

Governance Policies of the Board

II. Board-BAO Linkage

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II. BOARD-BAO LINKAGE

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Title: Global Governance-Management Connection

Category: Board-Board Appointed Officer Linkage

Policy No. BL-1	Adopted: April 20, 2004 Chair: Joe Judge	Latest Revision: July 28, 2011 Chair: Don Gage
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Board Officer's affirmation of official Board action adopting this policy.

The Board's sole official connection to the operational organization, its achievements and conduct will be through Board Appointed Officers (BAOs).

- 1.1. The Board Appointed Officers are: the Chief Executive Officer (CEO), the District Counsel, and the Clerk of the Board.
- 1.2. The BAOs are appointed by and serve at the pleasure of the Board.

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Title: Unity of Control
Category: Board-Board Appointed Officer Linkage

Policy No. BL-2	Adopted: April 20, 2004 Chair: Joe Judge	Latest Revision: December 14, 2010 Chair: Richard Santos
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Board Officer's affirmation of official Board action adopting this policy.

Only officially passed motions of the Board are binding on the BAOs.

Accordingly:

- 2.1. Decisions or instructions of individual Board members, officers, or committees are not binding on the BAOs except in rare instances when the Board has specifically authorized such exercise of authority.
- 2.2. In seeking clarification on informational items, Board members may directly approach BAOs or designee to obtain information needed to supplement, upgrade, or enhance their knowledge to improve legislative decision-making. Any Board member requests that require substantive work should come to the Board for direction. [See BAO/CEO Interpretation](#)
 - 2.2.1. When seeking information, all Board members will contact the BAO or designee. The Board member(s) must schedule an appointment in advance with the appropriate BAO, Chief, or designee.

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Title: Accountability of the Board Appointed Officers

Category: Board-Board Appointed Officer Linkage

Policy No. BL-3

Adopted: April 20, 2004
Chair: Joe Judge

Latest Revision: August 28, 2007
Chair: Tony Estremera

Board Officer's affirmation of official Board action adopting this policy.

The BAOs are the Board's link to operational achievement and conduct, so that all authority and accountability of staff, as far as the Board is concerned, is considered the authority and accountability of the BAOs.

- 3.1. The Board, as a whole, will not give direction to a person who reports directly or indirectly to the BAOs.
- 3.2. The Board, as a whole, will not evaluate, either formally or informally, any staff other than the BAOs.
- 3.3. The Board, as a whole, will view the individual and combined performance of the BAOs as identical to organizational performance, so that organizational accomplishment of Board-stated ends and avoidance of Board-proscribed means will be viewed as successful BAO performance.
- 3.4. BAOs shall work collaboratively to accomplish Board-stated Ends and avoid Board-proscribed means.
- 3.5. Each BAO is accountable to the Board of Directors for the responsibilities and functions described in the Board approved class specifications for each official.
- 3.6. Each BAO is accountable for all resources, including personnel, under his/her control as assigned by the Board. Therefore, any accomplishments and violations due to actions of a subordinate of a BAO are considered accomplishments and violations by the BAO.

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Title: Direction to the Board Appointed Officers

Category: Board-Board Appointed Officer Linkage

Policy No. BL-4

Adopted: June 15, 1999
Chair: Larry Wilson

Latest Revision: July 28, 2011
Chair: Don Gage

Board Officer's affirmation of official Board action adopting this policy.

The Board will instruct the BAOs through written policies which prescribe the organizational ends to be achieved, and describe organizational situations and actions to be avoided, allowing the BAOs to use any reasonable interpretation of these policies.

Accordingly:

4.1. The Board will develop policies instructing the BAOs to achieve certain results, for certain recipients at a specified cost. These policies will be developed systematically from the broadest, most general level to more defined levels, and will be called Ends policies.

4.1.1. The Ends policies will be categorized into four parts: mission and general principles, water supply, natural flood protection, and water resources stewardship.

4.1.2. District's policies will be communicated following a framework from the broadest, to more defined levels of specificity as defined below:

General Principles—A statement that reflect Board's directions to guide more than one functional areas or elements.

End—A statement that describes the effects the District seeks to have on community it serves. The statement may include a description of the impact, difference, change, benefit, or outcome to be obtained.

Goals—A general direction-setter provided by the Board. It is expressed as an ideal future related to the end. A goal may be abstract in nature and expressed as a general state. It is generally not quantifiable or time-dependant.

Objectives—A specified action, either adopted by the Board or provided by the BAOs, that is an intermediate step toward attaining a goal. It may pertain to one particular aspect of a goal or be one of several successive steps toward a goal. It should be achievable and when possible, measurable and time specific. It starts with a verb.

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4.1.2.1. BAO/CEO Interpretations

Strategies—A particular course of action, product, or service that describes the means to support objectives. It is clear and unambiguous, customarily prescribed by the BAOs to clarify the level of District responsibilities (including primary, cooperation/coordination, or technical assistance or advocacy) and starts with a verb.

CEO Direction—Describes criteria, methods, and/or processes that support the accomplishment of a strategy.

Outcome Measures—An outcome measure, customarily provided by the BAOs, establishes a level of quality or quantity to be satisfied to demonstrate the impact, difference, change, and/or benefit to the community of the objectives and goals towards the Ends. It defines the objectives with measurable specifications, e.g., target 2010, voluntary water conservation of 10%.

- 4.1.3. The Board may choose to directly engage in policy setting at any levels outlined, but its focus will be on mission, general principles, ends, goals and objectives. Customarily, the BAOs will provide Board policy interpretations with strategies, CEO directions, and outcome measures and occasionally objectives.
- 4.2. The Board will develop policies which limit the latitude the BAOs may exercise in choosing the organizational means. These policies will be developed systematically from the broadest, most general level to more defined levels, and they will be called Executive Limitations policies.
- 4.3. As long as the BAOs use any reasonable interpretation of the Board's Ends and Executive Limitations policies, the BAOs are authorized to establish all further policies, make all decisions, take all actions, establish all practices and develop all activities.
 - 4.3.1. To assure and enhance transparency, new BAO Interpretations will be presented to the Board during a public meeting, for the Board's information. Consistent with other policy revisions, staff will ensure that all new BAO Interpretations are provided to the Board members and posted on the District's website for viewing and download by staff and the public.
- 4.4. The Board may change its Ends and Executive Limitations policies, thereby shifting the boundary between the Board and the domains of the BAOs. By doing so, the Board changes the latitude of choice given to the BAOs. But as long as any particular delegation is in place, the Board will respect and support the choices made by the BAOs.

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- 4.5. The Board's general direction to specific BAOs regarding their expected primary job functions is set forth in their respective job descriptions approved by the Board. In general, the Board's direction is as follows:
 - 4.5.1. The CEO directs and manages the services, operations, programs and projects of the District and serves as the administrative head of the District.
 - 4.5.2. The District Counsel provides legal advice and representation to the District, the Board, and the Districts officers and employees when acting in their official capacities, and serves as the chief legal officer of the District.
 - 4.5.3. The Clerk of the Board directs and manages the regulatory and administrative services required to support the Board and advisory committee functions and activities.

Governance Policies of the Board

Title: Monitoring Board Appointed Officer Performance

Category: Board-Board Appointed Officer Linkage

Policy No. BL-5

Adopted: May 18, 2004
Chair: Joe Judge

Latest Revision: December 15, 2009
Chair: Sig Sanchez

Board Officer's affirmation of official Board action adopting this policy.

Systematic and rigorous monitoring of BAO job performance will be solely against the only expected BAO job outputs: organizational accomplishment of Board policies on Ends and organizational operation within the boundaries established in Board policies on Executive Limitations.

Accordingly:

- 5.1. Monitoring is simply to determine the degree to which Board policies are being met. Data which does not do this will not be considered to be monitoring data.
- 5.2. The Board will acquire monitoring data by one or more of three methods: (a) by internal report, in which the BAOs disclose compliance information to the Board, (b) by external report, in which an external, disinterested third party selected by the Board assesses compliance with Board policies, and (c) by direct Board inspection, in which a designated member or members of the Board assess compliance with the appropriate policy criteria.
- 5.3. In every case, the standard for compliance shall be any reasonable BAO interpretation of the Board policy being monitored.
- 5.4. All policies which instruct the BAOs will be monitored at a frequency and by a method chosen by the Board. The Board can monitor any policy at any time by any method, but will ordinarily depend on a routine schedule (see following table).
- 5.5. Monitoring of each BAO's job performance will be against the expected BAO job output: accomplishment of the duties for which he/she is accountable to the Board, and performance within the applicable limitations established by the Board. The monitoring shall occur through review of reports submitted by the BAO, through annual formal evaluation of the BAO's performance, and through such other methods deemed appropriate by the Board.

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Policy	Method	Frequency
Ends	Budget Milestones	Quarterly
Treatment of Consumers	Ad Hoc Report	Upon Discovery of Non-Compliance
Treatment of Staff	Ad Hoc Report	Upon Discovery of Non-Compliance
Financial Planning/Budgeting	Ad Hoc Report	Upon Discovery of Non-Compliance
Financial Conditions and Activities	Ad Hoc Report	Upon Discovery of Non-Compliance
Emergency BAO Succession	Ad Hoc Report	Upon Discovery of Non-Compliance
Asset Protection	Ad Hoc Report	Upon Discovery of Non-Compliance
Compensation and Benefits	Ad Hoc Report	Upon Discovery of Non-Compliance
Communication and Support	Ad Hoc Report	Upon Discovery of Non-Compliance
Non Discrimination Plan	Ad Hoc Report	Upon Discovery of Non-Compliance