



# **Policies and Procedures June 2019**

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## **Purpose**

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Under Chapter 11 of the Yukon First Nation Final Agreements, Government and any affected Yukon First Nations may agree to establish a Regional Land Use Planning Commission to develop a regional land use plan. The Dawson Regional Planning Commission (DRPC) was re-established in December 2018 under the authority of Chapter 11 of the Tr'ondëk Hwëch'in Final Agreement (THFA). As described in their Terms of Reference, the DRPC will develop a Recommended Land Use Plan, and, if required, a Final Recommended Land Use Plan, to the Parties. This document contains the policies and procedures for the operation and governance of the Commission specifically. Policies and procedures regarding administration and human resources are to be provided in a separate Memorandum of Understanding (MOU) as described in section 8.7 of the DRPC Terms of Reference.

## **1 Definitions & Acronyms**

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**Commission** - the Dawson Regional Planning Commission.

**Minister** - the Minister of Yukon Government responsible for Regional Land Use Planning.

**Senior Planner** - the Senior Land Use Planner for the Dawson Regional Planning Commission.

### **Acronyms -**

DRPC – Dawson Regional Planning Commission  
EMR – Energy Mines & Resources  
TH – Tr'ondëk Hwëch'in  
THFA - Tr'ondëk Hwëch'in Final Agreement  
UFA - Umbrella Final Agreement  
YG – Yukon Government  
YFN - Yukon First Nations  
YLUPC – Yukon Land Use Planning Council

## **2 Governing Policies**

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### **2.1 Authority**

The policies and procedures of the DRPC are based on the Tr'ondëk Hwëch'in Final Agreement which states:

“Each Board may adopt bylaws for its internal management and may make rules governing its procedures consistent with the Umbrella Final Agreement and with any Legislation establishing the Board.”

### **2.2 Amendments to Policies and Procedures**

The Policies and Procedures may be amended or revised by consensus of the Commission members present at a meeting designated for that purpose. Copies of the proposed amendments shall be given to members one week before the matter is brought forward to the next scheduled regular Commission meeting.

The Policies and Procedures of the DRPC shall be consistent with the DRPC Terms of Reference and the Tr'ondëk Hwëch'in Final Agreement. This includes providing the Yukon Land Use Planning Council and the Parties (Yukon Government, and Tr'ondëk Hwëch'in) an opportunity to review the Policies and Procedures and any amendments.

### **3 Commission Operations**

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#### **3.1 Roles & Responsibilities**

##### **3.1.1 General Commission Duties**

The Commission shall function according to the objectives and mandate of the Tr'ondëk Hwëch'in Final Agreement and the DRPC Terms of Reference. In addition, the Commission may establish and adopt bylaws, rules, procedures and policies for its internal management from time to time and, in this function, may:

- Modify, change or repeal the bylaws, rules, procedures and policies providing the modifications and the changes are consistent with the THFA;
- Carry out the functions and activities necessary to meet its mandate under the THFA and the DRPC Terms of Reference;
- Designate committees from time to time to help conduct the affairs of the Commission;
- Designate members to carry out specific duties or specific roles on behalf of the Commission (see Section 3.1.3.3); and
- Request contract for services to assist it in meeting its mandate.

##### **3.1.2 Commission Members**

Members of the DRPC shall:

- a) Attend meetings of the Commission and contribute to Commission decisions;
- b) Provide mailing address, telephone, e-mail, and fax (if applicable) information to be shared with members of the staff to assist conducting normal business;
- c) Support the operations of the Commission and act in a manner positive to the functions and mandate of the Commission;
- d) Not be delegates of the parties who nominate or appoint them (THFA 2.12.2.12);
- e) Bring concerns to the Chair. The Chair will bring these concerns forward to the Senior Planner as needed;

- f) Represent the interest of the Commission, as appropriate, with other organizations, agencies and governments; and
- g) Abide by the Code of Conduct (Section 3.2.1).

### **3.1.3 Officers**

#### **3.1.3.1 Chair**

The Chair of the Commission shall:

- a) Be selected by members of the Commission. The duration of the appointment shall be made by consensus and recorded in the minutes. Alternating Chairs may be selected;
- b) Be responsible for approving the Commission meeting agenda and Commission package and preside at all meetings of the Commission;
- c) Represent the interests of the Commission and be a spokesperson for the Commission, as appropriate, with First Nation(s), Federal and Territorial Governments, departments, organizations and agencies, public functions and with the media;
- d) Develop messaging for media and press releases with Commission members prior to the publication and announcement (Section 3.3);
- e) Provide clarification to the Senior Planner on the Commission's direction, if needed.

#### **3.1.3.2 Vice-Chair**

The Vice-Chair of the Commission shall:

- a) Be selected by the Commission through consensus in the event of the Chairperson's absence; and
- b) Fulfill the duties of the Chair in absence of the Chair.

#### **3.1.3.3 Other Roles**

- a) Individual Commission members may be asked to accept other roles such as Treasurer or Secretary. The Commission may assign specific portfolios to the Treasurer, Secretary or other members as appropriate.

### **3.1.4 Committees**

The Committees of the Commission shall, when required or asked:

- a) Be established by the Commission;

- b) Address particular aspects of the Commission's responsibilities;
- c) Consist of more than one member of the Commission and/or of the Secretariat as designated by the Commission; and
- d) Refer all recommendations to the Commission for the final decision.

## **3.2 Behaviour and Ethics**

### **3.2.1 Code of Conduct**

- a) A Code of Conduct requires that Commission members in the course of carrying out their duties must:
  - Conduct themselves according to the highest personal and professional standards.
  - Behave honestly and with integrity.
  - Act with care and diligence.
  - Uphold the objectives of the Commission.
  - Treat everyone with respect and courtesy, and without harassment.
  - Comply with any lawful and reasonable direction given by someone who has authority to give direction.
  - Use resources in a proper manner.
  - Adhere to the policies and procedures of the DRPC and applicable THFA clauses.
- b) Failure to abide by the Code of Conduct will result in disciplinary action (Section 3.2.5).

### **3.2.2 Confidentiality**

- a) The Dawson Regional Planning Commission is a public board and is therefore publicly accountable. However, it is recognized that some information is confidential and personal and therefore should not be released to the public without authorization from the Commission as a whole; and
- b) Requests for information should be directed to the Chair or Senior Planner. Information should not be used in order to gain, or seek to gain, a personal benefit or a benefit for any other person. A breach in confidentiality will result in disciplinary action (Section 3.2.5).

- c) The Commission will use the relevant sections of the Federal/Territorial “Access to Information and Protection of Privacy” legislation as guide-lines in determining which of its files are deemed to be confidential.

### **3.2.3 Conflict of Interest**

- a) Commission members should conduct themselves in matters relating to the activities and responsibilities of the Commission in such a manner as not to compromise the integrity of the Commission or to reduce public confidence in the operations, management or decision making of the Commission.
- b) Neither Commission nor staff members, personally or through corporate entity, shall financially benefit from the activities of the Commission or from activities conducted under the authority of the DRPC.
- c) No spouse, spousal equivalent, dependent or immediate family member of the Commission personally or through a corporate entity, shall enter into any contract with, or provide any goods and/or services for remuneration to, the Commission unless:
- A competitive process involving sealed written quotations or costs has been used to select the successful supplier or contractor;
  - The Commission member has declared their interest therein and has removed themselves from the decision-making process respecting the contract of supply of goods and/or services; and
  - The monetary remuneration is under \$10,000.00, annually.
- d) A Commission member who is, or perceives that they may be, in a position of conflict shall declare the details of the conflict to other members of the Commission before discussion on the matter in question is held. If the member is of the opinion that the conflict would violate the objective established in clause a) above, in reality or in perception, they shall remove themselves from all discussion and decision-making on the matter in question.
- e) If the member does not remove themselves, and any other member is of the opinion that the conflict would violate the objective established in clause a) in reality or perception, the other member may ask the member to remove themselves from the discussion and decision-making on the matter in question.
- f) For greater certainty, conflicts include:
- Questions affecting a private or public corporation of which the Commission member or his/her family member(s) is/are a shareholder(s) or member(s) of the Board of Directors for the corporation.
  - Questions affecting a partnership or firm of which the Commission member or his/her family member(s) is associated with.

- Questions affecting an organization (profit or non-profit) of which the Commission member or member(s) of his/her family is a member or has some similar type of association.
  - Questions in which the Commission member or his/her family member(s) (spouse, spousal equivalent, dependent or immediate family member) has a direct or indirect financial interest.
  - Any other matter in which the Commission member's ability to act in the best interest of the Commission, including protecting the integrity and confidence of the public in the Commission, may be or appear to be compromised.
- g) The minutes shall record all declarations of conflict and indicate the direction of the Commission.
- h) A Commission member who abstains from participating in the discussion or making a decision shall not be included in determining quorum of the Commission for purposes of making a decision of the Commission.
- i) As per article 2.12.2.6 of the THFA, a Commission member shall not be deemed to be in a conflict of interest solely by virtue of being a Yukon First Nation person.
- j) The Commission will not endorse any candidate or nominee for office and will prohibit the posting of partisan election signs or materials on its premises. In addition, an employee or Commission member seeking nomination for public offices are free to mention their work with the Commission, but no mention of the Commission can suggest that the candidate has the endorsement of the Commission.
- k) The Commission will be proactive in identifying potential conflicts by:
- Asking all Commission members to complete a conflict of interest evaluation following their appointment and notifying the Commission of any changes to their conflict of interest status; and
  - Identifying strategies to manage conflicts for each member.

### **3.2.4 Absenteeism**

- a) The absence of Commission members from meetings limits the Commission's ability to deliberate issues and can affect the ability of the Commission to make fair and balanced decisions. A certain level of absenteeism is normal in any given organization where members are drawn from the public. Conflicts with other priorities are expected to arise, but steps will be taken to limit absences:
- Meetings will be scheduled well in advance so members can plan their own meetings effectively.

- Members not able to attend a meeting must notify the Chair at least 2 days before the meeting.
- b) Where a Commission member has been absent for two (2) consecutive Commission meetings, or is consistently absent enough to affect Commission functioning, the Chair shall contact that member to determine future availability.
  - c) Should a member fail to attend two (2) consecutive meetings without special circumstances, the Commission may recommend disciplinary action (Section 3.2.5), which may include removal for cause.

### **3.2.5 Disciplinary Action**

- a) Disciplinary action may be initiated by the Commission in the case of a member's:
  - Absences without just causes;
  - Failure to prepare for meetings;
  - Failure to participate in meetings;
  - Breach of conflict of interest;
  - Breach of code of conduct or confidentiality;
  - Lateness; or
  - Intoxication.
- b) The Chair or Vice Chair will review the circumstances leading to the disciplinary action and make recommendations for action which may include:
  - Verbal reprimand;
  - Written reprimand; and
  - Recommendation for removal from the Commission.
- c) The Commission, minus the Member in question, will decide to accept or reject the proposed course of action. If accepted, the Commission will send a letter outlining the action to the Member in question, the nominating agency, YLUPC and the Minister. The Member in question will be suspended from participating in Board affairs until the situation is resolved by the formal resolution of the Board or action from the Minister.

### **3.2.6 Removal**

- a) As per article 2.12.2.7 of the THFA, a Commission member may only be removed for cause provided however, that in addition to the grounds for removal for cause recognized generally in Law, the Commission may specify additional grounds in its procedures.
- b) The procedure for removal shall be based on the following:
  - The disciplinary action decided upon by the Commission shall be included in a formal recommendation from the Chair or Vice Chair and sent to the Minister stating the grounds for removal (see 3.2.5 above) and/or the disciplinary action taken. The member shall be informed that this recommendation has been sent.

### **3.2.7 Resignation**

In the event that a Commission member resigns, or is unable to fulfill their term, the following procedure shall apply:

- a) A written notice of a member's resignation should be addressed to the Chair, or in the case of the Chair's resignation, the Vice Chair.
- b) The Chair or Vice Chair will confirm the resignation with the other members of the Commission, and the Minister in writing and request that the Minister take the necessary steps with the other parties to replace the Commission member at the earliest convenience.
- c) Resigning members will be contacted before their last working day to make an appointment with the Director of the YLUPC for an exit interview. The Director will document the stated reasons for the resignation, recover any keys (if required), codes or other Commission property, and alter any member's computer password to maintain security.
- d) Providing that adequate notice of resignation has been received, all monies owed will be available within 15 days of the last day of service.

## **3.3 Communication Strategy**

### **3.3.1 Representation at Public Functions**

- a) The Chair, or their delegate, will make best efforts to develop consistent messaging that represent the interests of the Commission prior to any public function. This should involve the other members whenever possible.
- b) All members attending a public function shall represent the interests of the Commission.
- c) The Chair shall be a spokesperson for the Commission, unless delegated to another Commission Member.

- d) The Chair shall be responsible for providing a written report of the proceeding at the next meeting of the Commission (a verbal report may be accepted at the discretion of the Commission); and
- e) If the Chair is unable to attend a public function, the Chair shall appoint another member to attend the public function on behalf of the Commission.

### **3.3.2 Media**

- a) The Chair, or their delegate, will act as the media spokesperson for the Commission. Media reports, press releases and messaging will be discussed with the Commission members prior to publications, interviews and announcements.

## **3.4 Meetings**

### **3.4.1 Quorum**

- a) Four (4) members shall constitute a quorum for a Commission meeting, in accordance with Section 6.9 of the DRPC Terms of Reference.
- b) In the event of a vacancy, the Commission may discharge its duties with such members as have been nominated and appointed (THFA 2.12.2.5).

### **3.4.2 Meeting Type, Frequency and Notice**

- a) Regular meetings shall be scheduled at least four times per year. Notice of a regular meeting to Commission members shall be given at least 14 days prior to the meeting date. Public notice of a regular meeting shall be given as early in advance as possible on the Commission website and other media, as appropriate. Regularly scheduled meetings may be cancelled by the Chair in extraordinary circumstances.
- b) Special meetings shall be called by the Chair in consultation with the Senior Planner. Notice of special meetings shall be given at least five (5) days prior to the meeting date.
- c) Emergency meetings of the Commission may be held at any time by consensus of the members of the Commission. No business other than that related to the emergency will be discussed at these meetings.
- d) Commission meetings may be conducted by teleconference or other multi-media technology to allow Commission members to carry out the business of the Commission. A Commission member will be deemed present when participating by teleconference.

### **3.4.3 Meeting Preparation**

- a) To every extent possible, Commission meeting packages will be available electronically or for pick-up by Commission members at the TH administration building five days prior to the Commission meeting. If requested for out-of-town members, Commission packages may be faxed or shipped to the out-of-town member.
- b) All members are expected to review meeting packages and otherwise prepare for the meeting.
- c) At a Commission meeting, the Commission may, by consensus, add or delete agenda items or change the order of items on the agenda.

### **3.4.4 Decision-Making Protocol**

The Commission, to the extent possible, will make decisions by consensus. Consensus-based decision-making is a process of arriving at a decision that reflects and relies upon satisfying the interests, values and concerns of the whole group responsible for making the decisions. (see DRPC Terms of Reference, Appendix D).

### **3.4.5 Order of Business**

- a) The agenda shall include, but not necessarily be limited to the following:
  - *In camera* (separate agenda for Commission members only)
  - Approval of previous minutes,
  - Delegations;
  - Senior Planner's report;
  - Unfinished business;
  - New business;
  - Correspondence;
  - Accounts payable;
  - Budget variance report;
  - Adjournment; and
  - Decisions/action;
- b) A Commission member may request a specific issue be placed on an agenda by providing notice to the Chair. Background information, for the distribution to the Commission, may be requested.
- c) Delegations wishing to appear before the Commission should register in advance by notifying the Chair or Senior Planner. The request to appear before the Commission will include the subject of the presentation and any materials to be distributed. Presentations will be limited to five (5) minutes or at the discretion of the Chair. Attendance at meetings will be at the delegate's own cost.

### 3.4.6 Motions

Commission members may bring forth motions at Commission meetings for consideration and decision by the Commission. The process for doing so shall involve the following steps:

- a) A motion can be brought forward by any Commission member, including the Chair, or at the suggestion of the Senior Planner;
- b) The Chair shall request a mover and a seconder, and those individuals are granted an opportunity to speak in favour of the motion;
- c) Once moved and seconded, discussion regarding the motion topic shall then take place;
- d) After discussion has occurred, the Chair shall call for an indication that there is consensus on the motion. This will be indicated by all members voting in favour of the motion and the motion will be considered "*passed by consensus*";
- e) If consensus is not achieved, the dissenter shall present his or her concerns on the motion, potentially starting another round of discussion to address or clarify the concern;
- f) The motion can be amended or re-phrased in an attempt to address the concerns of the Commission members. If the motion is rephrased, the Chair shall seek approval from the mover and seconder prior to the vote;
- g) If consensus is not reached, the Commission shall employ strategies suggested in the DRPC Terms of Reference, Appendix D, including obtaining expert assistance;
- h) If all strategies for consensus decision-making fail and consensus cannot be reached, the Chair may call for a vote or defer the motion for further consideration at the next Commission meeting. The motion will be considered "*passed by majority vote*" if a majority of the members vote in favour of the motion;
- i) The records of the meeting shall indicate if the decision was made by consensus or by majority vote.

### 3.4.7 Record of a Meeting – Minutes

- a) The business of the Commission will be recorded in Minutes of the Meetings. The Minutes will be the main legacy of the Commission meeting and may be used as a reference material by many readers. Once created and adopted, the Minutes will be kept on file, will be posted on the Commission's website and will form part of the public record of the Commission. The Minutes should be a concise and accurate. The language chosen should be understandable

and unambiguous. Failure to create quality Minutes may lead to confusion, argument, and/or legal challenge.

- b) The Commission shall ensure that Minutes are prepared by a qualified person. Detailed notes are to be taken by the designated person during the proceedings from which the draft Minutes will be prepared. To help produce the Minutes, the proceedings may be recorded on audio tape which is deleted following the preparation of the minutes. The document will contain a consistent format/template.
- c) Draft minutes shall be reviewed by the Senior Planner for completeness, accuracy and grammar prior to adoption.
- d) All Action Items will be recorded in minutes and identified in the following Senior Planner's report.

#### **3.4.8 Approval and Amendment of Minutes**

- a) Formal approval of the Minutes is done by the passing of a Motion at a Commission Meeting. Formally approved minutes are final.

#### **3.4.9 In Camera**

- a) The Commission may choose to discuss any agenda item or portion thereof, in confidence if the discussion of that item is sensitive, contentious, or may put the interests of the Commission, personnel, a proponent, or a third party at risk. *In camera* provisions should be taken seriously, and be used only when absolutely necessary.
- b) The Commission may close a meeting to the public during a discussion on a matter that relates to the following (see Section 6.6 of the DRPC Terms of Reference):
  - Commercial information which, if disclosed, would likely be prejudicial to the planning process or parties involved;
  - Information received in confidence which, if disclosed, would likely be prejudicial to the planning process or parties involved;
  - Personal information, including personnel information;
  - The salary and benefits and any performance appraisal of an employee;
  - A matter still under consideration and on which the commission has not yet publicly announced a decision and about which discussion in public would likely prejudice the Commission's ability to carry out its activities or negotiations;
  - The conduct of existing or anticipated legal proceedings; and

- The conduct of an investigation under, or enforcement of, an Act.
- c) The Chair or any member may propose, at anytime during a meeting following the Call to Order that the proceedings should become *in camera*. A vote to do so may be held, or the Chair may be given the power to declare a session *in camera* on his or her own motion. Minutes of the *in camera* session should be kept separate from regular Minutes, and should be filed in a special place accessible only to the Commission. Decisions made *in camera* shall be available to the public. The motion to suspend the *in camera* session or portion of a meeting should be made in the same way as it was initiated, by the Chair or his or her own motion or by the Commission.

### 3.5 Commission Remuneration

#### 3.5.1 Honoraria

- a) Honoraria and per diems for Commission meetings shall be based on rates established by the Yukon Government for Boards and Committees. Honoraria are paid by the half day. One half day honorarium is four hours or less and one full day honorarium is four hours or more of work (up to eight hours).
- b) A minimum one-half day honorarium shall be paid to Commission members for preparatory meeting work. A full day honorarium shall be paid to Commission members if the meeting material is extensive in nature, as determined by the Commission in consultation with the Senior Planner.
- c) Honoraria paid to Commission members for time spent in preparation for meetings (including travel), and on duties other than Commission meetings, shall be determined by the Commission, in consultation with the Senior Planner and Senior Financial Administrator.
- d) Commission members shall receive Chair honoraria rates if they are performing Acting Chair duties on behalf of the Commission.
- e) Honoraria (and travel expenses if applicable) shall be claimed at each meeting by providing a completed claim authority form (□□c).

#### 3.5.2 Travel

- a) Members may claim their mileage to attend Commission meetings or other Commission events if they reside outside of the City of Dawson. Mileage charged by a Commission member must be for the most direct route for reaching a specific function or Commission meeting. Mileage charged will be in accordance with Yukon Government rates.
- b) Travel time to Commission meetings or events shall be compensated to Commission members who reside outside the City of Dawson. Travel time shall be compensated at a rate of one-half day honorarium (for travel time up to four hours) or one full day honorarium (for travel time over four hours), depending on the meeting location and travel time.

- c) Travel expenses (and honoraria if applicable) shall be claimed at each meeting by providing a completed and combined claim form (see 3.5.1e).
- d) All travel advances and travel claims will be authorized by the Senior Planner or, if for the Senior Planner, by the Chair and Director of YLUPC.
- e) Air travel, where required, shall be by the most direct and economical route.
- f) Expenses for hotel, meals, and taxis incurred by Commission members while on Commission business will be born by the Commission in accordance with Commission policies. Commission members must submit original itemized receipts for all claimed expenses, except for meal and mileage per diems.
- g) Commission members may receive a travel advance upon request equal to the honorarium for the first day of travel. All advances will be deducted from the final payment. The request must be received with sufficient notice to process.
- h) A Purchase Order is required in advance of all travel and accommodation expenditures. Whenever possible, advance arrangements for air travel and commercial accommodation will be made on behalf of Commission members by the Senior Financial Administrator of YLUPC. Invoices for travel and accommodation will reference the Purchase Order number.
- i) Commission members will advise the Senior Planner of any special needs or requests in advance of travel arrangements being made on their behalf.
- j) Where requests of a Commission Member cannot reasonably be accommodated, the Senior Planner will make suitable alternative arrangements on their behalf.
- k) A record of all travel arrangements, confirmation numbers, special needs and travel constraints will be kept in the YLUPC Office and will be available for review by Commission members at all times.

## **4 Administration**

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### **4.1 Memorandum of Understanding – Human Resources**

The Council will provide the human resources (staff) for the production of the land use plan, including financial administration services. This will be identified in a Memorandum of Understanding between the Commission and the Council (DRPC Terms of Reference, Appendix A).

## **4.2 Office Administration**

### **4.2.1 Function**

- a) The day to day administration and support functions of the Commission will be carried out by the Council staff under the direction of the Senior Planner. The Senior Planner will carry out functions relative to the position provided that:
  - The actions and administrative functions are consistent with Commission instruction and shall assist the Commission in its mandate, role and responsibilities under Chapter 11 and other relevant sections of the applicable land claim agreements.
  - All correspondence being sent by the Commission follow commonly accepted protocol.
  - All correspondence of an administrative nature follows commonly accepted protocol.
  - All correspondence is dealt with as expeditiously as is possible.

### **4.2.2 Records**

- a) The records of the Commission shall be kept in the Commission office. Records include Meeting Minutes, Correspondence, and Audited Financial Statements, and Financial Records.
- b) A detailed correspondence record, including the original of every piece of correspondence received by the Commission and a copy of correspondence sent, must be kept on file. Incoming correspondence should be logged and stamped with the date received. Outgoing correspondence must always be dated and signed by the originator and logged before it leaves the office.
- c) Conventional files should be archived as required and kept in secure storage and protected from damage.
- d) All electronic files should be backed up and protected from unauthorized access or damage. System back ups are required weekly.
- e) Financial records will be stored at a minimum, as required by law.
- f) The Commission recognizes that its files are a public legacy and will ensure that all care is given to index, archive and ensure availability to the public.

## **4.3 Financial Administration**

- a) The purpose of this policy is to establish process and procedures for the use of funds that recognize and ensure the responsibility of the Commission to expend public funds available to it in a manner that is consistent with generally accepted accounting

principles and is carried out in an open, fair, ethical, responsible, accountable, consistent and cooperative manner. This policy shall apply to all members and employees of the Commission.

#### **4.3.1 Fiscal Year**

- a) The Commission's fiscal year is from April 1st to March 31st.

#### **4.3.2 Financial Reporting**

- a) The Commission shall produce an Annual Report for each fiscal year. The Annual Report shall summarize the activities and achievements of the Commission and shall accompany the Audited Financial Statements to YLUPC. As well, an Interim Report, or any other such document, may be a requirement of any Funding Agreement entered into with the Council.

#### **4.3.3 Audit**

- a) The Commission will appoint an Auditor to carry out an annual audit of the Commission's financial transactions in each fiscal year. An Auditor must be recorded in the Minutes of the Meetings prior to March of each fiscal year.

#### **4.3.4 Record Keeping**

- a) Financial records will be kept in a manner that is consistent with Generally Accepted Accounting Practices.
- b) Invoices and/or receipts must accompany all expenses, including all Honoraria paid to Commission Members, Elders, etc. In the case of Honoraria paid to Elders or Commission Members, a completed and authorized Honoraria form must be submitted before payment will be made.

#### **4.3.5 Signing Authorities**

- a) The Commission will establish a bank account agreed to by the Commission.
- b) All Commission Members and the Senior Planner will have signing authority. The signing authority limit of the Senior Planner is \$10,000 and the Financial Administrator's signing authority limit is \$5,000. There is no signing authority limit for Commission Members.
- c) YLUPC Council members, Planning Director, and Senior Financial Administrator will retain signing authority but will only use this authority if asked by the DRPC Chair or Senior Planner, or in the event that the Commission cannot make financial decisions.
- d) Only Commission members and the Senior Planner may approve and co-sign cheques and fund transfers above \$5000.00.

- e) Every signing authority will verify the payment against the corresponding invoice before signing.
- f) No signing authority will sign a cheque made out to them.
- g) Capital purchases over \$1,000.00 must have Commission approval.
- h) Financial statements must be provided to YG by the 20<sup>th</sup> of each month of the month following the recording period.

#### **4.3.6 Budget and Work Plan**

- a) The Senior Planner, with the Chair, will develop a budget and work plan for the Commission's review one month before the date it due to the Yukon Land Use Planning Council as identified in the Financial Transfer Payment Agreement. The work plan and budget will include the following:
  - A work plan that describes the work to be completed by the Commission in the fiscal year, and the corresponding timelines and resources required,
  - A budget that supports the financial and timeline requirements of the work plan.
- b) The Commission will submit the budget and work plan to TH for consultation and request a reply from TH within 15 days of submission.
- c) The Commission is required to sign a financial agreement with the YLUPC for the transfer of funds from the Council to the Commission which may specify reporting conditions and accounting requirements.
- d) All financial agreements must comply with the Commission's Policies and Procedures.

#### **4.3.7 Financial Information System**

- a) The Commission's financial information system shall support financial reporting requirements and will include controls to ensure that the information is complete, accurate and properly authorized.

#### **4.3.8 Financial Instruments**

- a) Financial instruments will be kept in a manner consistent with decreasing the risk of fraud and forgery including:
  - Keeping all blank cheques in a secured location;
  - Keeping signed cancelled cheques returned from the bank in a secured location; and

- All cheques require two signatures. The two signatures must consist of one Commission member and one staff member.

#### **4.3.9 Purchasing**

- a) Prior to the expenditure of any monies for the purchase of goods or services, the sufficiency of funds within the current approved budget for that expenditure shall be identified and confirmed by the Office Administrator.
- b) The majority of purchasing will be on credit terms using an official purchase order where applicable. Purchase orders will contain the following information:
  - Name of vendor,
  - Name of purchasing agent,
  - The Goods or Services to be provided,
  - The date the goods or services are to be provided,
  - Quote
- c) Purchase orders shall not be required for the following specific expenditures:
  - Utility and rental charges that are charged to budgeted accounts.
  - Payments in accordance with employee and payroll benefits.
  - Conference, workshop, travel expenses.
  - Petty cash disbursements.
  - Legal and audit fees.
  - Subscriptions and professional membership fees
- d) Before approval for payment, purchases will be reviewed and must meet the following criteria:
  - Legitimate
  - Appropriate
  - Reasonable
  - For Commission purposes only
  - In accordance with Commission policies and procedures
- e) Approval authority to proceed to purchase shall be delegated as follows:
  - Purchases exceeding or equal to \$10,000.00 - the Commission
  - Purchases less than \$10,000.00 - the Senior Planner
  - Purchases less than \$5,000.00 - the Financial Administrator
- f) All invoices shall be approved by the Senior Planner (or the Chair when the invoice is payable to the Senior Planner). Payment shall be by cheque with two authorized signatures. All payments issued for goods or services purchased shall be reviewed by the Commission at a regular meeting of the Commission on the agenda as "Accounts Payable".

- g) Purchases for goods and/or services with a value of over \$10,000.00 shall require three comparable quotations as set out in the Contracting Policy prior to a decision to proceed with purchase. Quotations are not required where there is a sole source of supply.
- h) A member of the Commission or an employee of the Commission who has a direct pecuniary interest in any purchase of goods and/or services shall make a written declaration of such interest and shall not participate in the approval process of such purchase. Pecuniary interests shall include the interest of a spouse or dependent child of the Commission member or employee.
- i) Where practical and economically feasible, preference for the purchase of goods and/or services shall be given to suppliers within the Yukon Territory, all other things being equal.