetings. Changes will be thus be documented and tracked.

2. Document Organization

Policy

Accurate and complete documentation is critical to the efficient functioning of the CASTA services. Documents are stored electronically if at all possible on Google Drive. Documents that are created for a specific program shall be stored in the folder indicating the year created. Each year shall contain the following folders:

- Agency Membership
- Awards
- Board of Directors
- CDOT
- Committees
- Communications
- Conferences
- Contract Work
- Employees
- Financials
- FTA and Federal Issues
- Marketing
- State Advocacy Work
- Training

Documents that are not time sensitive shall be stored the folder labelled “CASTA Non Time Sensitive Documents also on Google Drive.

Accounting documents are stored in Quickbooks attached to the related entry.

Registration and customer contact documents are stored in Neon CRM attached to the related person.

Procedures

| Who | What | By When | File location |
|-------------|--|---------|--|
| CASTA staff | Store documents in appropriate folder. | Ongoing | www.google.com |

3. Membership Services

Policy

CASTA meets the needs of members by being inclusive and transparent. We provide professional development opportunities around the state. Robust communication provides frequent updates. Database of active and previous members builds strong professional network and allows for targeted communications.

Procedures

1. Membership dues

| Who | What | By When | File Location |
|------------|--|----------|--|
| Staff | Draft and send membership letter along with Annual Report. | December | <Year>/Agency Membership |
| Bookkeeper | Send invoices and record dues receipts | On-going | www.intuit.com |

2. Membership Meetings

| Who | What | By When | File Location |
|--|---|---------------------------------------|---------------------------|
| Executive Director and Board President | Draft agenda for membership meetings and send to membership | 60 days before meeting | <Year>/Agency Membership |
| Board President | Conduct membership meeting | Spring Conference and Fall Conference | <Year>/Agency Membership |
| Past President | Solicit nominations for board members, chairs the nominating committee, and selects the final slate of board membership nominations | June 1 – August 31 | <Year>/Board of Directors |
| Past President | Oversees the election and ratifies next year's board | September | <Year>/Board of Directors |

1. Communications

| Who | What | By When | File Location |
|--------------------|---|-------------------|-----------------------|
| Executive Director | Contract and manage communications contract staff: web designer and brochure designer. | Ongoing | |
| Executive Director | Set schedule for deploying communication strategy for in-house and contract staff: web designer, brochure | Beginning of year | <Year>/Communications |

| | | | |
|--------------------|---|-----------------------------|--|
| | designer, guest article writers. | | |
| Executive Director | Set monthly content goals to align with work plan | Last week of previous month | |
| Program Manager | Manage communications implementation and production | Weekly | Constantcontact.com Wordpress for Web |
| Program Assistant | Maintain database of membership and other organizations and individuals affiliated with CASTA | Ongoing | coloradotransit.z2systems.com |

2. Annual Awards Ceremony

| Who | What | By When | File Location |
|---|---|---------------------|------------------|
| Executive Director and Board of Directors | Solicit nominations for annual awards. Put together awards committee and select award winners. Conduct ceremony | July through August | <Year>/AwCAsards |
| Executive Director | Commission artwork for awards | July | <Year>/Awards |

3. Requests for technical assistance

| Who | What | By When | File Location |
|--------------------|---|--------------------------|-----------------------|
| Executive Director | Respond to member queries as appropriate: Respond to question Refer to appropriate expert Send out "Ask a Transit Expert" email to membership list Put on list of trainings if question comes up frequently | Within 24 hours of query | <Year>/Agency Members |

4. Conferences & Trainings

Policy

CASTA hosts two conferences each year. The conference registration fees are kept affordable by 1) business member support and 2) using membership dues supplement income.

The Spring Training conference provides pertinent, timely, in-depth professional development and training for transit professionals and those who touch transit as part of their responsibilities. This conference is typically geared toward mid-level management and those seeking to develop leadership skills. CASTA strives to provide at least 2 multi-day trainings at each conference, round-table discussions and facilitated networking.

The Fall Conference and EXPO is designed to provide those at the mid-level or peak of their transit career the tools and information necessary to build sustainability into their organizations. Format typically includes panel and round-table discussions and facilitated networking. The EXPO provides a venue for transit-related businesses to showcase products and services and build relationships. The annual awards ceremony celebrates the accomplishments of individuals and agencies.

Other trainings are provided regionally, online or via webinar.

Procedures

| Who | What | By When | File Location |
|---|--|---------------------------------------|--------------------|
| Board of Directors and Executive Director | Develop list of training and development needs by consulting with national organizations, RTAP committee, CDOT, the FTA and transit agencies | November previous year | <Year>/Conferences |
| Executive Director | Set schedule and verify with CDOT and board of directors | 15 weeks from beginning of conference | <Year>/Conferences |
| Executive Director | Contact and confirm speakers | 15 weeks from beginning of conference | <Year>/Conferences |
| Executive Director | Oversee logistical planning | Through conference execution | <Year>/Conferences |
| Executive Director | Engage keynote speaker on topic of interest (does not have to be transit-related). | July | <Year>/Conferences |

4. Training

| Who | What | By When | File Location |
|-----|------|---------|---------------|
|-----|------|---------|---------------|

| | | | |
|--|---|-----------------|------------------|
| Board of Directors | Identify key training issues and suggested format | November | <Year>/Training` |
| Executive Director | Draft training calendar for year | January | <Year>/Training` |
| Executive Director and Program Manager | Contact speakers and secure locations | January | <Year>/Training` |
| Program Manager | Manage logistics of trainings | Throughout year | <Year>/Training` |

5. Advocacy

Policy

CASTA advocates on behalf of transit agencies at the state and federal level. CASTA seeks to be known as the source of reliable, accurate and thoughtful information regarding transit funding and policy.

Procedures

1. State Legislative Advocacy

| Who | What | By When | File Location |
|---|--|-----------------------------------|--|
| Board of Directors and Executive Director | Explore policy ideas, develop state advocacy strategy and legislative agenda, and create plan of action. | November | <Year>/State Advocacy |
| Executive Director | Explore solutions and set plan with lobbyist | December | <Year>/State Advocacy |
| Board of Directors, Executive Director and Lobbyist | Implement legislative agenda including being available to testify, request actions from members for our own interests as well as those of partner organizations. | January – May | <Year>/State Advocacy |
| Board of Directors and Executive Director | Deploy rapid response from board when asked for position on bills. | As needed | <Year>/State Advocacy |
| Executive director | Communicate with members regarding bill status. | Weekly during legislative session | www.constantcontact.com |
| Executive Director and Lobbyist | Implement non-legislative plan of action | Throughout the year | <Year>/State Advocacy |

2. State Department Advocacy

| Who | What | By When | File Location |
|---|---|-----------------------|-----------------------|
| Board of Directors and Executive Director | Meet with CDOT DTR and other division staff on issues relevant to the membership. | Quarterly | <Year>/State Advocacy |
| Executive Director | Organize meetings with CDOT Commission members and transit | One meeting a quarter | <Year>/CDOT |

| | | | |
|----------------------|--|-------------------------|------------------------------|
| | agencies | | |
| Executive Director | Serve on the Transit and Rail Advisory Committee (TRAC) | One meeting per quarter | <Year>/CDOT |
| Executive Director | Work with staff and leadership in other state departments (Health Care Policy and Finance, Revenue, etc.) as appropriate on issues related to transit. | As needed | <Year>/<Specific Department> |
| CASTA Representative | Serve on CDOT Efficiency and Accountability Committee | One meeting a month | www.cdot.gov |

3. Federal Advocacy

| Who | What | By When | File Location |
|--|---|---|--|
| Board of Directors and Executive Directors | Listen to transit agencies, state agencies, planning partners, other stakeholders, legislators, and federal sources and collect and develop policy ideas for potential action. Develop federal advocacy strategy | December | <Year>/Federal Issues |
| Executive Directors | Develop and implement action plan. Resources include as Colorado delegation, relationships with federal agency officials, hiring project-specific lobbyist, other state associations. | December | <Year>/Federal Issues |
| Executive Directors | Meet with FTA staff on training, grants, rulemaking and other Federal issues. | Quarterly | <Year>/Federal Issues |
| Executive Director | Send notices of federal rulemaking to members. Respond to federal rulemaking input opportunities based on member needs. | As appropriate | www.dot.gov |
| Board President and Executive Director | Lead trips to DC. Develop agenda and talking points. Determine best times for visits. Discuss federal advocacy strategy with delegation staff, committee staff and national organization (APTA, CTAA) staff. Work with delegation offices to set meeting schedules. | Spring | <Year>/Federal Issues |
| Executive Director | Attend national policy conferences. Accept speaking engagements as appropriate. Build relationships with other DOT staff and Transit Association | Options: SWTA (February) APTA Legislative | |

| | | | |
|--|----------|--|--|
| | leaders. | (March) CTAA (June) APTA (October) | |
|--|----------|--|--|

4. Requests to serve on committees and make presentations

| | | | |
|--|--|-----------|--|
| Executive Director and Board President | <p>Discuss request with board president to determine if fits in work plan and strategy.</p> <p>Priorities (listed most important to least important):</p> <p>Membership</p> <p>Pertaining to financial or legal repercussions for CASTA and its members</p> <p>Colorado transit policy and funding</p> <p>Federal transit policy and funding</p> <p>Regional, state and federal transportation policy and partnerships</p> <p>Regional transit policy and funding</p> <p>Transit system users (commuters, elderly, people with disabilities, students, etc.)</p> <p>Transportation system impacts such as land use and environmental issues.</p> | As needed | |
|--|--|-----------|--|

6. Financial Management

Policy

CASTA maintains accurate accounting records that provides transparent and effective reporting for members and other interested parties. Staff and board members take appropriate precautions to protect the organization from fraudulent activity.

Procedures

1. Accounts

| Who | What | By When | File Location |
|-----------------------------------|---|-----------------------------------|--|
| Executive director and bookkeeper | Maintain books in Quickbooks or industry-standard software. Expenses and income are classified into categories (CASTA, RTAP, Spring Conference and Fall Conference | Ongoing | Cloud service: www.intuit.com |
| Executive director | Maintain accounts at bank or other FDIC-insured institution: Checking, Savings (for overdraft protection) and Rainy Day fund in a mutual fund or other type investment vehicle with return better than savings account. | Ongoing | www.efirstbank.com www.fidelity.com |
| Treasurer | Authorize bank transfers of funds between bank accounts | As needed for cash flow purposes. | |
| Board of Directors | Designate check signers for accounts. Include the Executive Director, Treasurer, Board President, and a board member based in the Denver-metro area. | After the election of officers. | <Year>/Board of Directors |
| | | | |

2. Daily Procedures

| Who | What | By When | File Location |
|-------------------|--|-------------------|---|
| Program Assistant | Open mail. Stamps checks to be deposited "For Deposit Only. | Close of business | In hanging files next to Program Administrator's desk |
| Program Assistant | Open mail. Gives invoices to be paid to executive director for | Close of business | In hanging files next to Program Administrator's |

| | | | |
|--|----------------------|--|------|
| | review and approval. | | desk |
|--|----------------------|--|------|

3. Weekly procedures

| Who | What | By When | File Location |
|--|--|---------|---|
| Bookkeeper | Pay outstanding bills. Checks can only be cut with an invoice from a verified entity. When a check is signed with supporting documentation attached, the supporting documentation be "marked" so that it cannot be reused. | Weekly | In hanging files next to Program Administrator's desk |
| Bookeeper | Deposit checks. | Weekly | In hanging files next to Program Administrator's desk |
| Bookkkeeper | Send out invoices for services provided. | Weekly | In hanging files next to Program Administrator's desk |
| Board of Directors, Executive Director and Bookkkeeper | Verify that checks over \$2,500 have two signatures of which only one can be the executive director. | Weekly | |

4. Month-End Procedures

| Who | What | By When | File Location |
|--------------------|--|--|--|
| Executive Director | Initiate payroll through the external payroll company's payroll processing system. | No less than two business days before the end of the month | www.adp.com |
| Executive Director | Review payroll report for errors. | Once payroll is processed | www.adp.com |
| Executive Director | Save payroll report and tax liability report from payroll processing company and bank statements. Verify sufficient cash in bank account to cover payroll. | Once payroll is processed | <Year>/Financials |
| Program Assistant | Download weekly time sheets and provide report detailing hour worked on each task to executive director. | On the last business day of the month | <Year>/Employees |
| Executive Director | Enter percentages worked by | Before bookkeeper | <Year>/Financials |

| | | | |
|--------------------|---|---|--|
| | program and project into Payroll Export worksheet and enters payroll general journal into Quickbooks. | comes in. | |
| Bookkeeper | Reconcile books with bank statements. | Before the 10 th day of the following month. | www.intuit.com |
| Executive Director | Process SIMPLE IRA contribution payments to Fidelity. | Before the 10 th day of the following month. | planmanager.fidelity.com |
| Executive Director | Review budget to actual reports and discusses trends with Treasurer. | After reconciliation | |
| Executive Director | Submit invoices for each open contract at the end of each month include hours worked by task, expenses incurred, and income earned related to the contract. | Before the 20 th of the following month. | <Year>/Contracts |

5. Quarterly Procedures

| Who | What | By When | File Location |
|--------------------|---|--|---|
| Executive Director | Prepare quarterly reports and analysis to the Board of Directors: Year to Date Budget to Actual Financial narrative including explanation for accounts that are 10% or more over or under budget. | 2 weeks after the end of each quarter. | <Year>/Board of Directors/<Specific meeting folder> |
| Executive Director | Provide membership report outlining memberships paid for the year, comparison with previous years, and a list of non-payers. | At the May board meeting | <Year>/Agency Membership |
| Executive Director | Provide Conference registration report for Spring and Fall conferences with comparison. | September meeting | CASTA Non-Time Sensitive/Historical Conference Data |

6. Year End Procedures

| Who | What | By When | File Location |
|------------------------------|--|----------|---------------------------|
| Executive Director and Board | Design and send annual report to membership, including draft revenue and expenses, | November | <Year>/Board of Directors |

| | | | |
|--------------------------------------|--|---------------------------------|--|
| Executive Team | financial position and accomplishments for the year. | | |
| Executive Director and auditing firm | Set date for audit (typically end of January). | December | www.strategemconsulting.com |
| Contract staff – Janice DeMaria | Review checks for documentation and document missing check numbers. | January | <Year>/Financials |
| Executive Director and Bookkeeper | Run reports and provides documentation as requested by the auditor. | January | <Year>/Financials |
| Executive Director and Treasurer | Review audit results with auditor. | When audit results are complete | <Year>/Financials |
| Board of Directors | Meet with Auditor; approves audit results. | May board meeting | <Year>/Board of Directors |
| Bookkeeper | Enter Adjusted Journal Entries into accounting software to reconcile year end reports. Once the year is closed, adjustments to the previous year's entries must be approved by Treasurer in writing. | After May board meeting | <Year>/Board of Directors |

7. Fraud awareness and protection

| Who | What | By When | File Location |
|---|--|-----------|--|
| Staff members, Board of Directors, contract employees, association members, and anyone who does business with CASTA | Report to the Board of Directors any accounting staff and key personnel that appear to be apprehensive about taking vacations, time off and/or not being the first person to arrive and last person to leave each day. | Ongoing | www.coloradotransit.com |
| Board of Directors and senior management | Receive annual training to recognize possible employee substance abuse. | Once year | <Year>/Employees |
| CASTA leadership | Monitor employees known to be going through hardships (divorce, sick children, etc.) | As needed | Year>/Employees |

8. Budgeting

| Who | What | By When | File Location |
|----------------------------------|--|--------------|---------------------------|
| Executive Director | Submit estimates for revenue and expenses for following year to board. | November | <Year>/Financials |
| Board of Directors | Review estimates, establishes program budgets and includes additional programs and projects based on work plan. (See estimation guidelines below). | By January 1 | <Year>/Financials |
| Executive Director and Treasurer | Request a formal Budget Amendment when Actuals are xxx % over or under budgeted amount. | As needed | <Year>/Board of Directors |

How to estimate income and expenses

- Conference registration fees are estimated based on historical data, location, and transit agencies' travel budgets.
- Membership dues are estimated based on lagging economic indicators for Colorado. Contracts
- Salaries are estimated based on current salary base and employee performance raises.
- Overhead is estimated based on lease, cost of materials, and asset replacement plan.
- Technology is estimated based on existing contracts and anticipated changes.

9. Insurance

CASTA maintains Officers and Directors liability and General Liability insurance policies in amounts recommended by our insurance broker.

| Who | What | By When | File Location |
|----------------------------------|--|-----------------------------------|-------------------|
| Executive director and treasurer | Review Officers and Directors and General Liability insurance policies for coverage. | Every 5 years (last done in 2016) | <Year>/Financials |

7. Procurement

Policy

CASTA shall exercise due diligence in its procurement process to frugality and efficiency. Please refer to the table below for procurement policies for specific dollar amount transactions.

Procurements undertaken on behalf of a Federal Contract

Procurements undertaken on behalf of federal contracts (such as the RTAP and the National RTAP contract) shall follow the federal procurement guidelines as identified in the contracts. These guidelines supersede the CASTA policy outlined below.

Table 1 - CASTA Procurement Policy

| Amount | Policy |
|-------------------------------|--|
| 0-\$1,000 | Staff discretion, no documentation required |
| \$1,001 and up, non-recurring | <p>Three quotes in writing</p> <p>Quotes and notes on decision stored in QuickBooks or in files</p> <p>If item or service is only provided by one provider, document attempts to locate additional providers.</p> <p>Cost is not the only consideration in selecting winning bids – cost effectiveness and best solution for CASTA are also valid considerations.</p> <p>Once these requirements are met, if the purchase is in the board-approved budget, staff may move forward without additional board approval.</p> <p>If the purchase is not in the board-approved budget, board must approve purchase before staff moves forward.</p> |
| \$1,001 and up, recurring | <p>Staff shall obtain three quotes in writing.</p> <p>Cost is not the only consideration in selecting winning bids – cost effectiveness and best solution for CASTA are also valid considerations.</p> <p>Quotes and notes on decision stored in QuickBooks or in filing system under related program.</p> <p>If item or service is only provided by one provider, document attempts to locate additional providers.</p> <p>Once these requirements are met, if the purchase is in the board-approved budget, staff may move forward without additional board approval.</p> <p>If the purchase is not in the board-approved budget, board must approve purchase before staff moves forward.</p> <p>Once under contract does not require additional documentation</p> |

8. Document Retention and Disaster Recovery

Policy

As there are very few ‘hard’ assets that could be damaged in a disaster such as a fire or flood, the CASTA disaster recovery plan addresses the organization’s documentation and records.

Document Retention Schedule

Hard and soft documents shall be retained according to the time frames (see Table 2). These time frames may be altered by board decision.

Table 2 – Document Retention Timeframes

| Document Type | Minimum Retention | Destruction Method |
|--|--|--------------------------------|
| Organization founding documents (e.g. Articles of Incorporation, Bylaws, IRS Letter of Determination) | Permanently | N/A |
| Informal (handwritten) meeting notes (e.g. staff meetings) | 2 years, or longer if topics remain relevant | Recycle/scrap paper |
| Timesheets Expense reports | 7 years after end of employment | Shred; delete |
| Employee Evaluations | 7 years while employed, 2 years after end of employment. | Shred; delete |
| Budgets Accounts payable ledger and schedules; Invoices from vendors Accounts receivable ledgers and schedules; invoices to members and attendees Audit reports Membership Records | 7 years | Shred; delete |
| Financial Statements (end-of-year) Tax Returns | Permanent | N/A |
| Contracts with and invoices from vendors | 7 years after expiration and payment | Shred; delete |
| Conference and workshop files Marketing materials Attendee lists Contracts and invoices from consultants | 7 years | Recycle/scrap/ shred/delete |

| | | |
|---|--------------------------------------|-----------------|
| Payment records from attendees Payments for food and supplies | | |
| Correspondence and general email | 2 years | Delete |
| Correspondence (legal and important matters) needs clarification | Permanent | N/A |
| Photographs <ul style="list-style-type: none"> - High quality with details of event - Low quality missing details | 10 years or permanent 2 years | Delete; recycle |

Exception for documents of legal importance

CASTA records that are relevant to litigation, or potential litigation (i.e., a dispute that could result in litigation), are excepted from these retention policies and must be preserved until it is determined by the Board of Directors that the records are no longer needed. This exception supersedes any previously or subsequently established destruction schedule for those records.

Procedure

| Who | What | By When | File Location |
|--------------------|--|---|--|
| Executive Director | Download previous year's files onto disk and store off site | January 31 of following year | Home |
| Program Assistant | Scan historical documents and store off site | As needed | Home |
| Program Assistant | File hard copies of documentation in boxes labelled by year in CASTA's offices | After audit | CASTA offices |
| Executive Director | Store passwords, staff and board contact information and account information shall be stored on Google Drive and electronic storage devices. | Every 6 months | ED>Passwords; home |
| CASTA Staff | Update passwords for following: Bank accounts Phone and internet access accounts Email and software accounts Payroll | Every three months and when employee leaves CASTA | ED>Passwords CASTA Office>Passwords |

9. Office Operations

Policy

The CASTA offices a place for employees to work in a healthy, congenial environment, and a convenient location for meetings with stakeholders and partner organizations.

Procedure

| Who | What | By When | File Location |
|--------------------|--|------------------------------|-------------------------------------|
| Executive director | Manage IT systems for office including working with contract IT staff. | As needed | |
| Executive director | Manage office space and lease | Current lease ends 11/1/2017 | Non Time Sensitive Documents/Leases |

10. Human Resources

Policies

CASTA seeks to undertake an annual work plan that is challenging and rewarding, but does not burn out the small staff. Each employee has specific deliverables for the year, and reviews are used to evaluate performance, align job responsibilities with annual work plan, and document both successes and challenges for CASTA staff and executive directors.

The content in a review should not come as a surprise to the employee. The Executive Director and the Board of Directors provide feedback throughout the year on areas of concern and specific successes. This allows issues to be addressed before significant damage occurs.

CASTA uses a system of merit based pay increases for all their employees. Review results are used to determine if an employee deserves a raise and if so how much. Raises are put into place beginning January 1 of the following year.

Procedures

1. Set annual work plan

| Who | What | By When | File Location |
|--------------------|--|----------|---------------------------|
| Board of directors | Set annual work plan | November | <Year>/Board of Directors |
| Executive director | Assign tasks and responsibilities to staff | December | <Year>/Board of Directors |
| | | | |

2. New Hire Reviews

| Who | What | By When | File Location |
|-------------------------------------|---|---|---------------|
| Executive director and new employee | Conduct and document 3-month review. Employee evaluate her or his performance, what additional training they need and if they have any concerns. Areas of concern and additional training are documented. | Week following 3-month anniversary of hire date | ED>Employees |

3. As-needed and Ongoing Reviews

| Who | What | By When | File Location |
|---------------------------------|--|-----------|---------------|
| Executive director and employee | Draft and agree to plan to of action to address area of serious concern. | As needed | ED>Employees |

| | | | |
|--|--|--|---------------------------|
| Executive director and employee | Conduct year-end review of each employee, including areas of success and challenges to address in coming year. | By December 15 (start before Thanksgiving) | ED>Employees |
| Board of Directors and Executive director (lead by Vice President) | Conduct year-end review of performance as related to CASTA work plan. | By December 15 (start in October) | <Year>/Board of Directors |

4. Hiring and Benefits

| Who | What | By When | File Location |
|--------------------|--|----------------|--|
| Executive director | Verify that existing job description is accurate. Review salary surveys for similar positions. | When necessary | <Year>/Employees |
| Executive director | Post job on websites. | When necessary | www.coloradononprofit.com www.regis.edu |
| Executive director | Review applicants, interview most promising, check references. | | |
| Executive director | Review benefits to verify competitive and cost-effective. Includes SIMPLE IRA, Life insurance, health insurance, transit passes, and health club membership. | Annually | |

11. Executive Director Role

Policy

As outlined in procedures above and in the CASTA Sustainability document, the executive director is responsible for implementing the work plan approved by the board, managing the CASTA staff and contract employees, and managing the day-to-day operations of the CASTA office.

Procedures

| Who | What | By When | File Location |
|--|--|---|---------------------------|
| Board president and executive director | Meet once a month by phone to discuss issues and concerns. | One week before board informational meeting | <Year>/Board of Directors |
| Board president and executive director | Prepare agenda for monthly board informational meeting and send to board members | One week before meeting | <Year>/Board of Directors |
| Board president and executive director | Prepare agenda for quarterly board meeting | 3 weeks before meeting | <Year>/Board of Directors |
| Executive director | Prepare packet for meeting and send to board members | 2 weeks before meeting | <Year>/Board of Directors |

12. Board Membership

Policy

The board of directors is CASTA's governing body and has the authority to take all appropriate measures and perform all duties required to accomplish the objectives of the association. The Board may appoint, remove, and prescribe duties for the executive director necessary to carry on the work of the association. The Board of Directors authorizes all contracts and instruments.

Officers and directors will uphold the bylaws and articles of incorporation of the organization and will ensure that their membership in CASTA remains in good standing. Board Members will conduct the business affairs of the Association in good faith and with honesty, integrity, due diligence and reasonable competence.

Board Members will exercise proper authority and good judgment in their dealings with Association staff, suppliers and the general public, and will respond to the needs of the Association's members in a responsible, respectful and professional manner.

Board members will not engage in or facilitate any discriminatory or harassing behavior toward CASTA staff, members, officers, directors, meeting attendees, exhibitors, advertisers, sponsors, suppliers, contractors, or others in the context of activities relating to the Association.

Officer and Board Member Duties

1. President

The President is the Chief Executive Officer of the association and has the general management and control of the affairs of the Association. She or he presides at all membership and board of directors meetings. The President has the authority to sign with the Secretary all contracts and other instruments on behalf of the association. The President also performs all other duties as assigned by the Board of Directors.

2. Vice President

In the absence or disability of the President, the Vice President has all the powers and performs the duties of the President. She or he is also responsible for leading the executive director annual review process and such other duties as may be assigned by the President or the board of directors.

3. Secretary

The Secretary prepares and maintains the minutes of the directors' and members' meetings and undertakes all other duties incident to the office of Secretary not specifically enumerated herein.

4. Treasurer

The Treasurer approve quarterly reports, provide financial reports at board meetings and to the membership and performs other such other duties as assigned by the President or board of directors.

5. Past President

The Past President chairs the nominating committee and performs other duties as assigned by the President.

13. Ethical Conduct

Conflict of Interest Policy

This Conflict of Interest Policy applies to officers, directors, and staff of the Colorado Association of Transit Agencies (CASTA). Officers, directors, and staff are responsible for safeguarding the interests of CASTA and shall not use any information of CASTA for personal gain or benefit, or participate in activities where their personal, financial or their employer's financial interests are in conflict with the interests of CASTA.

By signing this policy, officers, directors and staff agree to:

- 1) Disclose to the Board of Directors any facts or circumstances which may create actual or potential conflicts between their personal, financial or their employer's financial interests are in conflict with the interests of CASTA.
- 2) Refrain from participating in, acting on or debating any Board action or decision in which an actual or potential conflict exists between their personal or financial interests and the interests of CASTA.
- 3) Not solicit or accept gifts, gratuities, free trips, honoraria, or other items of value as an inducement to provide special treatment with respect to matters pertaining to CASTA without fully disclosing such items to the board.

Whistleblower Policy

A person reporting fraud or illegal activity should contact an Officer of the Board. All complaints shall be confidential and there will be no retaliation against any whistleblower. The Board of Directors will investigate Complaints and will take the necessary measures to correct the problem.

CASTA Conflict of Interest Disclosure Statement

I verify that I have reviewed the CASTA's Conflict of Interest and Whistleblower Policies. I agree to notify the President of the Board of Directors should a conflict of interest or potential conflict of interest arise during my tenure as an officer/director/staff person of CASTA.

Officer/director/staff (printed name) _____

Officer/director/staff (signature) _____

Date: _____