



3 Executive Limitations

Rev Date : Rev No : Ref No
2/3/2016 2 63457

The CEO shall not cause or allow any practice, activity, decision or organizational circumstance which is either imprudent, unlawful, in violation of commonly accepted business and professional ethics or in violation of the Agrology Profession Act.

3.1 Treatment of Employees and Volunteers

Rev Date : Rev No : Ref No
6/16/2010 2 24606

The CEO shall not cause or allow working conditions for staff or volunteers that are unfair, undignified, unsafe, disorganized, or unclear.

Further, without limiting the scope of the above statement by the following list, the CEO:

3.1.1 Written HR Policies

Rev Date : Rev No : Ref No
12/10/2014 3 56008

Shall not allow staff to be without up to date written, enforced human resource policies and procedures that clarify expectations and working conditions for staff, provide for effective handling of grievances, and protect against wrongful conditions.

3.1.1.1 Harrassment Exposure

Rev Date : Rev No : Ref No
12/10/2014 2 56008

Shall not permit staff to be without adequate protection from harassment.

3.1.1.2 Staff Performance Standards

Rev Date : Rev No : Ref No
9/29/2008 1 10574

Shall not permit staff members to be uninformed of the performance standards by which they will be assessed.

3.1.2 Expression of Dissent

Rev Date : Rev No : Ref No
9/29/2008 1 10575

Shall not retaliate against any staff member for non-disruptive expression of dissent.

3.1.3 Informing Staff

Rev Date : Rev No : Ref No
12/10/2014 3 56008

Shall not fail to acquaint staff with the CEO's interpretation of their protections under this policy.

3.1.4 Emergency Preparedness

Rev Date : Rev No : Ref No
9/29/2008 1 10577

Shall not allow staff to be unprepared to deal with emergency situations.

3.2 Planning

Rev Date : Rev No : Ref No
1/22/2015 2 55583

The CEO shall not permit planning that allocates resources in a way that deviates materially from Council stated Ends priorities, that risks fiscal jeopardy, or that does not enable the longer-term ability of the organization to achieve Ends. Further to the above statement, the CEO:

Rev Date : Rev No : Ref No
12/10/2014 2 55584

3.2.1 Multi-year Plan

Shall not operate without a written, multi-year strategy that can be expected to achieve a reasonable interpretation of the Ends.

Rev Date : Rev No : Ref No
12/10/2014 3 55584

3.2.1.1 Justified Assumptions

Shall not permit planning that does not explain and justify assumptions, and identify relevant environmental factors.

Rev Date : Rev No : Ref No
12/10/2014 1 55584

3.2.2 Budget Derived From Plan

Shall not permit budgeting for any fiscal period or the remaining part of any fiscal period that is not derived from the multi-year plan.

Rev Date : Rev No : Ref No
12/10/2014 2 55584

3.2.3 Credible Projections

Shall not permit financial planning that omits credible projection of revenues and expenses, separation of capital and operational items, cash flow projections, and disclosure of planning assumptions.

Rev Date : Rev No : Ref No
1/21/2009 2 12824

3.2.4 Expenditure of Funds

Shall not plan the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period.

Rev Date : Rev No : Ref No
2/3/2016 2 63458

3.2.5 Council Expenses

Shall not permit financial planning that does not provide the amount determined annually by the Council for Council's direct use during the year.

Rev Date : Rev No : Ref No
12/10/2014 2 55584

3.2.6 Future Fiscal Soundness and Capacity

Shall not permit planning that endangers the fiscal soundness of future years or ignores the building of organizational capability sufficient to achieve ends in future years.

Rev Date : Rev No : Ref No
12/10/2014 3 55584

3.2.6.1 Succession Planning

Operate without succession planning processes in place to facilitate smooth operations during key personnel transitions and ensure competent operation of the organization in all areas over the long term.

Rev Date : Rev No : Ref No
12/10/2014 3 55584

3.2.6.2 Emergency CEO Succession

Permit the organization to be without sufficient organizational capacity and current information about CEO and Council issues and processes for the competent operation of the organization to continue in the event of sudden loss of CEO services.

Rev Date : Rev No : Ref No
2/4/2014 2 49844

3.2.7 Planning for Financial Condition

The CEO shall not allow planning that risks any situation or condition described as unacceptable in the "Financial Condition" policies.

3.3 Financial Condition

Rev Date : Rev No : Ref No
9/29/2008 1 10618

With respect to the actual ongoing financial conditions and activities, the CEO shall not cause or allow the development of fiscal jeopardy or a material deviation of actual expenditures from Council priorities reflected in the ENDS policies.

3.3.1 Funds Management

Rev Date : Rev No : Ref No
10/1/2009 2 17824

Shall not expend more funds than have been received in the fiscal year to date unless the debt guideline below is met.

3.3.1.1 Borrowing Guidelines

Rev Date : Rev No : Ref No
2/8/2012 3 35594

Shall not borrow more than 10% of current year's budgeted revenues for more than 60 days to cover operating expenses.

3.3.2 Timely Debt Settlement

Rev Date : Rev No : Ref No
9/29/2008 1 10625

Shall not allow the untimely payment of payroll and debts.

3.3.3 Accounts Receivable Collection

Rev Date : Rev No : Ref No
9/29/2008 1 10626

Shall not allow the collection of accounts receivable to be undertaken in an untimely manner.

3.3.4 Government Payments

Rev Date : Rev No : Ref No
9/29/2008 1 10627

Shall not allow tax payments or other government ordered payments or reports to be overdue or inaccurately filed.

3.3.5 Restricted Reserve Fund Management

Rev Date : Rev No : Ref No
2/4/2014 4 49845

The CEO shall not use council-designated reserves for other than their intended purposes, nor permit them to fall below the minimum levels specified in Council policy. Where council has allowed a fund to fall below the minimum levels specified in council policy, the CEO shall not allow an annual growth of less than \$30,000.00 for the respective fund.

3.4 Asset Protection

Rev Date : Rev No : Ref No
9/29/2008 1 10632

The CEO shall not allow assets to be unprotected, inadequately maintained or unnecessarily risked.

Further to the above statement, the CEO:

3.4.1 Insurance

Rev Date : Rev No : Ref No
9/29/2008 1 10633

Shall not permit the organization to be without insurance against theft, fire and casualty losses to at least 100 percent replacement value, and against liability to Council Members, staff and individuals engaged in activities on behalf of the organization or the organization itself in an amount comparable to the average for similar organizations.

Rev Date : Rev No : Ref No

3.4.2 Liability Claims

6/16/2010 2 24606

Shall not unnecessarily expose the Alberta Institute of Agrologists, its Council Members or staff to claims of liability.

3.4.3 Personnel Fund Access

Rev Date : Rev No : Ref No
10/1/2009 2 17830

Shall not allow un-bonded or uninsured personnel access to material amounts of funds.

3.4.4 Controls on Funds

Rev Date : Rev No : Ref No
9/29/2008 1 10638

Shall not receive, process or disburse funds under controls insufficient to meet the Council-appointed auditor's standards.

3.4.4.1 Internal Controls

Rev Date : Rev No : Ref No
12/10/2014 1 55586

Shall not receive, process or disburse the organization's assets under internal controls insufficient to detect, deter and prevent fraud or insufficient to prevent and detect significant deficiencies or material weaknesses.

3.4.5 Maintenance

Rev Date : Rev No : Ref No
9/29/2008 1 10639

Shall not cause or allow offices and equipment to be subjected to improper wear and tear or insufficient maintenance.

3.4.6 Purchasing Criteria

Rev Date : Rev No : Ref No
12/10/2014 3 55587

Shall not make purchases that result in an inappropriate level of quality, after-purchase service and value for dollar, and opportunity for fair competition.

3.4.6.1 Purchasing Conflicts of Interest

Rev Date : Rev No : Ref No
9/29/2008 1 10641

Shall not make any purchase wherein normally prudent protection has not been given against conflict of interest.

3.4.6.2 Comparative Purchase

Rev Date : Rev No : Ref No
7/22/2010 2 25373

Shall not make any purchase over \$35,000.00 without a formal tendering process.

3.4.6.3 Capital Expenditures

Rev Date : Rev No : Ref No
7/22/2010 1 25373

Shall not make any capital expenditure greater than \$5,000.00 that was not included in the initial budget for the year, or shall not exceed the original budget cost for a capital purchase by more than 25%.

3.4.7 Intellectual Property Loss

Rev Date : Rev No : Ref No
9/29/2008 1 10642

Shall not allow intellectual property, information and files to be exposed to loss or significant damage.

3.4.7.1 Disaster Planning

Rev Date : Rev No : Ref No
9/29/2008 1 10643

Shall not be without documented and tested back-up and recovery plans.

Rev Date : Rev No : Ref No

3.4.8 Operating Capital Risks

9/29/2008 1 10645

Shall not invest or hold operating capital in insecure instruments, including uninsured chequing accounts and bonds of less than AA rating, or in non-interest bearing accounts except where necessary to facilitate ease in operational transactions.

3.4.8.1 Investment Limitations

Rev Date : Rev No : Ref No
9/29/2008 2 55587

Shall not make investments in speculative securities such as but not limited to mortgages, equities, real estate holdings, foreign investments, derivative securities, futures and options.

3.4.8.2 Invest For Cash Flow

Rev Date : Rev No : Ref No
9/29/2008 2 55587

Shall not invest in a manner that does not provide for the necessary operational cash flow.

3.4.9 Property Limitations

Rev Date : Rev No : Ref No
12/10/2014 2 55587

Shall not acquire, encumber or dispose of land or buildings unless approved by Council.

3.4.10 Public Image

Rev Date : Rev No : Ref No
9/29/2008 1 10635

Shall not endanger the organization's public image or credibility

3.4.11 Signing Authority

Rev Date : Rev No : Ref No
12/10/2014 2 55587

Shall not allow the organization to be without appropriately qualified designated administrative signing authorities.

3.5 Treatment of Members & Public

Rev Date : Rev No : Ref No
12/10/2014 2 55895

With respect to interactions with members, or the public, the CEO shall not cause or allow conditions, procedures, or decisions which are unsafe, disrespectful, undignified, unnecessarily intrusive, or that are inconsistent with enforcement of the Act regulating Agrologists, Regulations under the Act, and any further Council interpretation of the Act in its Bylaws or Policies.

Further to the above statement, the CEO:

3.5.1 Confidentiality

Rev Date : Rev No : Ref No
12/10/2014 3 55895

Shall not permit violation of member or public confidentiality and privacy, except where specific disclosure is required by legislation.

3.5.1.1 Information Necessity

Rev Date : Rev No : Ref No
12/10/2014 1 55895

Shall not use forms or procedures that elicit information for which there is no clear necessity.

3.5.1.2 Information Protection

Rev Date : Rev No : Ref No
12/10/2014 1 55895

Shall not use methods of collecting, reviewing, transmitting or storing member information that inadequately protect against improper access to, use of, or disposal of the information elicited other than information on the public register.

3.5.2 Complaint Handling

Rev Date : Rev No : Ref No
12/10/2014 2 55896

Shall not permit unfair, inconsistent, disrespectful or untimely response to individual and group comments and complaint.

3.5.2.1 Member Appeals

Rev Date : Rev No : Ref No
12/10/2014 2 55896

Shall not allow members to be without an appeal process if those members believe that they have not been accorded a reasonable interpretation of their rights.

3.5.3 Statutory Committees

Rev Date : Rev No : Ref No
12/10/2014 1 55897

Shall not allow the organization to be without all Statutory Committees required in legislation, or permit those Committees to operate inconsistently with requirements of the legislation.

3.5.4 Member Communications

Rev Date : Rev No : Ref No
12/10/2014 2 55897

Shall not permit members to be without easy access to clear information about the privileges and responsibilities of membership.
Shall not let members be unaware of the status of accomplishment of Council defined Ends.

3.5.5 Award Changes

Rev Date : Rev No : Ref No
12/10/2014 2 55897

Shall not create new awards or change the criteria for existing awards without Council approval.

3.5.6 Award Recipient Selection

Rev Date : Rev No : Ref No
12/10/2014 2 55897

Shall not permit selection of award recipients other than by an impartial group of peers, at arms-length from both staff and Council.

3.5.7 Award Nominees

Rev Date : Rev No : Ref No
12/10/2014 2 55897

Shall not notify nominees selected for awards prior to Council's formal approval on the Required Approvals Agenda.

3.5.8 Network and Branch Treatment

Rev Date : Rev No : Ref No
12/10/2014 2 55898

Shall not permit unfair or inconsistent treatment of branches in allocating available resources.

3.5.9 Procedural Fairness

Rev Date : Rev No : Ref No
12/10/2014 1 55898

Shall not apply the legislation regulating agrologists in a manner inconsistent with due process and the duty of procedural fairness.

3.6 Compensation and Benefits

Rev Date : Rev No : Ref No
6/25/2010 3 24819

With respect to employment, compensation and benefits to employees, consultants, contract workers and volunteers, the CEO shall not cause or allow jeopardy to fiscal integrity or public image.

Rev Date : Rev No : Ref No

3.6.1 CEO Compensation Changes

6/25/2010 2 24819

The CEO shall not change his/her own compensation and benefits.

Rev Date : Rev No : Ref No

3.6.2 Staff Recruitment

12/10/2014 4 55899

Shall not permit unfair or non-transparent staff recruitment processes.

Rev Date : Rev No : Ref No

3.6.3 Market Value Compensation

12/10/2014 3 55899

Shall not establish compensation and benefits that are inconsistent with recent salary and benefit surveys within the Alberta labour market.

Rev Date : Rev No : Ref No

3.6.4 Long Term Obligations

6/25/2010 2 24819

The CEO shall not create obligations over a longer term than revenues can be safely projected.

Rev Date : Rev No : Ref No

3.6.5 Pension Benefits

8/24/2011 2 32368

The CEO shall not establish pension benefits.

Rev Date : Rev No : Ref No

3.7 Communication & Support to Council

12/10/2014 4 55899

The CEO shall not permit Council to be uninformed or unsupported in its work. Further to the above statement, the CEO:

Rev Date : Rev No : Ref No

3.7.1 Decision Information

12/10/2014 1 55900

Shall not allow Council to be without decision information to support informed Council choices, including relevant environmental scanning data, a representative range of staff and external points of view, significant issues or changes within the community or in government policy which may have a bearing on any existing Council policies.

Rev Date : Rev No : Ref No

3.7.2 Monitoring Data

12/10/2014 4 55900

Shall not let Council be without monitoring data as required by the policy on Monitoring Executive Performance in a timely, accurate and understandable fashion, including specific CEO interpretations that include rationale, and evidence of compliance.

Rev Date : Rev No : Ref No

3.7.3 Reporting Non-compliance

6/1/2016 4 63991

Shall not let Council be unaware of any actual or anticipated non-compliance with any policy of Council, regardless of Council's monitoring schedule and advise council of non-compliance as soon as awareness occurs. Council is to be advised of the previous year's financial position prior to AGM.

Rev Date : Rev No : Ref No

3.7.4 Incidental Information

12/10/2014 3 55900

Shall not let Council be unaware of any incidental information it requires, including anticipated adverse media coverage, lawsuits against the organization, publicly visible external and internal changes or events, including changes in executive personnel, major contracts or contracts with high public visibility.

3.7.5 Format of Information

Rev Date : Rev No : Ref No
12/10/2014 1 55901

Shall not present information in an untimely manner, in unnecessarily complex or lengthy form, or in a form that does not clearly differentiate among monitoring, decision-making.

3.7.6 Council Policy Compliance

Rev Date : Rev No : Ref No
2/5/2015 3 55901

Shall not let Council be unaware if, in the CEO's opinion, Council is not in compliance with its own policies on Governance Process and Council-CEO Relationship, particularly in the case of Council behaviour which is detrimental to the work relationship between Council and the CEO.

3.8 Not Impede Council

Rev Date : Rev No : Ref No
12/10/2014 1 55902

Shall not misrepresent Council's processes and role, or impede its lawful obligations.

3.8.1 Information Provision

Rev Date : Rev No : Ref No
12/10/2014 1 55902

Shall not deal with Council in a way that favours or privileges certain Council members over others, except when (a) fulfilling individual requests for information or (b) responding to officers or committees duly charged by the Council.

3.8.2 Required Approval Agenda Items

Rev Date : Rev No : Ref No
12/10/2014 1 55902

Shall not neglect to supply for the Required Approval Agenda all items delegated to the CEO, yet required by law or contract to be Council-approved, along with the monitoring assurance pertaining to the item(s).

3.8.3 Administrative Support

Rev Date : Rev No : Ref No
12/10/2014 1 55902

Shall not allow Council to be without reasonable administrative support for Council activities.

3.8.4 Council Communications

Rev Date : Rev No : Ref No
12/10/2014 1 55902

Shall not allow Council to be without a workable, user-friendly mechanism for official Council, officer or Council committee communications.

3.8.5 Council Secretary

Rev Date : Rev No : Ref No
12/10/2014 1 55902

Shall not allow Council to be without Council Secretary services that meet all legal requirements and ensure the integrity of the Council's documents.

3.9 AIA Branches and Networks

Rev Date : Rev No : Ref No
12/10/2014 3 55904

In order to provide Institute members with the opportunity to engage in activities that support Institute Ends, the CEO shall not permit AIA Branches and Networks to be without reasonable support to operate in a manner consistent with Article XVI of the Bylaws.

Further to the above statement, the CEO:

3.9.1 Branches and Networks Operating Guidelines

Rev Date : Rev No : Ref No
12/10/2014 3 55904

Shall not permit members to be without clear and transparent guidelines for the establishment, operations, reporting, funding and dissolution of Branches and Networks.

3.9.2 Safeguards

Rev Date : Rev No : Ref No
12/10/2014 4 55904

Shall not be without appropriate safeguards regarding the stewardship of Branch and Network resources, including funds, potential liability, Institute image, and member data.

3.9.3 Branch and Network Communications

Rev Date : Rev No : Ref No
1/22/2014 3 32368

The CEO shall ensure that all members have reasonable access to information about branches and networks and their activities, the intended formation of any new Branch or Network and the process of becoming a member of a Branch or Network.

3.9.4 Branches and Networks Activity

Rev Date : Rev No : Ref No
12/10/2014 4 55905

Shall not let Council be unaware if a Branch or Network is inactive or dysfunctional.

3.10 Development of Standards Governing Practice

Rev Date : Rev No : Ref No
12/10/2014 3 55905

The CEO shall not develop or change standards governing the practice of agrology that cannot be adequately defended, or are inconsistent with the legislated mandate of the AIA.

Further to the above statement, the CEO:

3.10.1 External Perspectives

Rev Date : Rev No : Ref No
12/10/2014 2 55905

Shall not develop standards that would interfere with the ability of the profession to work productively with other professions with which it is important to maintain productive relations, unless it is necessary to protect the public interest.

3.10.2 Ignoring Profession Input

Rev Date : Rev No : Ref No
12/10/2014 1 55936

Shall not develop standards that would not take into consideration the opinions from members.

3.10.3 Legal Compliance & Validation

Rev Date : Rev No : Ref No
12/10/2014 4 55905

Shall not develop standards without consulting legal advice.

3.10.4 Issue Disclosure

Rev Date : Rev No : Ref No
12/10/2014 2 55905

Shall not let Council be unaware if there are contentious issues related to standards.

3.10.5 Formal Approval

Rev Date : Rev No : Ref No
12/10/2014 3 55906

Shall not release new or amended standards prior to Council's formal approval on the Required Approvals Agenda.

3.11 Public Positions

Rev Date : Rev No : Ref No
12/10/2014 3 55937

The CEO shall not allow the Institute to develop public positions that are outside of the regulatory mandate defined by the Agrology Profession Act, Regulations and Bylaws, that damage the Institute's credibility, or that cannot be adequately defended.

3.12 Release Prior to Monitoring

Rev Date : Rev No : Ref No
12/10/2014 1 55937

Shall not publicly release a Position Statement prior to Council having opportunity to monitor it on the Required Approvals Agenda.

3.13 Amendment of Act Regulations & Bylaws

Rev Date : Rev No : Ref No
12/10/2014 2 55937

When preparing options for Council's decisions regarding amendment of the Act regulating Agrologists, Regulations under the Act or Council Bylaws, the CEO shall not interfere with Council's legislated responsibilities.

Further to the above statement, the CEO:

3.13.1 Council Involvement

Rev Date : Rev No : Ref No
12/10/2014 2 55937

Shall not develop Bylaws, or propose amendments to the Act or Regulations without Council's prior approval.

3.13.2 Legal Advice

Rev Date : Rev No : Ref No
9/29/2008 1 10602

Shall not allow Council to be without appropriate legal advice where required.

3.13.3 Content Consistency

Rev Date : Rev No : Ref No
12/10/2014 2 55937

Shall not develop bylaws for Council's approval inconsistent with the legislation.

3.13.4 Change & Obstacle Disclosure

Rev Date : Rev No : Ref No
9/29/2008 1 10604

Shall not let Council be unaware if there are any changes in the assumptions under which the initial position was developed, or if there are legal or governmental obstacles to proceeding with that position.

3.13.5 Member Feedback

Rev Date : Rev No : Ref No
12/10/2014 2 55938

Shall not present changes to Council for final decision prior to providing Council with member feedback.

3.13.6 Final Wording Approval

Rev Date : Rev No : Ref No
12/10/2014 2 55939

Shall not submit the final version of proposed amendments for the Act, Regulations to the government, nor proposed amendments to Bylaws to the membership, prior to Council approval.

3.13.7 Cumulative Record

Rev Date : Rev No : Ref No
12/10/2014 2 55952

Shall not neglect to maintain a cumulative record of Council decisions regarding positions during development or amendment of the Act or Regulations, available to Council at each meeting.

3.14 Fees

Rev Date : Rev No : Ref No
9/29/2008 1 10607

The CEO shall not cause or allow unfair or inconsistent administration of fees to members.

Further, without limiting the scope of the above statement by the following list, the CEO:

3.14.1 Membership Fee Changes

Shall not change membership fees without approval of council.

Rev Date : Rev No : Ref No
9/29/2008 1 10608
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3.14.2 Maximum Fees

Shall not recommend administrative fees above the amount needed to recover costs.

Rev Date : Rev No : Ref No
12/10/2014 2 56007
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3.14.3 Fee Change Notice Period

Shall not change fees with less than 60 days notice to members.

Rev Date : Rev No : Ref No
9/29/2008 1 10611
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