## Mn minnesota

## Executive Director Limitations Report

The Executive Director Limitations report is to be filled out on behalf of or by the Executive Director. When not in compliance, an explanation is required. Additional comments are optional.

DATE RANGE MONITORED
From (mm/dd/yyyy): 01/01/2023
To (mm/dd/yyyy): 6/30/2023

## Question Prompts

3.1 - The Executive Director will not cause or allow relationship situations with the Council's community partners and stakeholders to be disrespectful or uncollaborative.

I have complied with this policy:
$\square$ No

## Comments:

I believe the agency's reputation and relationships have demonstrated commitment to strong relationships that are collaborative and respectful. Also the number of partners who want to partner with us for events like the State Fair plus elected officials are very interested in our work. I feel this is becoming a strength for us.

### 3.1.1 Requests for Support

The Executive Director will ensure that community needs and barriers are brought to the Council's attention.

I have complied with this policy:No

Comments:
Several public policy issues or access concerns were brought to the Council and every time someone requests to be added to the agenda, we provided information and resources to support their ability to communicate to our Council.

### 3.1.2 Clear Expectations

The Executive Director will ensure that community stakeholders have a clear understanding of the role, responsibilities, and scope of authority of the Council.

I have complied with this policy:

Yes
$\square$ No

## Comments:

In our communications, presentations, and slides, we make a point to explain our work, our scope, and how we do our work as often as possible. This helps ensure people are aware of how we do our work, what our authority is, and how they can partner with us. More work to do for public awareness, but I am seeing progress.

### 3.1.3 Public Image

The Executive Director will not personally endanger the agency's public image, its credibility, or its ability to accomplish its Ends Planning policies.

I have complied with this policy:
Yes
$\square$ No

Comments:
I believe this area, Public Image, has grown tremendously in recent history as shown by others inviting us into spaces, leaders asking for input and feedback, and more influence in government and in media.

### 3.1.4 Grievance Opportunity

The Executive Director will ensure that community stakeholders have an opportunity to be heard if they believe they have been treated disrespectfully.

I have complied with this policy:

Yes
$\square$ No

Comments:
Every time someone shares a concern or frustration with me or our staff, I share our policy on complaints and grievances and ensure they are aware that people can contact our council with any complaints.

### 3.2 Treatment of Staff

The Executive Director will ensure that staff are clear about their individual and collective roles, responsibilities, and performance expectations.

I have complied with this policy:
Yes
$\square$ No

## Comments:

I think we have further work to do to improve our work and collaboration, but I believe staff feel empowered to do their work, allowed to do it without micro-managing, and have done it very well.

I do think we can continue to improve in areas such as knowing exactly how one person's work directly connects to our strategic plans.

### 3.2.1 Health and Safety

The Executive Director will ensure staff are prepared and have the appropriate equipment, resources, and training to properly protect themselves in situations that are physically unsafe or unhealthy.

I have complied with this policy:

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Yes
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$\square$ No

## Comments:

We have developed required policies on workplace violence prevention, plus protocols for emergencies, in addition to our continuing operations plans for emergencies (such as COVID). I believe we have one outlying area to address, which we are trying to accomplish with our landlord, which is to implement emergency and safety drills and to look at tactile evacuation maps for safety.
Also, we recently requested auditory and visual alarms for our whole suite to increase emergency communication.

### 3.2.2 Training

The Executive Director will adequately and consistently support and monitor the professional activities and development of all staff.

I have complied with this policy:No

Comments:
As money has loosened up, our ability to support professional development is also improving. We were able to do little in the past (even though I wanted to do more). Going forward, I believe this is one area that we should see significant improvement with our increased budget from the legislature.

### 3.2.3 Data Confidentiality and Cyber Security

The Executive Director will provide adequate, consistent, and updated staff training and sufficient oversight of data confidentiality, cyber security practices, and organizational procedures.

I have complied with this policy:

Yes
$\square$ No

## Comments:

We have data policies, free resources, mandatory training, and MNIT security in place to support our data practices and cyber security. Most of these are done with MNIT or other agencies leading the work.

### 3.2.3.1 Reporting Requirement

The Executive Director will not allow any potential data or cyber security breach incidents to go unreported to the appropriate authority.

I have complied with this policy:
Yes
$\square$ No

Comments:
None occurred.

### 3.2.4 Performance Evaluations

The Executive Director, following various union requirements, will ensure that staff have an annual performance evaluation.

I have complied with this policy:
$\square$ Yes
$\square$ No

Comments:
We will continue to do annual performance reviews and position description updates for all staff.

### 3.2.5 Executive Director Evaluation

Staff will have an opportunity to provide feedback on the Executive Director's annual performance or when the Council requests it.

I have complied with this policy:
$\square$ No

Comments:
We have not done ED monitoring during this period of 2023, but we did in years past and will continue to do so this fall.

### 3.2.6 Employee Discipline

The Executive Director will ensure all disciplinary action is in consultation with Human Resources. I have complied with this policy:
$\square$ Yes

No

Comments:
No formal disciplinary action occurred during the time period.

### 3.3 Respectful Workplace

The Executive Director will support a respectful workplace environment through awareness of standards for professional behavior, including procedures for addressing informal or formal complaints.

I have complied with this policy:
$\square$ No

Comments:
We have a respectful workplace policy at MCD and we bring it up in meetings and conversations by myself and Linda Gremillion to ensure all folks are aware of it (even at the State Fair).

### 3.3.1 Employee Grievances

The Executive Director will not allow staff grievances and their resolution to be ignored or prevent staff from filing a grievance following the collective bargaining agreement for that staff and HR rules and policies.

I have complied with this policy:

Yes
$\square$ No

## Comments:

I am not aware of any grievance going to HR or to our council during this time period. Our policy is to ensure people are not blocked from filing a grievance against any person.

### 3.3.1.1 Grievance Retaliation

The Executive Director will not behave in a way that could be perceived as retaliation if an employee uses their grievance rights.

I have complied with this policy:
Yes
$\square$ No

Comments:
Not applicable in time period but absolutely will comply.

### 3.3.1.2 Retaliation Protection

The Executive Director will ensure that staff who report serious action or improper conduct be protected from retaliation.

I have complied with this policy:
$\square$ Yes
$\square \mathrm{N}$

Comments:
Not applicable.

### 3.3.2 Conflicts of Interest

The Executive Director will not employ or contract with any person without following a conflict of interest policy.

I have complied with this policy:
$\square$ No

Comments:
Ethical considerations are brought up in nearly every planning and strategic direction meeting. We continue to push for integrity and principled work in our public spotlight. I believe we have maintained our policy on ethics and conflicts of interest.

### 3.3.3 Diversity, Equity, and Inclusion

The Executive Director will have agency policies and plans to increase the diversity of its staff and Council Members.

I have complied with this policy:

Yes
$\square$ No

## Comments:

We are part of the State's Affirmative Action Plan, and our Plan will be posted on our website shortly. I will continue to advocate for increased diversity in our staffing and council appointments.

### 3.4 Finance

The Executive Director will not cause or allow the development of irresponsible financial risk or a significant difference of actual spending from Council priorities established in the End Results policies or use Council funds for personal gain.

I have complied with this policy:
Yes
$\square$ No

Comments:
Our financial health is very strong with increased funding. Our funds have planned purposes and the Council has been updated on our finances every meeting and future expense planning.

### 3.4.1 Unbudgeted Purchases

The Executive Director will not make an unbudgeted purchase or commitment of greater than $\$ 25,000.00$ without Council approval. Splitting purchases to avoid this limit is not acceptable.

I have complied with this policy:

Yes
$\square$ No

Comments:
This did not occur during the monitoring window.

### 3.4.2 Uncompromised Audit

The Executive Director will not compromise any form of Council audit.

I have complied with this policy:
$\square$ No

Comments:
No audit occurred.

### 3.4.3 Financial Communication

At every regularly scheduled full Council meeting, the Executive Director will update the Council on the status of the budget, expenses, and potential legislative proposals that would impact the Council budget.

I have complied with this policy:

YesNo

## Comments:

Council members have received regular financial updates and we have shared possible legislative changes that would increase our budget during the legislative session.

### 3.4.4 Financial Planning Changes

The Executive Director will not significantly change from the Council's Ends Results Policy priorities, risk the financial health of the agency, or fail to be in line with a multi-year plan without communicating the situation and adjustments needed to meet the new financial situation.

I have complied with this policy:
Yes
$\square$ No

Comments:
We have communicated our work and goals to our Council and I believe they are consistent with the Ends Results policies.

### 3.5 Emergency Executive Director Succession

The Executive Director will not operate without making sure that at least one other staff member is prepared to temporarily assume their responsibilities in a competent manner, including crisis management, in event of sudden loss of the Executive Director's services.

I have complied with this policy:
Yes
$\square$ No

Comments:
Linda Gremillion's position description includes a provision to work as an interim E.D. to ensure a new leader can be appointed and council business can occur until a formal replacement can be chosen by the Council.

### 3.6 Communication and Support to the Council

The Executive Director will ensure that the Council be informed and supported in its work.

I have complied with this policy:
$\square$ No

Comments:
I believe I have been very supportive and responsive to feedback, contact, and requests for information or help from council members. We also have done training and education on our work to our council in the past 3 years.

### 3.8.1 Evaluation Responses

The Executive Director will provide accurate and timely responses to evaluation questions and provide supporting data upon request.

I have complied with this policy:

Yes
$\square$ No

Comments:
My communication and answers to the Council have been honest and timely.

### 3.8.2 Adequate Information

The Executive Director will ensure the Council has enough information it needs to make reasonably informed decisions.

I have complied with this policy:
$\square$ No

Comments:
I believe that we have complied. Each time the council considers a decision, different sides have been presented, even through disagreement. I do attempt to provide honest and fair representations of issues and their intended and unintended potential consequences.

### 3.8.3 Communication Methods

The Executive Director will ensure the Council has adequate administrative support and communication tools to conduct its work.

I have complied with this policy:

Yes
$\square$ No

Comments:
I think we can always communicate more but I believe it has been at least adequate.

### 3.8.4 Communication to the Full Council

The Executive Director will only work with individual Council members instead of the full Council on official Council business when necessary (for example when the Council has assigned a person or committee a task).

I have complied with this policy:
$\square$ No

Comments:
I believe I properly refer items to the full council as the normal practice in our work and also provide updates and information throughout the year in our one-on-ones with the ED, Chair and Vice-Chair (normally every Friday).

This was received on time:

Yes
$\square$ No

Plans to bring policies into compliance are reasonable and acceptable:
YesNo

Comments from the Governance Systems Committee:
Committee reviewed on 9/12/2023 and found the answers complete, reasonable, and recommended for approval by the next Full Council meeting.

No policies or plans needed changes for compliance.

Committee Roster who Reviewed (Enter your name in the next available space, A, B, or C):

A: Hope Johnson
B: Ted Stamp
C: Jen Foley \& Nick Volmuth

