

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
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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)	
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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	
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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
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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: _____