

M.C.C.A.

William Blodgett, President
Lincoln County Commissioner

Peter Baldacci, Vice President
Penobscot County Commissioner

Thomas Coward, Secretary-Treasurer
Cumberland County Commissioner



Rosemary Kulow
Executive Director

Lauren Haven
Administrative Assistant

4 Gabriel Drive, Suite 2
Augusta, ME 04330
207-623-4697
www.maine counties.org

MCCA Board of Directors' Meeting Agenda

10:00 a.m.

Wednesday, September 10, 2014

- I. **Call to Order, Pledge of Allegiance, Introductions & Attendance**
- II. **Approval of/Additions to the Agenda**
- III. **Approval of August 21, 2014 Meeting Minutes**
- IV. **Old Business**
- V. **New Business**
 - A. Endorsement of Betsy Fitzgerald to Serve on the NACO Community, Economic, & Workforce Development Steering Committee
 - B. First Reading of the Following Policies:
 - 1. Personnel Policy
 - 2. Financial Management & Investment Policy
 - 3. Purchasing Policy
 - C. Recommendation from the Joint Corrections Task Force on Membership Rules
- VI. **Reports**
 - A. Executive Director's Report – *Rosemary Kulow*
 - B. Financial Reports – *Rosemary Kulow*
 - C. Legislative Report – *Rosemary Kulow*
 - D. Association Reports
 - E. Corrections Report – *Amy Fowler; Ryan Thornell*
 - F. Annual Convention Report – *York County*
 - G. NACo Report – *Peter Baldacci*
- VII. **Other Business**
- VIII. **Adjournment**

M.C.C.A.

William Blodgett, President
Lincoln County

Peter Baldacci, Vice-President
Penobscot County

Thomas Coward, Secretary-Treasurer
Cumberland County

Rosemary Kulow
Executive Director

Lauren Haven
Administrative Assistant



4 Gabriel Drive, Suite 2
Augusta, ME 04330
207-623-4697
www.mainecounties.org

MCCA Board of Directors' Meeting Minutes Thursday, August 21, 2014 at 3:15 p.m.

I. Call to Order, Pledge of Allegiance, Introductions & Attendance

President William Blodgett called the meeting to order at 3:10 p.m., and the attendees said the Pledge of Allegiance.

DIRECTORS PRESENT: *Androscoggin* – Comm. Beth Bell; *Aroostook* – Comm. Norman Fournier; *Cumberland* – Comm. Tom Coward; *Franklin* – Comm. Gary McGrane; *Hancock* – Comm. Steve Joy; *Knox* – Comm. Roger Moody; *Lincoln* – Comm. William Blodgett; *Oxford* – Admin. Scott Cole; *Penobscot* – Comm. Peter Baldacci; *Sagadahoc* – Admin. Pam Hile; *Somerset* – Comm. Robin Frost; *Waldo* – Comm. Amy Fowler; Washington – County Manager Betsy Fitzgerald; *MACCAM* - Bill Collins

OTHERS PRESENT: *Cumberland* – Assistant Manager Bill Whitten; *Kennebec* – Comm. Nancy Rines

STAFF PRESENT: Executive Director Rosemary Kulow, Risk Pool Manager Malcolm Ulmer, and Administrative Assistant Lauren Haven.

II. Approval of/Additions to the Agenda

Comm. Coward moved and Comm. Moody seconded accepting the agenda as written. It was approved unanimously with no additions.

III. Approval of July 9, 2014 Meeting Minutes

Comm. McGrane made a motion to approve the minutes as presented. County Manager, Betsy Fitzgerald seconded the motion and the motion was approved unanimously.

IV. Old Business

No old business was brought before the Board.

V. New Business

- A. **Endorsement of the Following to Serve on NACo Steering Committees:**
1. **Rosemary Kulow – Agriculture & Rural Affairs Steering Committee**
 2. **Bill Whitten – Community, Economic & Workforce Development Steering Committee**
 3. **Peter Baldacci – Public Safety Steering Committee**
 4. **Robert Faunce, County Planner for Lincoln County – Environment, Energy & Land Use Steering Committee**
(Requested by Lincoln County Administrator, John O'Connell)

President Bill Blodgett moved to approve all four proposed endorsements contingent upon each county paying for their own representative. Comm. McGrane seconded the motion, and the vote was unanimous.

- B. **Discussion of Who Should Be the Responsible Party for Inmate Medical Costs when an Inmate from One County is Housed in a Jail at a Different County**
(Requested by Somerset County Administrator, Dawn DiBlasi)

Comm. Fournier moved to refer this item to the State Board of Corrections Working Group as it will be addressed there. The MCCA Joint Corrections Task Force should be asked to follow up and report back to the Board of Directors. Comm. Blodgett made a motion to accept this, and all were in favor.

VI. Reports

- A. **Executive Director's & Financial Reports – Rosemary Kulow**

The Executive Director presented her reports (see attached).

Comm. Baldacci moved to accept the Executive Director's report, seconded by Manager Betsy Fitzgerald, and the report was approved unanimously.

After a brief review, Comm. McGrane made a motion to place the Financial Report on file. The motion was seconded by Comm. Moody, and the vote was unanimous.

VII. Other Business

No other business was brought before the Board.

VIII. Adjournment

Comm. McGrane made a [motion](#) to adjourn at 3:22 pm. Administrator Pam Hile seconded the [motion](#), which was unanimously approved.

Respectfully submitted,

MCCA Administrative Assistant, Lauren Haven

Attested:

MCCA Secretary-Treasurer, Thomas S. Coward

MCCA

PERSONNEL POLICY HANDBOOK

September 4, 2014 DRAFT

WELCOME LETTER

On behalf of the Maine County Commissioners Association (MCCA), I wish to welcome you as a new employee.

In this *Personnel Policy Handbook*, you are provided an overview of MCCA's personnel policies, terms and conditions of employment, and employee benefits. As an MCCA employee you are responsible for reviewing and understanding the contents of the *Personnel Policy Handbook*. Should you have any questions, please contact the MCCA Administrative Office at 207-623-4697 or via email at rkulow@mainecounties.org or lauren.haven@mainecounties.org.

Welcome to MCCA! We hope your employment with us will be both beneficial and rewarding.

Rosemary E. Kulow
MCCA Executive Director

MAINE COUNTY COMMISSIONERS ASSOCIATION
PERSONNEL POLICY HANDBOOK
Table of Contents

SECTION		PAGE #
1.0	<u>INTRODUCTION</u>	1
1.1	ABOUT THE <i>PERSONNEL POLICY HANDBOOK</i>	1
1.2	ORGANIZATIONAL STRUCTURE	1
1.2.1	Board of Directors	1
1.2.2	Executive Director	2
1.2.3	Department Managers	2
2.0	<u>GENERAL EMPLOYMENT POLICIES AND PRACTICES</u>	2
2.1	CODE OF ETHICS	2
2.2	EMPLOYMENT AT WILL	5
2.3	EQUAL EMPLOYMENT OPPORTUNITY STATEMENT / NON - DISCRIMINATION POLICY	5
2.4	AMERICANS WITH DISABILITIES ACT (ADA) POLICY	5
2.5	HARASSMENT AND RETALIATION PREVENTION POLICY	6
2.6	WHISTLEBLOWER'S PROTECTION ACT POLICY	8
2.7	TOBACCO-FREE POLICY	9
2.8	DRUG-FREE WORKPLACE STATEMENT	9
2.9	WORKPLACE VIOLENCE PREVENTION POLICY	9
2.10	DOMESTIC VIOLENCE IN THE WORKPLACE POLICY	10
2.11	PROPRIETARY INFORMATION / CONFIDENTIALITY	11
2.12	SAFETY POLICY	11
2.12.1	Reporting Injuries and Accidents	11
2.12.2	Hazardous Wastes	11
2.12.3	Use of Personal Protective Equipment (PPEs)	12
2.12.4	Driving While Distracted	12
2.13	WORKERS' COMPENSATION	12
2.14	WORK RULES	13
2.14.1	Disciplinary Action	14
2.14.2	Administrative Leave	14
2.14.3	Disciplinary Hearings	14
2.14.4	Right of Appeal	15
2.14.5	Investigation of Outside Complaints	15
2.15	PERSONNEL FILES	16
3.0	<u>HIRING POLICIES AND EMPLOYMENT CONDITIONS</u>	17
3.1	INTRODUCTORY AND TRIAL PERIODS	17
3.2	NEW EMPLOYEE ORIENTATION	17
3.3	ANTI-NEPOTISM POLICY	17
3.4	OUTSIDE EMPLOYMENT	17
3.5	POLITICAL ACTIVITIES	17
3.6	TRAINING	18
4.0	<u>WAGE AND HOUR POLICIES AND PRACTICES</u>	18

4.1	JOB EVALUATION AND CLASSIFICATIONS	18
4.1.1	Job Descriptions	18
4.1.2	Job Evaluation and Pay Grade System	18
4.2	EMPLOYMENT CLASSIFICATIONS	18
4.2.1	Full-Time Employees	19
4.2.2	Regular Part-Time Employees	19
4.2.3	Part-Time Employees	19
4.2.4	Temporary Employees	19
4.2.5	Temporary Employees – Grant Funded	19
4.2.6	Fair Labor Standards Act (“FLSA”) Classifications	19
4.3	TRAVEL EXPENSES	20
4.4	COMPENSATION PLAN	20
4.4.1	Initial Compensation	20
4.4.2	Overtime Compensation and Compensatory Time	20
4.4.3	Wage Adjustments	21
4.5	HOURS OF WORK	21
4.6	PAY PERIOD	21
4.7	TIME SHEETS	21
4.8	CLOSING OF MCCA OFFICES	22
4.9	EMPLOYEE RESIGNATION AND TERMINATION OF EMPLOYMENT	22
5.0	<u>JOB PERFORMANCE APPRAISAL</u>	23
5.1	RESPONSIBILITY FOR APPRAISAL	23
5.2	RIGHT OF APPEAL AND APPEAL PROCESS	23
6.0	<u>BENEFITS</u>	24
6.1	TIME OFF POLICIES	24
6.1.1	Holidays	24
6.1.2	Vacation Leave	26
6.1.3	Sick Leave	27
6.1.4	Donated Sick Leave Policy	29
6.2	HEALTH AND WELFARE BENEFITS	30
6.2.1	Health Insurance	30
6.2.2	Dental Insurance	31
6.2.3	Vision Insurance	31
6.2.4	Life Insurance	31
6.2.5	Long & Short Term Disability Insurances	31
6.2.6	Flexible Spending Accounts	31
6.3	RETIREMENT BENEFITS	32
6.3.1	Social Security	32
6.3.2	Maine Public Employees Retirement System (MainePERS)	32
6.4	UNEMPLOYMENT BENEFIT	32
6.5	LEAVES OF ABSENCE	32
6.5.1	Family and Medical Leave Act (“FMLA”) Policy (Fed. & State provisions)	32
6.5.2	Additional Leave under State Law	32
6.5.3	Military Leave	33
6.5.4	Family Military Leave	34
6.5.5	Bereavement Leave	34
6.5.6	Jury Duty	35
6.5.7	Personal Leave of Absence (LOA)	35

7.0	<u>GRIEVANCE AND APPEAL PROCEDURES</u>	35
7.1	GRIEVANCE PROCEDURE	35
8.0	<u>OTHER POLICIES</u>	36
8.1	EMAIL AND INTERNET POLICY	36
8.2	ACCEPTABLE USE POLICY	38
8.3	SOCIAL MEDIA POLICY	39
8.4	TELECOMMUTING POLICY	39
8.5	CREDIT CARD POLICY	40
8.6	DOCUMENT RETENTION/DESTRUCTION POLICY	41
8.7	CONFLICT OF INTEREST	45
	<u>EMPLOYEE ACKNOWLEDGEMENT AND AGREEMENT FORM</u>	47

MAINE COUNTY COMMISSIONERS ASSOCIATION

PERSONNEL POLICY HANDBOOK

1.0 INTRODUCTION

1.1 ABOUT THE *PERSONNEL POLICY HANDBOOK*

This Maine County Commissioners Association (hereinafter the “MCCA”) *Personnel Policy Handbook* is intended to give employees and directors a general overview of the MCCA and information regarding its personnel policies, terms and conditions of employment, and employee benefits. All policies are subject to change when the MCCA Executive Director determines that the operational needs of MCCA so require. In addition, some policies and benefit programs described in the current version of the *Personnel Policy Handbook* may be revised, suspended or eliminated by the MCCA in response to changing legal requirements. Updated versions of the *Personnel Policy Handbook* will be submitted to the Board of Directors for approval.

Each employee shall be furnished a copy of the MCCA *Personnel Policy Handbook*, as well as a copy of his/her job description at the time of employment. It shall be the responsibility of all employees to acquaint themselves thoroughly with the material in the *Personnel Policy Handbook* and any subsequent revisions. Employees are encouraged to submit suggestions for changes in personnel policies and procedures in writing to their department manager.

It is understood that this policy includes references that might apply to an organization larger and more complex than the current MCCA; however, the structure of the policy is being established for potential growth of the organization if determined by the Board of Directors and general membership that MCCA should provide additional member programs and services that would require additional departments and staff. As of the date of adoption of this policy, staff for MCCA includes an Executive Director and an Administrative Assistant.

Each director shall be given a copy of the MCCA *Personnel Policy Handbook* upon assuming a position on the Board of Directors. Directors are expected to abide by the terms of these policies where specifically stated.

The policies presented in the MCCA *Personnel Policy Handbook* shall not in any way violate, supersede or contradict any state or federal statute. Any statutory changes made by the local, state or federal governments shall immediately take precedence over any areas where conflict may exist.

Employees may contact the MCCA Administrative Office with questions or concerns about these policies.

1.2 MCCA STRUCTURE

1.2.1 MCCA Board of Directors

The MCCA Board of Directors shall have the responsibility for approving the policies, including a Code of Ethics, contained in this Handbook, authorizing the establishment and abolition of MCCA positions and for rendering final decisions resulting from grievance appeals relative to discharge, suspension and other disciplinary actions.

1.2.2 MCCA Executive Director

The MCCA Executive Director is the chief administrative official of the MCCA and is responsible for the administration of all departments and offices controlled by the Board of Directors. The MCCA Executive Director shall:

- Assure that all policies, rules and regulations made by the MCCA Board of Directors are faithfully executed.
- Attend all Board of Directors' meetings, except when his or her removal or suspension is being considered.
- Assure that all duties and responsibilities assigned by law to the Administrative Assistant of the MCCA are properly performed.
- Act as purchasing agent for all MCCA departments and offices.
- Direct and supervise the operation of all MCCA departments and offices;
- Keep the Board of Directors and the Budget Committee informed as to the financial condition of the MCCA.
- Collect all necessary financial information and prepare and submit to the MCCA Board of Directors an annual itemized estimated budget.
- Communicate and exchange information with administrative officials in all counties, special districts and agencies in accordance with policies adopted by the MCCA Board of Directors.
- Track and report on legislative activity and initiatives to MCCA membership, and represent the MCCA and the adopted positions of the MCCA Legislative Policy Committee to the Maine Legislature and United States Congress.

The MCCA Executive Director may not hold any elective MCCA office.

Unless otherwise provided by law, the MCCA Executive Director shall appoint all employees of the MCCA, other than members of the Board of Directors. However, the appointment of department managers shall be subject to confirmation by the Board of Directors. The functions and duties of each employee of the MCCA and the qualifications for each appointed MCCA office or position shall be prescribed by the MCCA Executive Director, subject to the advice and approval of the Board of Directors. Personnel administration shall be under the direction of the MCCA Executive Director and/or his/her designee; provided, however, that appeals of personnel actions may be taken to the Executive Committee and/or Board of Directors by aggrieved employees for resolution as provided by the Grievance Policy.

1.2.3 Department Managers

Department managers, acting on behalf of their departments, are responsible for recommending employees for promotions, demotions, and terminations to the MCCA Executive Director. They are expected to effectively supervise their employees, to report upon the efficiency and performance of subordinates, and to recommend salary increases for individual employees.

2.0 GENERAL EMPLOYMENT POLICIES AND PRACTICES

2.1 CODE OF ETHICS

As a member of the International City/County Management Association ("ICMA"), the MCCA Executive Director is committed to the mission of creating excellence in local governance, although it is understood that MCCA is not a governmental unit itself, but an instrumentality of Maine county government units, whose chief function it is to service the sixteen Maine counties. To this end, MCCA directors and employees will adhere to the following twelve (12) ICMA tenets, which govern all MCCA employees (with the exception of Tenet 7, which is not intended to limit elected officials in running for office):

Tenet 1 - Be dedicated to the concepts of effective and democratic local government by responsible elected officials and believe that professional general management is essential to the achievement of this objective.

Tenet 2 - Affirm the dignity and worth of the services rendered by government and maintain a constructive, creative, and practical attitude toward local government affairs and a deep sense of social responsibility as a trusted public servant.

Tenet 3 - Be dedicated to the highest ideals of honor and integrity in all public and personal relationships in order that the member may merit the respect and confidence of the elected officials, of other officials and employees, and of the public.

Tenet 4 - Recognize that the chief function of local government at all times is to serve the best interests of all people.

Tenet 5 - Submit policy proposals to elected officials; provide them with facts and advice on matters of policy as a basis for making decisions and setting community goals; and uphold and implement local government policies adopted by elected officials.

Tenet 6 - Recognize that elected representatives of the people are entitled to the credit for the establishment of local government policies; responsibility for policy execution rests with the members.

Tenet 7 - Refrain from all political activities which undermine public confidence in professional public administrators. Refrain from participation in the election of the members of the employing legislative body.

Tenet 8 - Make it a duty continually to improve the member's professional ability and to develop the competence of associates in the use of management techniques.

Tenet 9 - Keep the community informed about local government affairs; encourage communication between the citizens and all local government officers; emphasize friendly and courteous service to the public; and seek to improve the quality and image of public service.

Tenet 10 - Resist any encroachment on professional responsibilities, believing the member should be free to carry out official policies without interference, and handle each problem without discrimination on the basis of principle and justice.

Tenet 11 - Handle all matters of personnel on the basis of merit so that fairness and impartiality govern a member's decisions, pertaining to appointments, pay adjustments, promotions, and discipline.

Tenet 12 - Seek no favor; believe that personal aggrandizement or profit secured by confidential information or by misuse of public time is dishonest.

In addition, all elected officials and MCCA employees will be governed by the following Code of Ethics provisions:

A. No public official or MCCA employee shall, except for compensation as provided by law, use his office or any confidential information received thereby for commercial purposes, financial gain, or future employment, for him/herself, a member of his/her immediate family, or business with which s/he is associated.

B. No person shall offer or give to a public official or MCCA employee or candidate for public office, or members of his/her immediate family or business with which s/he is associated, and no public official or MCCA employee or candidate for public office, shall solicit or accept anything of value. Value could include a gift, loan, political contribution, award, or promise of future employment or personal benefit

based on any agreement that the vote or official action of the public official or MCCA employee or candidate for public office would be determined thereby.

C. No public official or MCCA employee shall use, request, or permit the use of MCCA motor vehicles, equipment, materials, or property, except on the conduct of official business, unless proper approval is obtained in advance.

D. Duties and obligations will be discharged in a manner that reflects credibility upon the MCCA. Conduct that gives the appearance that decisions and actions are motivated by personal relationships or for personal gain do not meet the standards of conduct for employees under the Policy.

E. Employees shall not be employed or accept employment with any business entity or agency or engage in a professional activity which might result in a conflict of interest or cause/require the employee to disclose confidential information acquired as a result of his/her official capacity with the MCCA. Approval of secondary employment shall be obtained as provided for in section 3.4 of this Policy.

F. No MCCA officer or employee shall disclose/use information not available to members of the general public and gained by reason of his/her official position for his/her personal gain or benefit or for the personal gain or benefit of any other person or business entity.

G. No MCCA officer or employee shall transact, or solicit to transact, any business in his or her official capacity with any business entity of which the officer or employee, or his/her spouse or child is an officer, director, agent, or member, or in which the officer or employee or his/her spouse or child, owns a financial interest, or otherwise has any material interest therein. Nor shall a MCCA officer or employee, acting in a private capacity, transact or solicit to transact any business with the MCCA, or with any of its subdivisions or agencies.

H. No MCCA officer or employee shall have personal investments in any business which would reasonably create a conflict between his/her private interests and MCCA's interest.

I. No MCCA officer or employee shall have or hold any employment or contractual relationship with any business entity or agency which is subject to the regulation of, or is doing business with the MCCA, or any part of the MCCA of which s/he is an officer or employee. Nor shall any MCCA officer or employee have or hold any employment or contractual relationship which will create a continuing or frequently recurring conflict between his/her private interests and the performance of his/her public duties, or that would impede the full and faithful discharge of his/her public duties.

J. MCCA employees are encouraged to seek guidance from the MCCA Executive Director and/or the Human Resources Department if there is any question whatsoever about the propriety of any contemplated action prior to such action being undertaken.

K. All public officials and MCCA employees shall bring personal knowledge of any violation of these Code of Ethics provisions to the attention of the department head, the MCCA Executive Director, or the MCCA Board of Directors, within 10 days of acquiring such knowledge. Reports of violations shall remain confidential unless the testimony of the person reporting the violation is required in any enforcement action applicable to the situation.

All public officials and MCCA employees will not only adhere to the above Tenets and provisions, but avoid the appearance of a departure from these principles wherever and whenever possible.

2.2 EMPLOYMENT AT WILL

This *Personnel Policy Handbook* is not a contract, express or implied, guaranteeing employment for any specific duration. Unless provided otherwise and specifically by statute, written agreement or collective bargaining agreement, either the employee or the MCCA may terminate this relationship at any time, for any reason, with or without cause or notice. No officer, employee, agent or representative of the MCCA has the authority to enter into any agreement with an employee for employment for any specified period or to make any promises or commitments contrary to the foregoing, unless it is in writing and signed by the MCCA Executive Director.

2.3 EQUAL EMPLOYMENT OPPORTUNITY STATEMENT / NON-DISCRIMINATION POLICY

MCCA is an equal opportunity employer and its management intends to fulfill, to the letter of the law, all provisions under federal, state, and local employment regulations which prohibit discrimination with respect to employment. Accordingly, MCCA will not discriminate in hiring, promotion, compensation, discharge or any other term or condition of employment due to gender (including pregnancy or related medical condition), age, race, color, ancestry, disability, family medical history or genetic information, sexual orientation, religion, national origin, parental status, marital status or covered veteran status, except where based on a bona fide occupational qualification. We will not discriminate against anyone who has filed a Workers' Compensation claim, nor an employee who has brought to management's attention an irregularity or violation of regulation under the Whistleblowers' Protection Act (see separate section on Whistleblowers'). MCCA will not permit, condone or tolerate unlawful discrimination against employees in any manner whatsoever, and all employees and supervisors are obligated to support the concept of equal employment opportunity at MCCA.

An employee who believes he or she has been subject to unlawful discrimination of any kind should bring the matter to the attention of his or her department manager or the MCCA Executive Director. Any complaints will be investigated promptly and corrective action taken as deemed appropriate, while restricting information to those who have a need to know. Further, management will ensure that there is no coercion, harassment, retaliation, or intimidation directed toward any employee who has registered a complaint of unlawful discrimination or who has been involved in the investigation or hearing of a complaint.

The use of male or female gender of nouns or pronouns is not intended to describe any specific employee or group of employees, but is intended to refer to all employees in job classifications, regardless of sex.

If a bona fide occupational qualification should exist, a statement of the facts supporting this determination shall be placed in the personnel file of the individual hired.

The MCCA will consider for employment only those individuals who are legally eligible for employment in the State of Maine. Prior to the start of employment all applicants must provide proof of citizenship or eligibility for employment certification in accordance with state and federal regulations.

2.4 AMERICANS WITH DISABILITIES ACT (ADA) POLICY

MCCA is firmly committed to comply with all applicable provisions of the Americans with Disabilities Act. It is MCCA's policy not to discriminate against any qualified applicant or employee with regard to any terms or conditions of employment because of such individual's disability or perceived disability so long as the individual can perform the essential functions of the job, with or without reasonable accommodation. Consistent with nondiscrimination, the MCCA will provide reasonable accommodation to a qualified individual with a disability, as defined by ADA, who has made us aware of his or her disability, provided that such accommodation does not constitute an undue hardship to the MCCA.

All requests for accommodations are to be submitted in writing with the appropriate supporting documentation to the employee's department manager or the MCCA Executive Director for consideration and review. The review of the request may include an evaluation and determination of the scope of the disability and, if appropriate, request for additional medical documentation, examinations, and/or opinions. The employee will be informed in advance if any request will be at his or her expense.

In conformance with the Genetic Information Nondiscrimination Act of 2008 ("GINA"), the MCCA will not discriminate on the basis of genetic information. The MCCA will comply with Maine's genetic information law that prohibits discrimination on the basis of genetic information and/or the refusal to submit to a genetic test. GINA prohibits employers and other entities covered by GINA Title II from requesting or requiring genetic information of an individual or family member of the individual, except as specifically allowed by this law. To comply with this law, do not provide any genetic information when responding to any request for medical information, such as when an accommodation for a disability is being requested or family medical leave is being sought. 'Genetic information' as defined by GINA includes an individual's family medical history, the results of an individual's or family member's genetic tests, the fact that an individual or an individual's family member sought or received genetic services, and genetic information of a fetus carried by an individual or an individual's family member or an embryo lawfully held by an individual or family member receiving assistive reproductive services.

2.5 HARASSMENT AND RETALIATION PREVENTION POLICY

Zero Tolerance: No harassment or retaliation tolerated. The MCCA will not tolerate harassment based on sex (with or without sexual conduct), sexual orientation, race, color, religion, national origin, age, or disability. The MCCA also will not tolerate retaliation for speaking out against discrimination, participating in the complaint investigation process, or for good faith reporting to the MCCA (or another public body) a violation of a law or rule or a condition or practice that would put at risk the health or safety of any employee or other individual. This Policy applies to Executive Directors, officials, managers, supervisors, employees, co-workers, vendors and other non-employees. The MCCA fully supports this Policy, and management is committed to the prevention of any form of harassment.

Prompt reporting is required. All employees must promptly report any harassing behavior or retaliation before it becomes severe or interferes with their work. The MCCA will make every effort to stop any harassment before it amounts to a violation of law. It can only do so if it is promptly reported.

Zero Tolerance: No punishment for reporting. The MCCA will not tolerate adverse treatment of an employee because he or she reported harassment, provided information relating to such a complaint or in good faith reported to the MCCA or a public body a violation of a law or rule or a condition or practice that would put at risk the health or safety of any employee or other individual.

Definition of Harassment/Retaliation. Unwelcome comments, jokes, acts, and other verbal or physical conduct related to sex, sexual orientation, race, color, religion, national origin, age, disability, or protected activity (speaking out against discrimination, participating in the complaint investigation process or good faith reporting to the MCCA or a public body a violation of law or rule or a condition or practice that would put at risk the health or safety of any employee or other individual) is harassment when:

- a. Submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment;
- b. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual;
- c. Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment; or

d. The challenged action would discourage a reasonable employee from making or supporting a charge of discrimination or engaging in protected activity.

Employment decisions (tangible employment action) linked with harassment or retaliation could include:

- hiring and firing;
- promotion and failure to promote;
- demotion;
- reassignment;
- a decision causing a significant change in benefits;
- compensation decisions; and
- an unappealing work assignment.

None of these actions, linked with harassment or retaliation, will be tolerated.

Description of Sexual Harassment. Maine law requires that illustrations of sexual harassment be provided. The following are some examples of sexual harassment. Such behavior is not permitted.

A. Physical assaults of a sexual nature such as:

- (1) rape, sexual battery, molestation, or attempts to commit these assaults; and
- (2) intentional physical contact, such as touching, pinching, patting, grabbing, brushing against another employee's body, or poking another employee's body.

B. Unwanted sexual advances, propositions, or other sexual comments, such as:

- (1) sexually-oriented gestures, noises, remarks, jokes, or comments about a person's appearance, sexuality, sexual experience, or sexual orientation directed at or made in the presence of any employee who indicates or has indicated that such conduct in his or her presence is unwelcome;
- (2) preferential treatment or promise of preferential treatment to an employee for submitting to sexual conduct, including soliciting or attempting to solicit any employee to engage in sexual activity for gain or reward; and
- (3) subjecting, or threatening to subject, an employee to unwelcome sexual attention or conduct or intentionally making performance of the employee's job more difficult because of that employee's sex, sexual experience, or sexual orientation.

C. Sexual or discriminatory displays or publications anywhere in the workplace by employees, such as:

- (1) displaying pictures, posters, calendars, graffiti, objects, promotional materials, reading materials, or other materials that are sexually suggestive, sexually demeaning, or pornographic, or bringing into the work environment or possessing any such material to read, display, or view at work; and
- (2) displaying signs or other materials purporting to segregate an employee by sex in any area of the workplace (other than restrooms and similar semi-private lockers/changing rooms).

Complaint Process. Any individual who believes he or she has been the subject of any form of harassment should **immediately** report the incident or act to his or her department manager or the following individual:

Rosemary Kulow, MCCA Executive Director, (207) 623-4697, rkulow@mainecounties.org

Reports may be verbal or written. Employees are not required to report to anyone harassing or retaliating against them. The MCCA will promptly investigate any and all complaints. All supervisors have been trained to and are required to immediately report complaints of harassment to one of the individuals listed above.

Confidentiality. The MCCA will protect the confidentiality of harassment and retaliation allegations as much as possible. All information provided will be kept confidential and maintained in a separate confidential file. It will be discussed only with those who have a need to know in order to investigate or resolve the complaint.

Investigative Process – Corrective Action. The MCCA will promptly conduct a thorough and impartial investigation into any alleged harassment or retaliation. Steps which the MCCA may take will be designed to stop the harassment or retaliation, correct its effects, and ensure that it does not happen again. Any remedial measures will not punish anyone who has come forward with a legitimate complaint of harassment or retaliation. Corrective action may include warning, training and monitoring, transfer or reassignment, suspension, or discharge of involved coworkers. The focus is upon prevention, not punishment. Any employee who reports harassment or retaliation will be informed of the general results of the investigation and corrective action taken.

The Maine Human Rights Board of Directors is also available to investigate a complaint. The Maine Human Rights Board of Directors can be contacted at 51 State House Station, Augusta, ME 04333, (207) 624-6050. Any employee having a complaint of harassment or retaliation has a right to bring it directly to the attention of the Maine Human Rights Board of Directors. Employees may call or write; if a call is made, the employee should ask to speak with an intake worker. S/he will assist the employee with the complaint and will place in writing the information provided. This will then be typed up on a charge which the employee will have to sign. Once the Maine Human Rights Board of Directors has received the signed charge form, an investigation will be conducted. The employee will be advised of the results of this investigation. Any complaint must be filed within 300 days of the act of harassment or retaliation.

Employees must report harassment. The purpose of this Policy is to encourage employees to report any harassment. Employees should not assume that the MCCA is aware of any harassment which may be encountered. It is each employee's responsibility to bring any complaints and concerns to MCCA's attention.

The above notice is annually given by the MCCA to all employees in compliance with 26 M.R.S.A. § 807(2) and EEOC Enforcement Guidance (06/18/99).

2.6 WHISTLEBLOWER'S PROTECTION ACT POLICY

The MCCA encourages its employees to report illegal or unsafe activities in the workplace and will protect employees from retaliation for making any such report in good faith. In addition, employees can refuse to participate in an activity that would result in a violation of state or federal statutes, or a violation or noncompliance with a state or federal rule or regulation, or that would risk his/her health and safety or that of others. If any employee of the MCCA believes that the MCCA or another employee, acting on behalf of the MCCA, has violated any state or federal law, rule or regulation, or created an unsafe condition, or violated any fiduciary responsibility, s/he should report it in writing to his or her department manager or the MCCA Executive Director without delay.

2.7 TOBACCO-FREE POLICY

MCCA recognizes its responsibility to promote and provide a safe and healthy environment for its employees, visitors, and the general public. Tobacco use, to include smokeless tobacco, cigarettes, cigars and pipes, by employees, the public, and others is prohibited in all MCCA facilities as well as entrances, exits, and within 100 feet of the buildings. Tobacco use is also prohibited in MCCA-owned vehicles at all times, and in employee-owned vehicles used in the course of work whenever another person is in the vehicle for work related reasons.

Adherence to this policy is a condition of employment with MCCA.

Failure to adhere to this Tobacco-Free Policy will lead to progressive discipline, including termination of employment, if necessary.

Anyone who expresses a desire to quit using tobacco products may receive assistance by calling the tobacco helpline at 1-800-207-1230.

2.8 DRUG-FREE WORKPLACE STATEMENT

The Federal Drug-Free Workplace Act of 1988 became effective in March of 1989. The purpose of this statement is to encourage employees to eliminate the use/abuse of controlled substances/alcohol and illegal substances among MCCA employees.

Employees who use drugs or alcohol at work or come to work under the influence of drugs or alcohol may create a hazardous situation for themselves and all those around them. In addition, all employees who use illegal drugs or alcohol at work or come to work under the influence of drugs or alcohol may be subject to disciplinary procedures or criminal prosecution where it applies.

MCCA will make available to all employees information concerning counseling, rehabilitation and employee assistance services.

Prescription drugs may affect an employee's performance or present a hazard to the employee's safety or the safety of others. Each department will make a reasonable effort to accommodate an employee's need to use prescription drugs. It is the responsibility of each employee to notify his/her immediate supervisor if he/she is reporting for work under the influence of prescription drugs or will be taking such drugs at work that may affect his/her work performance and/or the safety of the employee and others.

2.9 WORKPLACE VIOLENCE PREVENTION POLICY

MCCA is committed to preventing violence and maintaining a safe working environment. Accordingly, the MCCA has adopted the following guidelines to deal with intimidation, harassment, or other threats of (or actual) violence that may occur while working, or on MCCA property.

Prohibited Conduct

MCCA will not tolerate any type of workplace violence committed by or against any officers, officials, or employees. Officers, officials, and employees are prohibited from making threats or engaging in violent activities. The following list of behaviors, while not inclusive, provides examples of conduct that is prohibited:

- Causing physical injury to another person;
- Making threatening remarks;
- Aggressive or hostile behavior that creates a reasonable fear of injury to another person or subjects another individual to emotional stress;

- Intentionally damaging employer property or property of another employee;
- Possession of a weapon while on MCCA property or while on MCCA business, unless otherwise authorized;
- Committing acts motivated by, or related to, sexual harassment or domestic violence.

Reporting Procedures

Any potentially dangerous situations must be reported immediately to a supervisor, who will then report it to the MCCA Executive Director. All incidents will be investigated. Reports or incidents warranting confidentiality will be handled appropriately, and information will be disclosed to others only on a need-to-know basis. All parties involved in a situation will be counseled, and the results of investigations will be discussed with them.

Risk Reduction Measures

While the MCCA does not expect employees to be skilled at identifying potentially dangerous persons, employees are expected to exercise good judgment and inform immediate supervisors if any employee exhibits behavior which could be a sign of a potentially dangerous situation.

Such behaviors may include, but not be limited to:

- Discussing weapons or bringing them to the workplace;
- Displaying overt signs of extreme stress, resentment, hostility or anger;
- Making threatening remarks;
- Sudden or significant deterioration of performance; or
- Displaying irrational or inappropriate behavior.

Dangerous Emergency Situations

Employees who confront or encounter an armed or dangerous person should not attempt to challenge or disarm the individual, unless specifically trained and authorized to do so. Employees should remain calm, make constant eye contact and talk to the individual. If law enforcement can be safely notified of the need for assistance without endangering the safety of the employee or others, such notice should be given. Otherwise, the best course of action may be to cooperate and follow instructions until help arrives.

Enforcement

Threats, threatening conduct, or any other acts of aggression or violence in the workplace will not be tolerated. Any employee determined to have committed such acts will be subject to disciplinary action, leading up to and including termination, and could also be subject to criminal prosecution. Non-employees engaged in violent acts on the employer's premise will be reported to the proper authorities and fully prosecuted.

2.10 DOMESTIC VIOLENCE IN THE WORKPLACE POLICY

MCCA will support, to the fullest extent possible, victims of domestic violence and will not tolerate those who perpetrate domestic violence on work time or in MCCA facilities. Ensuring adherence to this policy requires that all individuals on MCCA premises or while representing the MCCA conduct themselves in a manner consistent with the spirit of this policy. A violation of this policy could result in disciplinary action, up to and including termination of employment.

An employee involved in a domestic violence incident must immediately report to his or her department manager, any order for protection from abuse or harassment, or any criminal charge or condition of bail or probation applicable to the employee as a defendant or plaintiff.

2.11 PROPRIETARY INFORMATION / CONFIDENTIALITY

Through the course of employment, employees may gain access to MCCA information which may be considered sensitive or confidential in nature. Information about MCCA members or others we serve, employee information, financial information, or pending lawsuits are all examples. An absolute condition of employment is that every employee respects and maintains confidentiality, both during and after employment. If an employee has any question about disclosing confidential information, he or she should discuss it with the department manager before the information is disclosed. Failure to respect and maintain confidentiality may be grounds for termination of employment and, after employment, could result in a lawsuit to enforce your confidentiality obligations.

2.12 SAFETY POLICY

The MCCA is committed to the safety of its employees and its property and equipment, and is responsible for meeting safety standards, which are considered to be a minimum standard required by the Occupational Safety and Health Act of 1970, as well as other Federal and State laws. Any employee who disregards any MCCA safety rule and/or regulation is subject to disciplinary action up to and including termination of employment.

The MCCA shall provide proper safety devices for all employees engaged in work where such devices are necessary. Such devices, where provided, must be used as intended.

Employee recommendations to improve safety and health conditions are welcomed. The MCCA will provide financial resources for the correction of unsafe conditions and will take disciplinary action against an employee who willfully or repeatedly violates workplace safety rules.

2.12.1 Reporting Injuries and Accidents

Employees must advise their immediate supervisor of all accidents, injuries or illnesses that occur while at work. The supervisor will notify the department manager who will notify the MCCA Administrative Office. All accidents, injuries or illnesses that occur while at work must be reported immediately no matter how slight they may appear.

The MCCA will provide the proper forms for reporting job-related accidents, injuries and illnesses. Any employee failing to report such occurrences will be subject to disciplinary action.

In the event of a vehicular accident while on MCCA business, the employee must report all information immediately to the immediate supervisor and the MCCA Administrative Office. In no instance should responsibility for an accident be expressed to anyone until the department manager or the MCCA Executive Director has been notified and permission has been obtained to make statements.

2.12.2 Hazardous Wastes

The Environmental Protection Agency has grouped certain chemicals and chemical groups into categories which have been defined as toxic. This means that in concentrated forms or by accumulating and combining with other chemicals (even the air) these chemicals can be hazardous to human health if exposure occurs.

From time to time in the normal course of their jobs, employees may handle materials which have been classified as hazardous by the standards of the Occupational Safety and Health Act (OSHA) regulations.

Hazardous materials that are received from our suppliers should have Material Safety Data Sheets (MSDS) or labels which state the chemical ingredients of the contents, precautions to take, and what to do if exposure occurs.

If any employee suspects that the materials or wastes he/she may encounter as an employee are hazardous (whether or not they are being created or used by the MCCA), he/she should inform a Supervisor immediately.

The MCCA is also committed to not creating or disposing of hazardous wastes which will contaminate the environment. Materials which have been judged as non-hazardous are chosen whenever possible and if hazardous materials are used, they are properly disposed of.

Employees will be informed as to how to control hazardous wastes and what to do if they are exposed to hazardous wastes.

2.12.3 Use of Personal Protective Equipment (PPEs)

Personal Protective Equipment is to be used in conjunction with safe work practices to provide for employee safety and health in the workplace. Employees of the MCCA who work in positions requiring the use of PPEs are expected to know the guidelines for the work they are performing, and ensure 100% compliance; failure to do so will result in disciplinary action, up to and including termination of employment.

2.12.4 Driving While Distracted

Employees driving on MCCA business are required to be attentive and minimize any distractions. An accident caused by an employee while driving on MCCA business can be catastrophic for both the employee and the MCCA.

The following activities are the most common distractions that cause accidents:

- Making a cell phone call or texting
- Changing a CD or a radio station
- Eating or drinking
- Reaching for something in the back seat
- Reaching for or reading a map
- Turning to talk to the passengers (including in the backseat)
- Fixing hair, shaving, putting on make-up or other personal grooming

Texting is illegal in the State of Maine and is prohibited at all times when an MCCA employee is driving on MCCA business in any vehicle. If placing a business call while driving any vehicle, the best practice is to do so when the vehicle is stopped or have a passenger place the call. If phone calls are necessary while driving, using hands-free applications reduce the risk.

2.13 WORKERS' COMPENSATION

All employees of MCCA are covered by Workers' Compensation insurance. There is no cost to the employee.

The Maine Workers' Compensation Act requires employees to report all injuries and illnesses that occur on the job, no matter how slight; failure to do so may jeopardize the employee's rights under the Act. If an employee is injured or requires medical attention, the situation must be reported immediately to the ranking supervisor on duty, and an accident report will be completed. The injured employee and the supervisor will assess the injury together and treat the injury with first aid and/or with on premise measures, only if the supervisor and employee agree that the injury is so minor as to not require professional medical attention.

If either the employee or the supervisor feels that professional medical attention may be required, then action will be taken immediately to obtain that treatment. If the injured person is mobile, the supervisor will arrange transportation to a hospital emergency room or health care facility. Under no circumstances will an injured employee drive him/herself. If the employee is unconscious, unable to move under his or her own power or is obviously seriously injured, a 911 call will be immediately placed to enable emergency medical attention. All serious injuries will be reported through the chain of command to the MCCA Executive Director by the fastest means possible.

Every situation in which an employee is injured or requires medical attention, no matter how minor, shall be documented using an accident report form. Detailed and exact information is essential to aid in the prevention of similar injuries. Accident reports must be completed as soon as practical but not later than within 24 hours of the time of occurrence. Reports should be forwarded to the Administrative Office.

During the time when an employee is receiving Workers' Compensation and is unable to work, vacation leave and sick leave will not accrue and holiday pay will not be granted. Health insurance benefits during leaves of absence are discussed in another section of this policy.

Any payroll deductions will be the responsibility of the employee while on Workers' Compensation leave.

Workers' Compensation leave may also run concurrently with Family Medical Leave, if applicable.

2.14 WORK RULES

The MCCA may adopt or amend reasonable work rules. Whenever possible, all rules, or amendments thereto, shall be posted for fourteen (14) calendar days before becoming effective.

Employees are required to abide by the terms of these policies and to comply with such rules and regulations as the MCCA may adopt. Should there be any doubt as to the employee's obligations, he/she shall comply with the rules and then grieve if he/she feels he/she has been wronged. Violations of any work rules, and/or the provisions of these personnel policies, may result in disciplinary action. All disciplinary actions shall be stated in writing and will be forwarded to the affected employee within four (4) working days of the date said actions were taken.

The reasons listed below are illustrative of behavior or conduct, which may be grounds for disciplinary action. The list is not intended to be exhaustive:

1. Violation of MCCA's policies on non-discrimination or unlawful harassment, retaliation, or sexual harassment.
2. Failure to report an accident or injury on the job or falsely stating or making a claim of illness or injury.
3. Failure to follow MCCA or department policy or procedure.
4. Consumption, possession, distribution, sale, transfer or use of alcohol or illegal drugs on MCCA property or arriving to work while under the influence of intoxicating beverages or drugs.
5. Excessive absence or repeated tardiness.
6. Unsatisfactory or poor job performance.
7. Negligent or willful damage to MCCA property.
8. Conviction of theft or a felony.
9. Use of abusive language.
10. Violation of safety procedures or safety policy, including non-compliance relative to the use of safety devices, or negligently endangering the safety of other employees or the public.

11. Acceptance of money or a gift by any employee, when given under circumstances indicating the hope or expectation of receiving better treatment than that accorded to the public in general, is prohibited and may result in immediate termination of employment.
12. Dishonesty, including falsification of employment application, official reports or other records.
13. Insubordination, including refusal to accept an assignment or walking off the job.
14. Being the aggressor in a fight or threatening violence in the workplace.
15. Unauthorized disclosure of personnel, MCCA, or personal records and/or other confidential information.
16. Willful misuse of computer equipment, including but not limited to unauthorized software installation, personal email, or other improper use of MCCA's computer systems and equipment.
17. Inappropriate use of the Internet, email, voice mail, or other forms of electronic communication.
18. Possession of firearms, weapons or explosives (unless specifically authorized in the course of duties) at any time on MCCA property.
19. Disorderly or inappropriate conduct of any kind.

2.14.1 Disciplinary Action

Disciplinary action may include, but is not limited to, the following measures:

- Counseling
- Oral Reprimand
- Written Reprimand
- Suspension (with or without pay)
- Termination of Employment

The measures need not be applied in sequence, depending on the seriousness of the infraction. Whenever disciplinary action is taken, the employee will be clearly informed of what the infraction or area of poor performance is, the actions needed to correct the situation and the consequences if the problem recurs or persists.

2.14.2 Administrative Leave

An employee at any level may be placed on paid administrative leave while an investigation is being conducted or an issue is pending resolution. All paid administrative leave must be approved by the MCCA Executive Director.

2.14.3 Disciplinary Hearings

Section 1 – Action by the Department

Any disciplinary action by the department manager upon any charge of violation of departmental rules, inefficiency, incompetence, negligence, insubordination, or other misconduct, shall be taken only after due notice and hearing, except in cases where the nature of the alleged violation warrants immediate emergency suspension. In such cases, the employee may be suspended with pay pending investigation.

Section 2 – Employee's Right to Participate

The employee so charged shall have the right to participate in the hearing. The employee has the right to retain private legal counsel to represent him/her in the process.

Section 3 – Appeal through Grievance Procedure

Any employee who feels he/she has been aggrieved in any disciplinary action may appeal through MCCA's grievance procedure.

Section 4 - Investigation

If there is an investigation of any employee suspected of violation of departmental rules and regulations or other internal misconduct, an investigation will be conducted without unreasonable delay, and the investigative process will be confidential to the greatest degree possible. The investigator shall inform the employee that an official investigation is being conducted and indicate the nature of the allegation that is the cause of the investigation. The complainant may be identified if anonymity is not required or possible due to the circumstances. If the person being interviewed is a witness only, that fact shall be stated to him/her. Interviews of an employee suspected of violation of rules or of misconduct shall be limited to questions that are directly, narrowly, and specifically related to the employee's job performance or duties as these relate to the allegation. An employee under arrest or the subject of a criminal investigation shall be afforded all rights granted to any other person under such circumstances. The employee shall be notified of the outcome of the investigation in writing within twenty (20) working days of the completion of the investigation.

2.14.4 Right of Appeal

All full-time and regular part-time employees have the right to appeal disciplinary actions with established grievance and appeal procedures.

2.14.5 Investigation of Outside Complaints

If an outside complaint is received about an MCCA employee relating to his/her work, the following procedures will be followed:

- A. Complaints shall be in writing, with the exception of sexual harassment or other complaints which the MCCA has a legal duty to investigate regardless of whether the complaint is in writing. Even in these exceptional circumstances, the MCCA will make an effort to get a written complaint.

A preliminary inquiry shall commence to determine whether or not evidence suggests a more formal investigation is warranted, as determined by the MCCA Executive Director. If an investigation is to be conducted, then the remainder of this article will be followed, beginning with Step B.

- B. The employee may or may not be advised by the MCCA Executive Director, department manager, or their designee that a complaint has been filed, the nature of the complaint, the complainant (unless anonymity is warranted) and that an investigation will commence. Notification is not required when informing the employee could prove to be a detriment to the investigation. A person under investigation may be granted administrative leave with pay during the term of investigation.
- C. If the employee is being interviewed as a witness only, he or she shall be so informed.
- D. If the employee is being interviewed or interrogated, the interview will be conducted at a reasonable time, during work hours if possible, and with the highest degree of confidentiality possible.

- E. The interview will be limited to questions that are directly, narrowly, and specifically related to the employee's job performance or duties as these relate to the complaint.
- F. Every employee is expected to cooperate fully with an interview, interrogation or any other part of an investigation under this policy and may not withhold information or otherwise refuse to cooperate. Failure of any employee to cooperate fully in an internal investigation will be grounds for discipline, up to and including termination of employment.
- G. In all cases in which an employee is interrogated concerning a serious violation of departmental rules and regulations which, if proven, would be likely to result in his/her removal from the department, and where the same can be accomplished without unreasonably delaying or impeding the investigation, he/she shall be afforded a reasonable opportunity and facilities to contact and consult privately with an attorney before being interrogated. The attorney may be present during the interrogation, but may not participate in the interrogation except to counsel the employee.
- H. At the conclusion of the investigation, the employee may be provided with a copy of any written report of the investigation, upon request.
- I. The employee will be informed in writing of the results of the investigation within twenty (20) working days after the investigation has concluded, unless there are extenuating circumstances, in which case the MCCA Administrative Office will notify the employee of the date on which notification of the results will be provided.
- J. If, as a result of the investigation, disciplinary action is taken, the employee may request a disciplinary hearing. The employee may waive the disciplinary hearing process.

2.15 PERSONNEL FILES

Insofar as permitted by law, all personnel records, including home addresses, telephone numbers, and pictures of employees shall be confidential and shall not be released to any person other than MCCA officials, except upon a legally authorized subpoena or written consent of the employee. One central personnel file and one confidential medical file will be maintained for each employee in the MCCA Administrative Office. Requests to view personnel files must be made in writing on a form for such purpose provided by the MCCA Administrative Office. The MCCA Administrative Office will make a response to the requesting party within five working days after receipt.

- 2.15.1 Upon request, an employee shall have the right to inspect his/her official personnel record. Inspection shall be during regular business hours and conducted under the supervision of the Administrative Office. An employee shall have the right to request duplicate copies for his/her own use. No records shall be withheld from an employee's inspection. An employee shall have the right to have added to his/her personnel file a written refutation of any material.
- 2.15.2 No written reprimand shall be placed in an employee's personnel file unless the employee is first given the opportunity to see a copy of the reprimand. The employee may file a written response to the reprimand, which shall be included in the personnel file.
- 2.15.3 Documentation of oral and written reprimands shall remain in an employee's personnel file for a minimum of eighteen (18) months. Documentation of more serious disciplinary issues will remain in the personnel file until at least six (6) years following the date of the documentation.
- 2.15.4 An employee may request in writing that the MCCA Executive Director remove a record of oral or written reprimand from his or her personnel file after eighteen (18) months. Removal of any

documentation related to more serious disciplinary issues may be requested after six (6) years from the date of the documentation, and will be subject to MCCA Executive Director's approval.

3.0 HIRING POLICIES AND EMPLOYMENT CONDITIONS

3.1 INTRODUCTORY AND TRIAL PERIODS

New employees shall serve a six (6) month introductory period.

Employees promoted to a new job classification will serve a three (3) month trial period. During this trial period, the employee may be reassigned to another position, if available, should job performance prove unsatisfactory. Should a promoted employee use accumulated leave time during the three (3) month trial period, the trial period may be extended by the number of leave days.

3.2 NEW EMPLOYEE ORIENTATION

A new employee will receive an orientation within the first few days on the job. This orientation will include the new employee paperwork, and a review of the job description and any specifics relating to his or her position. The Personnel Policy Manual will be distributed at the orientation, and the employee will be given a date by which to return the Employee Acknowledgement page.

3.3 ANTI-NEPOTISM POLICY

No person will be hired, promoted or transferred to a position where the hiring authority, department manager, supervisor, or anyone within the chain of command, is a relative of the employee. In addition, no relatives of an MCCA Director or the MCCA Executive Director will be hired by the MCCA, unless approved by the Board of Directors. If a reporting relationship between two existing employees occurs as a result of marriage or other event, the MCCA Executive Director will evaluate the situation and determine the appropriate course of action, which could include the transfer, demotion, or employment termination of one of the two employees ("reporting relationship" includes anyone in the chain of command, even if one of the two employees does not directly report to the other). The MCCA Executive Director may make an exception to this Policy if the relatives in question are below the level of department manager, and the Board of Directors may make an exception if the relatives in question include an individual at the level of department manager or MCCA Executive Director.

For the purposes of this Nepotism Policy, relatives are defined as: spouse, domestic partner, parents, children, parents-in-law, brother, brother-in-law, sister, sister-in-law, daughter-in-law, son-in-law, aunt, uncle, niece, nephew, stepparent, stepchild, foster parents and foster children.

3.4 OUTSIDE EMPLOYMENT

A MCCA employee may engage in outside employment if it does not interfere with job performance and does not conflict or appear to conflict with the interests of the MCCA. If the MCCA thinks a conflict of interest exists, a meeting will be held with all parties concerned to discuss the matter to make a determination. Employees who continue to engage in outside employment that has been determined to be in conflict by the MCCA, will be subject to disciplinary action up to and including termination of employment.

3.5 POLITICAL ACTIVITIES

Political activities must conform to State and Federal rules and regulations.

3.6 TRAINING

An employee required to attend a seminar, conference, or other course of training that has been approved by the department manager in advance, shall receive that employee's regular rate of pay for those hours in which the employee attends the training. If the training or related travel are outside of the employee's normal work hours, the employee shall be compensated according to the Fair Labor Standards Act and MCCA policy in regards to overtime compensation.

Outside of required training, each employee will have input on what types of training classes he/she is to attend. It is the intent to make available to all employees, as schedules will allow, time to attend training related to their work.

An employee, who receives additional training on his/her own that is not required by the department and who has not received prior approval from the department manager, is not considered to be working and is ineligible for pay or travel/mileage reimbursements.

4.0 WAGE AND HOUR POLICIES AND PRACTICES

4.1 JOB EVALUATION AND CLASSIFICATION

4.1.1 Job Descriptions

Each position employed by the MCCA is identified by a written job description, approved by the Board of Directors. The description includes: job title, minimum qualifications, to whom the position reports, who the position supervises and examples of duties and responsibilities required by the job. The definition or description of the job is based on the needs of the MCCA, not on individual skills, qualifications or performance level of an individual. Current written job descriptions of all MCCA job classifications will be maintained in the MCCA Administrative office.

4.1.2 Job Evaluation and Pay Grade System

Each position, except for positions of Directors, is assigned to a "grade" in MCCA's current pay scale, which is on file in the MCCA Administrative Office. It will be the responsibility of the department managers to periodically review current job descriptions and make recommendations to the MCCA Executive Director if changes in job content or responsibilities could potentially warrant a change in pay grade assignment.

When a new position is established or when an existing position has changed substantially as to the kind and/or level of work, the supervisor should request a review of the job pay grade assignment by submitting a written request to the department manager, accompanied by a revised job description recommended by the supervisor. An employee who thinks that his/her job has changed significantly may also request this review. Once received by the department manager, the information shall be forwarded to the MCCA Executive Director, who will evaluate the position. The final determination of the grade rests with the Executive Director; however, all changes in job descriptions are subject to the approval by the Board of Directors. Job content and hours are also subject to the approval of the Board of Directors.

Job descriptions and the related pay grades may be evaluated upward or downward based on such reviews.

4.2 EMPLOYMENT CLASSIFICATIONS

4.2.1 Full-Time Employees

Full-time employees are those scheduled for thirty-five (35) or more hours per week, on a regular basis and for a period intending to exceed six (6) months, and are eligible for benefits as described in the Benefits section of the Handbook.

4.2.2 Regular Part-Time Employees

Regular part-time employees are those scheduled for at least twenty (20) but less than thirty-five (35) hours per week on a regular basis and for a period intended to exceed six (6) months, and are eligible for benefits as described in the Benefits section of the Handbook.

4.2.3 Part-Time Employees

Part-time employees are those employed on an as-needed basis and do not meet the definition of a regular part-time employee.

4.2.4 Temporary Employees

Temporary employees may be hired for a limited period as approved by the MCCA Board of Directors, and paid an hourly wage deemed appropriate for the position by the MCCA Executive Director. These employees are expected to comply with all of the policies and procedures outlined in this *Personnel Policy Handbook*, and will be evaluated the same as regular employees. Temporary employees are not eligible for any benefits except holiday pay, proportionate to the hours worked during a regularly-scheduled workweek. If a temporary employee is required to work on a holiday, the employee shall be paid at time and one-half for all hours worked on the holiday, in addition to holiday pay. The Board of Directors may approve other benefits based on the circumstances.

If a temporary employee is hired into a full-time or regular part-time position, the original date of hire will be used for the purposes of determining the introductory period, years of service, and eligibility for retirement plans. The date of regular status will be used to determine eligibility for all other benefits.

In some situations, state or federal law may dictate employment classifications or related conditions that may differ from those stated in this section.

4.2.5 Temporary Employees (Grant-Funded)

Temporary employees who are grant-funded may be hired for a limited period subject to the approval of the MCCA Executive Director not to exceed the length of service funded by the grant for the position. Temporary employees who are grant-funded may be entitled to holiday pay proportionate to the hours worked during their regular work week. If a grant-funded temporary employee is required to work a holiday, in addition to holiday pay (as written herein), the grant-funded temporary employee shall be paid at time and one-half for all hours worked on the holiday. Such employees are not entitled to any other benefits.

4.2.6 Fair Labor Standards Act (“FLSA”) Classifications

“Non-exempt, hourly employees” are those who are not exempt from the Fair Labor Standards Act (“FLSA”), are paid on an hourly basis for each hour worked, and receive overtime pay.

“Exempt, salaried” employees are those who meet the definition of exempt under the Fair Labor Standards Act, are paid on a salary basis, and do not receive paid overtime. Salaried employees are expected to work the number of hours and schedule necessary to meet the expectations of the position.

Each employee will be notified as to his/her FLSA status.

4.3 TRAVEL EXPENSES

Any employee requesting reimbursement for work-related travel must have prior approval from his/her department manager. Mileage reimbursement shall be at the standard mileage rate established by the IRS. Travel reimbursement forms are available from the Administration Office.

When away from the MCCA office on official business, reasonable expenses will be allowed for all necessary traveling and hotel expenses, including the cost of meals (excluding alcoholic beverages) connected with those activities, with prior approval from the department manager. Detailed receipts must be submitted and attached to the travel reimbursement form and submitted through the department manager to the Administration Office for processing for reimbursement. When possible, advance payment of hotel expenses should be made through the Administration Office.

4.4 COMPENSATION PLAN

4.4.1 Initial Compensation

New employees will be compensated in accordance with the appropriate Grade and associated Salary Range for the job classification in which they are hired. Pay for entry-level employees who meet the minimum qualifications for the position will be at Step One. If the employee is in training and does not meet the minimum qualifications, s/he will be brought in at a rate less than Step One, and will advance to Step One once the minimum qualifications are met. If the new employee has prior closely-related experience, s/he may begin on a higher step as outlined in Compensation Plan. The starting pay for all positions is subject to the approval of the MCCA Executive Director, who will recommend to the Board of Directors for approval, the starting salary of management personnel based on qualifications for the job as well as previous work experience.

4.4.2 Overtime Compensation and Compensatory Time

Without prior authorization, a non-exempt employee may not start work before the scheduled time, nor work through lunch, or work past the scheduled time. All excess hours and overtime must have the prior approval of the appropriate department manager. It will be the employee's responsibility to record and justify all overtime worked on the timesheet.

Overtime for non-exempt employees will be computed based on hours actually worked over 40 in a work week. Hours actually worked shall not include hours compensated but not worked, such as holidays, sick leave, vacation leave, personal leave, etc. When overtime is worked, the department manager and the employee shall determine in advance whether the employee will receive pay or compensatory time calculated at the rate of time and one-half. Compensatory time is time worked beyond the normal 40 hours that an employee may choose to bank and use at a later date.

Compensatory time may accumulate up to a maximum of eighty (80) hours and be carried forward from one month to the next. Any compensatory hours over eighty (80) will be paid. Use of compensatory time is subject to the approval of the department manager. Upon termination of employment, unused compensatory time will be paid at the regular hourly rate, as the time and one-half adjustment for hours will have already been made.

4.4.3 Wage Adjustments

The MCCA Board of Directors will consider salary increases under the following guidelines, as outlined in the Compensation Plan:

1. **Cost of Living Increases.** All MCCA employees who are not at the top of the pay range for their positions may be eligible to receive annual cost-of-living increases based on the CPI-W (Consumer Price Index for Urban Wage Earners & Clerical Workers), as determined by the twelve month period ending August 31st each year. Any increase must be approved by the MCCA Board of Directors (and the overall budget must be approved by the Budget Committee and Board of Directors). Approved COL increases will be effective January 1st. Salary ranges will be adjusted by the amount of the approved COL increase.
2. **Step Increase.** The Board of Directors may recommend, in addition to or instead of a Cost of Living Increase, a Step Increase, which means that each employee's salary would be increased by 2% (as long as the employee is not over the top of the salary range). More than one Step increase could be approved, across the board or in special circumstances.
3. **Promotion.** An employee who is promoted to a position in a higher Grade will receive a salary increase as outlined in the Compensation Plan.

4.5 HOURS OF WORK

The MCCA Executive Director will determine the hours of work for full-time and regular part-time employees.

4.6 PAY PERIOD

MCCA's pay period is Sunday through Saturday, and employees are paid weekly on Friday for the previous week's work.

4.7 TIME SHEETS

At the end of each non-exempt employee's work period, it is the employee's responsibility to submit a time sheet to his/her department manager or his/her designee, which shows the number of hours they worked each day, as well as any holidays, leave or compensatory time taken.

At the end of each exempt (salaried) employee's work period, the employee shall submit a time sheet to his/her department manager which shows the number of days worked for the week, as well as any holidays or leave taken.

In addition, the following items are required:

- An employee taking bereavement leave must document the family member in the additional explanation box on the time sheet.
- An employee requesting that holiday hours worked be put into compensatory time must explain this in the additional explanation box on the time sheet.
- An employee taking Family Medical Leave must document this in the additional explanation box of the time sheet. In the employee's absence, the supervisor must notate the time sheet accordingly.

Time sheets must be submitted with original signatures by the employee to the department manager or his/her designee on a weekly basis. Completed and approved time sheets are to be forwarded by the department manager or his/her designee to the Administration Office by 12:00 p.m. (noon) on each Monday before payday.

In the event an employee does not submit a time sheet to the department manager or his/her designee as required by these policies, it will be the responsibility of the department manager or his/her designee to create a time sheet on behalf of the employee for submission to the Administration Office at the required time. The employee must come to the Administration Office as soon as possible to sign the time sheet.

4.8 CLOSING OF MCCA OFFICES

The MCCA Executive Director and/or his/her designee shall determine when/if MCCA offices will close due to inclement weather, emergency situations, or other reasons. When offices are closed by the Executive Director, non-essential personnel will be given scheduled time off with pay. Essential and/or Public Safety personnel who are required to work and those employees who choose to work will not receive any additional compensation. The designation of essential personnel shall be left to the Executive Director.

Employees who are not scheduled to work, for whatever reason, on the day of an MCCA office closure shall not receive the benefit of the closure or any credit for leave time used. Likewise, any employee not present at work when the MCCA makes a decision to close an office early will not benefit from the early closure.

Training, Around Holidays, and Other Reasons

Each department manager may on occasion decide to close his/her office, or a certain portion of his/her office, for a day or a portion of a day. The decision to close the office must be presented in advance to the MCCA Executive Director for approval. The department manager must indicate the reasons for the office closure and the expected duration. If employees are dismissed from work during the office closure, they shall receive pay for scheduled hours during the time the office is closed. In the event of an emergency, the department manager may use his/her discretion to close the office and then seek immediate approval from the MCCA Executive Director.

4.9 EMPLOYEE RESIGNATION AND TERMINATION OF EMPLOYMENT

All employees who intend to voluntarily leave employment are asked to provide the professional courtesy of providing at least a two (2)-week written notice of their intent to resign. The written notice should be sent to the department manager and the MCCA Executive Director. The last two (2) weeks of employment shall not include any paid vacation leave, sick leave, or compensatory leave, unless recommended by the department manager and approved by the MCCA Executive Director. The effective date of the resignation shall be defined as the last actual worked day, except in the case of approved sick leave.

All issued property, e.g., equipment, keys, pagers, cell phones, ID cards, clothing, and any gear must be returned to the MCCA.

An employee who leaves MCCA's employ for whatever reason within his or her initial six (6) month introductory period is not entitled to payment for sick or vacation leave, as it does not accrue to his or her benefit until completion of the introductory period.

An employee who is voluntarily terminating employment with the MCCA after completing the introductory period will receive payment for all accrued and unused vacation leave and pay in lieu of all compensatory leave, upon complying with MCCA policies. An employee who is voluntarily terminating employment after a year of service will also receive payment for one-half of his/her accumulated sick leave. In the event that employment is terminated by the MCCA for unsatisfactory job performance, the employee will be ineligible for payment of accrued and unused vacation and sick leave. Additional details are outlined in the Vacation Leave and Sick Leave sections.

In the event of the death of an employee, all accrued and unused sick and vacation leave, as well as compensatory time, will be paid to the deceased employee's estate.

Wages and accrued sick, vacation, and compensatory leave due to the employee will be paid on the first scheduled payday after the effective date of resignation or termination of employment.

5.0 JOB PERFORMANCE APPRAISAL

The primary purpose of the job performance appraisal is to encourage constructive communication between employees and management so that both may be able to accomplish their jobs in a productive and satisfying manner.

Employee job performance appraisals will become a part of the employee's personnel record, which is filed in the MCCA Administrative Office.

5.1 RESPONSIBILITY FOR APPRAISAL

At least once each year, the MCCA Executive Director is responsible for evaluating the job performance of each appointed, salaried department manager. The department manager or his/her designee or MCCA Executive Director (as applicable) will review the performance of each employee on the basis of the standards of performance established for the job for which the employee is paid, using forms provided for that purpose, at least once each year. The MCCA Executive Director is responsible for the administration of the appraisal process for all other employees through the department managers.

All new employees (including new temporary employees) will be evaluated by their department managers or the MCCA Executive Director (as applicable) at the end of thirty (30) days and at the end of the introductory period (six months). Unsatisfactory performance may result in termination of employment at any time.

All employees promoted to a new position, and who are on the three month trial period, will be evaluated at least once prior to the expiration of the trial period by the department manager or Executive Director (as applicable).

5.2 RIGHT OF APPEAL AND APPEAL PROCESS

Each employee, who has completed his/her introductory period, will have the right to appeal the findings of the evaluation process.

1. The employee will be given seven (7) working days in which to start an appeal process beginning the work day following the date the evaluation has been discussed with him/her. Within that period of time, the employee must present a written statement to his/her department manager stating the reasons for the appeal.
2. The department manager will have seven (7) working days, beginning on the date the statement is received, in which to respond in writing to the employee.
3. If the problem cannot be resolved at the department level, the employee may request a hearing before the MCCA Executive Director. This request must be in writing and presented within seven (7) working days beginning on the date the response is received from the department manager.
4. The MCCA Executive Director will hold a meeting on the appeal with all concerned within seven (7) working days following the date the written request is received.
5. Within seven (7) working days beginning the day after the meeting, the MCCA Executive Director will respond in writing to the employee as to the decision.

6. In the event the decision rendered by the MCCA Executive Director is not acceptable to the employee, the employee has seven (7) working days beginning on the date the decision is received to request, in writing, an appeal to be heard by the Board of Directors, to take place at the next scheduled meeting. The Board of Directors may opt to schedule a special meeting to hear the appeal.
7. “Working days” for the purposes of this section are considered Mondays, Tuesdays, Wednesdays, Thursdays and Fridays, excluding holidays.
8. The decision of the Board of Directors is final.

6.0 BENEFITS

Important Note: The following sections outline the benefit programs offered by the MCCA as of the date of approval of this Handbook. If there are any discrepancies between this Handbook and Plan documents, the Plan documents will prevail. The MCCA reserves the right to change, add or delete benefit programs at any time.

6.1 TIME OFF POLICIES

6.1.1 Holidays

Full-time and regular part-time employees will observe the following twelve (12) paid holidays (plus any other day declared a holiday by the President of the United States, Maine’s Governor or the MCCA Board of Directors.)

New Year’s Day	January 1 st
Martin Luther King, Jr. Day	3 rd Monday in January
Presidents’ Day	3 rd Monday in February
Patriots’ Day	3 rd Monday in April
Memorial Day	Last Monday in May
Independence Day	July 4 th
Labor Day	1 st Monday in September
Columbus Day	2 nd Monday in October
Veterans’ Day	November 11 th
Thanksgiving Day	4 th Thursday in November
Day After Thanksgiving	Friday after Thanksgiving
Christmas Day	December 25 th

If a holiday falls on a Saturday, the observance will be moved to the preceding Friday. If a holiday falls on a Sunday, the observance will be moved to the following Monday. If a holiday is observed on a day before or after the actual holiday, there is only one holiday paid.

Employees normally scheduled but not required to work a holiday shall receive the day off with holiday pay. Holiday pay shall be proportionate to regularly-scheduled hours worked during a regular workweek as follows:

Regular Workweek	Holiday Pay	Exempt Holiday Pay
40 Hours	8.00 hours	
35 Hours	7.00 hours	
32 Hours	6.50 hours	
30 Hours	6.00 hours	
28 Hours	5.75 hours	
24 Hours	5.00 hours	
20 Hours	4 hours	
Salaried		1 day

For an employee whose job requires work on weekends, if a holiday falls on a Saturday, the employee shall have the option of observing the holiday on the preceding Friday or the actual day of the holiday. If a holiday falls on a Sunday, the employee shall have the option of observing the holiday on the following Monday or the actual day of the holiday. In any case, only one day will count as a holiday for holiday overtime.

Each full-time or regular part-time, non-exempt employee shall be paid straight time for holidays, whether worked or not. Then, a non-exempt employee who is required to work on a holiday shall be paid one and one-half (1 ½) times the straight time rate of pay for all hours worked, in addition to the holiday pay.

An employee must work or otherwise be eligible for pay on his/her regular workday prior and his/her regular workday following a holiday in order to receive holiday pay.

6.1.2 Vacation Leave

Each full-time and regular part-time employee will be entitled to vacation leave upon satisfactory completion of the Introductory Period. The date an employee was hired will be considered the anniversary date. Once the Introductory Period is complete, the employee will be eligible for vacation leave accrued from the anniversary date.

For the purpose of the vacation leave policy, a day is defined as average weekly scheduled hours divided by five (5). Vacation leave accrues as follows (proportionate to regularly scheduled hours worked during a regular work week):

* Employment	Work week	Non-Exempt Accrual Rate Month/Year	Exempt Accrual Rate Month/Year
Up to 5 years continuous service	40	8 hrs/1day = 96 hrs/12 days	1 day/12 days
	35	7 hrs/1day = 84 hrs/12 days	
	32	6.5 hrs/1day = 78 hrs/12 days	
	30	6 hrs/1day = 72 hrs/12 days	
	28	5.75 hrs/1day = 69 hours/12 days	
	24	5 hrs/1day = 60 hrs/12 days	
	20	4 hrs/1day = 48 hrs/12 days	
5 up to 10 years continuous service	40	12 hrs/1.5 days = 144 hrs/18 days	1.5 days/18 days
	35	10.5 hrs/1.5 days = 126 hrs/18 days	
	32	9.75 hrs/1.5 days = 117 hrs/18 days	
	30	9 hrs/1.5 days = 108 hrs/18 days	
	28	8.5 hrs/1.5 days = 102 hrs/18 days	
	24	7.25 hrs/1.5 days = 87 hrs/18 days	
	20	6 hrs/1.5 days = 72 hrs/18 days	
10 up to 15 years continuous service	40	14 hrs/1.75 days = 168 hrs/21 days	1.75 days/21 days
	35	12.25 hrs/1.75 days = 147 hrs/21 days	
	32	11.25 hrs/1.75 days = 135 hrs/21 days	
	30	10.5 hrs/1.75 days = 126 hrs/21 days	
	28	10 hrs/1.75 days = 120 hrs/21 days	
	24	8.5 hrs/1.75 days = 102 hrs/21 days	
	20	7 hrs/1.75 days = 84 hrs/21 days	
15 years & over continuous service	40	16 hrs/2 days = 192 hrs/24 days	2 days/24 days
	35	14 hrs/2 days = 168 hrs/24 days	
	32	13 hrs/2 days = 156 hrs/24 days	
	30	12 hrs/2 days = 144 hrs/24 days	
	28	11.25 hrs/2 days = 135 hrs/24 days	
	24	9.75 hrs/2 days = 117 hrs/24 days	
	20	8 hrs/2 days = 96 hrs/24 days	

*Determined by Employee's Anniversary Date

If a temporary schedule change exceeds three (3) months, the vacation leave accrual will change to the new temporary schedule.

6.1.2.1 Vacation leave will accrue on the last day of each calendar month worked and post the first day of the following month. No credit is given for partial months at the beginning of employment or at termination of employment.

- 6.1.2.2 Up to ten (10) days of vacation leave may be carried from one calendar year to the next for employees with up to ten (10) years of full time, continuous service. Employees having more than ten (10) years of full time, continuous service may carry up to fifteen (15) days of vacation leave from one calendar year to the next. Vacation leave accrued in excess of the allowed carryover amount will be forfeited.
- 6.1.2.3 While vacation leaves are granted with the intent of permitting an employee the opportunity to be away from his/her job, they must be scheduled so as not to interfere with normal MCCA departmental operations. The department manager must grant permission for vacation leave in advance.
- 6.1.2.4 In general, no more than two (2) continuous weeks (10 days) of paid vacation leave will be allowed to be taken at any one time. However, the Executive Director may grant exceptions to this rule. In cases where paid vacation leave is being used for an absence that qualified under the Family Medical Leave Act ("FMLA"), the employee will be encouraged to apply for FMLA leave.
- 6.1.2.5 Payment for Accrued, Unused Vacation Leave at Resignation or Termination of Employment
If employment should terminate, only accrued, unused vacation leave will be owed to the employee.

6.1.3 Sick Leave

Sick leave will be earned by all full-time and regular part-time employees, from the date of their initial full-time or regular part-time employment, at the rate of one day per month. However, no paid sick leave will be officially accrued (even though it will appear on the pay advice) or granted until an employee has completed his/her introductory period. Once the introductory period is satisfied, the employee will have access to sick leave accrued from the initial date of employment.

For the purpose of the sick leave policy, a day is defined as average weekly scheduled hours divided by five (5). Accrual of sick leave is as follows:

Employment	Non-Exempt		Exempt
	Workweek	Accrual Rate Month/Year	Accrual Rate Month/Year
All Employees	40 hours	8 hrs/1 day = 96 hrs/12 days	1 day/12 days
	35 hours	7 hrs/1 day = 84 hrs/12 days	
	32 hours	6.5 hrs/1 day = 78 hrs/12 days	
	30 hours	6 hrs/1 day = 72 hrs/12 days	
	28 hours	5.75 hrs/1 day = 69 hrs/12 days	
	24 hours	5 hrs/1 day = 60 hrs/12 days	
	20 hours	4 hrs/1 day = 48 hrs/12 days	

Accrual of sick leave is proportionate to regularly-scheduled hours worked during a regular workweek.

If a temporary schedule change exceeds three (3) months, the sick leave accrual will change to the new temporary schedule.

- 6.1.3.1 Up to a maximum of one hundred twenty (120) days of sick leave may be accrued and carried forward from one calendar year to the next.
- 6.1.3.2 Sick leave may be used when personal illness or injury renders an employee unable to perform the duties of his/her position, or for personal doctor's office visits. A doctor's certificate may be

required if personal absence exceeds three (3) consecutive days, or in the case of repeated absences.

- 6.1.3.3 Employees may also use accumulated sick leave to take immediate family members to doctor's office visits, to the hospital, or to attend to immediate family members who are ill, for up to five (5) consecutive days. (This includes a new father spending time with his spouse and newborn immediately following the birth of his child.) No more than twenty (20) days of accrued sick leave may be used during any calendar year for family illness, unless the employee has an approved absence under the Family Medical Leave Act ("FMLA"). If an FMLA leave is approved due to the serious health condition of the employee's spouse/domestic partner, child, parent or sibling, additional accrued sick time may be used. Immediate family, for the purposes of using sick leave, includes: spouse/domestic partner, parent/foster parent, or child/foster child, and the family relationship and reason for the absence should be noted on the time sheet. A doctor's certificate may be required to verify the use of sick leave for any of these absences.
- 6.1.3.4 An employee who is going to be absent for the day is required to notify his/her department manager no later than sixty (60) minutes before the scheduled start time on the day of absence. Time off for medical appointments is to be requested as far in advance as possible.
- 6.1.3.5 An employee who has exhausted his/her sick leave will be required to use other paid leave that is available to cover the absence. Any available compensatory time will be used first, and then any available vacation time will be used. If all available paid time off is exhausted, the time away will be without pay.
- 6.1.3.6 If an employee is going to be absent for more than three (3) consecutive days and the absence appears to qualify under the Family Medical Leave Act, the employee shall apply for FMLA leave.
- 6.1.3.7 **Payment for Accrued, Unused Sick Leave at Resignation or Termination of Employment**
An employee with at least one (1) year of continuous service who voluntarily separates from employment in good standing shall be paid one-half (1/2) of accrued sick leave, up to a maximum of forty-five (45) days. If an employee is dismissed for unsatisfactory job performance, he/she will not be entitled to payment for sick leave under this article.
- 6.1.3.8 **Payment of Sick Leave**
An employee, who has reached the accumulation of 90 days by the last day of the year, may request payment of one-half of the sick leave accumulated in excess of 90 days. The remaining accumulation over 90 days for the year will be forfeited. The request must be submitted on the form provided by the Administration Office no later than January 15th (or the following business day if January 15th falls on a non-business day) the following year.
- 6.1.3.9 **Conversion of Two Sick Leave Days to Personal Leave Days**
At the beginning of the calendar year, each employee may choose to convert up to two accumulated sick leave days to personal leave days. The personal leave days may be used at any time during the year on or after February 1st with the prior approval of the department manager. The request to convert the time must be submitted on the form provided by the Administration Office no later than January 15th (or the following business day if January 15th falls on a non-business day). Any unused personal days as of the end of the calendar year are forfeited.
- 6.1.3.10 **Additional Vacation Leave Days**
Employees who do not use any sick leave in a defined six-month period (Jan 1st – June 30th or July 1st - December 31st) shall be awarded one additional vacation leave day for each six-month period. This vacation leave is added the following month to accrued vacation leave and is subject to the same rules as other vacation leave days.

6.1.4 Donated Sick Leave Policy

The MCCA will administer a Donated Sick Leave Bank on a calendar year basis, which will work as follows:

A. All full-time and regular part-time, non-elected MCCA employees who have successfully completed the Introductory Period as of December 1st of any year may elect to participate in the Donated Sick Leave Bank for the following calendar year.

B. In order to be eligible to draw from the Donated Sick Leave Bank, an employee must contribute one (1) sick day annually, on December 31st, for the following calendar year. A day equals the value of a day relative to the employee's normal schedule as outlined in the Sick Leave Policy, not to exceed 8 hours. Employees must have a sick day accrued and available to donate in December to be eligible. All participating employees must complete and submit the donation form no later than the Friday before the first payday in December in order to participate. This form will remain in effect for subsequent years unless revoked by the employee in writing.

C. In the event that the Donated Sick Leave Bank becomes depleted during the calendar year, employees will be given another opportunity to donate (in writing) one (1) sick day to the Bank to cover the remainder of the calendar year. This "restocking" will be limited to once per calendar year. Any employee with a sick day available may participate, and only those employees who elect to donate for this period will be eligible to draw from the Donated Sick Leave Bank for the remainder of the year.

D. Time in the Donated Sick Leave Bank will be tracked and made available in hours (not dollars).

E. An employee may draw up to thirty (30) days from the Donated Sick Leave Bank in any one calendar year, and up to sixty (60) days in any three (3) consecutive year periods. The amount of time drawn each year may not exceed the regularly-scheduled hours (no overtime).

F. Only an employee on an FMLA-approved leave for personal or family illness (qualifying as a "serious health condition") and who has exhausted all of his/her own paid time off (vacation leave, sick leave, personal leave, and compensatory time) may draw paid time from the Donated Sick Leave Bank for the remainder of the approved FMLA leave up to the maximum allowed.

G. An employee who has purchased Short Term Disability (STD) Insurance is eligible to draw from the Donated Sick Leave Bank. Time paid from the Bank may reduce benefits under the STD Plan.

H. Donated Sick Leave is on a first come, first served basis. If there is more than one draw at a time, they will be processed concurrently pay period by pay period (i.e. the total time needed for the first draw will not be set aside in advance).

I. Sick leave days contributed to the Donated Sick Leave Bank may not be reclaimed by an employee.

J. If the Donated Sick Leave Bank is depleted after the second donation period, no more draws will be available until the Program renews the following calendar year.

K. Any days remaining in the Donated Sick Leave Bank at the end of a calendar year are forfeited.

6.2 HEALTH AND WELFARE BENEFITS

6.2.1 Health Insurance

Full-time employees may elect to enroll in MCCA's health insurance plan. Coverage becomes effective the first day of the month following thirty (30) days of employment or application, whichever is later, and new employees have sixty (60) days to decide. Thereafter, other than dropping coverage, changes can only be made when there is a qualifying event or during open enrollment in the fall each year.

Health Insurance Costs

MCCA will pay ninety percent (90%) of the cost of the individual health insurance premium for all full-time employees. Health insurance benefits, along with all other MCCA benefits, are subject to change by vote of the Board of Directors at any time, unless guaranteed in a separate written contract.

Payment of the employee's share of the premium shall be deducted from the employee's paycheck in accordance with IRS Section 125 regulations, one month in advance. Deductions are made weekly; if there are more than four (4) pay periods in a calendar month, there is no health insurance premium deduction in the fifth (5th) pay period.

Medical Opt-Out Stipend for Health Insurance Non-Enrollment

MCCA offers annual stipends to full-time employees who opt not to participate in MCCA's group health insurance plan or who elect less dependent coverage, as long as they provide proof of health insurance elsewhere for the full twelve (12) month period (January through December, annually).

Stipends shall be paid on an annual basis, through payroll, on the last pay period of the year in which the employee or elected official qualifies. Stipends are subject to all applicable Federal and State taxes. An employee who qualifies for a stipend must be able to demonstrate the presence and level of health insurance coverage for the calendar year for which the stipend is requested, and sign a waiver. A completed waiver form, along with proof of other health insurance, must be submitted to the Administrative Office no later than December 1st (or the next business day if December 1st falls on a non-business day) of each year.

The stipends will be provided as follows:

Employee Eligibility	Employee Election	Annual Stipend
Single coverage	Does not enroll in MCCA Plan	\$500
Employee and Children Only	Employee only	\$1,000
Employee and Spouse	Employee only	\$1,000
Employee and Children Only	Does not enroll in MCCA Plan	\$1,500
Employee and Spouse	Does not enroll in MCCA Plan	\$1,500
Employee and Family	Employee only	\$1,500
Employee and Family	Does not enroll in MCCA Plan	\$2,000

Other stipulations regarding the stipend:

- If a married couple works for the MCCA, both qualify separately for MCCA's health insurance, and one spouse enrolls the family, the other spouse is not eligible for the stipend.
- If an employee drops coverage for a child because the child is no longer eligible for coverage due to age, the employee is not eligible for the stipend.
- There are no prorated stipends for partial years.

6.2.2 Dental Insurance

Employees who are eligible to participate in MCCA's group health insurance plan may also participate in MCCA's group dental insurance plan, effective the first of the month following thirty (30) days of application date, and new employees have thirty (30) days from the date of employment to enroll. Thereafter, other than dropping coverage, changes may only be made when there is a qualifying event or during open enrollment in the fall each year. The dental insurance plan shall be paid entirely by the employee through payroll deduction. Employees choosing to enroll must do so during open enrollment in the fall each year, renewable annually.

6.2.3 Vision Insurance

Employees who are eligible to participate in MCCA's group health insurance plan may also participate in MCCA's group vision insurance plan, effective the first of the month following thirty (30) days of application date, and new employees have thirty (30) days from the date of employment to enroll. Thereafter, other than dropping coverage, changes may only be made when there is a qualifying event or during open enrollment in the fall each year. The vision insurance plan shall be paid entirely by the employee through payroll deduction. Employees choosing to enroll must do so during open enrollment in the fall each year, renewable annually.

6.2.4 Life Insurance

Full-time and regular part-time employees may elect to participate in MCCA's plan for life insurance at no additional cost, effective the first day of the month following thirty (30) days of the application date, and new employees have thirty (30) days from the date of employment to enroll. Changes to the election, other than dropping the coverage, may only be made when there is a qualifying event or during open enrollment in December each year.

6.2.5 Long-Term and Short-Term Disability Insurance

Full-time and regular part-time employees may elect to participate in MCCA's payroll deduction plan for long-term and/or short-term disability insurance, effective the first day of the month following thirty (30) days of the application date, and new employees have thirty (30) days from the date of employment to enroll. Changes to the election, other than dropping the coverage, can only be made when there is a qualifying event or during open enrollment in the fall each year.

6.2.6 Flexible Spending Accounts

Full-time and regular part-time employees are eligible to participate in flexible spending accounts, and new employees have thirty (30) days from the date of employment to enroll. These allow eligible personnel to use pre-tax dollars for eligible healthcare and/or child care expenses. Eligible personnel may enroll or make changes when there is a qualifying event or during open enrollment in the fall each year.

6.3 RETIREMENT BENEFITS

6.3.1 Social Security

All MCCA employees are covered by Social Security. The MCCA and the employee/elected official each contribute to this benefit.

6.3.2 Maine Public Employees Retirement System (MainePERS)

The MCCA offers a retirement plan with the MainePERS to all full-time employees. The MCCA contributes a percentage of the employee's annual salary to the retirement program, as does the employee. Contribution rates for the selected non-COLA plan at the time of policy adoption are as follows:

Employer's Share: 4.1% of employee's annual salary
Employee's Share: 7.0% of employee's annual salary

Contribution rates may change as determined by MainePERS and/or the MCCA Board of Directors.

6.4 UNEMPLOYMENT BENEFIT

MCCA participates in the Maine Municipal Association Unemployment Compensation Group Fund (MMA UC) and makes quarterly payments to the fund throughout the year. Any payments to qualified former employees will be made from this fund.

6.5 LEAVES OF ABSENCE

Important Note: Federal and state laws that govern Family Medical Leave, Military Leave and Family Military Leave frequently change. The MCCA intends to comply fully with the obligations set forth in the regulations that exist at the time that an employee applies for a leave of absence, which may differ from what appears in the current version of this Personnel Policy Handbook.

6.5.1 Family and Medical Leave Act ("FMLA") POLICY (federal and state provisions)

It is understood that the Family and Medical Leave Act may apply to employees in the MCCA in the future if the size of the organization grows. Should the appropriate organizational growth occur, a section for the FMLA will be added to the Personnel Handbook.

6.5.2 Additional Leave under State Law

- A. Maine employees may be entitled to leave if the employee or employee's daughter, son, parent, spouse, domestic partner or sibling is a victim of violence, assault, sexual assaults, stalking or any act that would support an order for protection under Title 19-A, Chapter 101 for an employee to:
 - 1. Prepare for and attend court proceedings;
 - 2. Receive medical treatment or attend medical treatment for a victim who is the employee's daughter, son, parent, spouse, domestic partner or sibling; or
 - 3. Obtain necessary services to remedy a crisis caused by domestic violence, sexual assault or stalking.
- B. Maine employees may be entitled to leave for response to an emergency. An employee who is a volunteer firefighter cannot be disciplined for being late or missing work due to responding to an emergency as a volunteer firefighter. Employees, or someone on their behalf or the fire department, must provide the MCCA with prior notice of absence if time permits.
- C. Maine employees may be entitled to leave for a public health emergency. Employees impacted by a public health emergency including an individual public health investigation, supervision or treatment, public health emergency orders, quarantine, isolation, or a concern that the employee

may expose other individuals in the workplace to an extreme public health emergency threat, will be granted reasonable and necessary unpaid leave.

6.5.3 Military Leave

Under the Uniformed Services Employment and Reemployment Rights Act (“USERRA”), members of the armed services and its reserve components who perform duties on a voluntary or involuntary basis will be reinstated to employment at the MCCA without loss of status or benefits and without any break in service, as long as the employee meets all of the requirements under the Act. These requirements include, but are not limited, to the following:

- The employee provides the MCCA with notice as far in advance as is reasonable under the circumstances, including information about the approximate beginning and concluding dates of his/her service;
- The employee may take up to a total of 5 years’ cumulative leave for military service during the time of employment at the MCCA, unless an allowed exception applies; and
- The employee meets the guidelines under the Act for reapplying for work and returning to work after the leave.

There are some circumstances where the MCCA is not required to reemploy a person after military service, including the following:

- If MCCA’s circumstances have so changed as to make such reemployment impossible or unreasonable (if, for example, a reduction in force occurred during the person’s absence that would have terminated that person’s employment);
- In the case of a person with a service-connected disability, if reemployment would impose an undue hardship on the MCCA;
- The employment from which the person leaves is for a brief, non-recurrent period and there is no reasonable expectation that such employment will continue indefinitely or for a significant period;
- Reasonable notice of the desire to return was not given, and MCCA’s established policies are violated by failure to give reasonable notice; or
- The person’s separation from service was dishonorable, based on bad conduct, or “other than honorable” conduct.

Health Insurance: As required by the Veterans Benefits Improvement Act (“VBIA”, which amended USERRA), the MCCA will offer an employee on military leave and his/her dependents the right to continue in the group health plan for up to 24 months of service. If the leave is for 31 days or less, the employee may elect to continue to participate at employee rates; if the leave is greater than 31 days, the employee may elect to continue participation but will pay 100% of the cost. If the employee elects not to continue participation in the group health insurance plan, s/he is entitled to reenter the plan upon reemployment.

Compensation: If the military leave is for 31 days or less, the MCCA will pay the difference between the employee’s regular base pay and military pay (if the base pay exceeds military pay), as long as the employee provides the MCCA with documentation of the military pay. If the leave is for more than 31 days, there is no MCCA subsidy regarding compensation. However, the employee may elect to use any accrued vacation time during the period of service.

Other Benefits: Vacation and sick leave benefits cease to accrue any time an employee has more than two (2) weeks of unpaid leave in a calendar month. Any other rights to benefits not covered in this Section of the *Personnel Policy Handbook* will be provided by the MCCA according to legal requirements in effect at the time of the leave.

Reemployment: USERRA and Maine State Law both include guidelines for the employee and the employer regarding reemployment, return to work, compensation, benefits and work requirements, based on the period of service. The MCCA HR representative will work with the employee regarding the specific requirements based on his/her unique situation.

6.5.4 Family Military Leave

Maine State Law requires employers with 15 or more employees to grant up to 15 days of unpaid family military leave per deployment to eligible employees, if requested by the employee. To be eligible, employees must have been employed by the MCCA for at least 12 months and have worked at least 1250 hours in the 12 month period just prior to the requested leave.

“Family Military Leave” means leave requested by an employee who is the spouse, domestic partner, or parent of a person who is a resident of the State of Maine and is deployed for military service for a period lasting longer than 180 days with the State or United States, pursuant to the orders of the governor or the president of the United States. Family military leave may be taken only during the 15 days immediately before deployment, during the period of deployment if the service member is granted leave, the 15 days immediately following the period of deployment, or a combination of days within these time frames. If the request for leave is for 5 consecutive work days or longer, 14 days’ notice must be provided by the employee; if the request is for less than 5 consecutive work days, the employee must provide as much advance notice as possible.

Family military leave is without pay, except to the extent that an employee elects to use unused vacation leave. An employee who takes a family military leave will be restored to the position held by the employee when the leave commenced, or to a position with equivalent status based on years of service, employee benefits, pay, and other terms and conditions of employment. Benefits in effect at the beginning of the leave will continue during and after the leave at the same employee contribution or accrual rates.

6.5.5 Bereavement Leave

In the event of death in the employee’s family, a full-time or regular part-time employee with at least 6 months of service may be granted, with department manager approval, up to five (5) days or forty (40) hours, whichever is less, paid leave to make household adjustments or to attend funeral services. (If a death in the family occurs during the employee’s first six (6) months of employment, time off may be granted without pay.) The determination of hours for a “day” of leave shall be based on the employee’s normal workweek. "Family" for the purposes of this section is hereby defined to include spouse/domestic partner, parents, children, brothers, sisters, grandparents, grandchildren, brothers-in-law, sisters-in-law, parents-in-law, grandparents-in-law, grandchildren-in-law, stepparents, stepchildren, foster parents and foster children.

In the event of a death of an aunt, uncle, niece, nephew, first cousin or spouse’s close family member, an employee shall be granted the equivalent of one (1) paid day off.

Any bereavement leave beyond this policy may be granted as sick leave, vacation leave or accrued compensatory time, with the approval of the MCCA Executive Director.

An employee taking approved bereavement leave shall note the relationship to the deceased on the time sheet.

6.5.6 Jury Duty

An employee or official summoned to jury duty will be excused from his/her work for the required period necessary to perform this duty. If the jury is excused prematurely from duty during the time of the service, the employee or official is expected to report for work as usual.

The MCCA agrees to pay the employee or official his/her regular weekly pay and the employee or official shall turn the jury duty paycheck, excluding mileage, over to the MCCA for the period of time the employee or official was required to be absent from work.

6.5.7 Personal Leave of Absence (LOA)

A personal LOA is an authorized absence from work for reasons other than paid vacation time, paid holiday, paid sick leave, or an absence covered under one of the prior leave of absence policies described in this section. Except for medical or emergency cases, a personal LOA may be granted only after an employee has completed six (6) months of continuous employment and exhausted any paid leave time available. A personal LOA is unpaid leave, except to the extent that an employee may be receiving donated leave.

A personal LOA may be granted for a maximum of three (3) months, at the discretion of the department manager as well as the MCCA Executive Director, who must give approval in writing. Personal LOAs longer than three (3) months must be approved by the Board of Directors; the employee's length of service, job performance, certainty of return, and the needs of the department will be taken into consideration prior to approval. In no instances will a Personal LOA extend beyond six (6) months.

During an approved personal LOA for up to three (3) months, employees may continue group health plan coverage under the same conditions as if they had continued to work, as long as the employee pays his or her portion of the group health premium by making on time payments to the Administration Office. If the personal LOA extends beyond three (3) months, the employee will be responsible for the full cost of the premium. MCCA's obligation to maintain health care coverage ceases if an employee's premium payment is more than thirty (30) days late. If an employee's payment is more than fifteen (15) days late, the MCCA will send a letter notifying the employee that coverage will be dropped on a specified date unless the payment is received before that date.

Vacation and sick leave benefits cease to accrue any time an employee has more than two (2) weeks of unpaid leave in a calendar month.

7.0 GRIEVANCE AND APPEAL PROCEDURES

7.1 Grievance Procedure

A grievance is hereby defined as any dispute relative to the meaning or application of the policies and procedures outlined in the *Personnel Policy Handbook*.

Step 1.

The aggrieved employee shall present the grievance verbally to his or her immediate supervisor within three (3) working days after the date of occurrence of the event or matters giving rise to the grievance. All parties will work to resolve the grievance at this level.

Step 2.

If the aggrieved employee and his or her immediate supervisor have not resolved the grievance, then the aggrieved employee must present the grievance in writing, to his/her department manager

within seven (7) working days beginning the day after occurrence of the event or matters giving rise to the grievance.

Within seven (7) working days beginning the day after the employee presents the grievance in writing, the department manager will meet with the employee to discuss the grievance, work to resolve the grievance, and respond to the aggrieved employee in writing.

Step 3.

If the grievance is not resolved between the parties within seven (7) working days beginning the day after the written response of the department manager, the aggrieved employee may submit the grievance, in writing, to the MCCA Executive Director.

The MCCA Executive Director will hold a meeting on the grievance with all concerned within ten (10) working days beginning the day after the grievance was filed with the MCCA Executive Director, unless all parties agree to an extension. Within fourteen (14) working days beginning the day after the meeting, the MCCA Executive Director will respond in writing to the aggrieved employee as to the decision on the grievance. The decision of the MCCA Executive Director is final, except in cases where the disputed action is relative to discharge, suspension or other disciplinary actions, or specifically related to a department manager's terms and conditions of employment.

Step 4.

If the disputed action is relative to discharge, suspension or other disciplinary actions, or specifically related to a department manager's terms and conditions of employment, the aggrieved employee may appeal the decision, in writing, to the MCCA Board of Directors within fourteen (14) working days beginning the day after the MCCA Executive Director's decision. The MCCA Board of Directors will hold a hearing within fourteen (14) working days beginning the day after receipt of the grievance, unless all parties agree to an extension. The MCCA Board of Directors will render a final decision in writing within fourteen (14) working days beginning the day after the appeal hearing.

8.0 OTHER POLICIES

8.1 EMAIL AND INTERNET POLICY

Electronic mail, Internet and telecommunication accesses are resources made available to MCCA employees to communicate with each other, other governmental entities, companies and individuals for the benefit of the MCCA.

The MCCA Electronic Mail System (email) is designed to facilitate MCCA business communication among employees and other business associates for messages or memoranda. Since no computer system is completely secure, the email system is not intended to transmit sensitive materials, which may be more appropriately communicated by written memorandum or personal conversation.

The email system is MCCA property and intended for MCCA business. The system is not to be used for employee personal gain or to support or advocate for non MCCA-related business or purposes. All data and other electronic messages within this system are the property of MCCA. Email messages have been found to be public records and may be subject to the right-to-know laws, depending on their content.

In addition, the MCCA, through its board of Board of Directors and its department managers, reserves the right to review the contents of employee's email communications when necessary for MCCA business purposes. Employees may not intentionally intercept, eavesdrop, record, read, alter, or receive other persons' email messages, without proper authorization from the MCCA Executive Director.

MCCA purchases, owns and administers the necessary software and licenses to provide access to email and Internet services. Employees may not rent, copy or loan the software, or its documentation. The MCCA has invested much time and money to secure its electronic systems from intrusion and harmful viruses. Therefore, employees may not provide alternative software to access the system. Employees may be held responsible for any damages caused by using unauthorized software or viruses they introduce in the MCCA system. Department managers are responsible for the implementation and adherence of this policy within their departments.

Procedures related to this Policy include the following:

General Information on Passwords

While confidential passwords may be utilized, users should be aware that this does not mean that the system is for personal confidential communication, nor does it suggest that email is the property right of the employee. The use of the email system is for MCCA business. Passwords should be periodically changed to ensure security of the email system. Users should not share their passwords with anyone else, other than as his or her supervisors may require.

Internet

The Internet provides the MCCA with significant access and dissemination of information to individuals outside of the MCCA. The use of the Internet system for access and dissemination is intended to serve MCCA business. Like all email messages, Internet messages are capable of being forwarded without the express permission of the original author. Email messages are also routinely passed through routers before they reach their final destination. A message is “touched” many times before it gets to its recipient, and the message author should be aware of this. Therefore, users must use caution in the transmission and dissemination of messages outside of the MCCA, and must comply with all state and federal laws.

Prohibited Uses

When sending email messages, appropriateness and good judgment shall be used. The following are examples of email uses that are prohibited:

- ☒ Communications that in any way may be construed by others as disruptive, offensive, abusive, or threatening;
- ☒ Communications of sexually explicit images or messages;
- ☒ Communications that contain ethnic slurs, racial epithets, or anything that may be construed as harassment or disparagement of others based on race, national origin, sex, age, disability or religious beliefs;
- ☒ Solicitation for commercial ventures, religious or political causes, outside organizations, or other non-job-related solicitations; and
- ☒ Any other use that may compromise the integrity of the MCCA and its business in any way.

Retention of Email

Generally, email messages are intended to be temporary communications that are non-vital and may be discarded routinely. However, depending on the content of the email message, it may be considered a more formal record and should be retained pursuant to a department’s record retention schedules. As such, these email messages are similar to printed communication and should be written with the same care. Each department manager is responsible for establishing and maintaining department retention schedules for the information communicated through the email system.

However, employees should be aware that when they have deleted a message from their workstation mailbox it might not have been deleted from the central email system. The message may be residing in the recipient's mailbox or forwarded to other recipients. Furthermore, the message may be stored on the computer's back-up system for an indefinite period. Note that email has been classified as "public" documents, i.e. available to the media in at least one state. Keep that in mind when you create or store email.

Employees should delete email messages as soon as possible after reading. An accumulation of files will degrade system performance and response times. All messages shall be deleted after 60 days unless archived by the user.

Applicability to Employees, Part-Time Employees, Contractors, and Other Users

This email and Internet policy applies to all employees, contractors, part-time employees, volunteers, and other individuals who are provided access to MCCA's email system. Third parties should only be provided access to the email system as necessary for their business purpose with the MCCA and only if they abide by all applicable rules.

Employee Termination, Leave of Absence, Vacation, and Other

Employees who leave employment with the MCCA have no right to the contents of their email messages and are not allowed access to the email system. Supervisors or management may access an employee's email if employees are on leave of absence, vacation, or are transferred from one department to another department and it is necessary for MCCA's business purposes.

Penalties

The misuse of the Internet or email privileges may be considered sufficient cause for discipline in accordance with MCCA's Personnel Policies and or Union Contract, and/or other applicable rules or laws. In addition, violations of this policy or misuse of the email system may be referred for criminal prosecution.

Summary

1. Use of the email and/or the Internet is for the furthering of the business of this MCCA;
2. No one may intentionally intercept, eavesdrop, record, read, alter, or receive other persons' email messages without property authorization;
3. No one may use the email system for solicitation of funds, political messages, or harassing messages;
4. All email messages and data are the property of MCCA and may be accessed for review by supervisors; and
5. All email will be retained according to the attached Retention of email policy.

Acceptance

By signing the Acknowledgement page of this Handbook, employees signify that they have read and accept the terms of this Policy.

8.2 ACCEPTABLE USE POLICY

In order to provide an environment that promotes the confidentiality, integrity, and availability of the electronic information on which the MCCA relies to conduct business, this policy is established to:

- Manage the use of computer systems;
- Decrease liability exposure due to harmful actions by an employee;
- Promote a secure workplace for all employees;
- Prevent unlawful or wrongful actions against employees or citizens either directly or indirectly through electronic means.

All computer equipment, files, data, and communications methods provided by MCCA are to be used for business purposes only.

MCCA owns any and all information that is produced on or using MCCA-owned equipment, or that is transmitted across MCCA-owned network equipment. The MCCA reserves the right to enter, search, disclose, and monitor computer files, email, or voicemail of an employee with or without prior notice, in a manner consistent with Federal Law. This includes, but is not limited to, investigating theft, disclosure of confidential information, personal abuse of the system, conflict of interest, or monitoring workflow or productivity. This right is granted to the MCCA Administrative Offices, and employees may not access the messages or files of other employees.

Employees should have no expectation of privacy of any content on MCCA's network. Password protection, and the terms "personal" computer, and "My Documents" should not lead the employee to believe that the contents of these containers, active or deleted, are private.

Employees have the duty to ensure that use of the Internet is for business purposes only, and that information sent from the MCCA is not offensive or illegal and complies with other existing policies.

8.3 SOCIAL MEDIA POLICY

Social media is any form of online publication or presence that allows multi-directional conversations in or around content on the Internet. Some types of social media include forums, message boards, blogs, tweets, wikis and podcasts, and some social media applications include Google, Facebook, LinkedIn, Twitter and YouTube. Management understands that social media are pervasive in today's world and that employees may be using social media sites in relation to both work and leisure. Management also recognizes that employees may enhance our business through the appropriate use of social media. However, employees are bound by the following guidelines when using social media.

Guidelines:

- Employees should conduct themselves on social media sites in a manner that does not reflect adversely on MCCA's image or reputation.
- Employees are prohibited from referencing employment with the MCCA on pages or profiles in any manner inconsistent with MCCA's mission, desired image, reputation, or goodwill.
- All relevant workplace rules and regulations apply to the use of social media.
- Dissemination of confidential or proprietary MCCA information on social media sites is strictly prohibited. Included in proprietary information is MCCA's logo or trademark.
- Employees are not authorized to speak on behalf of the MCCA.
- Social media sites are not to be used at work, on MCCA time, or using MCCA equipment unless the employee has been authorized to do so to further MCCA's interests.
- Employees are legally responsible for anything written or posted on social media sites.
- The MCCA may discipline employees for posting, writing, or otherwise participating in any content that is discriminatory, harassing, and pornographic, that divulges proprietary information, or that creates a hostile work environment.

Employees should direct any questions regarding compliance with this Social Media Policy to the MCCA Executive Director or Human Resources Representative.

8.4 TELECOMMUTING POLICY

Telecommuting may be available on a voluntary basis but is not appropriate for all employees. No employee is entitled to, or guaranteed the opportunity to, telecommute. Offering the opportunity to work at

home is a Management option, based on the discretion of the employee's immediate supervisor/department manager. An employee's participation is strictly voluntary. All telecommuting agreements must meet the criteria in this policy and may be terminated at any time by either the employee or the immediate supervisor (although it is recommended that two weeks' notice be given if possible).

An employee wishing to request a telecommuting arrangement shall submit a written request to his or her immediate supervisor. A telecommuting arrangement must be mutually agreed upon by the employee, the employee's immediate supervisor, department manager, and the MCCA Executive Director. Any changes to the written arrangement must also be documented in writing and approved by the employee's immediate supervisor and the MCCA Executive Director. Department managers should consult with the MCCA Administrative Office in advance if an employee requires remote access or technology support in order to telecommute.

The duties, obligations and responsibilities of an employee who telecommutes are the same as employees at the centrally-located work site. Hours worked are hours paid. Any hours beyond an employee's normal work schedule must be authorized in advance by the employee's supervisor. Salaried employees must indicate the hours they will be able to be reached by staff and customers. Hourly employees must indicate the hours the employee will be on work status.

An employee who telecommutes is expected to be working at home during the telecommuting work schedule. Personal leave time normally scheduled during a telecommuting employee's scheduled workday must be arranged in the same manner with the immediate supervisor as employees at the centrally-located work site. Employees shall not conduct any unauthorized external (non-MCCA) work during their telecommuting work schedule.

The employee shall participate in any MCCA-sponsored telecommuting and/or technology training as requested by the employee's supervisor. The employee shall participate in any MCCA evaluation of telecommuting.

Remote access to MCCA's network may be provided to the employee at the discretion of the MCCA Administrative Office. Remote access shall only take place on equipment owned and maintained by the MCCA. The MCCA will not purchase or reimburse employees for the cost of an Internet service provider or Internet use. Employees should take special care in protecting the confidentiality and integrity of any MCCA-owned assets in their care. All materials and equipment shall be in a secured (i.e. locked) location when not in the employee's immediate possession.

The employee will maintain the confidentiality of MCCA information and documents, prevent unauthorized access to any MCCA system or information, and dispose of work related documents in a manner that will not jeopardize the interests of the MCCA.

8.5 CREDIT CARD POLICY

The Executive Director is the only person who can authorize the issuance of a new credit card. All requests shall be submitted from department manager to the Executive Director in writing.

The use of a MCCA credit card is subject to the following restrictions:

- No cash advances
- No personal or private expenditures
- No regular operating expenses (e.g., monthly telephone charges, office supplies, etc.)
- No charges from active vendors or vendors that will invoice MCCA

- No late fees or interest payments shall be reimbursed; these are the personal responsibility of the card holder if the charges are due to the employee's late submission of the necessary invoice/receipt, and must be paid within sixty (60) days.
- If there are three (3) instances of interest and/or late fees in any twenty-four (24) month period as a result of the employee's late submission of the necessary invoice/receipt, the card will be cancelled.

A detailed receipt must accompany each expense charge; summary invoices that only list a total and don't provide detail will not be accepted. In some cases an explanation of the charge might be required. For example, if the expense is for meals or food, note on the receipt if it was for a luncheon meeting and how many by name were included on the bill. Clear documentation and receipts shall be submitted immediately after the transaction has been made to department manager or his/her designee for payment processing. One receipt shall be provided for each charge on the card. All statements shall be reviewed and reconciled prior to forwarding to the Administrative Office monthly. Expenses without proper documentation shall be the responsibility of the employee.

Violations of MCCA's Credit Card Policy may result in disciplinary action, up to and including termination of employment and/or prosecution.

8.6 DOCUMENT RETENTION/DESTRUCTION POLICY

It is the policy of MCCA to maintain records in an economically secure fashion, to retain them as required by the applicable laws and to destroy such records as appropriate. This program has been designed based on MCCA's understanding of common practices among tax-exempt organizations as well the applicable laws. This policy shall apply to all forms of documents, whether written or electronic.

Definitions

Documents – For purposes of this program, documents shall be defined as contracts, agreements, correspondence, emails, accounting records, financial statements, bank statements, personnel records and any other item that records or supports a decision or transaction that has a financial, legal or business impact on MCCA or its subsidiaries.

Litigation – In the event of a pending investigation or litigation, the MCCA management team shall designate an individual to coordinate the record gathering. That individual shall notify the MCCA staff of the pending investigation or litigation and shall advise the staff that all documents directly or indirectly related to the subject matter shall be exempt from the document retention policies herein contained until they are advised otherwise. The exemption shall also apply to any personal electronic documents or correspondence if they are sent, received, created or stored on MCCA's network, hardware or software.

Document Storage

Contracts – Current contracts shall be scanned and stored on the MCCA network so that they are easily accessible to all parties that may require access in order to carry out their MCCA business function. The IT department shall designate a section of the network for contract storage and establish the appropriate access controls in order to prevent unnecessary access or document destruction. The original document shall be maintained in a locked drawer or file cabinet within the originating department while the contract is in force. Expired contracts shall be sent to the MCCA official offsite storage facility and retained until the destruction date in accordance with the document destruction guidelines contained in this program.

Payable Documents – Vendor invoices, expense reports and correspondence shall be maintained in locked filing cabinets within the office for two years. The files are categorized by vendor name and separated by fiscal year.

Personnel Documents – Employee reviews, correspondence pertaining to job performance, salary changes or disciplinary actions will be maintained in employee folders kept in locked file cabinets within the human resources (HR) office. Only HR personnel or accounting staff with payroll responsibilities shall have access. These documents shall be maintained in accordance with the document destruction guidelines contained in the program.

Payroll records – Time sheets, payroll registers, withholding forms and correspondence pertaining to payroll processing shall be maintained by pay period in the payroll clerk's office. Only HR and Finance personnel with payroll processing or review responsibilities shall have access. The records shall be retained in accordance with the document destruction guidelines contained in the program.

Records Retention Schedule (Document Destruction Guidelines)

Documents shall be stored as noted previously in this policy and shall be retained in accordance with the following schedule. Once documents have been retained beyond the period noted in this schedule they shall be destroyed in manner (shredding, burning, etc.) that assures confidential information is no longer available. When a third party destroys the documents MCCA shall obtain documentation that includes the inventory of documents destroyed and the manner in which they were destroyed.

Corporate Records

Article of Incorporation to Apply for Corporate Status	Permanent
IRS Form 1023 to File for Tax-exempt and/or Charitable Status	Permanent
Letter of Determination Granting Tax-exempt and/or Charitable Status	Permanent
Bylaws	Permanent
Board Policies	Permanent
Resolutions	Permanent
Board Meeting Minutes	Permanent
Sales Tax Exemption Documents	Permanent
Tax or Employee Identification Number Designation	Permanent
Annual Corporate Filings	Permanent
Annual Reports	Permanent
Correspondence (Legal)	Permanent
Licenses held by MCCA	10 years to Permanent
Affiliate Agreements	7 years
Conference Registration Forms	4 years
Correspondence (General)	3 years
Correspondence (Routine)	2 years

Financial Records

Chart of Accounts	Permanent
Fiscal Policies & Procedures	Permanent
Audits	Permanent
Financial Statements	Permanent
General Ledger/Journals	Permanent
Check Registers/Books	7 years
Business Expenses Documents	7 years
Bank Deposit Slips	7 years
Bank Statements/Reconciliations	7 years
Cancelled Checks	7 years
Invoices	7 years
Investment Records (Deposits, Earnings, Withdrawals)	7 years
Property/Asset Inventories	7 years
Notes Receivable Ledgers & Schedules	7 years
Sales Records	7 years
Subsidiary Ledgers	7 years
Purchase Orders	7 years
Journal Entries	5 years
Accounts Payable Ledgers & Schedules	5 years
Accounts Receivable Ledgers & Schedules	5 years
Petty Cash Receipts/Documents	3 years
Credit Card Receipts	3 years

Tax Records

Annual Tax Filing for the Organization (IRS Form 990 in the USA)	Permanent
Payroll Registers	Permanent
Depreciation Schedules	Permanent
Filings of Fees Paid to Professionals (IRS Form 1099 in the USA)	7 years
Payroll Tax Withholdings	7 years
Earnings Records	7 years
Payroll Tax Returns	7 years
W-2 Statements	7 years

Personnel Records

Employee Offer Letters	Permanent
Confirmation of Employment Letters	Permanent
Benefits Descriptions per Employee	Permanent
Pension Records	Permanent
Employee Applications and Resumes	7 years after termination
Promotions, Demotions, Letter of Reprimand, Termination	7 years after termination
Job Descriptions, Performance Goals	7 years after termination
Accident Reports/Claims (Settled Cases)	10 years
Disability Records	7 years
Personnel Policies	7 years
Workers' Compensation Records	5 years
Salary Ranges per Job Description	5 years
I-9 Forms	5 years after termination
Disclosure Forms (Conflict of Interest, etc.)	4 years
Time Reports	3 years after termination

Insurance Records

Property Insurance Policy	Permanent
Directors & Officers Insurance Policy	Permanent
Workers' Compensation Insurance Policy	Permanent
General Liability Insurance Policy	Permanent
Insurance Claims Applications	Permanent
Insurance Disbursements / Denials	Permanent
Physical Inventory Tags	3 years

Contracts

All Insurance Contracts	Permanent
Employee Contracts	Permanent
Construction Contracts	Permanent
Legal Correspondence	Permanent
Loan/Mortgage Contracts	Permanent
Leases/Deeds	Permanent
Vendor Contracts	7 years
Warranties	7 years
Government & Grant Contracts	3 years from final submission date

Donations/Funder Records

Grant Dispersal Contract	Permanent
Donor Lists	7 years
Grant Applications	7 years
Donor Acknowledgements	7 years

Management Plans and Procedures

Strategic Plans	7 years
Staffing, Programs, Marketing, Finance, Fundraising & Evaluation Plans	7 years
Vendor Contacts	7 years
Disaster Recovery Plan	7 years

8.7 CONFLICT OF INTEREST POLICY

A conflict of interest may occur when there is an actual or perceived benefit to an individual as a result of his or her actions or decisions. A conflict also occurs when an employee is in a position to influence a decision that may result in personal gain for that employee, relative, or acquaintance as a result of MCCA's business. For the purposes of this policy, a relative is any person who is related by blood or marriage, or whose relationship with the employee is similar to that of persons who are related by blood or marriage.

The following list some conflicts of interest:

- Having an ownership interest in a vendor's business with which MCCA conducts business.
- Making use of confidential information that benefits an individual employee or relative.
- Receiving product bonuses, gifts, special fringe benefits, unusual price breaks, remuneration, and other windfalls designed to ultimately benefit the employee.
- Promotional plans that could be interpreted to involve unusual gain require specific executive-level approval.

Conflict of interest does not necessarily preclude MCCA or an employee from doing business with a related party. However, if an employee has any influence on transactions involving purchases, contracts, or leases with a related party, it is imperative that he or she disclose to the Executive Director, as soon as possible, the existence of any actual or potential conflict of interest so that safeguards can be established to protect all parties. An employee who would be affected should not participate in any decision about transactions involving personal interests.

Personal gain may result not only in cases where an employee or relative has a significant ownership in a firm with which MCCA does business, but also when an employee or relative receives any payment, kickback, bribe, substantial gift, or special consideration as a result of any transaction or business dealings involving the organization.

The materials, products, designs, plans, ideas, and data of MCCA are the property of the organization and should never be given to an outside firm or individual except through normal channels and with appropriate authorization. Any improper transfer of material or disclosure of information, even though it is not apparent that an employee has personally gained by such action, constitutes unacceptable conduct. Any employee who participates in such a practice will be subject to disciplinary action, up to and including possible termination of employment or legal action.

Disclosure: All apparent conflicts of interest must be disclosed to the Executive Director for review and determination of whether a violation of this statement exists.

Complaints or Inquiries: All complaints or inquiries concerning possible violation of this Conflict of Interest Policy should immediately be reported to the Executive Director for review and a determination as to whether a violation of this Policy exists. Any determination by the Executive Director that a conflict exists may be forwarded to legal counsel.

Fraud: This policy also applies to fraud, or suspected fraud, involving employees, as well as outside consultants, contractors, and vendors who have business relationship with MCCA.

Through all levels of management, MCCA is responsible for the prevention and detection of fraud, misappropriation of funds, or any other deemed inappropriate conduct. Any case of fraud detected or suspected should be reported immediately to the Executive Director, who will initiate an investigation into the matter with law enforcement agencies as deemed necessary. Any individual found to have engaged in fraudulent activity will be subject to disciplinary action, which may include dismissal and/or prosecution by the appropriate authorities.

Definition: Fraud is herein defined as the use of dishonesty, deception, or false representation in order to gain a material advantage or to injure the interest of others. Examples include:

1. Forgery or alteration of any document or account belonging to MCCA.
2. Forgery or alteration of a check, bank draft, or any other financial document.
3. Misappropriation of funds, supplies, or other assets.
4. Impropriety in the handling or reporting of money or financial transactions resulting in the personal gain of any individual.
5. Disclosing confidential information to outside parties resulting in the personal gain of any individual.
6. Accepting or seeking material value from vendors, contractors, or other persons providing services/materials to MCCA.
7. Destruction, removal or inappropriate use of records, furniture, fixtures, and equipment resulting in the personal gain of any individual.
8. Authorizing or receiving compensation for hours not worked.

MCCA PERSONNEL POLICY HANDBOOK

*** * * Employee Acknowledgement and Agreement * * ***

I acknowledge that I have received a copy of the Maine County Commissioners Association (MCCA) Employee Handbook. I understand that this handbook replaces any and all prior verbal and written communications regarding MCCA working conditions, policies, procedures, appeal processes, and benefits.

I have read and understand the contents of this handbook and will act in accord with these policies and procedures as a condition of my employment with MCCA.

I have read and understand MCCA's **Code of Conduct, Code of Ethics, Conflict of Interest** and **Whistleblower policies**, and I agree to act in accord with each as a condition of my employment.

I understand that if I have questions or concerns at any time about the handbook or any of its content, I will consult the Human Resources Director for clarification.

I also acknowledge that the handbook contains an **employment-at-will** provision that states:

- Either MCCA or I can terminate my employment relationship at any time, with or without cause, and with or without notice;
- That this employment-at-will relationship is in effect regardless of any other written statements or policies contained in this handbook, in any other MCCA documents, or in any verbal statements to the contrary; and

Finally, I understand that the contents of this employee handbook are simply policies and guidelines, not a contract or implied contract with employees. The contents of the employee handbook may change at any time.

Please read this Handbook carefully to understand these conditions of employment before you sign this document.

EMPLOYEE'S NAME (printed)

EMPLOYEE'S SIGNATURE

DATE

Please sign and date one copy of this notice and give it to your supervisor or department manager by the time specified. You may wish to retain a copy for your reference.

**MAINE COUNTY COMMISSIONERS ASSOCIATION
FINANCIAL MANAGEMENT & INVESTMENT POLICY**

Be it hereby ordained that the Maine County Commissioners Association (MCCA) adopts the following Financial Management and Investment Policy described herein. *(This Policy excludes the funds of the MCCA Insurance Risk Pool which are set forth in a Policy adopted by the Risk Pool Board of Directors.)*

SECTION 1	FINANCIAL MANAGEMENT	Page 2
SECTION 2	INVESTMENT POLICY	Page 5
SECTION 3	FIXED ASSET POLICY	Page 9
SECTION 4	FUND BALANCE	Page 11

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

SECTION 1. FINANCIAL MANAGEMENT

I. Accounting System

- A. Maine County Commissioners Association (MCCA) management opposes fraud and supports the principles of open government and scrupulous financial management. Therefore, the MCCA utilizes a financial management system that upholds those standards.
- B. The MCCA has adopted the double-entry bookkeeping system. Every payment (debit) will have a second entry as a credit item, and records are maintained on *QuickBooks* accounting and payroll software.
- C. Staff is required to review any invoices incurred and approve that the work or item was satisfactorily received before any payment, or portion thereof, is made.
- D. The MCCA Executive Director shall review and approve all invoices for payment prior to their processing by the Administrative Assistant.
- E. All payroll checks shall be void if not cashed within 60 days of the date of issue.

II. Transactions

- A. All transactions are entered into the MCCA computer system.
- B. Two-party checks will not be accepted for any transaction.
- C. Post-dated checks will not be accepted.
- D. There shall be a \$15 charge for all checks returned to the MCCA for non-sufficient funds.
- E. Staff will attempt to limit the amount of available cash in “petty cash” to no more than \$200 throughout the work day. Cash in excess of \$200 will be locked in the safe until deposited in the bank.

III. Daily Cash-up Procedures

- A. At the end of each day, the appropriate balance shall be left in petty cash. An accounting of amounts withdrawn from petty cash shall be kept in the safe, which

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

states the date of the withdrawal, the purpose of the withdrawal, the name of the person or company, to which the withdrawal was paid, and the name and signature of the person who made the withdrawal.

- B. The Executive Director shall maintain all receipts for deposits in an appropriate location. The Administrative Assistant shall generate and maintain bookkeeping and accounting records.

IV. Proofing of Previous Day's Work

- A. From time to time, staff not involved with previous financial transactions and record-keeping will review previous work to ensure that all work was done properly and that the correct funds were collected. The staff member performing the proofing shall initial each category of work checked.
- B. A total of receipts shall be compared to audit reports to determine if the work is in balance. If the work does not match the reports, activities will be examined to identify the discrepancy.
- C. Any work found to be deficient should be forwarded to the person responsible for the transaction for corrective action.

V. Deposits & Banking

- A. It shall be the normal procedure to make a deposit of receipts at least once per week if payments are received.
- B. All deposits shall be accounted for on an individual deposit slip and made by the Executive Director.
- C. The Executive Director and MCCA Secretary-Treasurer shall be authorized to perform online banking functions, transfer funds between accounts as appropriate, and access bank statements, etc.
- D. If there is a discrepancy identified in the deposit while at the bank, the entire deposit shall be returned to the MCCA office for reconciliation.
- E. At least once a year, the Treasurer of the Board of Directors shall review a sample of bank deposit activity on bank statements to insure that deposits are timely and intact. This will help determine that the MCCA's policy is being followed.

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

VI. Customer Service Procedures

MCCA employees shall represent the MCCA in professional, courteous, and friendly manner in accordance with MCCA philosophy.

VII. Petty Cash Policy

- A. Petty Cash Fund. The Treasurer for the MCCA has established a petty cash fund of \$200. This fund is to be used to purchase small items without having to issue a check, or to reimburse employees or directors for out-of-pocket expenses incurred for approved purchases that do not require a purchase order under the MCCA Purchasing Policy. Those items may include, but are not limited to, postage required for mailing official MCCA letters and packages or purchasing hardware items, food for approved events, tolls, or other minor expenses authorized by the Executive Director.
- B. Replenishment of the Petty Cash Fund. This fund will be replenished when the cash balance is less than \$50. Replenishment of petty cash will be done in the following manner: valid receipts for expenses totaled and approved by the Executive Director; check issued for the total of those receipts and cashed at the MCCA's bank to replenish the petty cash fund.
- C. Oversight. As an internal control measure, this fund will be audited by a spot check method at any random time by the MCCA Executive Director or MCCA Treasurer. Staff may not audit their own work if the organization is to have effective internal control procedures.

VIII. Cash Reconciliation

- A. The Administrative Assistant is required to reconcile all accounts with the bank statement. Each month's reconciliation will be reviewed and signed off by the Executive Director and MCCA Treasurer to ensure proper accounting and bank balance.
- B. Each month, the Administrative Assistant shall prepare a monthly Cash Reconciliation statement and a monthly Financial Report of all financial activity for the previous month. The reports shall be presented to the MCCA Executive Director and Board of Directors no later than the Friday prior to the second Wednesday of each month.

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

SECTION 2. INVESTMENT POLICY

I. Policy

It is the policy of the MCCA to invest its county-generated public funds in a manner which will provide the highest investment return with maximum security while meeting the daily cash flow demands of the MCCA and conforming to all state statutes governing investment of public funds.

II. Scope

This investment policy applies to all financial assets of the MCCA. These funds are accounted for in the Maine County Commissioners Association Annual Financial Report and may include, but not be limited to the following:

General Fund with Annual Conference Funds Capital Funds Risk Pool Funds

III. Prudence

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion, and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital as well as the probable income to be derived.

The standard of prudence to be used by investment officials shall be the “prudent person” standard and shall be applied in the context of managing an overall portfolio. Investment officers acting in accordance with written procedures and the investment policy and exercising due diligence shall be relieved of personal responsibility for an individual security’s credit risk or market price changes, provided deviations from expectations are reported in a timely fashion and appropriate action is taken to control adverse developments.

IV. Objective

The primary objectives of the MCCA’s investment activities shall be:

- A. Safety. Safety of principal is the foremost objective of the investment program. Investments of the MCCA shall be undertaken in a manner that seeks to ensure the preservation of capital in the overall portfolio. To attain this objective, *diversification* is required in order that potential losses on individual securities do not

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

exceed the income generated from the remainder of the portfolio.

- B. Liquidity. The MCCA's investment portfolio will remain sufficiently liquid to enable the MCCA to meet all operating requirements, which might be reasonably anticipated.
- C. Return on Investments. The MCCA's investment portfolio shall be designed with the objective of attaining a rate of return throughout budgetary and economic cycles, commensurate with the MCCA's investment risk constraints and the cash flow characteristics of the portfolio.

V. Delegation of Authority

Authority to manage the MCCA's investment program is derived from Maine Statutes. Management responsibility for the investment program is hereby delegated to the MCCA Executive Director and the MCCA Executive Committee who shall be responsible for all transactions undertaken and establishing a system of controls to regulate the activities of subordinate officials.

VI. Ethics and Conflicts of Interest

Investment officials (MCCA Executive Director, MCCA Treasurer, Executive Committee, or Board of Directors) involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program or which could impair their ability to make impartial investment decisions; and investment officials shall disclose to the Board of Directors any material financial interests in financial institutions that conduct business within their jurisdiction; and they shall further disclose any large personal financial/investment positions that could be related to the performance of the MCCA.

VII. Authorized Financial Institutions

The MCCA Executive Director and Association Secretary-Treasurer shall deal with well-established financial institutions (banks, credit unions) or other recognized investment services. If the MCCA Executive Director desires, he/she should request a certified audit from any financial institution in which the MCCA invests.

VIII. Authorized & Suitable Investments

The MCCA Board of Directors desires that special care be taken to ensure that instruments of investment include only those allowed by law. Items such as, but not limited to the following, are acceptable instruments of investment: CDs, repurchase agreements, bank

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

savings accounts, U.S. Treasury securities, or investment accounts.

All of the funds in the custody of the MCCA must be fully insured in “Category 1” investments, either through FDIC insurance, perfected sureties or collateralization. When using collateralization as a method for securing MCCA monies, the MCCA will not engage in any measure less than perfected securities (bank securities and bonds to be held by a third party, in the MCCA’s name, to be turned over to the MCCA in the event of a bank failure.)

IX. Safekeeping and Custody

All investment transactions entered into by the MCCA Executive Director for the Maine County Commissioners Association shall be held in safe keeping and in certain instances based on the type of investment held by a third party designated by the MCCA Executive Director. The MCCA will diversify its investments by security type and investment vehicle. With the exception of U.S. Treasury securities and authorized pools, no more than 50% of the MCCA’s total investment portfolio will be invested in a single security type or with a single investment vehicle.

X. Maximum Maturities

To the extent possible, the MCCA will attempt to match its investments with anticipated cash flow requirements. Reserve funds or capital project funds may be invested in various securities for deferring time frames such that investments are made to coincide as nearly as practicable with the expected use of funds.

XI. Redemption

Upon maturity of investment instruments, or as required by the MCCA to meet its cash flow requirements, the MCCA Executive Director, or in her/his absence, the Secretary-Treasurer, shall redeem the investment securities so the proceeds of such investments shall be applied to the purpose for which the monies were originally designated or shall be placed in the MCCA Treasury. All monies from the redemption of investment instruments shall be transferred directly to an account of the MCCA.

XII. Internal Control

The MCCA Executive Director shall have an independent review by an external auditor in accordance with MCCA Bylaws. This review will ensure internal control by assuring compliance with policies and procedures and lawful investment of funds.

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

XIII. Performance Standards

The investment portfolio shall be designated with the objective of obtaining a rate of return throughout the budgetary process and economic cycles, commensurate with the investment risk constraints and the cash flow needs. The MCCA Executive Director shall randomly review market yields and determine appropriate investment strategy on current yields and considering future market trends.

XIV. Reporting

The Executive Director shall provide a clear and accurate picture of the status of the current investment portfolio. The Executive Director may randomly include other pertinent information in reference to investment strategies, economic conditions, or possible changes in the portfolio.

XV. Investment Policy Adoption

The MCCA Board of Directors shall adopt the investment policy. The MCCA Executive Director, Treasurer, and/or Board of Directors may review the adopted policy annually and make any modification thereto by majority vote of the Board of Directors. The investment policy, once adopted, shall remain in effect unless action is taken by the Board of Directors to amend the document, create a new policy, or cancel the existing investment policy.

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

SECTION 3. FIXED ASSET POLICY

I. Policy

This policy establishes the minimum cost value (capitalization amount) that shall be used to determine the capital assets, including infrastructure assets that are to be recorded in the MCCA's annual financial statements in order to comply with law and generally accepted accounting principles.

II. Capital Asset Definition

Capital Asset will be defined as tangible and intangible assets that have initial useful lives that extend beyond a single reporting period.

III. Capitalization Method

All Capital Assets will be recorded at historical costs as of the date acquired or constructed. If historical cost information is not available, assets will be recorded at estimated historical cost by calculating current replacement cost and deflating the cost using the appropriate price-level index.

IV. Capitalization Thresholds

Fixed Asset Limits:

- A. **Land.** All land and permanent rights to land (i.e., easements) shall be recorded without regard to significant value.
- B. **Buildings.** All buildings shall be recorded at acquisition cost without regard to significant value. Additions to buildings less than \$2,500 per building shall not be recorded.
- C. **Equipment.** Equipment costing \$5,000 and more shall be recorded as Fixed Assets. Additions to equipment costing \$5,000 or more shall be recorded as Fixed Assets.
- D. **Additional Fixed Assets.** Additional fixed assets shall be recorded and maintained when required by other terms or agreements, if different from what is stated above.
- E. **Items not classified as Fixed Assets.** Assets described above may be included in an inventory listing for internal control purposes.

MAINE COUNTY COMMISSIONERS ASSOCIATION FINANCIAL MANAGEMENT & INVESTMENT POLICY

V. Infrastructure Assets

In accordance with GASB Statement number 34, the MCCA will record, at minimum, “major” infrastructure assets as defined in Statement 34 that were acquired, constructed or significantly reconstructed, or that received significant improvements after June 30, 1980. Other infrastructure assets may be capitalized as deemed appropriate. The MCCA does not intend to use the “modified approach” to record infrastructure.

VI. Other Assets

Detailed records shall be maintained for all items below the capitalization thresholds that should be safeguarded from loss. These items will be part of the annual physical inventory discussed below. These items include computer equipment that falls below the established thresholds and any other asset specified by the MCCA Executive Director.

VII. Depreciation and Useful Life

Staff shall assign an estimated useful life to all assets for the purpose of recording depreciation. The attached “Suggested Useful Lives” schedule will be used to establish lives for most assets. Asset lives will be adjusted as necessary depending on the present condition and use of the asset and based on how long the asset is expected to meet current service demands. Adjustments should be properly documented. Depreciation will be recorded based on the straight-line method using the half-year convention and depreciation down to the assets salvage value.

VIII. Safeguarding and Controlling Fixed Assets

All machinery and equipment, vehicles and furniture will be assigned an asset number and identified with a fixed asset tag. As fixed assets are purchased or disposed of, the Executive Director or designee will prepare a fixed asset data sheet, which will then be properly recorded by the Administrative Assistant. A physical inventory will be taken annually on or about December 31 and compared to the physical inventory records. Appropriate adjustments will be made to the fixed asset records to reflect changes made the previous year.

**MAINE COUNTY COMMISSIONERS ASSOCIATION
FINANCIAL MANAGEMENT & INVESTMENT POLICY**

SECTION 4. FUND BALANCE

I. Purpose

Sufficient fund balance is required to maintain liquidity, assure positive cash flow, prevent borrowing through tax anticipation notes, and provides effective cash management. Fund balance is not completely represented by liquid assets, such as cash, but includes unrealized receivables and other assets as components which require a certain period of time to convert to cash. Because of these factors, the MCCA adopts this policy to maintain a healthy fund balance that will provide adequate funds to carry the MCCA through times of relatively low cash flow periods and provide funds for emergency situations.

II. Policy

The MCCA hereby establishes a policy that requires the MCCA to maintain a minimum undesignated fund balance equal to approximately three months expenditures.

III. Procedures & Oversight

The monthly balance sheet, bank statements, and financial reports will be used by the Treasurer, the MCCA Executive Director, and the Board of Directors to monitor the undesignated fund balance each month, noting that the fund balance will ebb and flow according to cash flow (dues payments or other revenue collection and expenditures.) An approximate idea of the fund balance will be known through the use of the aforementioned tools, but the actual year-end fund balance will finally be known upon the completion of the year-end audit. The Budget and Finance Committee must keep this policy in mind when developing the budget and its funding sources for each upcoming year.

Adopted this _____ day of _____, 20_____.

President

Vice-President

Secretary-Treasurer

Attest: _____
Rosemary E. Kulow, Executive Director

September 4, 2014 Draft

Maine County Commissioners Association Purchasing Policy

I. Purpose

The purpose of this policy is to establish purchasing procedures to be utilized by all Maine County Commissioners Association (MCCA) employees, as well as committees that receive budgetary appropriations from the MCCA.

It is the responsibility of the MCCA's employees and committees to purchase goods or services that provide the best value consistent with the needs of the MCCA. The goods and services shall be purchased within the restrictions of the budgeted funds available. Unless otherwise provided by law, the MCCA shall make purchases of goods or services as stated in this policy.

II. Purchases, Bids, Awards, and Contracts

- A. Purchases for goods or services which involve expenditures of less than \$1,000 may be made after the MCCA's Executive Director/Purchasing Agent or her/his designee has shopped for the best all-around price and quality for the product or service desired and approved by the Executive Director. Board and committee purchases must be approved by the board or committee chairperson and the MCCA Executive Director.
- B. Purchases from approved vendors "on account" must be approved in advance by the Executive Director when the cumulative monthly total will exceed \$500.
- C. Purchases for goods or services, which involve expenditures with a cumulative total of \$1,000 to \$5,000, may be made after at least three (3) recorded quotations are received and approved by the Executive Director. (See attached form.) The competitive bid process described below may also be used if the MCCA Executive Director or the Board of Directors determines that it is in the best interests of the MCCA for situations such as complex technical needs or services.
- D. The MCCA may accept contract pricing for goods or services; however, it is not obligated to purchase from a vendor who guarantees a rate if a lower price is available.
- E. The procurement of goods or services, which involves expenditures of more than \$5,000, must be done through a competitive bid process under the direction of the Executive Director.

III. Competitive Bid Process

- A. The MCCA Executive Director shall ensure that the invitation to bid includes:
 - 1. Specifications for the goods or services

Maine County Commissioners Association Purchasing Policy

2. Public notice given on the MCCA web site and in local newspapers as determined by the MCCA Executive Director.
 3. Statement that sealed bids will be accepted.
 4. Statement of the time and place of the public bid opening.
- B. Bids may be awarded to the lowest bidder who meets the specifications and submits proper insurance requirements, if applicable. However, if supporting information presented recommends another bid, the Board of Directors may award the bid to another bidder who better meets requirements. In any case, the Board of Directors shall make the final decision if supporting information justifies other than the low bid be awarded. The Board of Directors may reject any or all bids, if it deems it is in the best interest of the MCCA to do so.
- C. The Board of Directors may waive the competitive bid process when:
1. Emergencies or justifiable special circumstances require the timely procurement of goods or services;
 2. There is only one source of supplier; or
 3. The service or products are received through the state or other joint bid processes.

IV. Payment for Goods or Services

- A. Payment requests for any purchases of \$1,000 or *more* must include:
1. Requisition/Invoice signed as approved by Executive Director and MCCA Secretary-Treasurer;
 2. Account to be charged written on the Requisition Form; and
 3. Invoice.
- B. Payment requests for purchases *less* than \$1,000 must include:
- Invoice with the account to be charged written on the invoice and signed as approved by the Executive Director.
- C. Credit Card Purchases
- The MCCA Executive Director will be permitted to obtain a credit card in the Association's name in order to purchase items on-line when necessary. The credit card limit shall be \$2,500.

**Maine County Commissioners Association
Purchasing Policy**

V. Accounting for Purchases

- A. Posting of purchases to the appropriate budget line is required. If the purchase will create an overdraft position (negative balance) in the budget line, the purchase must be approved in advance by the MCCA Executive Director. The budget line may then be frozen to any additional purchases.
- B. Any purchase required as an operational necessity of the MCCA that will further overdraw a budget line must be approved in advance by the MCCA Executive Director.

VI. Amendments, State Laws and Limitations

- A. This policy may be changed by a vote of the Board of Directors from time to time.
- B. Any part of this policy is subject to present and future laws of the State of Maine that regulate governmental spending. Conflict between this policy and Maine law shall be resolved in favor of Maine law.

Adopted this _____ day of _____, 2014

Approved: _____
President, MCCA Board of Directors

Attest: _____
Executive Director

**Maine County Commissioners Association
Purchasing Policy**

REQUEST FOR QUOTATION

Date: _____

PURCHASE INFORMATION:

Vendor: _____ Amount: \$ _____

Item(s) purchased: _____

Account(s) to be charged: # _____ \$ _____

 # _____ \$ _____

 # _____ \$ _____

QUOTATIONS FOR PURCHASES

\$1,000 - \$5,000

Three (3) quotations must be recorded before the purchase order is authorized. Purchase order will not be processed without the following quotations.

VENDOR	PRICE
1. _____	\$ _____
2. _____	\$ _____
3. _____	\$ _____

MCCA Executive Director Authorization

Authorization: _____ Date: _____

Explanation for Vendor Selection: _____

**Maine County Commissioners Association
Purchasing Policy**

PURCHASE REQUISITION

MCCA Department: _____ Req. No. _____

MCCA Budgetary Account Number: _____

Company: _____
Address: _____

Quantity	Item Description	Unit Price	Total

Authorized by Executive Director

Date

M.C.C.A.

William Blodgett, President
Lincoln County

Peter Baldacci, Vice President
Penobscot County

Thomas Coward, Secretary-Treasurer
Cumberland County

Rosemary Kulow
Executive Director

Lauren Haven
Administrative Assistant



4 Gabriel Drive, Suite 2
Augusta, ME 04330
207-623-4697
www.mainecounties.org

MAINE COUNTY COMMISSIONERS ASSOCIATION

Executive Director's Report September 5, 2014

MCCA Budget & Finance Committee Meeting

At a conference call meeting held August 20th, the committee discussed the audit report and management letter comments and recommendations with the Executive Director. In attendance were the following committee members: Sagadahoc County Administrator, Pam Hile; President, Bill Blodgett; Aroostook County Commissioner, Norman Fournier; Knox County Commissioner, Roger Moody; and Executive Director, Rosemary Kulow.

I reported to the committee that no checks are hand-written now, as all are processed through the QuickBooks system. I also told members that checks exceeding \$5,000 will receive two signatures – one from the Executive Director and one from the MCCA Secretary-Treasurer or President. In addition, requests for reimbursement of the Executive Director's expenses are now reviewed and approved by the MCCA President prior to payment. I also reported to the committee that all requests for payment of credit card bills now have the appropriate receipts attached.

Regarding the issue of whether the Risk Pool should have a tax identification number separate from the MCCA, the committee instructed me to ask for an opinion from RKO, the accounting firm that audits the Risk Pool's financial books, before moving forward. I have since contacted RKO and received a recommendation to proceed with obtaining a new EIN for the Risk Pool. However, because of a question from a committee member, I reached out to the other state association executive directors in the country to ask them what *their* state associations do in regard to the EIN issue for their risk management pools. I will present the information I receive to the Budget and Finance Committee to allow it the opportunity to develop a recommendation for the Boards of Directors.

Concerning the recommendation about having written financial procedures and policies in place, I reported that I have developed a Financial Management & Investment Policy, a Purchasing Policy, and a Personnel Policy, which are currently under review by the MCCA Executive Committee. The full Board of Directors will have its first reading the policies in September.

The auditor mentioned that occasionally the fund balance in the MCCA bank account has approached the \$250,000 limit for coverage of the funds by insurance. He recommended that we investigate collateralization of amounts that exceed the \$250,000 limit, so I contacted and met with a Vice President of The Bank of Maine to do just that. Ted Scontras will investigate and develop an opinion whether collateralization or a Letter of Credit for the bank is the better way to insure MCCA's deposits that may exceed \$250,000 and report back to me. I will inform the Budget & Finance Committee of Mr. Scontras's recommendation.

Regarding the auditor's comment about bank reconciliations, they are done by the Administrative Assistant monthly, reviewed and approved by the Executive Director, and reviewed by the Board of Directors on a monthly basis.

In regard to RHR Smith's recommendation that MCCA seek non-profit status from the IRS, I reported to Ron Smith that MCCA has received legal opinions from two sources that state it is unnecessary for MCCA to establish a special kind of tax exempt status because it is an "arm" of the counties. I shared the more recent written legal opinion with Ron Smith, but he has not responded with a follow-up opinion. The committee asked me to find out if Mr. Smith agrees with the legal opinion if/when he responds to her; and if he does not agree, if he would provide his specific reasons in writing to MCCA explaining why he disagrees.

Board of Corrections Finance Committee

Upon completing its review and recommendations for FY16 & 17 jail budgets, the SBOC Finance Committee embarked on a process to develop rules needed to implement the financial aspects of Chapter 298 Public Law (formerly LD 1824). The committee's work is progressing nicely, and its recommendations will be presented to the SBOC in the near future.

Strategic Planning

The strategic planning retreat in New Harbor went very well, and a draft report is under development for consideration by the Strategic Planning Committee. The committee's next meeting is scheduled for September 10th after the regular MCCA Board of Directors' meeting. Once the committee has decided on performance measures and timelines, the draft report will again be presented to the Board of Directors for approval. After the Board approves the report, it goes before the full membership at the annual meeting in January for consideration and acceptance.

Annual MCCA Convention

A draft schedule of convention events appears on the MCCA website, as planning for the convention continues. To date, about 41% of estimated convention income has been received this year, and 17% of the budget has been expended. The planning committee continues to contact potential vendors and sponsors and firm up commitments with speakers and event providers. A full convention report will be presented to the MCCA Board of Directors by York County officials at the September 10th meeting.

Meetings/Events since August 21, 2014 BOD Meeting

Aug. 26 Convention Planning Committee meeting at MCCA office, Augusta
Aug. 28 BOC Finance Committee meeting at Tyson Building, Augusta
Sept. 2 Meeting with Ted Scontras of The Bank of Maine to discuss collateralization of funds
Sept. 4 MCCA Corrections Task Force meeting at MCCA office, Augusta
Sept. 9 Waldo County Commissioners' meeting in Belfast

Upcoming Planned Meetings/Events:

Sept. 10 MCCA Board meetings at MCCA office in Augusta
MCCA Strategic Planning Committee meeting at MCCA office in Augusta
Possible meeting of MCCA Budget & Finance Committee
Sept. 11 MCCA Annual Convention Planning Committee meeting at MCCA office in Augusta
Sept. 12 BOC Strategic Planning meeting at Cumberland County Building in Portland
Sept. 15 Dentist appointment in morning
Sept. 16 Piscataquis County Commissioners' meeting in Dover-Foxcroft
Sept. 18-22 Away for a brief visit with family in Wisconsin
Oct. 1 MMA Convention
4:30 p.m. – York County Commissioners' meeting in Alfred
Oct. 2 MMA Convention
Risk Pool training in Rockland, Knox County
Oct. 8 **No** MCCA meetings in Augusta
Oct. 10-12 MCCA Annual Convention/Board of Directors' meeting (Oct. 10) at Cliff House in Ogunquit

Respectfully submitted,

Rosemary E. Kulow, Executive Director

MAINE COUNTY COMMISSIONERS ASSOCIATION
August 2014 Financial Report

Attached please find the monthly financial reports for the month of August 2014. The Balance Sheet shows total assets and liabilities equaling \$171,332.43 that includes \$200 available in petty cash. Total debits to the bank account for the month of August equaled \$15,351.94, and the bank balance on August 31st was \$174,303.04.

With 67% of the year complete, the report shows that \$185,148 (73.3%) of the \$252,650 budgeted revenue has been received, and \$135,293 (53.5%) has been expended year-to-date. A total of \$15,351.94, or 6%, of the total budget was expended in August. Annual Convention revenue received through August totaled \$18,819 (38% of total expected), and expenses related to the Convention as of August 31st were \$5,932 (17.2% of budgeted).

All budgetary accounts, except for 6175-00 *Other Meeting Expense*, are well within budget, and there are no areas of concern at this time.

Please do not hesitate to let me know if you have any questions.

Respectfully submitted,

Rosemary E. Kulow
Executive Director

Accepted by:

William Blodgett, President

Peter Baldacci, Vice-President

Thomas Coward, Secretary-Treasurer

Date: _____

Maine County Commissioners Association
Balance Sheet (accrual)
 As of August 31, 2014

	<u>Aug 31, 2014</u>
ASSETS	
Current Assets	
Checking/Savings	
MCCA Checking-Savings Bank	171,317.63
Petty Cash Account	200.00
Total Checking/Savings	<u>171,517.63</u>
Accounts Receivable	
Receivables	-185.20
Total Accounts Receivable	<u>-185.20</u>
Total Current Assets	<u>171,332.43</u>
TOTAL ASSETS	<u><u>171,332.43</u></u>
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
Accounts Payable	-682.49
Total Accounts Payable	<u>-682.49</u>
Other Current Liabilities	
1000-00 · Employee Health Insurance Contr	-2,666.41
1001-00 · MainePERS Employee Contribution	14.04
Total Other Current Liabilities	<u>-2,652.37</u>
Total Current Liabilities	<u>-3,334.86</u>
Total Liabilities	-3,334.86
Equity	
3200-00 · Fund Balance to Current Yr Inc	-59,216.00
3900-00 · Earnings	184,024.87
Net Income	49,858.42
Total Equity	<u>174,667.29</u>
TOTAL LIABILITIES & EQUITY	<u><u>171,332.43</u></u>

Maine County Commissioners Association
Profit & Loss Budget vs. Actual
January through August 2014

	2014 Budget	August 2014	Jan-Aug 2014	\$ Over Budget	% of Budget
Income					
4100-00 · Convention Income					
4120-00 · Registration	40,000	11,224	11,224	-28,776	28%
4130-00 · Sponsorship	9,000	2,680	2,680	-6,320	30%
4140-00 · Vendor/Exhibitor		4,915	4,915		
Total 4100-00 · Convention Income	49,000	18,819	18,819	-30,181	38%
4200-00 · Meeting Income			65		
4300-00 · Dues	140,240		140,240		100%
4400-00 · Other Income	250		492	242	197%
4500-00 · NACo Roster	750		500	-250	67%
4600-00 · MCCA Risk Pool Assesssment	25,000		25,000		100%
4810-00 · Interest Earned	30	4	32	2	107%
4920-00 · Transfer in from Fund Balance	37,380			-37,380	
Total Income	252,650	18,823	185,148	-67,502	73%
Gross Profit	252,650	18,823	185,148	-67,502	73%
Expense					
5000-00 · Payroll Expenses					
5020-00 · Payroll Fees	1,700	136	1,123	-577	66%
5030-00 · FICA	8,000	573	4,770	-3,230	60%
5040-00 · MainePERS-EE Contributions	975			-975	
5050-00 · Salary - Administrative Asst	35,000	2,692	22,558	-12,442	64%
5060-00 · Salary - Executive Director	72,000	5,538	46,654	-25,346	65%
5070-00 · IRS			572		
Total 5000-00 · Payroll Expenses	117,675	8,939	75,677	-41,998	64%
5100-00 · Insurance					
5110-00 · Health Insurance	19,000	735	10,083	-8,917	53%
5120-00 · Commercial, Crime, D&O Ins	2,000	171	1,788	-212	89%
5130-00 · Workers Comp	850		558	-292	66%
5140-00 · Unemployment Comp Ins	500		351	-149	70%
Total 5100-00 · Insurance	22,350	564	12,780	-9,570	57%
6010-00 · Prof. Services					
6011-00 · Prof Services-Bookkeeping	500			-500	
6012-00 · Prof Services - Legal Services	1,000			-1,000	
6013-00 · Financial Audit	3,600		3,600		100%
Total 6010-00 · Prof. Services	5,100		3,600	-1,500	71%

Maine County Commissioners Association
Profit & Loss Budget vs. Actual
January through August 2014

	2014 Budget	August 2014	Jan-Aug 2014	\$ Over Budget	% of Budget
6030-00 · Lobbying					
6031-00 · Lobbying Reg	400			-400	
6030-00 · Lobbying - Other	4,500			-4,500	
Total 6030-00 · Lobbying	4,900			-4,900	
6040-00 · NACO Expenses					
6041-00 · NACo Conference	12,500	2,329	7,754	-4,746	62%
6042-00 · NACo Database work	250			-250	
Total 6040-00 · NACO Expenses	12,750	2,329	7,754	-4,996	61%
6050-00 · Education and Training	1,500		138	-1,362	9%
6100-00 · Bank Charges	100	2	5	-95	5%
6110-00 · Convention Exp.					
6113-00 · Entertainment/Speakers	5,000			-5,000	
6114-00 · Executive Director - Conv Reg	1,000	472	672	-328	67%
6118-00 · Meeting Exp.	25,500	13	5,260	-20,240	21%
6121-00 · Supplies	3,000			-3,000	
Total 6110-00 · Convention Exp.	34,500	485	5,932	-28,568	17%
6135-00 · Commissioner Retirement Plaques	500			-500	
6140-00 · Copies-Printing					
6142-00 · Directory	1,000		739	-261	74%
6143-00 · Other Copying or Printing	250			-250	
Total 6140-00 · Copies-Printing	1,250		739	-511	59%
6145-00 · Dues Expense	1,500		1,300	-200	87%
6150-00 · Equipment - Office					
6151-00 · Computer Hardware & Software	2,000		700	-1,300	35%
6152-00 · IT Services	3,000	275	2,160	-840	72%
6153-00 · Photocopier Lease	1,800	164	1,150	-650	64%
6154-00 · Printer & Supplies	1,500	33	1,099	-401	73%
6155-00 · Telephone System	500		93	-407	19%
6156-00 · Other			40		
6150-00 · Equipment - Office - Other	2,000		127	-1,873	6%
Total 6150-00 · Equipment - Office	10,800	472	5,369	-5,431	50%
6160-00 · Fees	150		86	-64	57%
6170-00 · Meeting exp.					
6171-00 · Annual Meeting	1,500		907	-593	60%

Maine County Commissioners Association
Profit & Loss Budget vs. Actual
January through August 2014

	2014 Budget	August 2014	Jan-Aug 2014	\$ Over Budget	% of Budget
6172-00 · County Officials' Workshop	250			-250	
6173-00 · Monthly	3,000	25	1,764	-1,236	59%
6174-00 · Retreat Meeting		50	150		
6175-00 · Meetings - Other	300		724	424	241%
6170-00 · Meeting exp. - Other			45		
Total 6170-00 · Meeting exp.	5,050	75	3,590	-1,460	71%
6180-00 · Mileage & Travel Expense	5,000	836	2,415	-2,585	48%
6195-00 · Office Space Rental	17,100	1,382	11,056	-6,044	65%
6215-00 · Postage-Shpping	500	49	150	-350	30%
6230-00 · Advertising	2,000		500	-1,500	25%
6235-00 · Supplies	4,300	135	1,020	-3,280	24%
6240-00 · Telephone, Fax & Internet					
6241-00 · Cell Phone	1,675	225	947	-728	57%
6242-00 · Conference Call Line	100			-100	
6243-00 · Phone, Fax & Internet	3,600	165	2,235	-1,365	62%
Total 6240-00 · Telephone, Fax & Internet	5,375	390	3,182	-2,193	59%
6250-00 · Website	250			-250	
Total Expense	252,650	14,542	135,293	-117,357	54%
		4,281	49,855	49,855	100%

Maine County Commissioners Association **Expenses by Vendor Detail** **August 2014**

	Date	Memo	Account	Amount
2014 Convention of Maine Counties				
	8/12	Registration for Rosi & Lauren	6114-00 · Executive Director - Conv Reg	472.00
Total 2014 Convention of Maine Counties				472.00
Bangor Payroll				
	8/8	Administrative Assistant Salary	5050-00 · Salary - Administrative Asst	673.08
	8/8	Taxes	5030-00 · FICA	138.40
	8/8	Processing fee	5020-00 · Payroll Fees	32.00
	8/8	Executive Directors Salary	5060-00 · Salary - Executive Director	1,384.62
	8/8	EE deductions for health Insurance	5110-00 · Health Insurance	-248.50
	8/15	Administrative Assistant Salary	5050-00 · Salary - Administrative Asst	673.08
	8/15	Taxes	5030-00 · FICA	138.40
	8/15	Processing fee	5020-00 · Payroll Fees	32.00
	8/15	Executive Directors Salary	5060-00 · Salary - Executive Director	1,384.62
	8/15	EE deductions for health Insurance	5110-00 · Health Insurance	-248.50
	8/22	Administrative Assistant Salary	5050-00 · Salary - Administrative Asst	673.08
	8/22	Taxes	5030-00 · FICA	138.40
	8/22	Processing fee	5020-00 · Payroll Fees	32.00
	8/22	Executive Directors Salary	5060-00 · Salary - Executive Director	1,384.62
	8/22	EE deductions for health Insurance	5110-00 · Health Insurance	-248.50
	8/29	Administrative Assistant Salary	5050-00 · Salary - Administrative Asst	673.08
	8/29	Taxes	5030-00 · FICA	158.22
	8/29	Processing fee	5020-00 · Payroll Fees	40.00
	8/29	Executive Directors Salary	5060-00 · Salary - Executive Director	1,384.62
	8/29	EE deductions for health Insurance	5110-00 · Health Insurance	10.62
Total Bangor Payroll				8,205.34
Bank of Maine				
	8/12	Walmart	6235-00 · Supplies	59.73
	8/12	NACo Conference	6041-00 · NACo Conference	1,083.20
	8/12	Convention Planning Mtg	6118-00 · Meeting Exp.	13.48
	8/12	Toner for ED Printer	6154-00 · Printer & Supplies	32.69
	8/12	Interest Charge	6160-00 · Fees	12.01
Total Bank of Maine				1,201.11
Bristol Area Lions Club				
	8/20	Strategic Planning Retreat	6174-00 · Retreat Meeting	150.00
	8/26	Deposit Returned	6174-00 · Retreat Meeting	-100.00
Total Bristol Area Lions Club				50.00
Capitol Computers				
	8/12	Cloud Backup	6152-00 · IT Services	25.00
	8/12	IT Services	6152-00 · IT Services	250.00
Total Capitol Computers				275.00
Haven, Lauren				
	8/26	Cell Phone Reimbursement	6241-00 · Cell Phone	75.00
	8/26	Mileage	6180-00 · Mileage & Travel Expense	17.97
	8/26	BOD July Meeting	6173-00 · Monthly	25.39

Maine County Commissioners Association
Expenses by Vendor Detail
August 2014

	Date	Memo	Account	Amount
	8/26	Office Supplies	6235-00 · Supplies	15.97
	8/26	Stamps	6215-00 · Postage-Shpping	49.00
Total Haven, Lauren				183.33
Kulow, Rosemary				
	8/26	Executive Director Mileage	6180-00 · Mileage & Travel Expense	170.01
	8/26	Cell Phone Reimbursement	6241-00 · Cell Phone	150.00
Total Kulow, Rosemary				320.01
Liberty Mutual Insurance				
	8/12	Commercial Package: Terrorism Risk In	5120-00 · Commercial, Crime, D&O Ins	171.25
Total Liberty Mutual Insurance				171.25
Maine Farm Bureau Building Association				
	8/26	Rent	6195-00 · Office Space Rental	1,382.00
Total Maine Farm Bureau Building Association				1,382.00
Penobscot County Treasurer				
	8/26	NACo Conference Expenses for Peter I	6041-00 · NACo Conference	1,246.20
	8/26	Travel Expenses for Comm. Baldacci	6180-00 · Mileage & Travel Expense	648.00
Total Penobscot County Treasurer				1,894.20
Staples Credit Plan				
	8/26	Office Supplies	6235-00 · Supplies	59.21
Total Staples Credit Plan				59.21
				14,213.45

10:48 AM
09/03/14

Maine County Commissioners Association
Reconciliation Summary
MCCA Checking-Savings Bank, Period Ending 08/31/2014

	<u>Aug 31, 2014</u>
Beginning Balance	170,732.23
Cleared Transactions	
Checks and Payments - 15 items	-15,351.94
Deposits and Credits - 8 items	18,922.75
Total Cleared Transactions	<u>3,570.81</u>
Cleared Balance	<u><u>174,303.04</u></u>
Uncleared Transactions	
Checks and Payments - 4 items	-3,485.41
Total Uncleared Transactions	<u>-3,485.41</u>
Register Balance as of 08/31/2014	<u><u>170,817.63</u></u>
Ending Balance	170,817.63

10:50 AM
09/03/14

Maine County Commissioners Association
Reconciliation Detail
MCCA Checking-Savings Bank, Period Ending 08/31/2014

	<u>Date</u>	<u>Num</u>	<u>Name</u>	<u>Amount</u>	<u>Balance</u>
Beginning Balance					170,732.23
Cleared Transactions					
Checks and Payments - 15 items					
	7/25	3400	Maine Farm Bureau Building Assoc	-1,382.00	-1,382.00
	7/25	3399	Transco Business Technologies	-144.44	-1,526.44
	8/5	3403	Time Warner Cable	-164.70	-1,691.14
	8/5	3404	Gorham Leasing Group	-164.35	-1,855.49
	8/8		Bangor Payroll	-1,794.41	-3,649.90
	8/12	3405	Bank of Maine	-1,201.11	-4,851.01
	8/12	3407	2014 Convention of Maine Counties	-472.00	-5,323.01
	8/12	3408	Capitol Computers	-275.00	-5,598.01
	8/12	3406	Liberty Mutual Insurance	-171.25	-5,769.26
	8/15		Bangor Payroll	-1,835.56	-7,604.82
	8/22		Bangor Payroll	-1,835.56	-9,440.38
	8/27	3411	Kulow, Rosemary	-320.01	-9,760.39
	8/27	3413	Haven, Lauren	-183.33	-9,943.72
	8/29		Bangor Payroll	-5,406.22	-15,349.94
	8/31			-2.00	-15,351.94
Total Checks and Payments				-15,351.94	-15,351.94
Deposits and Credits - 8 items					
	8/1			394.00	394.00
	8/6			682.00	1,076.00
	8/12			575.00	1,651.00
	8/18			4,934.00	6,585.00
	8/22			5,690.00	12,275.00
	8/26			100.00	12,375.00
	8/26			6,544.00	18,919.00
	8/31			3.75	18,922.75
Total Deposits and Credits				18,922.75	18,922.75
Total Cleared Transactions				3,570.81	3,570.81
Cleared Balance				3,570.81	174,303.04
Uncleared Transactions					
Checks and Payments - 4 items					
	8/20	3409	Bristol Area Lions Club	-150.00	-150.00
	8/27	3414	Penobscot County Treasurer	-1,894.20	-2,044.20
	8/27	3410	Maine Farm Bureau Building Assoc	-1,382.00	-3,426.20
	8/27	3412	Staples Credit Plan	-59.21	-3,485.41
Total Checks and Payments				-3,485.41	-3,485.41

10:50 AM
09/03/14

Maine County Commissioners Association
Reconciliation Detail
MCCA Checking-Savings Bank, Period Ending 08/31/2014

	<u>Date</u>	<u>Num</u>	<u>Name</u>	<u>Amount</u>	<u>Balance</u>
Total Uncleared Transactions				-3,485.41	-3,485.41
Register Balance as of 08/31/2014				85.40	170,817.63
Ending Balance				85.40	170,817.63

M.C.C.A.

William Blodgett, President
Lincoln County

Peter Baldacci, Vice-President
Penobscot County

Thomas Coward, Secretary-Treasurer
Cumberland County

Rosemary Kulow
Executive Director

Lauren Haven
Administrative Assistant



4 Gabriel Drive, Suite 2
Augusta, ME 04330
207-623-4697
www.mainecounties.org

MCCA Strategic Planning Retreat 10:00 a.m., August 21, 2014

I. Welcome, Introductions and Opening Remarks

President William Blodgett welcomed everyone and announced the facilitator, Leigh Tillman. Attendees introduced themselves.

DIRECTORS PRESENT: *Androscoggin* – Comm. Beth Bell; *Aroostook* – Comm. Norman Fournier; *Cumberland* – Comm. Tom Coward; *Franklin* – Comm. Gary McGrane; *Hancock* – Comm. Steve Joy; *Knox* – Comm. Roger Moody; *Lincoln* – Comm. William Blodgett; *Oxford* – Admin. Scott Cole; *Penobscot* – Comm. Peter Baldacci; *Sagadahoc* – Admin. Pam Hile; *Somerset* – Comm. Robin Frost; *Waldo* – Comm. Amy Fowler; *Washington* – County Manager Betsy Fitzgerald; *MACCAM* - Bill Collins

OTHER MANAGERS/ADMINISTRATORS PRESENT: *Cumberland* – Assistant Manager Bill Whitten; *Kennebec* – Comm. Nancy Rines

STAFF PRESENT: Executive Director Rosemary Kulow, Risk Pool Manager Malcolm Ulmer, and Administrative Assistant Lauren Haven.

II. About the Meeting

Facilitator, Leigh Tillman, reviewed the agenda (please see appendix) and the following ground rules for the meeting.

Ground Rules:

- Balance discussion depth and time management
- 80% is agreement

- Share the time—hands to speak
- Stay on topic
- Listen to and respect different views
- Neutral facilitation

This meeting was designed for the Maine County Commissioners Association Strategic Planning Retreat to accomplish the following objectives:

- To review work done to date in the Strategic Planning Process
- To obtain input from the group and adapt the plan based on this input
- To come to agreement on the plan and the process going forward

To help ensure an efficient and effective process, the meeting was professionally facilitated by Leigh Tillman (leightillmanfacilitation.wordpress.com).

III. Presentation of Draft Strategic Plan

Rosemary Kulow, Executive Director of MCCA presented background on the strategic planning process and accomplishments of the organization to date. For example, MCCA has moved from an organization administered by a contracted firm, to one that employs its own staff for administrative and advocacy functions. Establishing this type of organization is a significant achievement; and as a result, MCCA is recognized as the primary voice for Maine county government at the Maine Legislature. MCCA's credibility is enhanced by the changes it has made. Secondly, MCCA is now seeking more non-dues revenue via NACo programs that will help fund operations and programs for its member counties. It is also doing more to educate the public about its activities and the activities of Maine counties through its website and monthly newsletter. MCCA's Risk Pool Management program continues to provide excellent insurance programs for its members; and by providing high quality training, it is reducing the liabilities counties face in providing their services.

Rosemary explained who is on the Strategic Planning Committee and what steps have led to this meeting. The group referred to the two past strategic plans from 2010 and 2007 and looked at the categories that were slated for discussion at this meeting: Annual Convention, Corrections (Jails), Education & Professional Development; Fiscal Management & Cooperative Services; Intergovernmental Relations among Counties and with the State, Municipalities, & the Public; Legislative Policy Development & Advocacy; and Programs & Services.

IV. Our Goals: Refining and Prioritizing

As a group we went through each planning category using the following process to amend and approve each goal:

1. Chairperson read and explained what was written.
2. The group asked the chairperson questions and clarifications.
3. The group discussed, amended, and added as we saw fit.
4. Then we prioritized the list under each category.
5. We reviewed and agreed upon the revised goal category.

Below are the revised goal categories with comments from our discussion and details of what was agreed upon under each.

A. Programs and Services

Commissioner Gary McGrane

MCCA GOALS 2015-2220

1. Insurance (c.)/risk management services (a.)
2. Convention and meeting planning (a.)
3. County Directory (a.)
4. Education & training services (a.)
5. State and Federal legislative relations (a.)
6. Information sharing and promotion of counties (a.)
7. Connection to NACo and utilization of NACo information and services (a.)
8. Data base management (b.)
9. Computer technology support (c.)
10. Online library for documents and resources (b.)
11. Legal services (c.)
12. Human Resources services (c.)
13. Joint purchasing program (c.)
14. Grant writing & management (c.)
15. Other new programs as appropriate (c.)

Comments

- 15 Counties have joined NACo; convince Piscataquis to join.
- A common database would be very beneficial. Typically, data that is kept by counties individually is difficult, if not impossible, to access. Information could be collected and made available for everyone's benefit.
- MCCA staff should concentrate on projects that benefit all sixteen counties.

Agreement

- Three categories were designated to label the listed items:
(a.) maintain and improve upon (b.) move toward (c.) investigate
- Each number was discussed and labeled as (a.), (b.) or (c.).

B. Corrections (Jails)

Commissioner Tom Coward

MCCA GOALS 2015-2220

1. Work with the State Board of Corrections (BOC), MSA, and County Sheriffs to realize an effective and efficient county correctional system that promotes public safety.
 - a.) **Continue to** work with the BOC to implement the provisions of LD 1824.
 - b.) Work with county sheriffs, **sheriff deputies, and MSA** to promote uniform standards of professionalism in law enforcement and create a cooperative, efficient, safe, and well-resourced and well managed system of county correctional facilities.
 - c.) Develop a joint task force comprised of county commissioners, county sheriffs, county managers/administrators, and jail administrators to proactively identify and work on corrections issues and identify key areas where new legislation might be needed to address problems.
 - d.) Work with and educate Legislators to procure adequate funding for the county jail system.
2. Continue to work with the MCCA Risk Pool and others to provide quality training to staff to reduce liability in county jails.
3. Envision how the county correctional system might look in ten years, and identify steps MCCA should take to meet anticipated needs.

Comments

- Number one is already in effect. Number two is a short-term attainable goal. Number three is the potential long-term goal.
- There are three types of correction systems we need to address: new jails, status quo jails and holding areas. Each of these types has different issues.
- Funding is always a major concern.
- Some commissioners would prefer to return to the way it was.
- Not all the counties are united in their thinking.
- The Standards Committee has a subcommittee working on these issues.

Agreement

- In 1. The group agreed to add "MSA" to BOC and County Sheriffs.
- In a. the group decided to add "continue to" work with the BOC.
- In b. we added, "sheriff deputies, and MSA" to promote uniform standards...
- In 2. it was agreed to take out, "mishaps and" liability in county jails.

C. Fiscal Management & Cooperative Services

Assistant Manager Bill Whitten

MCCA GOALS 2015-2220

1. Follow standards developed by the Board of Corrections (BOC) for all jails, such as the following:
 - a. Make proper use of budget/finance standards as set forth.
 - b. Follow guidelines for standards of process, employment, necessary personnel, and other areas.
 - c. Provide necessary budgets and reports on time and in standardized format.
 - d. Agree to follow guidelines as set forth and comply with requests of BOC.
 - e. Evaluate the number and make-up of jails.
2. **Work toward** a standardized format for budgeting and reporting statewide for all county functions **by investigating, exploring and analyzing** as with the jail system.
3. Whenever possible, look for ways to consolidate services among counties and/or municipalities.
4. Combine leadership duties **within or between counties** when beneficial – i.e., EMA directors and other non-elected positions, as well as share personnel in general methods of daily business activity **overlapping counties**.
5. Work toward greater efficiencies in emergency communications, combining operations whenever feasible and beneficial.
6. Create buying groups for bulk purchases such as radios, vehicles, drugs for jails, computer material, fuel, etc.
7. Establish regional county groups to meet quarterly to discuss common goals and means of working together; provide similar services at lower cost and better delivery on a regional basis.
 - a. Continue to work with municipalities to combine services, such as assessing, dispatch, mutual aid, sheriff contract for services, as well as others, combining efforts, saving taxpayer funds, and improving services by working together.
 - b. MCCA will provide information about and seek federal and state grants that provide “start-up” funding for programs or services and/or fund new concepts, programs and initiatives.
 - c. All counties will foster relations with their legislative delegations and present common goals and interests via email, meetings, and general communications.
 - d. Increase and support professionalism in management of county government operations.

Comments

- 5. There are 27 facilities, we might consider consolidating.
- 7. a. municipalities have proven to be difficult to work with.
- 7. MCCA should concentrate on networking.
- 7. c. We should convey the positions we take as an organization, but also as individual counties. MCCA could set up meetings.

Agreement

- 2. The group agreed to take out, “Over a five-year period”, change “attempt” to “work toward”, and add, “by investigating, exploring and analyzing” before “as with the jail system”.
- 4. We added, “within or between counties” when beneficial... and added, “overlapping counties” at the end of the sentence.

(The group broke for lunch at noon and reconvened at approximately 1:30 to complete the remainder of the meeting.)

D. Education & Professional Development

Commissioner Bill Blodgett

MCCA GOALS 2015-2220

1. Develop, institute, and work according to a code of ethics.
2. Discuss development and adoption of county charters; support professional administration and management of county board policies and governmental operations.
3. Conduct annual commissioner and employee training that includes, but is not limited to: newly elected commissioner orientation and training, newly elected/appointed department head training, safety factors and other required training, budgeting (county and jails), county charters, jail operations, effective meeting management, ethics, FOAA, goal-setting, technology and the use of social media, and labor laws. Also sponsor get-togethers for newly elected state legislators and county officials within two months of elections.
4. Continue to provide continuing risk management education to jails personnel to improve operations and reduce county liability.
5. Provide information and public education about county extension programs (brochures, web links, newsletters, etc.) that will help counties promote their programs. Utilize educational courses offered by the Maine Municipal Association whenever appropriate. Develop a brochure template for use by counties: “Who counties are and what counties do.” Support expansion of County Extension courses in farming, business, gardening, and soils management. Consolidate vocational education and adult education; collaborate more with community colleges for programs and services.
6. Sponsor public forums around the state and educate the public and municipalities about county government at municipal meetings.
7. Sponsor training about best practices of activities in each county department area.
8. Offer and coordinate opportunities for internships in county government.
9. Utilize webinars and conference calling whenever possible.

Comments

- Some newly elected official trainings may occur at the convention, which is good timing as commissioners have a few months of on-the-job training at that point, but there also should be educational opportunities offered within the first few months.
- The trainings should focus on county officials and more specifically, commissioners.
- 10. Is referring to the County Extension, which is part of the Maine University system per a 100-year-old statute.

Agreement

- The group agreed to combine numbers 3 & 8, and take out, “seminars” as it would be redundant.
- The group decided to combine numbers 5, 9, 10, 11 and 14 due to their similar nature.

E. Legislative Policy Development & Advocacy

Administrator Pam Hile

MCCA GOALS 2015-2220

1. Maintain a comprehensive and robust advocacy role in state and federal legislative, administrative and regulatory processes.
 - a. Build an ongoing, strong legislative program for working with legislators and legislative leadership, **informing them of** County issues and encouraging them to hear our concerns. Periodically, host legislative forums.
 - b. Make more effective use of the National Association of Counties (NACo).
 - c. Aggressively represent MCCA’s positions to the Legislature with written/oral testimony and vigorous lobbying efforts.
 - d. Encourage Commissioners/County staff to assist with lobbying efforts.
 - e. Coordinate with affiliate groups to make certain we are working as a team.
 - f. Develop a reciprocal lobbying relationship with other organizations, such as NACo and MMA and cultivate where there is common ground.
2. Strengthen the role of Legislative Policy Committee.
 - a. Stay abreast of legislative developments early in the process, carefully evaluating proposed legislation and sending synopses to membership in a timely manner so that we may be included in developing legislative solutions. **The goal is to be more proactive. Weekly conference calls should continue.**

- b. Establish a more representative LPC with a member from each county so that **every county** has a voice.
- c. The LPC should meet prior to the start of the legislative season not only to review the LD list, but also to proactively identify possible legislation **and help in the development process.**

Comments

- Number one supports the language in the Intergovernmental Relations section.
- Because counties never fully agree, the Association should speak to the position and to the minority viewpoint as well.
- The Friday LPC conference call should be continued. This supports 1. d.
- The LPC could make recommendations to the Board of Directors.
- 2. d. There is a concern that by revising or taking out legislative language, counties may unintentionally lose power.
- The timing is an issue with new legislation; however, the LPC should be as prepared as possible and proactive.

Agreement

- 1. a. The group agreed to replace, “educating them on” with, “informing them of”.
- In 1. f. the phrase was added, “cultivate where there is common ground.”
- In 2. a. the sentences were added, “The goal is to be more proactive.”, and “Weekly conference calls should continue.”
- In 2. b. the word, “everyone” was changed to, “every county”.
- It was decided to delete 2. d. and add to 2. c. “and help in the development process.”

F. Intergovernmental Relations among Counties and with the State, Municipalities, & the Public *Commissioner Roger Moody* MCCA GOALS 2015-2220

1. Improve Communications

- a. Raise awareness of how county government works: to other counties, to municipalities, to the State, and to the general public. Promote understanding and appreciation of county government via newsletters, web site, county government recognition days, radio ads, etc.
- b. Build intergovernmental bridges to achieve success; relationships and responsiveness are key. Attend municipal government meetings to share information and invite questions.
- c. Technology: make greater use of videoconferencing to broaden stakeholder involvement.

2. Increase Inter-County Cooperation
 - a. Encourage greater cooperation, coordination, and information sharing among counties.
 - b. Promote counties working together on joint programs.
3. Increase County/Municipal Cooperation
 - a. Encourage counties to routinely work with municipalities for economies of scale and efficient delivery of services.
 - b. Promote county delivery of services to municipalities, such as law enforcement, economic development, assessing, and assessment boards of appeals.
 - c. Spend time relating to municipalities and supporting services; listen to stakeholders.
4. Improve County/State Relationships
 - a. Get to know and work with Legislators.
 - b. Hold MCCA Board/Legislator forums to explain county concerns.
5. Expand and improve relations with and utilize services of the Maine Municipal Association (MMA) & the National Association of Counties (NACo)
 - a. Become involved with MMA and NACo programs, as eligible and appropriate.
 - b. Coordinate with NACo and MMA concerning legislation of mutual interest or concern.
 - c. Provide commissioners with more information about services available from NACo.

Comments

- Many of these coincide with other elements, but that simply fortifies the ideas and the need to continue in that direction.
- We should look for more representation at Board of Directors meetings.

Agreement

6. The group agreed to move 6. to 5. c.

G. Annual Convention

Commissioner Steve Joy

MCCA GOALS 2015-2220

1. MCCA should be the sponsor of the convention, with assistance from the host county. Venues change annually, and the county in which the convention is held can assist with some of the planning, but MCCA staff and the convention planning committee should take the lead with more of a team effort among all three.
2. Provide networking and training opportunities, as well as opportunities to learn about innovative programs and services for county government.

3. Provide opportunities to meet and vote on MCCA policies.
4. Provide continuing educational sessions for affiliate groups and opportunities for them to meet.
5. Recognize the contributions of those who have contributed to county government, especially those retiring from county government service.
6. Foster socialization and relationship building.
7. Provide more educational content. One free afternoon during the convention is fine, but would prefer to have additional educational sessions during the other afternoon.
8. MMA should be invited to participate in the MCCA Convention and MCCA should participate in the MMA Convention. Sites in the Augusta area could be explored, but the convention should continue to be held in alternating counties. The goal would be to increase MMA/MCCA partnerships and increase the participation of county employees by taking advantage of convention training and education sessions. Areas of EMA, RCCs, and public safety would have real potential for common training and building county-municipal relationships.
9. MCCA should develop and monitor budget categories for the Annual Convention.
10. MCCA should coordinate planning efforts with host counties and planning committee by scheduling meetings, sending out agendas, keeping minutes, hosting meetings, executing contracts, collecting revenue, paying bills, scouting facilities, keeping supplies and records, helping with set-up, contacting participants and vendors, etc.
11. MCCA should oversee accounting and keep the books.
12. MCCA should evaluate whether to work with MMA on joint programs at conventions.

Comments

- The MCCA's increased involvement would make it easier to pursue three-year contracts for a long term cost savings to the organization.
- Car dealerships are another untapped source for vendors, advertisers and sponsorships.
- It might be prudent to look into a professional sponsor consultant who would work on commission.

Agreement

- Previously numbered six was moved to first priority and the wording was revised.
- 8. The group agreed to omit the phrases "overlapping with the MMA Convention" and "teaming up with MMA for convention training", adding participation in both events.

- 12. The wording was changed from, “MCCA should work with MMA to provide joint programs at conventions”, to “MCCA should evaluate whether to work with MMA on joint programs at conventions.”

V. Review Next Steps

The group came up with the following next steps toward finalizing and adopting the Strategic Plan:

- Lauren Haven, MCCA Administrative Assistant with the assistance of facilitator, Leigh Tillman, drew up a Complete Report of the meeting to document discussion comments, revisions made, and action steps.
- Next the Strategic Planning Committee will review the revised plan and add performance measures and timelines.
- The Strategic Plan will be presented by the Committee to the Board of Directors for approval.
- Upon approval, the Strategic Plan will be presented for adoption at the next annual meeting in January 2015.

VI. Closing Comments

Each person made a brief closing comment. Many thanked Leigh for her assistance. Comm. Fournier believed we should revisit the Strategic Plan in less than five years. Comm. McGrane expressed the importance of remembering what the organization has accomplished as we go forward.

Participants completed evaluation forms and the meeting adjourned at 3:00 pm.

Respectfully submitted,

MCCA Administrative Assistant, Lauren Haven

Appendix.

Maine County Commissioners Association Strategic Planning Retreat Agenda

Prepared by Leigh Tillman
August 21st, 2014, Lion's Club, Bristol

Objectives for the Meeting

This meeting is designed for the Maine County Commissioners Association Strategic Planning Retreat to accomplish the following objectives:

- To review work done to date in the Strategic Planning Process
- To obtain input from the group and adapt the plan based on this input
- To come to agreement on the plan and the process going forward

Agenda

10:00	Welcome and Introductions Bill Blodgett, Board President
10:05	About the Meeting Facilitator, Leigh Tillman, will review the agenda and the ground rules for the meeting.
10:15	Presentation of Draft Strategic Plan Rosemary Kulow, Executive Director, MCCA will present background on the strategic planning process and accomplishments to date. There will be time for clarifications, questions, and comments.
10:45	Our Goals: Refining and Prioritizing We will break into groups based on the seven goal areas. Each group will discuss one of the goals, amend and prioritize and prepare for reporting back to the whole group.
12:00	Lunch
1:30	Breakout Group Reports and Agreement on Revised Goals We will hear a brief report on the work done by each group and then as a whole group we will come to agreement on a plan going forward.
2:35	Review Next Steps We will review any next steps generated during the meeting.
2:50	Closing Comments Each person will have an opportunity to make a brief closing comment, perhaps a reflection about the meeting or about the process going forward.
3:00	Adjourn