

**City of Brookings
Governance
and
Ends Policies**

City of Brookings

Governance and Ends Policies

This document, established by the Brookings City Council, defines, protects, and prioritizes the workings of City Government. It is the ongoing hope of the Brookings City Council to lead the Citizens of Brookings in an ethical and prudent manner, in the best interests of the citizens, looking to the future rather than the past, as provided in the Mission Statement:

The City of Brookings is committed to providing a high quality of life for its citizens, and fostering a diverse economic base, through innovative thinking, strategic planning, and proactive, fiscally responsible municipal management.

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City of Brookings

Policy 1, Governance Process

Defining the purpose of the City Council, City Manager, and all City Employees:

1.1 Governance Process, Ownership of the Council – Key Performance Area

Governance Process is considered a key performance area by the Brookings City Council, and appears in the Mission Statement as “municipal management.”

The Brookings City Council shall answer to, and take into consideration the best interests of, all residents of the City of Brookings, both vocal and silent citizens, with respect paid to all residents, regardless of their economic status. Since the City is “owned” by the Citizens, the Council’s thinking shall be influenced by this ownership. Secondly, the City Council shall consider the needs of any person who regularly shops in, uses facilities of, or accesses services from the City of Brookings.

1. The Council represents the Citizens. Therefore, it shall educate itself regarding the values held by the persons it represents and shall act always under the influence of those values. The Council’s education may be facilitated by (a) formal and informal Citizen opinions; (b) formal and informal focus groups to explore specific issues; (c) considering input by citizen volunteers who participate on advisory boards, committees and commissions; (d) monitoring the demand and utilization of services; (e) discussions with representatives from other governmental and educational bodies; and (f) reviewing reports and citizen responses in the media.
2. The Council shall report periodically to the Citizens on its stewardship. At least once per year, the Mayor shall give an accounting of the City’s financial resources and the extent to which these funds have been translated into services, in the State of the City message.

1.2 Governance Process, Council Role

The role of the Council, on behalf of the Citizens of Brookings, is to assure that the City of Brookings (a) accomplishes what it should, and (b) avoids unacceptable activities and conditions.

1. The Council will engage in structured contact with citizens of Brookings to represent their diversity.
2. The Council will define in Ends policies what is to be accomplished in terms of benefits, recipients, and their relative priorities. It will define in Executive Limitations policies those activities and conditions it considers unacceptable. The Council will delegate performance on these matters to a City Manager.
3. The Council will carry out its job with discipline, emphasizing strategic rather than short-term issues, policy rather than single events, and group rather than individual decisions.
4. Whenever possible, the Council will avoid the use of committees that separate the wholeness of the Council. When further research on a topic is needed, the Council may appoint one member to investigate. However, the Council should avoid subgroups of Council members, since subgroups tend to develop a life separate from the Council as a whole.

5. The annual cycle of the Council will conclude with a review of Ends policies, in April, just prior to City Manager construction of a new annual plan and budget.

6. The Council shall honor all demands and restrictions outlined in the Brookings City Charter.

1.3 Governing Process, Council Style & Vision

The Council will govern with an emphasis on (a) outward vision rather than an internal preoccupation, (b) strategic leadership rather than administrative detail, (c) clear distinction of Council and City Manager roles, (d) collective rather than individual decisions, (e) future rather than past or present, and (f) proactively rather than reactivity. The Council will:

1. Deliberate in many voices, but govern in one.

2. Cultivate a sense of excellence. The Council will be responsible for excellence in governing. The Council will be an initiator of policy, with the advice and counsel of the City Manager.

3. Cultivate a sense of group responsibility. The Council will use the expertise of individual members to enhance the ability of the Council as a body. However, it is not the intention of the Council to defer the group's judgment to any one individual.

4. Direct, control and inspire the organization through the careful establishment of broad written policies reflecting the Council's values and perspectives. The Council's major policy focus will be on the intended long-term impacts outside the operating organization, not on the administrative or programmatic means of attaining those effects.

5. Enforce upon itself whatever discipline is needed to govern with excellence. Discipline will apply to matters such as attendance, preparation for meetings, policymaking principles, respect of roles, and ensuring the continuity of governance capability. Continual Council development will include orientation of new members in the Council's governance process and periodic Council discussion of process improvement. The Council will allow no officer, individual or committee of the Council to hinder or be an excuse for not fulfilling its commitments. In compliance with this policy, in May 2002 the City Council adopted a City Council Code of Ethics. It is attached to this document as Appendix A.

6. Monitor and discuss the Council's process and performance at each meeting. Self-monitoring will include comparison of Council activity and discipline to policies in the Ends, Governance Process and Council-Staff Linkage categories.

1.4 Governance Process, Council Action

The job of the City Council of Brookings is to achieve the mission in a prudent and ethical way. The job of the Council is to make certain contributions to the total, which are unique to its public trusteeship role and necessary for proper governance and management of the City. Consequently, the "products" of the Council itself shall be:

A. Connection between the Council and its "ownership," the Citizens.

B. Written governing policies that concern:

Governance Process (how the Council carries out its task, and the passing of power and measurement of its use) and

Ends Policies (what benefits, for whom, at what cost), and Executive Limitations (prudent and ethical limitations binding upon the staff);

C. The assurance of staff performance (through guidance and evaluation of the City Manager).

1.5 Governance Process, Council Code of Conduct

Since Council members have no authority as individuals, members shall refrain from efforts that may lead to situations in which a Councilperson might have occasion to overstep their bounds. Although not every situation can be outlined, some common areas of concern include:

1. Staff being intimidated or manipulated by a Councilperson's individual comments or actions. Council members must bear in mind that at times, staff may ask for an individual opinion from a Council member, and while the Council member may sincerely respond only as an individual, staff will often place undue emphasis on the opinion, due to the Council member's status.
2. Staff being polarized by dissention. Although all Council members are obligated to register differences of opinion on Council issues at the Council level as passionately as desired, individual members must not direct their differences of opinion to staff in a manner which creates dissension or polarization in the organization.
3. Since no one has the right to speak on behalf of the entire Council, individual Council members are encouraged to conduct themselves in a professional manner in all communications.
4. Members will not individually render binding judgments of the City Manager or staff performance apart from compliance with Council policies as monitored by the Council as a body.

1.6 Governance Process, Citizen Advisory Boards

The Council values the expression of citizen viewpoints on topics of concern to the Council. Therefore, the Council will continue the tradition of seeking input from volunteer citizen advisory boards and committees, although final responsibility for decisions, and the implementation that follows, rests entirely with the Council. The Council reminds staff that the ideal purpose of citizen involvement is not to advance staff agendas, but to seek objective opinions from a diverse range of citizens.

Guideline A:

The Council will make every effort to offer overall direction and guidelines to citizen volunteers, through the use of Council Ends Policy statements, and by reviewing the mission and need for each citizen advisory board and committee on an annual basis. During the annual review:

1. The Council will determine if the need for a citizen advisory board or committee justifies continuation of the board or committee. If continuation is justified, proceed to #2.
2. The Council will make an effort to determine the most effective use of citizen volunteers, with a primary decision being the length of service for each board and committee. The Council believes citizen input will be more likely objective and updated if the advisory board or committee is kept in an ad hoc (short-term) format. However, the Council recognizes that some complex issues require citizen involvement for a longer period in order to be effective.
3. Unless otherwise specified by the Council, the City Manager will coordinate the activities and reporting functions of all citizen advisory boards and committees.
4. The City Manager will base his guidance of citizen advisory boards and committees on Ends Policies established by the Council.
5. The Mayor, with advice and consent of the Council, will make all appointments to citizen advisory boards and committees.
6. Upon recommendation of the City Manager, the Council may approve the creation of ad hoc committees to assist the City Manager or his staff.
7. In compliance with this policy, in May 2002 the City Council adopted a Volunteer Code of Ethics. It is attached to this document as Appendix B.

Guideline B:

The Council directs all staff to review relevant Ends Policies with citizens upon their appointment to an advisory board or committee. The Council asks staff to be as objective as possible in educating and presenting options to citizens, since the purpose of advisory boards and committees is not only to hear from citizens, but to increase citizen involvement, loyalty, and creativity toward their City.

1. The Council asks the City Manager to create and regularly update an orientation packet for each new volunteer that includes relevant Ends Policies.
2. The Council asks staff to review this orientation packet with each potential volunteer, prior to their appointment, emphasizing this very policy (Policy 1.6), and asking for a citizen signature on the line that indicates understanding of this policy.
3. Staff will provide regular summaries of citizen committee work to the Council.

1.7 Governance Process, Review and Update of Policies

The Council will review all policies (including Governance, Council-Staff Linkage, Ends, and Executive Limitations) during the first quarter of each year, although the Council may also review and update any policy at any time deemed prudent and necessary by the Council. The Council expects immediate adjustment by the City Manager to any policy change instituted by the Council.

City of Brookings

Policy 2, Council-Staff Linkage

Defining the purpose of the City Council, City Manager, and all City Employees:

2.1 Council-Staff Linkage, City Manager Role

As the Council's single official link to the operating City government, the City Manager's performance will be considered to be synonymous with organizational performance as a total. Consequently, the City Manager's job contributions can be stated as performance in these, but not limited to:

1. City government accomplishment of the provisions of Council policies within the Policy Governance Model, especially Ends Policies, but also including Governance Process, and Council-Staff Linkage policies.
2. City government operation within the boundaries of prudence and ethics established in Council policies on Executive Limitations.

2.2 Council-Staff Linkage, Delegation to the City Manager

All Council authority delegated to staff is delegated through the City Manager, so that all authority and accountability of staff--as far as the Council is concerned--is considered to be the authority and accountability of the City Manager.

1. The Council will direct the City Manager to achieve certain results, for the citizens, at a certain cost, through the establishment of Ends policies. The Council will limit the latitude the City Manager may exercise in practices, methods, conduct, and other "means" through the establishment of Executive Limitations within those policies.
2. As long as the City Manager uses *any reasonable interpretation* of the Council's Ends and Executive Limitations policies, the City Manager is authorized to establish all further policies, make all decisions, take all actions, establish all practices, and develop all activities.
3. The Council may change its Ends and Executive Limitations policies, thereby shifting the boundary between Council and City Manager domains. By doing so, the Council changes the latitude given to the City Manager. Council members will respect and support the City Manager's decisions and choices, whenever made pursuant to existing Council Policies.
4. Only decisions of the Council acting as a body are binding upon the City Manager.
5. In the case of Council members, citizen advisory committees, or others, requesting information or assistance without Council authorization, the City Manager may turn to the Council for guidance, especially when such requests will require an inordinate amount of staff time or funds, or are disruptive to the efficient operation of the City.

2.3 Council-Staff Linkage, Monitoring Executive Performance.

Monitoring executive performance is synonymous with monitoring organizational performance against Council policies on Ends and on Executive Limitations. Any evaluation of the City Manager's performance, formal or informal, may be derived only from these monitoring data. This policy places the burden of measuring success on two pivotal points: well-defined Ends and Executive Limitation policies, and accurate measurements. Without well-defined policies and accurate measurements, the point of monitoring performance is lost. The Council recognizes the need to insulate the City Manager's role from performance reviews that rate personality rather than performance.

1. The purpose of monitoring is simply to determine the degree to which Council policies are being fulfilled. Information which does not do this will not be considered monitoring. Monitoring will be as automatic as possible, using a minimum of Council time so that meetings can be used to create the future rather than to review the past.
2. A given policy may be monitored in one or more of three ways:
 - A. Internal report: Disclosure of compliance information to the Council from the City Manager.
 - B. External report: Discovery of compliance information by an objective party who is selected by and reports directly to the Council. Such reports must assess executive performance only against policies of the Council, not those of the external party unless the Council has previously indicated that party's opinion to be the standard.
 - C. Direct Council inspection: Discovery of compliance information by a Council member, or the Council as a whole. This is a Council inspection of documents, activities or circumstances directed by the Council which allows a "prudent person" test of policy compliance.
3. The Council recognizes that, at times, non-compliance with a policy may be necessary and prudent in the short term. However, in order to monitor the performance of the City, and to modify policies that need improvement, the Council must be constantly aware of compliance issues. The Council expects monitoring and reporting compliance or non-compliance to be the City Manager's highest priority. To promote regular monitoring, the Council asks the City Manager to follow these guidelines:
 - A. All Ends and Executive Limitations statements will be monitored and compliance will be formally announced by the City Manager to the Council on a quarterly basis.
 - B. Any non-compliance will be reported immediately, at the next Council meeting, if not before, and non-compliance will then be monitored on a monthly basis, until compliance is reestablished, or the policy is changed.
4. During the first quarter of each year, the Council will institute a formal evaluation of the City Manager. This evaluation will consider only monitoring data as defined here, as it has appeared over the intervening year.

City of Brookings

Ends Policy 1, Financial Stability

Establishing what is to be done, for whom, at what cost, and Executive Limitations to define unacceptable means

Financial Stability – Key Performance Area

Financial stability is considered a key performance area by the Brookings City Council, and appears in the Mission Statement as “fiscally responsible municipal management.”

One of the duties of the City Manager is the development of a process that keeps the Council aware of upcoming budgetary needs and requests, so that the Council may aid in the creation of ongoing budget priorities. Good stewardship requires the Council to discern what is in the best interests of the citizens, and budget accordingly.

Therefore, budgeting for any fiscal period or the remaining part of any fiscal period shall not deviate materially from Council Policies as established in key performance areas, or other City Council policies. The City Manager is therefore prohibited from budgeting or spending that:

1. Lowers the City’s bond rating;
2. Violates Federal, State, or Municipal laws; ethical standards; and generally accepted accounting and budgeting principles.

In addition, the City Manager may not bypass Council judgment to allow budgeting that:

1. Allows expenditures to exceed revenues, including the contingency as an expenditure;
2. Increases the property tax rate;
3. Includes capital expenditures that have not been previously approved by the Council; in a Capital Improvement Plan or other council action;
4. Causes the City to incur new debt;
5. Increases operating expenses (meaning personnel and capital excluded) in any department beyond inflation using at least a rolling six month average of the Midwest Consumer Price Index;
6. Provides for employee compensation and benefits that exceed market standards;

Guideline A:

With respect to budget preparations, the City Manager shall stay within the confines of what constitutes a conservative perspective, as it is the Council’s intention to:

1. Make conservative revenue projections using the previous five-year average as a benchmark, with an emphasis on the previous year actual and current year actual. Projections using current data should not be made with less than 6 months rolling actual data.
2. Provide valuable citizen services;
3. Lighten the debt load of the City;
4. If a property tax rate is justified only because of state limitations, a special reserve will be created.
5. The City has established the policy that financial, service and program performance measures be developed and used as an important component of decision making and incorporated into governmental budgeting. The City encourages all departments to utilize performance measures. At a minimum, performance measures should be used to report on

the outputs of each program and should be related to the objectives of each department. Performance measures should:

- a. Be based on program objectives that tie to the City Council's goals and program mission or purpose;
- b. Measure program results or accomplishments;
- c. Provide for comparisons over time;
- d. Measure efficiency and effectiveness;
- e. Be reliable, verifiable and understandable;
- f. Be reported internally and externally;
- g. Be monitored and used in decision-making processes; and
- h. Be limited to a number and degree of complexity that can provide an efficient and meaningful way to assess the effectiveness and efficiency of key programs.

Guideline B:

In addition, as the City Manager assumes his duties, the Council requests that the City Manager keep information flowing to the Council, especially concerning plans relating to consolidation or expansion of any City departments. Therefore, the City Manager may not consolidate or expand any City Department without first informing the Council of the intended action.

Guideline C:

With respect to reserve funds the City Manager's overall budgetary goal will be to present a budget that allows for reasonable reserve creating options for the Council. The City Manager may not bypass Council judgment to allow budgeting that:

1. Lowers the General Fund Reserve below a 3-month operational level:
 - a. The 3-month calculation shall be based upon General Fund expenditures, derived from the previous year's Audited Financial Statement. The reserve amount shall reflect the targeted reserve amount, deficiencies below the targeted reserve amount and any discretionary funds available above the targeted reserve amount.
 - b. General Fund reserves may be used at the Council's discretion to address temporary cash-flow shortages, emergencies unanticipated economic downturns, one-time opportunities and capital needs related to buildings, structures and vehicles used specifically in the operation of the General Fund. They provide flexibility to respond to unexpected opportunities that may help the City achieve its goals.

The funds identified in "b" above may be used at the Council's discretion to address temporary cash flow shortages, emergencies, unanticipated economic downturns, and one-time opportunities. They provide flexibility to respond to unexpected opportunities that may help the City achieve its goals.

2. Lowers the following funds below the following:
 - a. The Industrial Development fund – a cash flow reserve of 10% and a capital reserve of 90% funded with revenue from the sale of industrial lands with a minimum of \$500,000 in capital reserve.

- b. The Special Assessment fund – a reserve based on an annual analysis of current development and future needs.
- c. The Storm Drainage fund - a cash flow reserve of 20% of annual revenues and a capital reserve based on the capital improvement plan with a minimum of 80% of annual revenues from the previous year.

Council options for further reserves include:

- a. Transfer to increase the reserve of another fund that is not at the established target;
- b. To finance un-funded necessities of the previous year's budget reductions;
- c. To pay off debt with a portion of the reserve;
- d. To finance the expansion of City services;
- e. To offer property tax, or other tax relief.

Guideline D:

The use of one-time revenues will be guided by this policy. Examples of one-time revenues include: infrequent sales of assets, bond refunding savings, infrequent revenues from development, and grants. These revenues may be available for more than one year (a three-year grant), but are expected to be non-recurring. Examples of expenditures for which the City may wish to use one-time revenues include startup costs, stabilization (to cover expenditures that temporarily exceed revenues), early debt retirement, and capital purchases.

The City Manager will not bypass Council judgment in making use of one-time revenue. In utilizing one-time revenue, the City Manager will carefully analyze and minimize the need for ongoing expenditures.

Guideline E:

Capital expenditures will be planned each year in a five-year capital improvement plan. The annual budget will provide a separate accounting of capital expenditures in each department. The city manager should plan major projects with an estimated expenditure and with sources of funding identified. The general fund expenditures for furniture, equipment, and buildings is expected to fluctuate, but an average of 10% of the total general fund expenditures is expected, this includes the amount funded by the 25% 2nd Penny funds.

Guideline F:

Upon the City Council's adoption of an annual budget and five year capital plan that is presented in accordance with Guidelines A through E, the City Manager assumes responsibility for ensuring compliance with the budget as an established City Council Policy. This includes expenditure control, and program and service delivery within that budget.

Minor deviations are tolerable and encouraged to maintain cost control and deliver quality services. Examples of minor deviations are variances of purchases and costs between line items in a budget, changes in programs and services resulting in cost savings or without cost, the use of grants that do not cause future costs, and the purchases of minor equipment. This list is not exhaustive.

Major deviations require notification and sometimes-prior approval by the City Council. Examples of major deviations include the use of the contingency fund, program eliminations or additions, the use of cash instead of debt when debt was planned, changes in the capital improvement plan, and change orders in capital projects. This list is not exhaustive.

To facilitate a budget that can respond to changing needs, the City Council will approve a contingency fund for the City Manager to utilize at his/her discretion. Examples of uses for the City Manager's contingency fund include: unbudgeted training opportunities for staff; purchases of software, hardware, and small equipment that was unbudgeted; one-time expenditures to fill a major position vacancy; one-time expenditures requested by outside entities; and emergencies in general. The Manager would be expected to make an effort to avoid utilizing the contingency.

The City Manager will report compliance or deviations from this Guideline for Financial Stability on a quarterly basis.

Guideline G:

Budgets for Enterprise Funds will be prepared by the City Manager with a goal of providing quality services and sustaining a maximum return to the General Fund on a long-term basis. A return on assets (ROA) will be calculated on an annual basis.

Guideline H: Appropriation and Subsidy Policy & Guidelines

Purpose. The purpose of this policy is to establish guidelines and criteria regarding the allocation and use of municipal subsidies within the City of Brookings. These guidelines shall be used in processing and reviewing applications requesting municipal subsidy assistance. Protecting the financial interest of the City of Brookings is of the utmost importance, so it is the intent of the city to provide a minimum amount of municipal subsidies, as well as other incentives that the City may deem appropriate, for the shortest term required for the project to proceed.

The City reserves the right to approve or reject projects on a case-by-case basis, taking into account established policies, specific project criteria, and demand on city services in relation to the potential benefits to be received from a proposed project.

Meeting policy guidelines or other criteria does not guarantee the award of municipal subsidies. Furthermore, the approval or denial of one project is not intended to set precedent for approval or denial of another project.

Whenever possible, it is the City's intent to coordinate the use of municipal services with other local governing bodies and taxing jurisdictions.

Objective of Municipal Subsidies. The City of Brookings is committed to providing a high quality of life for its citizens and fostering a diverse economic base through innovative thinking, strategic planning, and proactive, fiscally responsible municipal management.

To fulfill this commitment, the Brookings City Council will closely examine its goals and the goals of its city departments to identify outcomes that will meet the standards as outlined in the mission statement above.

The Council also recognizes that its support of programs and services outside the scope of its city departments may be necessary to fulfill the commitment and achieve the desirable quality of life for its citizens. As a matter of policy, the City of Brookings will consider using municipal funds to assist in the following areas, but are not limited to, opportunities in the areas of:

- Affordable Housing
- Arts & Culture
- Youth Development
- Diversity
- Economic Development
- Education & Literacy
- Environment
- Government Stewardship
- Health
- Parks, Recreation & Open Spaces
- Partnerships
- Preservation/ History
- Safety
- Transportation/Transit

The Brookings City Council may choose to annually allocate a specified funding amount for a specific category, regardless of the number of applicants for that particular programming area.

General Guidelines for the Allocation of Municipal Subsidies. The City of Brookings may allocate up to four (4) percent of the annual General Fund expenditures to subsidize community needs and programs. The City's current and projected financial health and stability will be the key deciding factor in determining its ability to provide funds to outside organizations.

In addition, the Council will consider a number of factors as defined in the City's Funding Application when making this decision. A key factor will be the applicant's ability to provide a service or outcome that improves the quality of life for the citizens of Brookings. The applicant must also provide a "but for" analysis which demonstrates the need for public assistance. Other factors include the applicant's ability to become self-sustaining, the duration of the funding commitment, and operating verses capital requests.

Municipal subsidy will not be used for projects that would place extraordinary demands on city infrastructure and services.

Request for donations or subsidies from individuals, religious or political groups based out of the City of Brookings will not be considered.

Request for donations or subsidies from qualified organizations outside of the funding timeline will not be considered.

General Guidelines for Subsidies. The Brookings City Council evaluates program-funding proposals on an annual basis for funding in the following calendar year. The City's fiscal year is January 1 to December 31. Proposals must be submitted to the City Clerk in accordance with the budget cycle

schedule and proposal format outlined below. Requests may only be made during this period of time. Completed applications must be received on or before June 1st of each given year.

Following, a review by the City Manager and Finance Manager, the application shall be referred to the City Council for further consideration during the annual budget meetings.

Organizations applying for a donation or subsidy must submit a completed *Application for Funding* along with a detailed description of the project; a preliminary site plan; the amount requested; the duration of the funding request; the public purpose of the project; verifiable funding sources and uses; and a “but for” analysis which demonstrates the need for public assistance. Additional documents that may be required include the organization’s current expense statement and budget, Board of Directors listing, current Annual Report, and all other items specified in the *City of Brookings Application for Funding*.

Budget Hearing Process. Brookings City Council budget meetings are held in the months of August and September. All budget meetings are open to the public. Applicants may or may not be invited to make a presentation on their funding proposal. Applicants are encouraged to attend all budget meetings to remain informed during the process. Applicants should be prepared to answer questions based on the application. Final action on the budget occurs at the last Council meeting in September.

Brookings School District Subsidies. Appropriation of public funds can be set aside for specific purposes which promote the City of Brookings mission and the local quality of life within the City of Brookings. Brookings Municipal Utilities transfers funds each year to the General Fund as a means to keep city property taxes at a low level for the citizens of Brookings. The City of Brookings may annually appropriate not less than 13.5% up to 15% of the transfer from the Brookings Municipal Utilities to the Brookings School District.

Economic Development/Promotions Subsidies. A subsidy from the 3rd B Fund shall meet the requirements of the SD State Statute 10-52-8*. Funds will be appropriated from the 3rd B Fund to entities with the capacity to promote and advertise the city, its facilities, attractions, and activities. In any fiscal year, the City may require the unencumbered funds be returned to the City 3rd B Fund.

Subsidy Agreement and Reporting Requirements. The City of Brookings requires all recipients of municipal funds to enter into appropriate agreements that identify the reason for the subsidy, the public purpose served by the subsidy, subsidy payment schedule, final the specific performance measurements to be attained, and final reporting on outcomes. Failure to provide final reporting of funds and all other required reports will make applicant ineligible for future subsidies.

The City has established the policy that financial, service and program performance measures be developed and used as an important component of decision making and incorporated into governmental budgeting. The City encourages all departments to utilize performance measures. At a minimum, performance measures should be used to report on the outputs of each program and should be related to the objectives of each department.

The performance measurements should:

1. Be based on program objectives that tie to the City Council’s goals and program mission or purpose;

2. Measure program results or accomplishments;
3. Provide for comparisons over time;
4. Measure efficiency and effectiveness;
5. Be reliable, verifiable and understandable;
6. Be reported internally and externally;
7. Be monitored and used in decision-making processes; and
8. Be limited to a number and degree of complexity that can provide an efficient and meaningful way to assess the effectiveness and efficiency of key programs.

All agreements and reports shall be timely prepared and filed with the City Clerk. Failure to comply with any of these requirements may result in the revocation of the requested subsidy as well as fines, repayment requirements, and a determination that the organization is ineligible for future municipal subsidies for a period of years.

* Applicable State Statute:

10-52-8. Additional tax on lodgings, alcoholic beverages, prepared food, and admissions -- Purposes -- Conformance with state sales and use tax. Notwithstanding the tax rate limitations of §10-52-2 or 10-52-2.1, any municipality may impose an additional municipal non-ad valorem tax at the rate of one percent upon the gross receipts of all leases or rentals of hotel, motel, campsites, or other lodging accommodations within the municipality for periods of less than twenty-eight consecutive days, or sales of alcoholic beverages as defined in §35-1-1, or establishments where the public is invited to eat, dine, or purchase and carry out prepared food for immediate consumption, or ticket sales or admissions to places of amusement, athletic, and cultural events, or any combination thereof. The tax shall be levied for the purpose of land acquisition, architectural fees, construction costs, payments for civic center, auditorium, or athletic facility buildings, including the maintenance, staffing, and operations of such facilities and the promotion and advertising of the city, its facilities, attractions, and activities. Such taxes shall conform in all respects to the state sales and use tax on such items with the exception of the rate.

City of Brookings

Ends Policy 2, Municipal Services

*Establishing what is to be done, for whom, at what cost, and
Executive Limitations to define unacceptable means*

Municipal Services – Key Performance Area

Municipal Services is considered a key performance area by the Brookings City Council, and appears in the Mission Statement as “providing a high quality of life for citizens.”

The City Council deems City Services, along with fiscal management, as the highest priorities of the City Manager and City Employees. There is no more important function of City Government than to serve the Citizens of Brookings in a friendly, effective manner.

For this document, the City Council defines Municipal Services as Life Safety (police and fire), and Functional Services (all other departments).

Guideline A:

In terms of Life Safety, involving the police and fire departments, the City Manager will:

- 1) In emergency situations, uphold the decisions made by the fire or police chief;
- 2) Maintain personnel at established baselines;
- 3) Provide appropriate equipment to maximize safety of personnel;
- 4) Enforce ordinances and laws;
- 5) Not allow situations to develop that may raise insurance rates for citizens or for the City;
- 6) Maintain the budget in such a way that will not lower the quality of services.

Guideline B:

In terms of Functional Services, which include all departments of the City other than Life Safety, the City Manager will:

1. Repair infrastructure in a timely manner;
2. Increase services while forecasting benefits;
3. Expand department budgets only while documenting baselines;
4. Approve changes that fall within the long-term plan;
5. Be intolerant to waste or inefficiency of any kind;
6. Be intolerant to poor service by City Employees;
7. Enforce ordinances and laws;
8. Document ongoing citizen satisfaction and performance reviews for services provided;
9. Provide support and guidance for staff when they are forced to work outside of their expertise;
10. Seek opportunities to share facilities with other entities;
11. Anticipate foreseeable needs;
12. Use foresight in developing services;
13. Deliver services in a timely and quality manner;
14. Consider citizen complaints;
15. Emphasize a user-friendly approach;
16. Apply technology whenever beneficial.

Guideline C:

The City of Brookings has unique enterprise operations including the Solid Waste Disposal (landfill), the Solid Waste Collection, the Liquor Retail Store, and the Liquor Override. In terms of enterprise operations the City Manager will:

1. Comply with Guideline B;
2. Review the Return on Assets (ROA) on an annual basis. The Return on Assets will be calculated comparing the net profit to the total assets of each enterprise operation. Net profit will be calculated using the total revenue of each enterprise including the sales of services or goods, interest, rents, sale of fixed assets, and miscellaneous income minus all expenses including depreciation, but excluding the General Fund transfer expense. Total assets will include long-term assets and current assets, but not restricted cash controlled by other entities (such as grants, closure funds, etc.).

<i>Return On Assets, Item #2</i>			
<i>Year</i>	<i>Landfill</i>	<i>Collections</i>	<i>Liquor Retail</i>
2000	10.3%	26.5%	14.8%
2001	10.7%	35.4%	14.0%
2002	8.7%	16.5%	15.6%

3. Compare, as a percentage, the General Fund Transfer to the gross revenue of each enterprise operation on an annual basis;

<i>General Fund Transfer Comparison, Item #3</i>					
<i>Year</i>	<i>Landfill</i>	<i>Collections</i>	<i>Total</i>		
			<i>Liquor</i>	<i>Retail</i>	<i>Override</i>
2000	13.2%	6.6%	6.1%	4.6%	7.3%
2001	14.0%	6.7%	5.9%	4.4%	7.1%
2002	29.2%	12.4%	6.5%	5.1%	7.8%

4. Compare the enterprise operations against other similar government operated enterprises in the state of South Dakota every two years. However, a description of the uniqueness of the enterprise operations must accompany the comparisons, which may include:
 - Services provided
 - Service area
 - Fees charged
 - General Fund Transfers (if any)
 - Total gross revenue generated
 - Source of funding for capital expenditures (revenues, grants, second penny sales tax, general fund, loans, etc.)

Comparison of Operations	Brookings	Marshall, MN	Redwood Falls, MN
	~~2002~~	~~~2001~~~	~~2002~~
Population	18,500	12,023	4,859
Retail Sales	2,157,279	2,777,370	1,119,481
Override Sales	2,952,863	0	0
Net Profit/Retail	119,606	436,371	80,753
Transferred/Retail	110,773	301,230	25,000
Net Profit/Override	232,580	0	0
Transferred/Override	221,547	0	0

- Calculate earnings ratio on an annual basis; (sales of goods or services minus expenses including depreciation, but excluding the General Fund transfer; divided by sales of goods and services times 100)

<i>Earnings Ratio, Item #5</i>					
<i>Year</i>	<i>Landfill</i>	<i>Collections</i>	<i>Total</i>		
			<i>Liquor</i>	<i>Retail</i>	<i>Override</i>
2000	28.9%	-31.8%	6.1%	4.6%	7.7%
2001	28.3%	-6.0%	6.1%	4.6%	7.8%
2002	22.8%	-11.9%	6.9%	5.5%	7.9%

- Review a five year Capital Improvement Plan (CIP) on an annual basis. The CIP must list the capital outlays and source of funds, including demonstrating that needed capital reserves are maintained so that the enterprises are being operated in a stable financial manner.

Each department prepares a Five-year CIP on an annual basis.

City of Brookings

Ends Policy 3, Business Models

*Establishing what is to be done, for whom, at what cost, and
Executive Limitations to define unacceptable means*

Business Models, (Long Range Planning, Customer Satisfaction, Productivity and Process Improvement)--Key Performance Areas

Operation of the City under a business model, emphasizing long range planning, customer satisfaction, and productivity and process improvement, is considered a key performance area by the Brookings City Council, and appears in the Mission Statement as “innovative thinking and strategic planning.”

The City Council chooses to import models and practices not only from government, but just as importantly, from innovative business models. In other words, the Council wants the City, whenever possible and prudent, to operate with similar systems and attitudes adopted by any successful business. Some of the major themes the Council chooses to emphasize are:

1. **Benchmarking.** The Council wants to constantly compare City performance with other cities and other departments, to be sure Brookings is operating in not only an efficient, but creative and innovative manner. The Council is aware that Brookings is unique—at times, the City’s emphasis and direction will, and should, differ considerably from other cities. However, information about best practices from other communities will always help the Council make better choices.
2. **Continuous improvement.** The Council expects measurements of performance to challenge the status quo, through the use of continuous improvement processes. Since the needs of our citizen customers are constantly changing, so should our practices.
3. **Goal-setting.** The Council expects specific goals to challenge each City Department.
4. **Accountability.** The Council expects the City Manager to hold City Employees to standards that demand excellence. “Good enough” is not an acceptable standard.
5. **Customer satisfaction.** The Council expects the City to institute a form of measurement to gather and monitor customer satisfaction.

City of Brookings

Ends Policy 4, Economic Development

*Establishing what is to be done, for whom, at what cost, and
Executive Limitations to define unacceptable means*

Mission Statement - The City of Brookings is committed to providing a high quality of life for its citizens, and fostering a diverse economic base, through innovative thinking, strategic planning, and proactive, fiscally responsible municipal management.

Economic Development – Key Performance Area

Economic Development and expansion is considered a key performance area by the Brookings City Council, and appears in the Mission Statement as “fostering a diverse economic base.”

The Council understands and intends to emphasize the importance of a healthy economy in Brookings and the surrounding area. For the entire community a healthy economy is critical to a high quality of life. Because of its great importance, there are many entities involved in economic development in Brookings. As the City is a significant funding source for much of the economic development efforts in Brookings it is the Council’s intention to spend economic development dollars in the wisest most productive manner possible.

The City Council’s desired End is to have an economy that is healthy and growing with enough economic activity to support and fund public services. Toward that end, some overall indicators, expressed as ends, have been identified:

- A. The property tax base is growing.
- B. Sales taxes are increasing.
- C. Retail, Commercial, and Industrial buildings are not vacant.
- D. There are employment opportunities.
- E. There are competitive wages.

Having developed some overall Ends, following are more specific Ends to provide guidance to both the City Council and the City Manager.

1. City Government is prepared for economic development opportunities.
 - a) 20% of un-obligated 75%-2nd Penny dollars are set aside for future economic development opportunities.
 - b) The City Manager is designated as the primary contact from city government for economic development inquiries.
 - c) City government, through its City Manager, acts as a facilitator for cooperation amongst the various economic development entities.
 - d) There is adequate land available for future Industrial and Commercial development.
 - e) BEDC has an Action Plan with Committees in place to foster economic development, create opportunities, and react to opportunities.
2. Economic development entities are working cooperatively and collaboratively.

- a) A comprehensive economic development strategy exists.
 - b) Economic development entities meet with the city manager on a regular basis and report to the City Council on a regular basis.
 - c) There is an excellent relationship between economic development entities and the Governor's Office of Economic Development.
 - d) There is a planned, cooperative effort for all "hostings".
3. Economic development efforts are conducted with an emphasis on the community's assets.
- a) The growth and expansion of existing Brookings industries and retail are the primary target for increased employment and economic growth.
 - b) SDSU students and SDSU Colleges are viewed as potential partners to targeted businesses and industries. A business or industry closely related to a field of study at SDSU can profit from the use of a quasi-professional/professional work force willing to work part-time and eventually full-time, the knowledge base held within an SDSU college, and other partnerships with SDSU.
 - c) The City will partner with the innovation campus at SDSU.
4. The land around the Swiftel Center/Ice Arena is developed to enhance and complement the existing land use in the area.
5. Tourism is bringing outside money to the community.
- a) Quality events and promotions occur frequently.
 - b) There is an events coordinator and an emphasis on filling the summer months with activities. Hotel rooms are full.
 - c) "3rd Penny" tax receipts are increasing.
 - d) Sales tax receipts are directly impacted by events.
 - e) Facilities (Ice Arena, Swiftel Center, Sports Fields, Performing Arts Center, Wellness Center) are used at capacity.
 - f) Promotion dollars leverage significant visitor spending.
 - g) The community accepts a plan for the broadening of the tax base for promotional uses.
6. Tourism entities are working cooperatively and collaboratively.
- a) A comprehensive promotion strategy exists.
 - b) City Government acts as a facilitator for cooperation among the various tourism entities.
7. The Research and Technology Center operates to facilitate the start-up and continued health of agricultural and research based business and industry. Businesses and organizations placed in the Center are agricultural research and technology based. A specific policy guides the management of the Research and Technology Center.
8. Because the State of South Dakota provides local control of the number of liquor licenses allowed in a City, there are ample liquor licenses available for future development of amenities the traveling and visiting public desires. The City of Brookings has a policy to guide the distribution of licenses (operating agreements).

9. The cost for tourism and promotion will not exceed the sum of the “3rd Penny” revenues raised annually to \$300,000.
10. The cost of economic development activities fluctuate based on the need and projects proposed.
11. The City Council has considered predevelopment agreements with large retail developments.

City of Brookings

Ends Policy 5, Employee Training and Development

*Establishing what is to be done, for whom, at what cost, and
Executive Limitations to define unacceptable means*

Employee Training and Development—Key Performance Area

Employee Training and Development is considered a key performance area by the Brookings City Council, and appears in the Mission Statement as “proactive, fiscally responsible municipal management.”

The Council values City of Brookings employees as emissaries to the world. With this in mind, the work environment for employees shall be one in which employees are appreciated, and encouraged to grow and expand their skills. Compensation and benefit packages will promote excellence, within the safest possible working conditions. The goal of training shall be to provide tools to assist staff to exceed management and customer expectations.

Deviations from the below stated guidelines must be reviewed and approved by the Council.

Guideline A:

Training shall equip employees with the attitudes and behaviors necessary to achieve excellence. Based on this guideline, training shall:

1. Commence immediately upon hiring, and continue throughout the career of the employee, providing specific tools for optimal performance and productivity;
2. Emphasize continuous improvement of employees and processes;
3. Enhance an employee’s opportunity for promotion;
4. Emphasize customer service;
5. Focus on effective technological practices.

Guideline B:

Compensation Ranges will be objectively determined by the City Manager in accordance with this policy. Research shall compare compensation and benefits with those of other public entities with whom the City may compete for qualified employees, along with private sector organizations that have similar positions in the surrounding area.

Infrequently, full market surveys may be required to evaluate and implement necessary modifications to the City’s pay system. Full market surveys that might require the services of a consultant to evaluate the City’s compensation levels will be completed only upon recommendation of City Manager and approval by the Council.

The organizations to be included in the market research for non-exempt positions will consist of other public sector entities primarily in South Dakota, as well as private sector organizations in the local region, as appropriate, that have similar positions. For management and professional positions, the market will include many of the organizations previously identified, plus similarly sized cities in surrounding states that the city would compete with for applicants as identified by the City Manager. It is not intended that the market will include significantly larger South Dakota cities, such as Sioux Falls and Rapid City, unless the market conditions clearly suggest the need to do so.

In order to ensure that there is consistency in the methodology used when determining the compensation ranges and benefits, the City Manager will follow the guidelines below:

In addition to infrequent full market surveys, periodic checks of benchmark positions will be completed as directed by the City Manager to monitor and maintain the City's compensation program. To maintain compensation levels that are comparable to market, the City Manager will identify and select benchmark positions and organizations to survey on a timetable appropriate to upcoming budget year. Efforts will be made to survey the same or like organizations as in the previous survey unless an exception to this policy can be justified.

In order to maintain the internal equity of the compensation system, the Job Factor Evaluation System adopted by the City will be used for all job classification reviews. The job evaluation is not intended to provide a specific value for a position; rather it is intended to provide an assessment of the "relative" value of a position to the organization, compared to other positions. The following criteria defined in the Job Factor Evaluation will be used in evaluating the internal equity placement of City positions:

1. Scope of Supervision – Factor measures both the level of supervision required as well as the number of individuals supervised.
2. Job knowledge - Factor measures the extent and nature of knowledge required to perform the duties of the position.
3. External Contacts – Factor measure the nature and frequency of external contacts.
4. Decision Making – Factor measures the level of decision-making and independent thought required.
5. Job Complexity – Factor measures level of analytical ability required in the position and the complexity of typical situations faced.
6. Physical Working Conditions – Factor measures nature of physical working environment and frequency in which employee typically works in that environment.
7. Exposure to Hazards – Factor measures employee's typical exposure to health and physical dangers and frequency of such exposure.

The pay grades and pay ranges will remain consistent and uniform as follows.

1. The bargaining unit will have established pay grades with ranges of 21.7% and a six percent differential between each grade. The pay grades will be determined based on position title, specific duties involved, and job factor evaluation system.

2. The management group will also have established pay ranges of 35% Pay ranges will be established by position title, specific duties involved, and job factor evaluation system. The non-union/non-management will be placed on a similar pay system with ranges of 21.7%.

There is also in place for management exempt employees a pay for performance system which is administered by the City Manager based on budgeted funds to provide recognition to management staff for their additional contributions, achievements and service to the City of Brookings over the past year.

3. For the police bargaining the Council will have pay grades with ranges of 21.7% with exceptions with less than 21.7% ranges to minimize overlap.

A combination of the data collected on the identified benchmark positions and the job factor evaluation system will be used to place each City position at appropriate pay grades in the City of Brookings Pay Plan Schedules. By using both the market survey data and the job factor evaluation, the City will have a pay system that is within market and reflects the City of Brookings organization.

The Council will not assume an obligation to automatically increase pay ranges without justification. Justification will rely on a review of the Midwest CPI and specific salary data received/obtained from sources as determined appropriate by City Manager. The purpose of this process is to develop a pay system that is fair and within market and to provide a process that is consistent and reproducible.

In summary, this policy provides further definition to the following Council policy. It is the intent of the Council for compensation to:

1. Be commensurate with individual productivity within the market range;
2. Be systematic, with defined ranges, with consistent span in the pay ranges where feasible using the median of the maximum rate of pay of surveyed positions as a benchmark;
3. Be used as a reward and motivation to achieve excellence;
4. Be attractive to top candidates;
5. Be adequate to retain top performers;
6. Exceed standards only when justified by exceptional performance;
7. Emphasize the use of reward bonuses over pay increases.
8. Be structured, when appropriate, to allow staff attrition to maintain market rates.

City of Brookings

Ends Policy 6, Intergovernmental Cooperation and Relations

Establishing what is to be done, for whom, at what cost, and

Executive Limitations to define unacceptable means

Intergovernmental Cooperation and Relations—Key Performance Area

Intergovernmental Cooperation and Relations is considered a key performance area by the Brookings City Council, and appears in the Mission Statement as “providing a high quality of life for citizens...through innovative thinking and strategic planning.”

The Council wishes to coordinate efforts with other governmental bodies, to mutual benefit, whenever possible. The Council hopes to continue to work closely with any governmental body seeking to serve the best interests of the Citizens of Brookings in a more integrated manner.

Staff must remember their importance in establishing and maintaining rapport with scores of governmental agencies and groups. At times, one staff person is the only representative of Brookings to encounter a given government official and regardless of the size or length of the interaction, the Council hopes staff conducts themselves in a manner that would be the pride of Brookings.

Though too numerous to mention every governmental body, examples of governmental bodies that the Council wishes to coordinate efforts with include (not in order of importance): Federal, State, County, University, School District, Cities with home rule, other Cities, and Municipal League.

Amendments

May 13, 2002, the City Council approved the City Council Code of Ethics as Attachment A and the Volunteer Code of Ethics as Attachment B

November 27, 2002 – Amended Ends Policy 2, Municipal Services, to add Guideline C for enterprise funds

May 27, 2003 Amended Economic Development Policy

January 11, 2005 - Amended Financial Stability Ends Policy

May 8, 2007 – Amended Policy 1, Governance Process; Policy 2, Council-Staff Linkage; Ends Policy 1, Financial Stability; Ends Policy 2, Municipal Services; Ends Policy 4, Economic Development; Ends Policy 5, Employee Development and Training.

April 29, 2008 – Amended Ends Policy 1, Financial Stability, adding Guideline H: Appropriation and Subsidy Policy & Guidelines

City of Brookings Governance and Ends Policies - Appendix A
City Council Code of Ethics
Approved May 13, 2002

The mayor and council are responsible for making policy decisions for the community. The City Council provides vision, direction and leadership to the community and the organization. The City Council further represents the Brookings Community with other governmental entities and officials. In order to maintain and enhance public trust and confidence in our local government, to achieve equity and social justice, to affirm human dignity, and to better the quality of life for residents of Brookings the members of the City Council dedicate themselves to the stewardship of the public trust and therefore embrace the following ideals, seeking to:

- ❖ Uphold constitutional government and the laws of the city of Brookings;
- ❖ Conduct public and private life as to be an example for my fellow citizens;
- ❖ Be mindful of my neutrality and impartiality, rendering equal service to all and to extend the same treatment I wish to receive myself;
- ❖ Abstain from voting when a conflict of interest exists in accordance with the *Brookings City Charter, Section 7.01 (a) Conflicts of Interest* provision;
- ❖ Be tolerant, respectful and attentive. Avoid comments, body language or distracting activity that conveys a message of disrespect for the presentations from citizens, staff or colleagues;
- ❖ Maintain and respect the confidentiality of private and confidential information;
- ❖ Attend all regular and special meetings, including briefings, and public functions where my presence is expected;
- ❖ Be prepared by reading all documents pertaining to an issue in advance of the above mentioned meetings or event;
- ❖ Be an active and attentive participant;
- ❖ Be professional in both appearance and manner; and
- ❖ Read, comprehend and comply with local, state, and national governmental guidance, directives, regulations and ordinances pertaining to my position.

It is the policy of the City of Brookings to uphold, promote, and demand the highest standards of ethics from all its Council members. Brookings Council members shall maintain the utmost standards of personal integrity, truthfulness, honesty, and fairness in carrying out their public duties, avoid any improprieties in their roles as public servants including the appearance of impropriety, and never use their city position or powers for improper personal gain.

The code of ethical behavior will govern members of the City Council. City Council members are encouraged self-monitor their behavior and offer constructive recommendations to fellow Council members if necessary. As a member of the City Council, I accept these ideals and policy, and pledge to do in the interest and purposes for which our government has been established.

Date

Signature

City of Brookings Governance and Ends Policies - Appendix B
City of Brookings Volunteer Code of Ethics
Approved May 13, 2002

Volunteer advisory boards, committees and commissions provide a very important service to the City of Brookings. Members of volunteer boards, committees and commissions are often the first and only contact an individual might have with city government. In order to maintain and enhance public trust and confidence in our local government, to achieve equity and social justice, to affirm human dignity, and to better the quality of life for residents of Brookings the members of volunteer boards and committees dedicate themselves to the stewardship of the public trust and therefore embrace the following ideals, seeking to:

- ❖ Uphold constitutional government and the laws of the city of Brookings;
- ❖ Conduct public and private life as to be an example for my fellow citizens;
- ❖ Abstain from voting when a conflict of interest exists in accordance with the *Brookings City Charter, Section 7.01 (a) Conflicts of Interest* provision;
- ❖ Be mindful of my neutrality and impartiality, rendering equal service to all and to extend the same treatment I wish to receive myself;
- ❖ Be tolerant, respectful and attentive. Avoid comments, body language or distracting activity that conveys a message of disrespect for the presentations from citizens, staff or colleagues;
- ❖ Maintain and respect the confidentiality of private and confidential information;
- ❖ Attend all regular and special meetings, including briefings, subcommittee meetings and public functions where my presence is expected;
- ❖ Be prepared by reading all documents pertaining to an issue in advance of the above mentioned meetings or event;
- ❖ Be an active and attentive participant;
- ❖ Be professional in both appearance and manner; and
- ❖ Read, comprehend and comply with local, state, and national governmental guidance, directives, regulations and ordinances pertaining to my position.

It is the policy of the City of Brookings to uphold, promote, and demand the highest standards of ethics from all its appointed officials. Brookings City officials shall maintain the utmost standards of personal integrity, truthfulness, honesty, and fairness in carrying out their public duties, avoid any improprieties in their roles as public servants including the appearance of impropriety, and never use their city position or powers for improper personal gain.

The code of ethical behavior will govern members of all City of Brookings boards, committees and commissions. Volunteers are responsible to self-monitor their behavior. Concerns regarding a volunteer's behavior should be reported to the City Manager. Deviation from this Code of Ethics may result in removal from the Board.

As an appointed official, I accept these ideals and policy, and pledge to act in the interest and purposes for which our government has been established.

Date

Signature