



Monitoring Report 2.8 Emergency Succession

Service Committee Review Date: October 3rd, 2022

Board Meeting Review Date: October 20th, 2022



INFORMATION TYPE:
Decision
RECOMMENDED ACTION(S):
The Finance Committee recommends that the Board accept the Monitoring Report as A, In Compliance.
ISSUE SUMMARY:
<p>This policy is in regard to staffing to fill in for the CEO. It covers the period of June 2020 until late September 2022. The Board's schedule is to monitor this policy every two years. This policy was scheduled to be monitored in October and submitted to the Board in September and is on time.</p> <p>I certify that the information is true and complete, and I request that the Board accept this as indicating an acceptable level of compliance.</p> <p>Signature:  Date: <u>September 29, 2022</u></p> <p>Matt Carpenter, CEO</p>
BACKGROUND:
<p>TheRide's Board of Directors establish policies that define what methods are unacceptable to use to achieve expected results, called Executive Limitations.</p> <p>This monitoring report provides the CEO's interpretations of those policies, evidence of achievement, and an assertion on compliance with the Board's written goals. As with other monitoring reports, the Board decides whether the interpretations are reasonable, and the evidence is convincing.</p> <p>Monitoring Reports are a key Policy Governance tool to assess organizational/CEO performance in achieving Ends (1.0) within Executive Limitations (2.0).</p>
ATTACHMENTS:
1. Policy Monitoring Report for Policy 2.8 Emergency Succession

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POLICY TITLE: EXECUTIVE LIMITATION POLICY 2.9	Page #	Compliance
2.8. In order to protect the Board from sudden loss of CEO services, the CEO may have no fewer than one, and preferably two, other executive who are sufficiently familiar with Board and CEO issues and process to be able to temporarily assume the duties of CEO.	3	

 Fully Compliant
  Partially Compliant
  Non-Compliant

CEO Interpretations and Evidence

POLICY 2.8: In order to protect the Board from sudden loss of CEO services, the CEO may have no fewer than one, and preferably two, other executives who are sufficiently familiar with Board and CEO issues and processes to be able to temporarily assume the duties of CEO.

Degree of Compliance: Compliant

Interpretation

Compliance will be demonstrated when there are one or two senior staff members that could temporarily function as CEO for the AAATA if the CEO position suddenly becomes vacant, for example due to illness, death, disability, etc. These individuals must be able to maintain all key AAATA functions without my guidance including:

- Leadership of organization’s operations and administration
- Working knowledge of board policies, processes, and staff obligations

I further interpret this policy to mean that while the CEO is required to maintain a state of readiness, the Board retains the right to appoint anyone they choose as acting CEO. Further, the CEO can appoint an acting CEO for planned absences (e.g., vacations, minor illness, being out of town, etc.)

Evidence

There are three Deputy CEO positions:

- Deputy CEO of Operations
- Deputy CEO of Finance and Administration
- Deputy CEO of Planning and Innovation

The deputies work closely together with the CEO and meet weekly, attend most Board and committee meetings, and have an understanding of Policy Governance basics. All understand the current state of AAATA operations and board issues well enough to step into the CEO’s role should the need arise.

During this monitoring period, these three positions have been filled, although the Deputy CEO for Operations became vacant in early September. Recruitment for that position is ongoing. There have always been at least two positions filled.

Monitoring Policy 2.8 Emergency Succession

Compliance History

Previous Compliance: This policy has been in full compliance since 2017.

Policy Trendline

Policy	FY 20	FY 22
2.8	3	3

This policy is monitored every 2 years.

Board’s conclusion on monitoring report

Following the Board’s review and discussion with the CEO, the Board finds that the CEO:

- A. Is in compliance**
- B. Is in compliance, except for item(s) noted.
- C. Is making reasonable progress toward compliance.
- D. Is *not* in compliance or is *not* making reasonable progress toward compliance
- E. Cannot be determined