



# Assurances

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August 24, 2017

Dear \_\_\_\_\_,

As you're aware, our many grants are conditional. Some of those conditions include annual policy acknowledgement statements from board members. Please help us comply with those terms by signing the attached statements. After signing, you may leave them with one of our staff.

Thank you,

Kathy Payne  
Executive Director

Enclosures:

1. Code of Ethics
2. Confidentiality Statement
3. Conflict of Interest Statement
4. Tripartite Profile (if new board member)



## Principles of Ethical Conduct

for Board of Directors of  
Yadkin Valley Economic Development District, Inc.

**According to the Panel on the Nonprofit Sector’s “Principles for Good Governance and Ethical Practice”:** Each organization should have a code of ethics that outlines the practices and behaviors that its staff, board, and volunteers agree to follow. The adoption of such a code, though not required by law, helps demonstrate the organization’s commitment to carry out its responsibilities ethically and effectively.

As members of the Board of Directors of the Yadkin Valley Economic Development District, Incorporated (hereinafter “YVEDDI”), we assume a public trust and recognize the importance of high ethical standards within the organization we lead. In order to adhere to the high ethical standards, we, the Board of Directors, acknowledge that we owe YVEDDI a duty of care and a duty of loyalty. The duty of care is manifested by our promise to commit ourselves to be well informed about the organization and to use our best judgment when exercising our authority to make decisions on behalf of YVEDDI. The duty of loyalty requires that we always act in the best interests of YVEDDI.

Essential values and ethical behaviors we should exemplify in order to maintain high ethical standards and promote the mission of YVEDDI include:

- Excellence – Committed to high quality results
- Innovation – Embrace new ideas to further the mission
- Integrity – Commitment beyond the law (honesty and fairness in all encounters)
- Accountability – Good stewardship of assets and respect for the community’s trust
- Collegiality – Respect for the value and dignity of all individuals

In keeping with these values, and to assist in fulfilling our responsibilities to the individuals and communities we serve, each member of the Board of Directors subscribe to the following principles:

1. I will conduct myself in a manner that upholds the integrity of the YVEDDI and merits the trust and support of the public.
2. I will uphold all applicable laws and regulations, going beyond the letter of the law to protect and/or enhance YVEDDI’s ability to accomplish its mission.
3. I will abide by the YVEDDI Board Bylaws.
4. I will treat others in a courteous, equitable, and respectful manner.
5. I will be a responsible steward of YVEDDI’s resources.
6. I will take no actions that could benefit me personally at the unwarranted expense of YVEDDI and I will uphold YVEDDI’s Conflict of Interest Statement.
7. I promise to uphold and adhere to YVEDDI’s Confidentiality Statement.
8. I will exercise prudence in the expenses I charge to YVEDDI.
9. I will carefully consider the public perception of my personal and professional actions and the effect my actions could have, positively or negatively, on YVEDDI’s reputation in my community and elsewhere.
10. I will strive for personal and professional growth to improve my effectiveness as a YVEDDI board member.
11. I will report any issue of fraud, theft, harassment, waste, and/or abuse to the Chairman of the Board of Directors. In the event that the Chairman is unavailable, issues of fraud, theft, harassment, waste or abuse should be reported to the Vice-Chairman of the Board of Directors.

Typed/Printed Name YVEDDI Board Member:	
Signature:	
Date:	

P. O. BOX 309  
BOONVILLE, NC 27011



## CONFIDENTIALITY STATEMENT

As an attendee at the Yadkin Valley Economic Development District, Inc. Board of Directors' meetings, Committee meetings, and other functions/activities/meetings where I serve as a representative of the Yadkin Valley Economic Development District, Inc., I will respect the dignity and privacy of all people. I agree to demonstrate these values by keeping all personal information pertaining to individuals, families, and staff confidential.

I understand that in doing so, I will be upholding the integrity and ethics of Yadkin Valley Economic Development District, Inc.

This statement shall appear on each sign-in sheet for Board of Directors' meetings, Committee meetings, and any other meeting where I serve as a representative of YVEDDI.

Typed/Printed Name YVEDDI Board Member:	
Signature:	
Date	



## CONFLICT OF INTEREST STATEMENT

The Yadkin Valley Economic Development District, Inc. has adopted the following policy as it pertains to Conflict of Interest:

- A. A conflict of interest is defined as an actual or perceived interest by a (staff member/ Board member) in an action that results in, or has the appearance of resulting in, personal, organizational, or professional gain. A conflict of interest occurs when an employee/ Board member has a direct or fiduciary interest in another relationship.
- B. All Board members shall avoid conflicts of interest and any appearance of impropriety. Should instances arise when a conflict of interest may be perceived, any individual who may benefit directly or indirectly from YVEDDI's disbursement of funds shall abstain from participating in any decision or deliberation by YVEDDI regarding the disbursement of funds.
- C. Members of the YVEDDI Board of Directors, in performance of YVEDDI duties, activities, and/or representation, must seek only the furtherance of the mission of the YVEDDI. At all times, Board members are prohibited from using their board title, the organization's name or property, for personal gain.
- D. The directors and officers of YVEDDI should neither solicit nor accept gifts, entertainment, favors, or other items of more than nominal monetary value from contractors/vendors. This policy is not intended to preclude bona-fide fund-raising activities.
- E. Disclosure – All conflicts of interest shall be disclosed by the person or persons concerned.
- F. Record of Conflict – The official minutes of the Board of Directors shall reflect that any conflict of interest was disclosed and the person(s) with conflicts did not participate in discussion or vote on the matter.

The determination of whether a conflict exists must be on a case by case basis, with each board member or staff weighing his or her own obligations or interests. Specifically, when a board member feels his or her personal interest in a matter will conflict with, or appear to conflict with, his or her impartial duties to the public interest served by YVEDDI Board of Directors, then such member should refrain from discussing or voting on the matter.

YADKIN VALLEY ECONOMIC DEVELOPMENT DISTRICT, INC.

Typed/Printed Name YVEDDI Board Member:	
Signature:	
Date:	

YVEDDI Public Transportation Demographic Information Collection Form

Yadkin Valley Economic Development District Inc./YVEDDI Public Transportation is required by Title VI of the Civil Rights Act of 1964 and related authorities to record demographic information on members of its boards and committees. Please provide the following information:

<p><b>Race/Ethnicity:</b></p> <p><input type="checkbox"/> White</p> <p><input type="checkbox"/> Black/African American</p> <p><input type="checkbox"/> Asian</p> <p><input type="checkbox"/> American Indian/Alaskan Native</p> <p><input type="checkbox"/> Native Hawaiian/Pacific Islander</p> <p><input type="checkbox"/> Hispanic/Latino</p> <p><input type="checkbox"/> Other (please specify): _____</p>	<p><b>National Origin:</b> (if born outside the U.S.)</p> <p><input type="checkbox"/> Mexican</p> <p><input type="checkbox"/> Central American: _____</p> <p><input type="checkbox"/> South American: _____</p> <p><input type="checkbox"/> Puerto Rican</p> <p><input type="checkbox"/> Chinese</p> <p><input type="checkbox"/> Vietnamese</p> <p><input type="checkbox"/> Korean</p> <p><input type="checkbox"/> Other (please specify): _____</p>
<p><b>Gender:</b> <input type="checkbox"/> Male <input type="checkbox"/> Female</p>	<p><b>Age:</b></p> <p><input type="checkbox"/> Less than 18 <input type="checkbox"/> 45-64</p> <p><input type="checkbox"/> 18-29 <input type="checkbox"/> 65 and older</p> <p><input type="checkbox"/> 30-44</p>
<p><b>Disability:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>I choose not to provide any of the information requested above: <input type="checkbox"/></p>	

Completed forms will remain on file as part of the public record. For more information regarding Title VI or this request, please contact the Yadkin Valley Economic Development District Inc./YVEDDI Public Transportation at 336-367-7251 or by email at [jphillips@yveddi.com](mailto:jphillips@yveddi.com).

Please sign below acknowledging that you have completed this form.

Thank you for your participation!

**Name (print):** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Implementation**

- Forms will be completed prior to triennial Title VI compliance reviews and remain on file for three years.
- All new and existing members of appointed decision-making boards or committees will be **required** to complete this form for reporting purposes.
- If a member, for whatever reason, selects "I choose not to provide any of the information requested above," they will have also **completed** the form.
- If a member chooses not to provide any of the information on the form, the Title VI Coordinator will be permitted to indicate that member's race and gender, based on the Coordinator's best guess.
- Data from these forms will be used to complete the Demographic Request Table in Appendix E.
- Once a new member submits this form, the Demographic Request Table for the associated committee will be updated.



# Board Member Job Description

## **Governance**

Learn about the organization including its mission, strategic plan, programs, policies, operations, finances, challenges and opportunities. Read the Articles of Incorporation and By-laws. Participate in the new board member orientation program.

Attend all board and designated committee meetings and participate actively and responsibly. Review the agenda and any supporting documents prior to the meeting.

Know the basic operation of the Parliamentary Procedures.

Respect your fellow board members and their time. Keep to the agenda and avoid digressions that do not move the organization forward.

Use any special skills or training you may have to further the work of the board and the organization. Distinguish your personal opinions from your professional ones.

Adhere to the Confidentiality Statement, Code of Ethics and Conflict of Interest Statement.

## **Finances**

Review and understand the organization's financial reports and budget.

Adopt policies on board travel, meeting expenses and reimbursements. Follow the policies and hold other board members responsible.

## **Assist and Participate in Fundraising Efforts**

One of the board's foremost responsibilities is to provide adequate resources for the organization to fulfill its mission. The board should work in partnership with the Executive Director and management staff, to raise funds from the community.

Provide financial support to the organization according to your ability.

## **Performance**

Annually assess the performance of the board as a whole and your own performance as a board member. Identify areas in need of improvement and acknowledge those things that are going well.

Annually assess the performance of the organization as a whole. Review the strategic plan and objectives and make adjustments as needed.

## **Staff**

Participate in the active recruitment and selection process of Executive Director, ensuring the selection of the most competent and qualified applicant. Ensure Executive Director has moral and professional support needed to fulfill goals of the organization. Annually evaluate the Executive Director's performance.

Understand your role as a director and the roles of management staff in the governance and operation of the organization.

Ensure that there is a succession plan in place for the Executive Director.

## **Leadership**

Participate in the active recruitment, selection and orientation of new board members. Define and maintain a balanced Board. Encourage continuing education for all board members and participate in the programs.

## **Legal and Ethical Integrity and Maintain Accountability**

Responsible for ensuring adherence to legal standards and ethical norms; warrant solid personnel policies, complaint procedures, and clear delegation to the Executive Director of hiring and managing employees.

## **Duty of Care**

Taking the Duty of Care and exercising the judgments that any reasonable and prudent person would exhibit in the process of making informed decisions, including acting in good faith consistent with what you as a member of the Board truly believes is in the best interest of the organization.

## **Duty of Loyalty**

The Duty of Loyalty calls upon the board and its members to consider and act in good faith to advance the interests of the organization. Board members will not authorize or engage in transactions except those in which the best possible outcomes or terms for the organization can be achieved. This standard constrains a board member from participating in board discussion and decisions when they as an individual have a conflict of interest (i.e. personal interest conflict with organizational interest.). While the board members of each category should take into account the interests of their constituency, each board member must still act in the best interests of the YVEDDI as a whole.

## **Duty of Obedience**

The Duty of Obedience requires obedience to the requirements of applicable laws, rules, and regulations, as well as honoring the terms and conditions of the organization's mission, by-laws, policies, and other standards of appropriate behavior.

Clearly articulate and interpret the organization's mission, accomplishments and goals to the public, as well as garnering support from important members of the community to ensure comprehensive public relations; represent the organization in a positive matter.

**Ensure Effective Organizational Planning**

Monitor the organization’s Programs and Services.

As organizational stewards participate with management staff in an overall planning process and monitor the progress of carrying out the plan. Support YVEDDI management staff and other board members as partners toward achievement of our goals.

*I have read and understand the Board Job Description and my responsibilities as a Board member of YVEDDI.*

Signature - Board Member	Date

*Return one copy to the board chair, and keep the other for reference.*





## Board Orientation Preference

*Please help us to plan board orientation that meets your desires by checking all that applies below:*

- I have received Board Orientation and understand my roles and responsibilities, governance policies, the agency's history and mission, and the agency's strategic priorities and challenges
- I would like a short, refresher orientation at a regular board meeting
- I am very busy and would like to receive one-on-one Board Orientation at my convenience

Date & Time: \_\_\_\_\_ Location: \_\_\_\_\_

- I would like to be included in special called, group Board Orientation

Best time:

- Day
- Evening

- I would like to be assigned a mentor who is a veteran of the board

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Printed Name

Signature

Date



# Board of Director Questionnaire/ Application

**Purpose:** This information will be used to identify current board member characteristics, composition needs where there are vacancies, and assist with member selection going forward.

Name							
Home Address							
Phone:	Home		Work		Cell		
Date of Birth		Race/Ethnic		Disability			
Email Address							
Employer							
Occupation/Position							
Name of Public Official or Organization you Represent:							
Other Boards You Have Serve On or Have served on in the Past Five (5) Years and Positions Held:							
Board		Position			Years of Service		
Volunteer Activities							
Do you have a background or expertise in: If yes, please describe background and/or expertise.							
Fiscal Management or Accounting							
Early Childhood Education and Development							
Education (other than Early Childhood)							
Business Administration							
Community Affairs							
Elder Services							
Health Services							
Housing							
Fundraising							
Other							

Are you a licensed attorney?  Yes  No

Please describe areas of law in which you practice or with which you are familiar, including issues that come before the Board:

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Why are you interested in serving on the YVEDDI Board?

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Do you have any family members, or any entities with which you are associated, employed with YVEDDI? If yes, please describe below:

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\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



**Tripartite Board of Directors Member Profile**

A completed Profile is required for each Board Member for whom a Profile was not previously submitted. When a new member is seated, a Board Member Profile, along with the applicable documentation (minutes of the meeting at which this new board member was seated, a letter confirming election or appointment from the organization represented by the new board member and/or documents certifying democratic selection and/or community or neighborhood election of a representative of the poor) should be mailed to the Office of Economic Opportunity within 30 days. This requirement supports The Community Opportunities, Accountability and Training and Educational Services Act of 1998 Section 676B "Tripartite Boards."

**Agency Name:** \_\_\_\_\_

**Board Member's Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Date seated:** \_\_\_\_\_

**Term Expires:** \_\_\_\_\_

**SECTOR REPRESENTED** (please check one)

- Representative of the Poor   
 Public Elected Official (or appointed representative)   
 Private Organization

**Community Represented:** \_\_\_\_\_

**Title of Elected Office:** \_\_\_\_\_

**Organization Represented:** \_\_\_\_\_

**Date of Orientation:** \_\_\_\_\_

**Occupation:** \_\_\_\_\_

**Committee Assignment(s):** \_\_\_\_\_

**Goal(s) as a Board Member:** \_\_\_\_\_

\_\_\_\_\_

Please check all that apply	
<input type="checkbox"/>	Minutes of the meeting at which this board member was seated are on file and available for review.
<input type="checkbox"/>	A Letter confirming election or appointment from the organization represented by the new board member is on file and available for review.
<input type="checkbox"/>	Documents certifying a community or neighborhood election of a Representative of the Poor are on file and available for review.

**X** \_\_\_\_\_  
Signature of Board Chairperson Date

**X** \_\_\_\_\_  
Signature of Board Member Date