

# THE STATE TRANSPARENCY AND ACCOUNTABILITY REFORM (STAR) COMMISSION

## STAR Commission – Agency Questionnaire

### 1. General – Please provide:

- a. Your Mission/Vision statements
- b. Brief history about your agency and its relationship to the state including any legislation or statutory citation that created the agency.
- c. Rationale - why are your agencies functions best facilitated as a quasi-private agency and not through existing state agencies or the private sector?
- d. Does your organization have a strategic plan with objectives and measures? How often are your plans reviewed and updated? Please provide documents.
- e. Does your organization have an internal controls process, if so, please provide documentation? If not, why?
- f. What have you done to research, review, adopt and implement best practices? Please describe best practices being followed.
- g. List of state governmental agencies your organization interacts with most.
- h. How do other states fulfill similar functions (e.g., similar quasi-government approach; traditional state agency; or private sector)?
- i. How many employees are in the agency?
- j. Are employees in the agency subject to collective bargaining laws?
- k. Are your employees part of the state personnel system?

### 2. Financials

- a. A summary of the 2020 financials showing revenue sources (how much from state of MD, other major sources) and expenses by element (payroll, consultants, T&E, etc.)
- b. Confirm that you have utilized external auditors for the last 3 years with copies of management letters.
- c. Confirm and comment on audits by any state agency.
- d. Provide three years of financials (specify fiscal or calendar year)
- e. Does anyone else do audits? If so, who? Please provide.

### 3. Board/Governance

- a. Provide documentation of duties, responsibilities, and requirements for board members, including limitations and regulations.
- b. A list of directors/executives showing employment and length of terms on board.

- c. How are governing boards appointed and by what appointing authority? Do they have terms of office, stipends, required qualifications, etc.?
- d. Any payments to directors' individually, their families or businesses in the last 3 years.
- e. Copies of board minutes for the past 3 years.
- f. Copies of minutes of any board committees for the past 3 years.
- g. Schedule of committees of each board with name of members for each.
- h. What are the roles of executive employees with respect to the governing board?
- i. How do you ensure that you are operating efficiently, effectively, and ethically?
- j. Do you have a system to ensure employees can report concerns or suggestions without fear of reprisal?
- k. Do you provide reimbursement for mileage or travel? For board members specifically.
- l. How do you ensure public access to--and public input into--your Board meetings?
- m. What level of expense requires board approval?
- n. Does the agency have a diversity officer and/or diversity policy?
- o. Do any board or agency actions require Board of Public Works approval?
- p. Are there any current vacancies on the Board, how long have they been place, and are any members held over beyond their terms?

#### 4. Compensation/Performance

- a. Compensation of top 5 employees.
- b. Do board members receive monetary compensation?
- c. How are salaries and bonuses (if any) determined and what level of public transparency of salaries and bonuses is available?
- d. How are the executive and management employees hired, and who has oversight of their performance?
- e. Do you have policies and procedures around talent and performance management that include an organization career model with compensation models? Please provide documents.
- f. How do you determine compensation, bonus, raises, severance and other benefits package, and how often are they reviewed?
- g. Please provide copies of any agency policies related to compensation; bonuses; severance; expense reimbursement; tuition reimbursement; and travel, including who approves each and whether any agency employees are exempt from that approval process.
- h. Are you aware of any severance packages paid by your agency to employees who went elsewhere in state service within the year of their departure and, if so, provide details?

#### 5. Accountability

- a. Conflict of interest policy, if any, and reports from each director if required?

- b. How is compliance with the statutory mission, duties, and applicable State policies determined?
- c. What conflict of interest provisions are in effect for employees and governing board members?
- d. What are the methods you use for maintaining transparency to the state of Maryland?
- e. What are the policies and procedures for documentation of agency activities and decision-making?
- f. Are all board meetings documented? What level of detail is used in documenting the meeting discussion? Where and how long are documents retained?
- g. Same for executive and staff meetings.
- h. Same for meetings and phone calls with clients / customers.
- i. What is the policy surrounding retention of emails?

Possible edit: Refer to "existing state agencies" as "traditional state agencies." These entities are instruments of the state and I think we are clouding the issue by not referring to them as state agencies.