

**POLICY OF THE BOARD OF THE PASCO-HERNANDO COUNTIES  
EARLY LEARNING COALITION**

**Policy Type:** Executive Limitations  
**Policy Title:** Global Executive Constraint  
**Policy Serial Number:** EL #1

The Executive Director shall not cause or allow any practice, activity, decision, or organizational circumstance that is either unlawful, imprudent, or in violation of (1) Coalition and statutory policy and regulation and (2) commonly accepted business and professional ethics.

**Policy Type:** Executive Limitations  
**Policy Title:** Treatment of Customers  
**Policy Serial Number:** EI #2a

With respect to interactions with consumers or those applying to be consumers, the Executive Director shall not cause or allow conditions, procedures, or decisions that are unsafe, undignified, discriminatory, unnecessarily intrusive, or that fail to provide appropriate confidentiality or privacy.

Accordingly, he or she shall not:

1. Use application forms that elicit information for which there is no clear necessity.
2. Use methods of collecting, reviewing, transmitting, or storing client information that fail to protect against improper access to the material elicited.
3. Maintain facilities that fail to provide a reasonable level of privacy, both visual and aural.
4. Fail to establish with consumers a clear understanding of what may be expected and what may not be expected from the service offered.
5. Fail to inform consumers of this policy, or to provide a grievance process to those who believe they have not been accorded a reasonable interpretation of their rights under this policy.

**Policy Type:** Executive Limitations  
**Policy Title:** Treatment of Staff  
**Policy Serial Number:** EL 2b

With respect to the treatment of paid and volunteer staff, the Executive Director shall not cause or allow conditions, procedures, or decisions that are unsafe, undignified, discriminatory, unnecessarily intrusive, or that fail to provide appropriate confidentiality or privacy.

Accordingly, he or she shall not:

1. Operate without written personnel policies that clarify personnel rules for staff, provide for effective handling of grievances, and protect against wrongful conditions such as nepotism and grossly preferential treatment for personal reasons.
2. Discriminate against any staff member for expressing an ethical dissent.
3. Prevent staff from grieving to the board when (1) internal grievance procedures have been exhausted and (2) the employee alleges either that (a) board policy has been violated to his or her detriment or (b) board policy does not adequately protect his or her human rights.
4. Fail to acquaint staff with their rights under this policy.

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Executive Limitations**  
**Financial Planning and Budgeting**  
**EL #2c**

Financial planning for any fiscal year or the remaining part of any fiscal year shall not deviate materially from the board's Ends priorities, risk fiscal jeopardy, cause unacceptable fiscal liability or fail to be derived from a multiyear plan.

Accordingly, the Executive Director shall not allow budgeting that:

1. Contains too little information to enable credible projection of revenues and expenses, separation of capital and operational items, cash flow and disclosure of planning assumptions.
2. Plans the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period.
3. Does not maintain a current ratio of 1:1 or better.
4. Provides less for board prerogatives during the year than is set forth in the Cost of Governance policy.

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Executive Limitations**  
**Financial Conditions and Activities**  
**EL #2d**

With respect to the actual, ongoing financial condition and activities, the Executive Director shall not cause or allow the development of fiscal jeopardy or material deviation of actual expenditures from board priorities established in the Coalition Plan submitted to the State and in Ends policies.

Accordingly the Executive Director shall not:

1. Expend more funds than have been received in the fiscal year to date, unless the debt guideline (to follow) is met.
2. Indebt the organization in an amount greater than can be repaid by certain, otherwise unencumbered revenues within sixty days.
3. Use any long-term reserves without Board approval.
4. Conduct interfund shifting in amounts greater than can be restored to a condition of discrete fund balances by certain, otherwise unencumbered revenue within thirty days.
5. Fail to settle payroll and debts in a timely manner.
6. Allow tax payments or other government-ordered payments or filings to be overdue or inaccurately filed.
7. Make a single purchase or commitment of greater than \$5,000.00 without prior approval.
8. Acquire, encumber, or dispose of real property.

**Policy Type:**

**Executive Limitations**

**Policy Title:**

**Emergency Executive Director Succession**

**Policy Serial Number:**

**EL #2e**

In order to protect the board from sudden loss of Executive Director services, the Executive Director must have at least one other executive/staff member familiar with board and Executive Director issues and processes.

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Executive Limitations**  
**Asset Protection**  
**EL #2f**

The Executive Director shall not allow the assets to be unprotected, inadequately maintained, or unnecessarily risked.

Accordingly, he or she may not:

1. (A) Fail to insure against theft and casualty losses at the highest cost effective premium for replacement value and (B) against liability losses to board members, staff, and the organization itself in an amount at least equal to for comparable organizations.
2. Allow unbonded personnel access to funds.
3. Subject plant and equipment to improper wear and tear or insufficient maintenance.
4. Unnecessarily expose the organization, its board, or staff to claims of liability.
5. Fail to protect intellectual property, information and files from loss or significant damage.
6. Receive, process, or disburse funds under controls that are insufficient to meet the board-appointed auditor's standards.
7. Invest or hold operating capital in insecure instruments, including uninsured checking accounts and bonds of less than AA rating, or in non-interest-bearing accounts except where necessary to facilitate ease in operational transactions.
8. Endanger or place at risk the organization's public image or credibility, particularly in ways that would hinder its accomplishment of mission.

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Executive Limitations**  
**Compensation and Benefits**  
**EL #2g**

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

Accordingly, he or she shall not:

1. Change his or her own compensation and benefits.
2. Promise or imply permanent or guaranteed employment.
3. Establish current compensation and benefits that deviate materially from the geographic or professional market for the skills employed
4. Create compensation obligations over a longer term than revenues can be (1) safely projected, (2) outside of Coalition Plan parameters, (3) in no event longer than one year, and (4) in all events subject to losses in revenue.
5. Establish or change benefits so as to cause unpredictable or inequitable situations, including those that
  - a. Incur unfunded liabilities
  - b. Provide less than some basic level of benefits to all full-time employees, though differential benefits to encourage longevity are not prohibited.
  - c. Allow any employee to lose benefits already accrued from any foregoing plan.
  - d. Treat the Executive Director differently from other key employees.

**Policy Type:** Executive Limitations  
**Policy Title:** Communication and Support to the Board  
**Policy Serial Number:** EL #2h

The Executive Director shall not permit the board to be uninformed or unsupported in its work.

Accordingly, he or she shall not:

1. Neglect to submit monitoring data required by the board (see policy on Monitoring Executive Director Performance) in a timely, accurate, and understandable fashion, directly addressing provisions of board policies being monitored.
2. Let the board be unaware of relevant trends, anticipated adverse media coverage, material external and internal changes, particularly changes in the assumptions upon which any board policy has previously been established.
3. Fail to advise the board if, in the Executive Director's opinion, the board is not in compliance with its own policies on Governance Process and Board-Executive Director Linkage, particularly in the case of board behavior that is detrimental to the work relationship between the board and the Executive Director.
4. Fail to marshal for the board as many staff and external points of view, issues, and options as needed for fully informed board choices.
5. Present information in unnecessarily complex or lengthy form, or in a form that fails to differentiate among information of three types: monitoring, decision preparation, and other.
6. Fail to provide a mechanism for official board, officer or committee communications.
7. Fail to deal with the board as a whole except when (a) fulfilling individual requests for information or (b) responding to officers or committee duly charged by the board.
8. Fail to report in a timely manner an actual or anticipated noncompliance with any policy of the board.
9. Fail to supply for the consent agenda all items delegated to the Executive Director yet required by law or contract to be board-approved, along with the monitoring assurance pertaining thereto.

**Policy Type:** Executive Limitations  
**Policy Title:** Volunteers  
**Policy Serial Number:** EL #2i

**Policy Type:** Governance Process  
**Policy Title:** Global Governance Commitment  
**Policy Serial Number:** GP #1

The purpose of the board, on behalf of Pasco and Hernando communities, is to see to it that the Early Learning Coalition of Pasco and Hernando Counties, Inc. (1) achieves appropriate results for eligible children and their families at an appropriate cost and (2) avoids unacceptable actions and situations.

**Policy Type:** Governance Process  
**Policy Title:** Governing Style  
**Policy Serial Number:** GP 2a

The board will govern with an emphasis on (1) outward vision rather than internal preoccupation, (2) encouragement of diversity of viewpoints, (3) strategic leadership more than administrative detail, (4) clear distinction of board and chief executive roles, (5) collective rather than individual decisions, (6) future rather than past or present, and (7) proactivity rather than reactivity.

Accordingly,

1. The board will cultivate a sense of group responsibility. The board, not the staff, will be responsible for excellence in governing. The board will be the initiator of policy, not merely a reactor to staff initiatives. The board will use the expertise of individual members to enhance the ability of the board as a body rather than substitute individual judgments for the board's values. The board will allow no officer, individual or committee of the board to hinder or be an excuse for not fulfilling board commitments.
2. The board will direct, control and inspire the organization through the careful establishment of broad written policies reflecting the board's values and perspectives about ends to be achieved and means to be avoided. The board's major policy focus will be on the intended long-term effects outside the organization, not on the administrative or programmatic means of attaining those effects.
3. The board will enforce upon itself whatever discipline is needed to govern with excellence. Discipline will apply to matters such as attendance, preparation, policy-making principles, respect of roles, and ensuring continuance of governance capability. Continual board development will include, but not limited to, orientation of new board members in the board's governance process and periodic board discussion of process improvement.
4. The board will monitor and discuss the board's process and performance at each meeting. Self-monitoring will include comparison of board activity and discipline to policies in the Governance Process and Board-Executive Director Linkage categories.

**Policy Type:** Governance Process  
**Policy Title:** Board Job Description  
**Policy Serial Number:** GP 2b

The job of the board is to represent the communities of Pasco and Hernando Counties in determining and demanding appropriate organizational performance.

Accordingly,

1. The board will produce the link between the Coalition and the communities of Pasco and Hernando Counties.
2. The board will produce written governing policies that, at the broadest levels, address each category of organizational decision.
  - a. *Ends:* Organizational products, effects, benefits, outcomes, recipients and their relative worth (what good for which recipients at what cost).
  - b. *Executive Limitations:* Constraints on executive authority that establish the prudence and ethics boundaries within which all executive activity and decisions must take place.
  - c. *Governance Process:* Specification on how board receives, carries out and monitors its own task.
  - d. *Board-Executive Director Linkage:* How power is delegated and its proper use monitored; the Executive Director role, authority and accountability.
3. The board will produce assurance of Executive Director performance (against policies in 2a and 2b).

**Policy Type:** Governance Process  
**Policy Title:** Agenda Planning  
**Policy Serial Number:** GP 2c

To accomplish its job products with a governance style consistent with board policies, the board will follow an annual agenda that (1) completes re-exploration of Ends policies annually and (2) continually improves board performance through board education and enriched input and deliberation.

Accordingly,

1. The cycle will conclude each year on the last day of March so that administrative planning and budgeting can be based on accomplishing a one-year segment of the board's most recent statement of long-term Ends.
2. The cycle will start with the board's development of its agenda for the next year.
  - a. Consultations with selected groups in the ownership or other methods of gaining ownership input will be determined and arranged in the first quarter, to be held during the balance of the year.
  - b. Governance education and education related to Ends determination (for example, presentations by demographers, advocacy groups, and staff) will be arranged in the first quarter, to be held during the balance of the year.
3. Throughout the year, the board will attend to consent agenda items as expeditiously as possible.
4. Executive Director monitoring will be included on the agenda if monitoring reports show policy violations or if policy criteria are to be debated.
5. Executive Director remuneration will be decided after a review of monitoring reports received in the last year during the month of February covering through the last month of the prior fiscal year.

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Governance Process**  
**Chairperson's Role**  
**GP #2d**

The chairperson assures the integrity of the board's process and may represent the board to outside parties.

Accordingly,

1. The job result of the chairperson is that the board behaves consistently with its own rules and those legitimately imposed upon it from outside the organization.
  - a. Meeting discussion content will be only those issues which, according to board policy, clearly belong to the board to decide, not the Executive Director.
  - b. Deliberation will be fair, open and thorough, but also timely, orderly, and kept to the point.
2. The authority of the chairperson consists in making decisions that fall within topics covered by board policies on Governance Process and Board-Executive Director Linkage, except where the board specifically delegates portions of this authority to others. The chairperson is authorized to use any reasonable interpretation of the provisions of these policies.
  - a. The chairperson is empowered to chair board meetings, with all the commonly accepted power of that position (for example, ruling, recognizing).
  - b. The chairperson has no authority to make decisions about policies created by the board within Ends and Executive Limitations policy areas. Therefore, the chairperson has no authority to supervise or direct the Executive Director.
  - c. The chairperson may represent the board to outside parties in announcing board-stated positions and in stating chair decisions and interpretations within the area delegated to her or him.
  - d. The chairperson may delegate this authority but remains accountable for its use.

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Governance Process**  
**Board Members' Code of Conduct**  
**GP 2e**

The board commits itself and its members to ethical, businesslike, and lawful conduct, including proper use of authority and appropriate decorum when acting as board members.

Accordingly,

1. Members must represent unconflicted loyalty to the interests of the ownership. This accountability supersedes any conflicting loyalty such as that to advocacy or interest groups and membership on other boards or staffs. It also supersedes the personal interest of any board member acting as a consumer of the organization's services.
2. Members must avoid conflict of interest with respect to their fiduciary responsibility.
  - a. There must be no self-dealing or any conduct of private business or personal services between any board member and the organization except as procedurally controlled to assure openness, competitive opportunity, and equal access to inside information.
  - b. When the board is to decide upon an issue about which a member has an unavoidable conflict of interest, that member shall recuse themselves from the vote and avoid self promotion.
  - c. Board members must not use their positions to obtain employment for themselves, family members, or close associates. Should a member desire employment, he or she must first resign.
  - d. Members will annually disclose their involvements with other organizations, with vendors, or any other associations that might produce a conflict.
3. Board members may not attempt to exercise individual authority over the organization except as explicitly set forth in board policies.
  - a. Members' interaction with the Executive Director or with staff must recognize the lack of authority vested in individuals except when explicitly board authorized.
  - b. Members' interactions with public, press, or other entities must recognize the same limitation and the inability of any board member to speak for the board except to repeat explicitly stated board decisions.
  - c. Members will give no consequence or voice to individual judgments of Executive Director or staff performance.
4. Members will respect the confidentiality appropriate to issues of a sensitive nature.
5. \*\*\*\*\*Add Volunteer statement here\*\*\*\*\*

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Governance Process**  
**Board Committee Principles**  
**GP 2f**

Board committees, when used, will be assigned so as to reinforce the wholeness of the board's job and so as never to interfere with delegation from board to Executive Director.

Accordingly,

1. Board committees are to help the board do its job, never to help or advise the staff. Committees ordinarily will assist the board by preparing policy alternatives and implications for board deliberation. In keeping with the board's broader focus, board committees will normally not have dealings with current staff operations.
2. Board committees cannot exercise authority over staff. Because the Executive Director works for the full board, he or she will not be required to obtain approval of a board committee before an executive action.
3. Board committees are to avoid over-identification with organizational parts rather than the whole. Therefore a board committee that has helped the board create policy on some topic will not be used to monitor organizational performance on that same topic.
4. Committees will be used sparingly and ordinarily in an ad hoc capacity. The sole standing committee of the board shall be the Executive Committee.
5. This policy applies to any group that is formed by board action, whether or not it is called a committee and regardless when the group includes board members. It does not apply to committees formed under the authority of the Executive Director.

**INCOMPLETE**

**Policy Type:** Governance Process  
**Policy Title:** Cost of Governance  
**Policy Serial Number:** GP 2g

The board will invest in its governance capacity, because poor governance costs more than learning to govern well.

Accordingly,

1. Board skills, methods, and supports will be sufficient to assure governing with excellence.
  - a. Training and retraining will be used liberally to orient new members and candidates for membership, as well as to maintain and increase existing member skills and understandings.
  - b. Outside monitoring assistance will be arranged so that the board can exercise confident control over organizational performance. This includes but is not limited to fiscal audit.
  - c. Outreach mechanisms will be used as needed to ensure the board's ability to listen to owner viewpoints and values.
2. Costs will be prudently incurred, though not at the expense of endangering the development and maintenance of superior capability.
  - a. Up to \$\_\_\_\_\_ in fiscal year \_\_\_\_\_ for training, including attendance at conferences and workshops.
  - b. Up to \$\_\_\_\_\_ in fiscal year \_\_\_\_ for audit and other third-party monitoring of organizational performance.
  - c. Up to \$\_\_\_\_\_ in fiscal year \_\_\_\_\_ for surveys, focus groups, opinion analyses, and meeting costs.

**INCOMPLETE**

**Policy Type:** Board-Executive Director Linkage  
**Policy Title:** Global Board-Executive Director Linkage  
**Policy Serial Number:** BCL #1

The board's sole official connection to the operational organization, its achievements, and conduct will be through an Executive Director.

**Policy Type:** Board-Executive Director Linkage  
**Policy Title:** Unity of Control  
**Policy Serial Number:** BCL #2a

Only decisions of the board acting as a body are binding on the Executive Director.

Accordingly,

1. Decisions or instructions of individual board members, officers, or committees are not binding on the Executive Director except in rare instances when the board has specifically authorized such exercise of authority.
2. In the case of board members or committees requesting information or assistance without board authorization, the Executive Director can refuse such requests that require, in the Executive Director's opinion, a material amount of staff time or funds, or are disruptive.

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Board-Executive Director Linkage**  
**Accountability of the Executive Director**  
**BCL #2b**

The Executive Director is the board's only 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 Executive Director.

Accordingly,

1. The board will never give instructions to persons who report directly or indirectly to the Executive Director.
2. The board will refrain from evaluating, either formally or informally, any staff other than the Executive Director.
3. The board will view Executive Director performance as identical to organizational performance, so that organizational accomplishment of board-stated Ends and avoidance of board-proscribed means will be viewed as successful Executive Director performance.

**Policy Type:**  
**Policy Title:**  
**Policy Serial Number:**

**Board-Executive Director Linkage**  
**Delegation to the Executive Director**  
**BCL #2c**

The board will instruct the Executive Director through written policies that prescribe the organizational Ends to be achieved and describe organizational situations and actions to be avoided, allowing the Executive Director to use any reasonable interpretation of these policies.

Accordingly,

1. The board will develop policies instructing the Executive Director 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*.
2. The board will develop policies that limit the latitude the Executive Director 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*.
3. As long as the Executive Director uses any reasonable interpretation of the Board's Ends and Executive Limitations policies, the Executive Director is authorized to establish all further policies, make all decisions, take all actions, establish all practices, and develop all activities.
4. The board may change its Ends and Executive Limitations policies, thereby shifting the boundary between board and Executive Director domains. By doing so, the board changes the latitude of choice given to the Executive Director. But as long as any particular delegation is in place, the board will respect and support the Executive Director's choices.

**Policy Type:** Board-Executive Director Linkage  
**Policy Title:** Monitoring Executive Director Performance  
**Policy Serial Number:** BCL #2d

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

Accordingly,

1. Monitoring is simply to determine the degree to which board policies are being met. Data that do not do this will not be considered to be monitoring data.
2. The board will acquire monitoring data by one or more of three methods: (a) by internal report, in which the Executive Director discloses 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.
3. In every case, the standard for compliance shall be any reasonable Executive Director interpretation of the board policy being monitored.
4. All policies that instruct the Executive Director 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.

<b>POLICY</b>	<b>METHOD</b>	<b>FREQUENCY</b>
Treatment of Consumers	Internal	Annually
Treatment of Staff	Internal	Annually
Financial Planning & Budgeting	Internal	Quarterly
Financial Condition and Activities	Internal	Quarterly
	External	Annually
Emergency CEO Succession	Internal	Annually
Compensation & Benefits	Internal	Annually
	External	Biannually
Communication & Support	Direct Inspection	Annually

NOTE: As Ends policies are developed, they will be added to this list.

**Policy Type:**  
**Policy Title:**

**Ends Policies**  
**Global Ends Statement**

The purpose of the Early Learning Coalition of Pasco and Hernando Counties, Inc. is that children in our counties are prepared to enter and succeed in school.

Priorities (Drafted October 6, 2005)

- (A) Quality and excellence of childcare centers and providers. Facilities will meet high quality standards-clean, safe, developmentally appropriate, nurturing and accredited.
- (B) Public behavioral change for the success of children through education and outreach. All parts of our community are committed to children. Achieve 90% participation in VPK.
- (C) Families are knowledgeable about early childhood development issues.

Add to Agenda

- Timetable
- Master calendar
- Level II Ends Statements
- Define research plan for our costs
- Guiding principles
- Orient new board members to policies
- What should it cost?

To Do

- Develop formal policy manual
- Establish standard format
- Publish and update regularly
- Use at every board meeting
- Assess former policies
- Seek legal council for new policies
- Let public know of change
- Set date for formal launch

Add to policies

- Board member removal
- Member terms
- Volunteers
- ED consequences
- Board member consequences
- Member orientation