

Governance

Policies and Procedures



Growing communities one idea at a time

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Updates

Accurate, up-to-date, copies of this manual shall be maintained at the office where CFLLB regularly conducts business. Copies shall be made available for perusal by employees. Employees shall have the opportunity to ask for and receive clarification of any personnel policy established by CFLLB.

Copies of pertinent statutes and regulations can be found online at:

http://www.qp.alberta.ca/570.cfm?search_by=alpha&letter=E

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OVERVIEW

Community Futures Lac La Biche (CFLLB) fulfills its purpose by enabling entrepreneurs to grow their businesses through a combination of training and flexible funding. CFLLB takes an active role in supporting entrepreneurs and ensuring their success. It offers a range of services, including providing flexible financial loans to help businesses expand their ventures. CFLLB also leverages provincial and federal business development programs to further enhance its support for entrepreneurs. By actively stimulating economic growth and promoting diversity, CFLLB plays a crucial role in fostering a thriving local economy.

A. Purpose Statement

- a. Enabling entrepreneurs to grow their business through training and flexible funding. We:
 - i. Support entrepreneurs to help ensure their success.
 - ii. Offer flexible financial loans to grow business ventures.
 - iii. Leverage provincial and federal business development programs.
 - iv. Stimulate economic growth and diversity.

B. CFLLB shall provide the following services:

- a. business services, including:
 - i. business technical and advisory services, including business planning;
 - ii. business information services; and
 - iii. business training and skills development.
- b. strategic community planning;
- c. implementation of community-based projects and special initiatives;
- d. Investment Fund administration; and
- e. other services as may be agreed between the parties.

THE BOARD OF DIRECTORS

The Board of Directors also known as “the Board” or “Board Directors” is comprised of volunteers who act on behalf of the residents of the Lac La Biche region. The Board provides governance for the organization, represents it in the community, and ultimately, accepts legal responsibility for it.

The Board serves to provide the overall strategic leadership and direction to the organization and delegates the authority for the operations/management of the organization to the Executive Director who, in turn, will hire any other staff as required.

The Board must ensure that CFLLB goals' are clear, that expectation levels are appropriately set, and that the evaluation criteria used in measuring success are mutually understood. As such, while the Board and the Executive Director have very distinct responsibilities, they should complement each other in advancing the mission of the organization.

A. The Board delivers its leadership function in five key areas.

- a.** Defining the strategic direction and determining the mission, goals, and priorities. This involves ensuring that the sustainability plan is renewed once every year and remains aligned with funding and legal requirements.
- b.** Establishing, adjusting, and reaffirming all policies on an annual basis. These policies should reflect CFLLB's values and principles and serve as guidance for the Executive Director in fulfilling the mission.
- c.** Providing financial and legal stewardship to ensure that financial resources are allocated in a manner consistent with the sustainability plan, goals, priorities, and funding agreements.
- d.** Hiring and providing direction to the Executive Director, including conducting an annual evaluation of their performance.
- e.** The Board will complete an annual self-evaluation to ensure these functions are being delivered.

B. Signing Authorities: Executive Director and one of the Chair of the Board, Vice-chair of the Board, Secretary/Treasurer of the Board, will have signing authority on all Bank Account(s). In the absence of the Executive Director any of the two of the Board, Secretary/Treasurer of the Board will have signing authority.

DIRECTORS

A. Recruitment and Orientation

- a.** The Executive Director shall assist the existing Board in recruiting new Board Directors.
- b.** The Executive Director shall provide an orientation package to new Board Directors, which includes the signing of an application and an oath of confidentiality.
- c.** The Board conducts a thorough review of each application, assessing the skills, specializations, and geographic representation or sector expertise of prospective Board Directors. This evaluation involves comparing their qualifications to those of the current Board Directors. To aid in this assessment, a Board Director matrix chart is employed, offering a structured framework to evaluate and compare skillsets and areas of expertise.

B. Terms and Appointment

- a. Directors are appointed for a three (3) -year term which may be renewed for up to two (2) terms.
- b. Directors cannot exceed a nine-year duration on the Board. At the end of three consecutive terms the Director must step down.
- c. Directors are recruited by the Board as vacancies require.
- d. If an elected Director is unable or unwilling to remain on the Board, or if there are vacancies after the Annual General Meeting (AGM) has been held, then the Board may appoint an interim Director for the balance of the term for any Directors, request the appointing Council to appoint a replacement or allow a vacancy provided a minimum of six (6) Directors remain.

C. Election and Appointment

- a. The Directors for the Board shall be elected at the AGM.
- b. Their appointment shall be ratified at the AGM.
- c. Board Directors will be as follows:
 - i. There shall be six (6) Directors at Large, and the Board shall make efforts to recruit Directors from across its service region.
 - ii. Two Directors to represent First Nation and/or Métis communities.
 - iii. Two Directors may be appointed as follows:
 - a. One Director appointed by Lac La Biche County.
 - b. One Director appointed by the Lac La Biche Chamber of Commerce.

D. Removal of Directors

A Director shall be removed from office if he/she:

- i. moves out of the Region;
- ii. resigns by notice to the Corporation;
- iii. being absent for three (3) consecutive regular meetings of the Board unless the Board concludes that there was adequate reason for such absences;
- iv. should be convicted of an indictable criminal offence and/or sentenced to a period of incarceration; and
- v. is in breach of the Corporation's policies or Articles, as determined by a three - fourth majority vote of the other Directors present.

OFFICERS

A. Officers of the Corporation shall be the following:

- a. Chair;
- b. Vice-Chair;
- c. Secretary/Treasurer;
- d. and such other Officers as the Board may determine.

- B.** The Chair, Vice-Chair, Secretary/Treasurer, and such other Officers shall be elected by the Directors at the first AGM of each fiscal year.
- a.** Each Officer must be, and remain during the term of office, a Director in good standing in the CFLLB.
 - b.** In the event of a vacancy among the Officers, the Chair shall be empowered to appoint a replacement Officer from among its Directors, but it shall be necessary for the Board to ratify such an appointment at its next meeting.
 - c.** The Board may appoint such agents and engage the Executive Director as it deems necessary and such persons shall have authority to perform such duties as shall be prescribed by the Board from time to time.
- C.** The Chair shall:
- a.** make reasonable efforts to ensure that all Orders and Resolutions of the Board are carried into effect;
 - b.** prepare or have prepared for submission to the Directors at the AGM, a statement and report regarding the operation of the CFLLB for the preceding year for the approval of the Directors;
 - c.** when present, preside at all Board Meetings. In his absence, the Vice-Chair shall preside at such Meetings. In the absence of both, a Chair may be selected at the Meeting to preside; and
 - d.** be an ex-officio member of all committees.
- D.** The Vice-Chair shall:
- a.** exercise the powers of the Chair in the absence of the Chair and shall perform other duties as shall from time to time be required of him by the Board.
- E.** The Secretary/Treasurer shall:
- a.** attend all Board Meetings and keep or cause to be kept, accurate Minutes of same;
 - b.** shall ensure all notices to Members, Directors, Officers and any members of committees of Directors and shall have such other powers and duties as the Board may specify and delegate; and
 - c.** shall ensure proper accounting records, deposit of money and disbursement of funds of the CFLLB, to render accounts of all transactions and financial position of the CFLLB to the Board, to ensure records management policies are followed and other duties as the Board may determine.

ADVISORS

Advisors shall refer:

- a. to individuals who have previously served as Directors and whose terms have expired but continue to offer guidance, expertise, and advice to the CFLLB. They possess valuable knowledge and experience that can contribute to the strategic decision-making processes of the CFLLB. Although they no longer hold active Directorships, Advisors may be engaged by the CFLLB to provide insights and recommendations based on their past involvement and understanding. It is important to note that the role of Advisors do not include voting or decision-making powers.

BOARD MEETINGS

- A. Board will meet a minimum of six times per year but the Executive Committee or any two Directors may summon a meeting of the Board at any time.
- B. The AGM will be held in June of each year.
- C. For all purposes the quorum for a Board Meeting shall be the lesser of 50% of the Directorship or four (4) Directors. No business shall be transacted at a Board Meeting unless the requisite quorum shall be present at the commencement of the business.
- D. Votes are by simple majority however in the case of an equality of votes, the Chair shall not have a casting vote.

REMUNERATION AND HOSPITALITY

Board members are strictly on a volunteer basis therefore no remuneration for services is available. Out of pocket expenses may be reimbursed as approved by the Executive Committee of the Board.

Any hospitality by the Board must be within the budget and must have prior approval by the Board.

BOARD COMMITTEES

The Board has authority to appoint committees when appropriate. Committees act on behalf of the Board to make recommendations or decisions. The Board establishes the duties and responsibilities and the level of authority for a committee. Committees report back to the Board on a regular basis.

While adhoc committees can be formed as required by the Board, the following standing committees exist:

A. Executive Review Committee

- a. The Executive Committee of the Board consists of the Officers of the Board as the Chair, Vice-chair and Secretary/Treasurer.
- b. **Area of Authority:** This committee is responsible for overseeing the Governance and Financial policies, as well as approving draft budgets and financial statements for recommendation to the Board.

- i. The Executive Committee assumes the role of the audit committee and the Board governance committee.
- ii. The Executive Committee will be charged with orientation of new Board members.
- iii. The Executive Committee will be accountable to lead a review of the Articles of Association and Bylaws on an annual basis.
- iv. The Executive Committee is also charged with completing an enterprise level risk management on an annual basis.
- v. The responsibilities of the Executive Committee encompass overseeing procedure manuals to ensure policy compliance, which includes but is not limited to reviewing insurance coverages and ensuring compliance with key legislation such as Personal Information Protection Act, Worker's Compensation Act, government reporting, and compliance with the PrairiesCan contract.

B. Investment Review Committee (IRC)

- a. The Investment Review Committee is a committee of the CFLLB Board of Directors which is charged with the Governance of the Investment Funds and lending functions of CFLLB.
- b. **Area of Authority:** Working within the CFLLB Loan Policies and Procedures, as approved by the Board, the IRC manages and administers the lending, adjudication, and approval policies of Community Futures in keeping with the needs of both the CFLLB and the Community at large. The IRC reports to the Board through the IRC Chair or his/her designate.
- c. **Terms & Conditions:** The IRC must ensure that its internal governance documents, policies, and procedures are followed.
- d. **Summary of Duties:** Committee members are selected for their knowledge, integrity, understanding of the community, and for their ability to be fair in judging applications for financial assistance. In managing the lending, the IRC appointees, in consultation with the Executive Director and Business Analyst, will undertake the following duties, on behalf of the Board:
 - i. responsible for reviewing and approving loan applications in accordance with the procedures outlined in the General Lending Policy Manual;
 - ii. be knowledgeable of the various loan programs offered by Community Futures;
 - iii. Be familiar with the CFLLB's annual operating plan;
 - iv. adjudicate business loan applications as presented by the Business Analyst and Executive Director and provide a vote of approval or non-approval; and
 - v. the committee will act in accordance with the policies and procedures of CFLLB.
- e. **Composition/Appointment:** The IRC will have a minimum membership of three and a maximum of five voting members. The IRC will consist of either the Chair or Vice-Chair of the CFLLB Board of Directors with the remainder two to four IRC members being recruited from the CFLLB Board of Directors. The Executive Director and Business Analyst will function as advisors and consultants to the committee in a non-voting capacity. Vacancies created by early resignations will be filled by appointment by the Board of Directors. The Chair of the IRC

Committee shall always be the Chair or Vice Chair of the CFLLB Board of Directors as elected at the AGM and as appointed to the IRC.

- f. IRC Meetings:** The committee will meet as required at the recommendation of the Executive Director, the Business Analyst, or at the call of the Chair of the IRC. Quorum for IRC Meetings shall be a minimum of three members of the current committee members. Meeting may occur via email. Minutes will be recorded and distributed to committee members. Minutes will be presented in summary with personal information redacted to the CFLLB Board Meetings.
- g. Evaluation:** The IRC Chair will semi-annually complete a progress review for the Board of its objectives and achievements from the previous year, including the number of loans approved, the number of loans declined and the reasons for declining. The IRC mandate statement will be reviewed semi-annually and updated, as necessary.

C. Human Resources Committee (HRC)

- a.** The HRC receives appointments from the Board during the annual election of Officers. It is recommended that the Chair of the HRC have a term of three years and that at least two other Board members are appointed with staggered terms to ensure there is continuity.
- b.** The HRC is charged with oversight of the Human Resources Policies. It is the HRC that will lead the process for selection and evaluation of the Executive Director.
- c.** The HRC provide oversight for all pay and benefit reviews to ensure pay grids are competitive, benchmarked to Community Futures Network of Alberta standards and within budget.
- d.** The HRC can be engaged by the Board to provide oversight to employee relations issues concerning the Executive Director.

EXECUTIVE DIRECTOR ROLE

There is only one employee of the Board and it is the Executive Director. The Executive Director reports to the Board through the Chair of the Board. The Board is responsible for hiring and supervising the Executive Director.

The Executive Director is responsible:

- i.** for the effective and efficient management of the CFLLB in accordance with the policies and the strategic directions that have been established by the Board. As such, the Executive Director has full authority over the organization's operating activities and resources and is responsible and accountable for the completion of tasks assigned by the Board to facilitate the achievement of the CFLLB's strategic goals;
- ii.** for ensuring that timely and concise information is provided to the Board so that it can fulfill its responsibilities;
- iii.** to the entire Board, but communication between the Board and the Executive Director flows through the Board Chairperson. Individual Directors do not provide direction to the Executive Director or other staff regarding management or implementation issues. All other staff within the organization report directly to the Executive Director;
- iv.** for contract management;

- v. for all operational including property management, loan investments and community economic development activities of the CFLLB in accordance with the Policies established by the Board;
- vi. to maintain office operations ensure that all regulatory and statutory reporting is done on a timely basis;
- vii. for staff supervision and development;
- viii. to supervise loan applications and analyses and provide summary statements to the Investment Review Committee on each loan together with a recommendation;
- ix. to conduct the operational affairs of the CFLLB within the budget as approved by the Board;
- x. for recommendations to the Board to invest surplus funds;
- xi. to direct the business counselling and Entrepreneurial training activities throughout the year;
- xii. to maintain a record and monitor the performance of all loans;
- xiii. to determine appropriate security and make arrangement to take custody when necessary;
- xiv. to maintain an ongoing evaluation of accounts and maintain a default report for reporting collection purposes;
- xv. to oversee the CFLLB Marketing Plan and approve all major expenditures within the Plan;
- xvi. to promote CFLLB services throughout the region;
- xvii. to represent CFLLB to government and private agencies as required;
- xviii. to maintain ongoing liaison with Prairies Economic Development Canada; and
- xix. to maintain contact throughout the geographical area with representatives of the Board and all other economic development agencies.

RECRUITMENT OF THE EXECUTIVE DIRECTOR

- A. Hiring the Executive Director is a Board Responsibility and is led by the HRC.
- B. The Board may decide to seek assistance from the Community Futures Network of Alberta to guide the hiring process.
- C. The job shall be posted to the public.
- D. The Executive Director will receive an employment contract of no more than a five year term, the general terms of which shall mirror benefits and terms as outlined for all staff in the Human Resources Policies and Procedures.

EVALUATION OF THE EXECUTIVE DIRECTOR

- A. The Executive Director will present an annual list of goals to the Executive Committee of the Board for approval, ensuring alignment with the sustainability plan, goals, priorities, and funding agreements.
- B. Annually the HRC shall initiate a 360 review of the Executive Director, using a tool that solicits input from all Board members and the staff of CFLLB.
- C. The Executive Director will be asked for a self-evaluation against the previous year's goals.

- D. The HRC will collate the feedback and draft comments for the Executive Director's assessment including recommendations for improvement.
- E. The evaluation will be presented to the Executive Director and signed off by the Board Chair.

ADMINISTRATION

- A. The Board delegates the operation of CFLLB to the Executive Director.
- B. Within this delegation is the assurance that all procedures of CFLLB are in alignment with Board approved policies, the annual operating budget and the approved sustainability plan.
- C. The organizational structure of CFLLB, is approved by the Board. Any recommended changes to organizational structure will receive Board approval and be in line with approved hiring policies.

HARASSMENT IN THE WORKPLACE

The management of CFLLB believes that all employees of the organization are entitled to work in an environment that is supportive of the self-esteem and dignity of each individual.

This policy applies to all employees, the Board, and any individuals engaged in business activities with CFLLB, including service people, suppliers, delivery personnel, contractors, consultants, and clients.

Every person has the right to file a complaint through the Alberta Human Rights Commission.

A. Harassment Definition

Harassment occurs when an employee is subjected to unwelcome verbal or physical conduct because of race, religious beliefs, color, place of origin, gender, physical or mental disability, age, ancestry, place of origin, marital status, source of income, family status or sexual orientation. Alberta human rights law prohibits workplace harassment based on these grounds.

Examples of harassment that will not be tolerated in CFLLB are: verbal or physical abuse, threats, derogatory remarks, jokes, innuendo or taunts related to any employee's race, religious beliefs, color, gender, physical or mental disabilities, age, ancestry, place of origin, marital status, source of income, family status or sexual orientation. CFLLB also will not tolerate the display of pornographic, racist or offensive signs or images; practical jokes that result in awkwardness or embarrassment; and unwelcome invitations or requests, whether indirect or explicit.

The [*Alberta Human Rights Act*](#) prohibits discrimination based on the ground of gender, including sexual harassment. Unwanted sexual advances, unwanted requests for sexual favors, and other unwanted verbal or physical conduct of a sexual nature constitute sexual harassment when: submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment; or submission to, or rejection of, such conduct by an individual affects that individual's employment.

Sexual harassment can include such things as pinching, patting, rubbing or leering, "dirty" jokes, pictures or pornographic materials, comments, suggestions, innuendoes, requests or demands of a sexual nature. The behavior need not be intentional in order to be considered sexual harassment.

All harassment is offensive and in many cases it intimidates others. It will not be tolerated within CFLLB.

B. Discrimination Definition

The Alberta Human Rights Act (AHR) prohibits discrimination in the area of employment. The AHR Act prohibits discrimination based on the protected grounds of race, colour, ancestry, place of origin, religious beliefs, gender, gender identity, gender expression, age, physical disability, mental disability, marital status, family status, source of income and sexual orientation.

a. Gender Discrimination

- i. Gender discrimination, also referred to as "sex-based discrimination," or "sexual discrimination," involves the unfavorable treatment of a person based on his or her gender. Gender discrimination also refers to individuals with gender identity issues, or transgender status. Sexual discrimination laws make it illegal to base hiring, firing, job assignments, promotions, fringe benefits, and more on an individual's gender.

b. Age Discrimination

- i. Age discrimination occurs when an employer treats an applicant or employee less favorably based on his or her age.

- c. Setting a policy of mandatory retirement at a specified age is considered age discrimination, as is asking an employee to retire because of his or her age.

d. Racial Discrimination

Racial discrimination refers to an employer's unfavorable treatment of a person because of his race, or any characteristics associated with a specific race, such as skin color, or hair texture. Racial discrimination also covers the poor treatment of a person based on his or her marriage to someone of a certain race, or association with a certain racial group. Racial discrimination may be perpetrated by an employer toward an employee or applicant of the same race, or against an employee or applicant of a different race.

- e. Racial discrimination in the workplace may also include harassment of any employee based on his or her race. This includes making, or allowing others to make, racial slurs or derogatory remarks, or allowing the display of any racially offensive symbols.

f. Religious Discrimination

- i. Religious discrimination involves poor treatment of an employee or applicant based on his or her religious beliefs or affiliation. Anti-discrimination laws protect people who belong to traditional, organized religions, as well as people who have sincere ethical or moral beliefs, without claiming a specific religious affiliation. Laws against religious discrimination also prohibit unfavorable treatment of an employee based on his or her marriage to someone associated with a particular religion, as well as workplace harassment based on religious beliefs.

- g. Additionally, the law forbids job segregation based on religious beliefs, preferences, or affiliation. For example, it is illegal for an employer to assign an employee to a position that does not involve customer contact due to his religious affiliation. Anti-discrimination laws also require employers to make a reasonable accommodation for an employee's religious practices, unless it would cause a burden to the operation of the business. For instance, an employer may be required to work around an employee's need to attend to certain religious ceremony during the workday, by allowing him to take a regularly scheduled break at a different time that originally scheduled.
- h. Employers are not, however, required to alter the way they do business, or make allowances in ways that would cause undue hardship on the business. Employers are not required to make accommodations which:
 - i. are too costly;
 - ii. compromise workplace safety;
 - iii. infringe on the rights of other employees;
 - iv. require other employees to do more than their share of burdensome or hazardous work;
 - v. require other employees to do more than their share of burdensome or hazardous work; and
 - vi. decrease workplace efficiency.
- i. No employer may force any employee to participate in a religious activity or observance as a condition of employment.

COMPLAINT PROCESS

- A. Employees are encouraged to resolve a complaint directly with the other party. The complainant may bring the complaint to the Executive Director for an informal or formal investigation.
- B. **The Investigator:** The Board shall receive and review any complaints filed against the Executive Director. In cases requiring further investigation or mediation, the Board may engage the services of an independent Investigator. Similarly, any complaints against Board members shall be forwarded to the designated Investigator.
- C. An individual who brings a complaint forward, and wishes later to withdraw the complaint, may do so; however, the organization reserves the right to investigate the matter to ensure the harassment policy is being upheld in the workplace.
- D. If the conduct is found to be harassment, whether or not it was intentional, it is still harassment.
 - i. **Informal Action:**
If the complainant is unwilling to confront the other party directly or if previous attempts to resolve the matter were unsuccessful, the complainant may report the complaint to the Executive Director. If both the complainant and the Executive Director concur that the described conduct does not constitute harassment, no further action will be taken, and no

record will be retained. In cases where harassment is confirmed, the complaint will be addressed through either direct action or formal procedures.

ii. Direct Action:

An employee who believes they have been subjected to harassment is encouraged to bring the matter to the attention of the other party. The employee should advise the other party verbally or in writing. The complainant should clearly identify the conduct that brought about the complaint and describe the effect the conduct had on the complainant. The complainant should also advise the other party to refrain from similar conduct in the future. [(i.e.) "I find your brushing up against me and touching me makes me feel uncomfortable and I want you to stop it."] An apology from the other party, and no further incidents, will resolve the matter.

iii. Formal Complaint Process:

The written complaint must contain:

- a. a description of the conduct complained of,
- b. the time(s) and date(s) of the conduct,
- c. the identity of the person(s) responsible for the conduct, and
- d. the effect of the conduct on the complainant.
- e. The formal written complaint will be given to the Executive Director, except in cases where the complaint is against the Executive Director. In such instances, the matter will be promptly forwarded to the Investigator as delegated by the Board. The Executive Director will advise the person named in the complaint and the person will have 7 working days to file a response to the complaint. The response will be provided to the Executive Director who will provide a copy to the complainant.
- f. Once the exchange of information is completed, the Executive Director will conduct an investigation into the allegations in a timely manner. The Executive Director may utilize the services of an Investigator to investigate the allegations. The person investigating will determine whether or not harassment has taken place and recommend an appropriate remedy.
- g. At the conclusion of the investigation, a written Report will be prepared with a copy to the complainant and the person named in the complaint. The Executive Director will determine the appropriate remedy.
- h. If the complaint is upheld, the complaint records will be maintained on file. The complainant and the person named in the complaint will be advised of the remedy, including any discipline imposed on the person found to be at fault.
- i. If the complaint is dismissed, the records will not be retained, and no further action will be taken.
- j. An employee filing a complaint in good faith will not be subject to any adverse employment action. If it is found that the complaint is frivolous, vexatious or was not filed in good faith the complainant may be subject to disciplinary action.
- k. A complaint against a non-employee will be investigated. The complaint and all relevant information must be provided to the Executive Director as soon after the conduct complained of occurred.

- I. The Board will receive an annual report of investigations, which will provide an overview without disclosing specific details.

E. Confidentiality

The organization appreciates the difficulties in filing a complaint of harassment and recognizes the complainant's concern regarding confidentiality.

In order to protect the interests of the complainant, the person named in a complaint and any witnesses involved during the investigation of a complaint, confidentiality will be maintained to the extent possible under such circumstances.

Accordingly, all records concerning complaints, information gathered as the result of any investigation, will be kept confidential, except where disclosure is required due to the investigation, the imposition of discipline or other remedial action.

Conclusion: All formal written complaints will be investigated thoroughly. Anyone found to be in violation of this Policy may be subject to discipline, up to, and including, termination of employment.

The remedy or discipline imposed under this Policy is final and binding.

F. Grievances

- i. CFLLB assures each employee fair and equal treatment and consideration. Where, in the opinion of the employee, unfair treatment has been rendered under these policies, or some other problem arises, the following procedure applies:
- ii. the employee shall discuss the matter with their immediate supervisor within seven (7) working days from the day the grievance occurred;
- iii. if the grievance remains unresolved after discussion with the supervisor, the employee will then take the grievance to the CFLLB Executive Director within three (3) working days. The Executive Director will then conduct a personal interview involving the employee and any other involved person(s) and endeavor to resolve the grievance;
- iv. if the grievance involves the Executive Director, then it will be brought to the attention of the Board;
- v. the Executive Director or Board may forward a grievance or complaint to an Investigator for resolution;
- vi. the Board, Executive Director or Investigator is the final level in which the grievance or complaint may be reviewed. One of the above may accept or dismiss the grievance or complaint, with reasons stated in writing;
- vii. if the grievance is with a Board Member it will be brought to the Executive Committee of the Board; and
- viii. if the grievance is with anyone on the Executive Committee it will be brought to Community Futures Network of Alberta or an Investigator.

CONFLICT OF INTEREST

Conflict of Interest procedures for Board Chair, Board Vice-Chair, Board Treasurer/Secretary, Board Directors, contractors, advisors and employees when a significant conflict exists between their own personal interests and the interests of CFLLB.

For the purposes of this policy, an "Immediate Related Party" refers to individuals who have a close familial or financial relationship with the organization's stakeholders. A close familial relationship includes immediate family members such as spouses, parents, children, siblings, or domestic partners. Additionally, a financial relationship refers to individuals or entities who have a significant business interest or ownership, whether directly, indirectly, or beneficially, in a company that is directly or indirectly conducting business with the perceived conflicted party. Transactions proposed to be made with an Immediate Related Party, as defined by familial or financial relationships, shall be presumed to create a conflict of interest.

- a. Board Chair, Board Vice-Chair, Board Treasurer/Secretary, Board Directors, contractors, advisors, or employees shall act in the best interest of CFLLB and shall disclose any material facts regarding their interest in a proposed transaction that could give rise to an actual conflict of interest or create the perception of a potential conflict of interest.
- b. No Board Chair, Board Vice-Chair, Board Treasurer/Secretary, Board Directors, contractors, advisors, or employees of CFLLB or any Related Entity shall enter into any transaction with CFLLB, including the acceptance of a loan and the granting of a loan to an Immediately Related Party, either directly or indirectly. However, a person with an existing loan in good standing (in/while) may apply as a member as the Board of Directors, but not a member of the IRC.
- c. Transactions for the purpose of granting loans to an Immediate Related Party may be permitted provided that:
 - i. the decision to approve such loans, irrespective of the existing delegation of lending authority, is made by the Board, only;
 - ii. the conflict of interest has been declared in writing by the Board Chair, Board Vice-Chair, Board Treasurer/Secretary, Board Directors, contractors, advisors, or employees of CFLLB and shall be recorded in the minutes of the Board meeting; and
 - iii. the Director, Committee member or employee having the conflict of interest and no Immediate Related Party may participate in the decision to authorize the transaction and shall not attempt to influence, lobby, or persuade the Board in any way.
- d. Notwithstanding the above provisions, contracts for the provision of goods or services to CFLLB by a Board Chair, Board Vice-Chair, Board Treasurer/Secretary, Board Directors, contractors, advisors, or employees or by an Immediate Related Party are permitted provided that:
 - i. the decision authorizing such contract, irrespective of the existing delegation of contracting authority, is made by the Board, only;

- ii. the conflict of interest has been declared in writing by the Board Chair, Board Vice-Chair, Board Treasurer/Secretary, Board Directors, contractors, advisors, or employees of the CFLLB and shall be recorded in the minutes of the Board meeting;
- iii. no Board Chair, Board Vice-Chair, Board Treasurer/Secretary, Board Directors, contractors, advisors, or employees having the conflict of interest and no Immediate Related

Party may participate in the decision to authorize the transaction and shall not attempt to influence, lobby, or persuade the Board in any way;

- iv. a minimum of three competitive bids for the proposed contract have been obtained, where practicable; and
- v. the Board is satisfied that the contract being approved and selected represents the lowest cost or the best value to CFLLB.
- vi. Each Board Chair, Board Vice-Chair, Board Treasurer/Secretary, Board Directors, contractors, advisors, or employees shall sign and deliver to the CFLLB a declaration acknowledging their understanding and acceptance of the Conflict of Interest Provisions.

RECORDS MANAGEMENT

Official records of CFLLB are considered to be those held in the office record system only. Records held by Board members in employee working files are considered to be transitory and expected to be destroyed every two years.

A. Accounts and Records

During the Term, and for a period of seven years following its expiry, the CFLLB shall keep proper accounts and records in respect of its use and application of Contribution funds. These records must permit PrairiesCan to verify that funds have been used and applied in accordance with the funding agreements and no other purpose. The accounts and records shall include, without limitation, all working papers and all original invoices, receipts, vouchers, and proofs of payment.

B. Project Files

CFLLB shall retain its books and records regarding the Project for seven years following the Completion Date and shall promptly provide PrairiesCan with copies of such books and records as the Minister may request during that period. The CFLLB is obligated to furnish records to funders as stipulated in the funding agreements, conforming to the terms set forth therein.

C. Investment Files

- a. Once a loan is paid in full, the client file and legal loan documents are moved from active to the archive file and kept for seven (7) years.

D. Employee Files

- a. The file for each employee shall be established at the date of employment and retained by CFLLB for seven (7) years after termination, except for Pay Equity Records and Pension Records, which shall be kept permanently in accordance with the specific requirements outlined by the province of Alberta.
- b. The employee file should contain:
 - i. The employee's cover letter and/or resume;
 - ii. The employee's application and resume; and
 - iii. Letters of reference from previous employers.
 - iv. Correspondence with reference to the employee;
 - v. Letter of appointment or contract;
 - vi. Copy of driver's license and business insurance, where applicable. Copies of certificates such as lifesaving, first aid, etc.
 - vii. Up-to-date staff development records listing workshops attended, etc.
 - viii. Evaluation of performance signed by the employee.
 - ix. Copies of letter(s) of reference provided by Community Futures to others at the employee's request will be kept on file.
 - x. Copies of communications commending the employee.
 - xi. Copies of communications pertaining to a suspension and/or termination.
 - xii. Copies of communications pertaining to a resignation.
 - xiii. Copies of communications pertaining to a demotion.
 - xiv. Copies of communications pertaining to a retirement.
 - xv. Copies of communications pertaining to an appeal.
 - xvi. Salary history.

E. Contractor and Consultant Files

- a. The file for each contractor (or consultant) shall be established at the date the contractor is engaged and shall be retained by CFLLB for seven (7) years after termination.
- b. Each contractor's individual file shall contain all pertinent documents relative to the contractor's status and performance. The contractor's file shall include the following pertinent documents:
 - i. Contract or Consulting Agreement
 - ii. Terms of Accounting Services Agreement, if applicable
 - iii. Confidentiality Agreement
 - iv. Code of Conduct
 - v. Conflict of Interest

PERSONAL INFORMATION PROTECTION ACT

A. Personal Information Protection Act (PIPA)

CFLLB is committed to protecting the privacy and personal information of individuals in accordance with PIPA. This policy section outlines our approach to gathering, using, and disclosing personal information and provides individuals with the necessary rights and avenues for complaint.

B. Collection and Use of Personal Information:

- a.** CFLLB will only gather personal information that is relevant and necessary for the purpose it was collected.
- b.** The collected personal information will be used solely for the purpose for which it was collected, and any additional use requires consent from the individual, unless authorized by law.
- c.** Access and Correction Rights:
 - i.** All individuals have the right to access their own personal information held by CFLLB, subject to any exceptions and limitations under the PIPA Act.
 - ii.** If individuals believe their personal information is inaccurate or incomplete, they have the right to request correction of such information.
- d.** Use and Disclosure of Personal Information:
 - i.** CFLLB will restrict the use and disclosure of personal information to the purpose for which it was collected, unless otherwise authorized by law or with the consent of the individual.
 - ii.** Personal information will only be disclosed to the parties involved in the relevant program or as required by law.
- e.** Relevance of Information:
 - i.** Information that is not relevant to the purpose for which it was collected is strictly prohibited from being gathered by CFLLB.
- f.** Complaints and Concerns:
 - i.** Individuals have the right to make complaints regarding the collection, use, and disclosure of their personal information to the Office of the Information and Privacy Commissioner of Alberta.
 - ii.** CFLLB will promptly address any complaints received and take appropriate measures to resolve them in accordance with the requirements of the PIPA Act.

CFLLB is committed to upholding the principles of privacy, confidentiality, and the responsible handling of personal information. This PIPA policy section ensures compliance with the PIPA Act and maintains the trust and confidence of individuals who interact with our organization.

All records maintained by CFLLB are subject to the legislation governing PIPA, with limitations as outlined in the PIPA Act. The Executive Director holds the responsibility for managing any requests made under the PIPA Act.

CONFIDENTIALITY

- A.** Each CFLLB Board member, client, employee, applicant for employment, or any other such person has the right to have all information about that person kept strictly confidential.
- B.** Unauthorized disclosure of confidential information by a staff member or contracted staff will subject him/her to disciplinary action, dismissal and/or legal action.
- C.** No client, contractor/consultant record or personnel file shall be made available, and no reports shall be made on any person unless:
 - a.** that client, contractor/consultant or person has given permission to CFLLB, in writing, for such information to be disclosed, or
 - b.** the CFLLB Executive Director deems it is necessary for providing services to the client, or

- c.** it is information requested by a funding body and the CFLLB Executive Director finds it necessary to release the information, or
 - d.** the information is requested under a 'Court Order' or equivalent, or
 - e.** the information is required to be divulged according to contractual agreements with funding agencies.
- D.** All Employees, contractors, consultants, and Board members shall sign a Confidentiality Agreement annually and this agreement will be kept in their files

APPENDIX A: OATH OF CONFIDENTIALITY AGREEMENT

I, _____, solemnly declare that I will not disclose any information of any nature or kind that comes to my knowledge regarding any client, former client, employee, contractor, consultant, former employee, or Board Director of Community Futures Lac La Biche (CFLLB), including any programs or services provided to a client, except as required by my duties as a Director, staff member, advisor, contractor, or consultant of CFLLB or as mandated by law.

I have thoroughly read, comprehended, and agree to abide by the policies and procedures of CFLLB.

I acknowledge that this declaration remains in effect throughout my tenure as a Director, staff member, advisor, contractor, or consultant of CFLLB and continues even after my departure.

I understand that the unauthorized disclosure of confidential information may result in legal liability, and I acknowledge that CFLLB will not provide indemnification for any breach of confidentiality that leads to fines or damages against me.

I have carefully read this declaration in its entirety and fully understand its contents.

Signature of Witness

Authorized Signatory

Print Name

Print Name

Date: _____

APPENDIX B: ACCOUNTABILITY SCHEDULE

Month	Accountability Description	To Whom	Person Responsible
Feb	Payroll T4s and T4 Sum	CRA	Executive Director
Mar-31	Year End	CRA	Executive Director
May-23	2022-23 Performance Results Web Report	Prairies Can	Executive Director
May-23	2022-23 Annual Performance Report	Prairies Can	Executive Director
Jul-20	1st Quarter Report	Prairies Can	Executive Director
Jul-31	Audited Financial Statements	Prairies Can	Executive Director
Apr-30	CRA Tax Filing	CRA	Executive Director
May	Annual Review of Investments	Executive Committee	
Jun-15	AGM (binder says must be in advance of July 31)	Board	Executive Director
Sep 30	Industry/ Corporation Return	CRA	Executive Director
Sep 30	Provincial Corporate Return	CRA	Executive Director
Oct-20	2nd Quarter Report	Prairies Can	Executive Director
Oct-31	Semi-Annual Financial Report	Prairies Can	Executive Director
Jan-20	3rd Quarter Report	Prairies Can	Executive Director
Jan-31	Operational Plan for Next year including budget	Prairies Can	Executive Director
Jan-23	Semi- Annual Financial April 1 – September 30, 2023	Prairies Can	Executive Director
Jan-31	Review/ Affirm policies	Board	Adhoc Policy subcommittee
Apr-20	4th Quarter Report	Prairies Can	Executive Director
May	Annual Board Self-Assessment	Board Chair	Board Members
May	Annual evaluation of the IRC, Executive and HR Committees	Board Chair	Board Members
May	Review of By-laws	Executive Committee	Executive Director
May	Executive Committee Review of procedure manuals	Executive Committee	Executive Director
Nov	HR Committee Review of CLFN Salary Survey and recommend grid adjustments	HR Committee	Executive Director
Bi-monthly	Monthly report of Volunteer Hours	Board Chair	Board members
Nov	Annual performance appraisal Executive Director, including job description review	Board Chair	Board HR Committee
May	Annual review of insurance coverage	Executive Committee	Admin
Every 2 years	Survey of Community - satisfaction with services	Board	Executive Director
As needed	Corporate Record Updates (i.e., Notice of Directors, Special Resolution/Articles of Association etc.)	Corporate Records	Executive Director
As needed	Board Orientation Package (Oath of Confidentiality)	Board	Executive Director

APPENDIX C: BOARD EVALUATION

Board Self Evaluation

- Did the Board meet at least quarterly?
- Did we review the accountability schedule to ensure compliance?
- Are we transparent to the public on our website with our strategic plan, financial statements, lists of Board Members and Board member selection process as well as a list of funding organizations.
- Have we managed conflicts of interest appropriately?
- Did we conduct an annual review/update of our strategic and operational plan and compare it to the results achieved?
- Does our strategic plan consider community priorities?
- Did we thoroughly discuss the annual budget before approving it?
- Do we receive accurate financial reports at each meeting?
- Does the Board meet annually with the auditors and follow up on recommendations?
- Does the Board control signing authority?
- Did new Board member receive an orientation package and training?
- Can the Board provide an elevator pitch of which programs support economic and community development including economic diversity?
- Can the Board provide an elevator pitch of which programs support small and medium businesses?
- Can the Board provide an elevator pitch on which programs create and maintain new employment?
- Is the Board aware of and monitoring key performance indicators?
- Is the Board ensuring we have a long term plan for the investment fund?
- Is there a climate of trust and respect between the Board and the Executive Director?
- Have the meetings been evaluated to work toward best practice?
- How well do the Board committees or subcommittees communicate and collaborate with each other and with the Board as a whole?
- How effectively does the Board engage with stakeholders and the community to understand their needs, concerns, and perspectives?

Individual Assessment

- Do I arrive on time with my materials read in advance of the meeting?
- Do I notify the Chair or Admin when I am unable to attend?
- Do I follow through in a timely matter with items assigned?
- Does the Board speak with one voice?
- When I disagree do I ensure I am disagreeing with ideas and motions not individuals?
- Do I maintain a professional relationship with other Board members and the staff?
- Do Board Members speak positively about Community Futures LLB to the public?

APPENDIX D: BOARD MATRIX

	Lac La Biche Area	Plamondon Area	Wandering River/Atmore Area	Frist Nation	Metis	Lac La Biche County	Chamber of Commerce	Academic	Trades	Legal	Finance	Economic Development	Self Employment	PR/Marketing	Strategic Planning	Policy Development	Industry
Allan Robertson																	
David Phillips							x										
Peter Cardinal					x				x			x					
Doug Stewart	x												x				
Ryan Manca																	
John Mondal																	
Nancy Broadbent																	
Lori Tarrant																	

APPENDIX E: REPORT OF INVESTIGATIONS



REPORT OF INVESTIGATIONS

The Executive Director must prepare a report annually on all disclosures that have been made to the Board.

Disclosures received under the Public Interest Disclosure Act for the fiscal year _____

General Inquiries	Disclosures Received	Disclosures Acted On	Disclosures Not Acted On	Investigations Commenced	Findings of Wrongdoing *	Disclosures Closed

Description of Wrongdoing	Recommendations Made	Corrective Actions Taken	If no Corrective Action Taken, Reasons Why Not