



POLK COUNTY
EARLY CHILDHOOD IOWA

Policy and Procedure Manual

Updated:
June 26, 2015

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Polk County Early Childhood Iowa Policies and Procedures Manual

Policies can paraphrase a law, explain a procedure, clarify a principle, or express a desired goal. They can address the protocol to follow to help diminish embarrassing or potentially harmful situations, improper behavior and ineffective decision-making. An organization usually has board-related, personnel and financial policies; the financial policies either clarify the Board's responsibilities or how the staff handles financial issues. The Executive Director is responsible for personnel policies and office procedures, but the Board should make sure these exist and are adequate.

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Section 1: ORGANIZATION

PLANNING

Policy ID: 1.1 **Title:** Community Plan

Policy: The Polk County ECI Board shall develop a community plan that meets Iowa Code requirements and best serves the children 0-5 of Polk County. This plan shall be used to guide the Board in their funding decisions.

Code reference:

256i.8 (1) (c) Develop a comprehensive community plan for providing services for children from zero through age five. At a minimum, the plan shall do all of the following:

- (1) Describe community and area needs for children from zero through age five as identified through ongoing assessments.
- (2) Describe the current and desired levels of community and area coordination of services for children from zero through age five, including the involvement and specific responsibilities of all related organizations and entities.
- (3) Identify all federal, state, local, and private funding sources including funding estimates available in the early childhood Iowa area that will be used to provide services to children from zero through age five.
- (4) Describe how funding sources will be used collaboratively and the degree to which the sources can be combined to provide necessary services to young children and their families.
- (5) Identify the desired results and the community-wide indicators the area board expects to address through implementation of the comprehensive community plan. The plan shall identify community-specific, quantifiable performance measures to be reported in the area board's annual report and integration with the strategic plan adopted by the state board.
- (6) Describe the current status of support services to prevent the spread of infectious diseases, prevent child injuries, develop health emergency protocols, help with medication, and care for children with special health needs that are being provided to child care facilities registered or licensed under chapter 237A within the Early Childhood Iowa area.

Bylaws reference:

Definitions:**Procedures:**

- At least every three years the Polk County ECI Board shall update its community plan. As part of this process the board will try to get input from as much of the community as possible.
- The Board shall use all the information and data available to them to determine where there are gaps in service and the areas of greatest need in community for children 0-5.
- Annually the Polk County ECI staff will inform the Board of any changes in the Iowa Code regarding the community plan requirements that they need to address.
- This plan shall be shared with community partners and disseminated broadly so that all potential funded programs are aware of what the board sees as the community needs.
- The plan shall be posted on the Polk County ECI website.
- The board shall reference the plan when making funding decisions.

Date Approved by the Polk County ECI Board: October 22, 2014

REPORTING

Policy ID: 1.2

Title: Annual Report

Policy: The Polk County ECI shall produce an Annual Report that complies with state requirements which the board will approve before it is submitted to the state.

Code reference:

256i.8 (1) (d) Submit an annual report on the effectiveness of the community plan in addressing school readiness and children's health and safety needs to the state board and to the local government bodies in the area. The annual report shall indicate the effectiveness of the area board in addressing state and locally determined goals.

Bylaws reference:

Definitions:

Procedures:

- The Polk County ECI Annual Report is compiled by the staff using the electronic form and requirements established by the ECI office.
- Financials are completed by the Executive Director and presented to the Fiscal Agent for verification and approval prior to the August board meeting.
- The Annual Report is presented to the Board at the August meeting for Board approval and signature by the Board Chairperson.
- The Annual Report is submitted electronically by the Executive Director to the ECI office by September 15th.
- The Annual Report is posted on the Polk County ECI website for public access.

Date Approved by the Polk County ECI Board: October 22, 2014

COMMUNICATIONS

Policy ID: 1.3 Title: Responding to Inquiries from the Public

Policy: Polk County ECI will respond to public inquiries made by members of the public.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The Polk County ECI website will indicate how the public can contact Polk County ECI staff and Board if they have questions. It will also make the public aware that each meeting is open to the public and includes time for them to comment.
- The staff will be responsible for responding to routine questions from the public.
- The staff shall inform the chair if an inquiry is received which may need to be answered by the Board Chair.
- Any letter or inquiry which comes in addressed to the chair or the Board shall be forwarded to the Board Chair who shall respond.
- The Board will be made aware of letters that are sent to the Board and of the response made by the Chair.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 1.4

Title: Responding to inquiries from the State

Policy: The staff or Board Chair shall respond to any inquiry from the state ECI office in a timely manner.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The Executive Director shall respond to routine inquiries made by the ECI state staff.
- The Executive Director shall make the chair aware of inquiries that are unusual or where the response may need input from the Chair and/or the Board.
- Any inquiry from the state addressed to the Chair or the Board as a whole will be forwarded to the chair. The Chair shall work with the Executive Director on responding in a timely manner. The Board shall be informed of all such inquiries at their next meeting.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 1.5

Title: Responding to Inquiries from the Media

Policy: The Executive Director and/or Board Chairperson are the official spokespersons for Polk County ECI and shall provide the news media with a formal channel of communication.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Communication with the media will be handled in an accurate and honest way consistent with other related board policies.
- The Executive Director shall handle media requests related to general early childhood information
- Media questions related to the operations of the Board and board action shall be forwarded to the Board Chair.

Date Approved by the Polk County ECI Board: November 19, 2014

Section 2: BOARD OPERATIONS

BOARD MEMBERSHIP

Policy ID: 2.1 **Title:** Board Membership Requirements

Policy: The Polk County ECI board shall meet all membership requirements set out in the Iowa Code and in the Polk County ECI Bylaws.

Code reference:

Iowa Code, Chapter 256I.7(1)(a): The members of an area board shall be elected officials or members of the public who are not employed by a provider of services to or for the area board. In addition, the membership of an area board shall include representation from education, health, human services, business, and faith interests, and at least one parent, grandparent, or guardian of a child from zero through age five. However, not more than one member shall represent the same entity or interest. (1)(b): Terms of office of community board members shall be not more than three years and the terms shall be staggered.

Iowa Code, Chapter 69.16A: All appointive boards, commissions, committees, and councils of the state established by the Code, if not otherwise provided by law, shall be gender balanced.

Bylaws reference:

ARTICLE III: MEMBERS

All members of the Board must be residents of Polk County. The number of voting Board members shall consist of 15-20 members.

Definitions: Source – Iowa Code

“citizen representative” – a member of the Early Childhood Iowa area board, who is not an elected official or a member of the public employed by a provider of services to or for the area board.

“elected official” – a member of a board or governing body elected through the means of a public election.

“members of the public” – an individual that meets the definition of a citizen representative.

Interest group perspectives:

“education, health, human services” – individuals who have knowledge in these areas. These individuals are not required to be an employee of a State of Iowa department, e.g., Department of Human Services.

“ parent, guardian, grandparent” – a parent or primary caregiver of a child, including grandparents or other relatives of the child, and foster parents, who are serving as the child's primary caregiver from birth to kindergarten entry, and including a noncustodial parent who has an ongoing relationship with, and at times provides physical care for, the child.

“business” – an individual representing the required perspective of business on the Early Childhood Iowa area board.

“faith” – An individual representing the required perspective of faith on the Early Childhood Iowa area board. This individual is not required to be a member of the clergy.

Procedures:

- The Polk County ECI Executive Director shall make the Board aware of any changes in the Iowa Code concerning the composition of local area boards.
- The Board shall be reminded of the requirements of the State Code and bylaws prior to voting on any nominations brought to them.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy: Members will be aware of their role and responsibilities.

Code reference:

256I.8 Early Childhood Iowa area board duties.

1. An Early Childhood Iowa area board shall do all of the following:
 - a. Designate a public agency of this state, as defined in section 28E.2, a community action agency as defined in section 216A.91, an area education agency established under section 273.2, or a nonprofit corporation, to be the fiscal agent for grant moneys and for other moneys administered by the area board.
 - b. Administer Early Childhood Iowa grant moneys available from the state to the area board as provided by law and other federal, state, local, and private moneys made available to the area board. Eligibility for receipt of Early Childhood Iowa grant moneys shall be limited to those early childhood area boards that have developed an approved community plan in accordance with this chapter. An early childhood area board may apply to the state board for any private moneys received by the Early Childhood Iowa initiative outside of a state appropriation.
 - c. Develop a comprehensive community plan for providing services for children from zero through age five. At a minimum, the plan shall do all of the following:
 - i. Describe community and area needs for children from zero through age five as identified through ongoing assessments.
 - ii. Describe the current and desired levels of community and area coordination of services for children from zero through age five, including the involvement and specific responsibilities of all related organizations and entities.
 - iii. Identify all federal, state, local, and private funding sources including funding estimates available in the Early Childhood Iowa area that will be used to provide services to children from zero through age five.
 - iv. Describe how funding sources will be used collaboratively and the degree to which the sources can be combined to provide necessary services to young children and their families.
 - v. Identify the desired results and the community-wide indicators the area board expects to address through implementation of the comprehensive community plan. The plan shall identify community-specific, quantifiable performance measures to be reported in the area board's annual report and integration with the strategic plan adopted by the state board.
 - vi. Describe the current status of support services to prevent the spread of infectious diseases, prevent child injuries, develop health emergency protocols, help with medication, and care for children with special health

needs that are being provided to childcare facilities registered or licensed under chapter 237A within the early childhood Iowa area.

- d. Submit an annual report on the effectiveness of the community plan in addressing school readiness and children's health and safety needs to the state board and to the local government bodies in the area. The annual report shall indicate the effectiveness of the area board in addressing state and locally determined goals.
 - e. Function as a coordinating body for services offered by different entities directed to similar purposes within the area.
 - f. Assume other responsibilities established by law or administrative rule.
 - g. Cooperate with the state board, department of education, and school districts and other local education agencies in securing unique student identifiers, in compliance with all applicable federal and state confidentiality provisions.
2. An area board may do any of the following:
 - a. Designate one or more committees to assist with area board functions.
 - b. Utilize community bodies for input to the area board and implementation of services.
 3. An area board shall not be a provider of services to, or for, the area board.

Bylaws reference:

ARTICLE IV GOVERNANCE

The Polk County ECI Board shall be, and shall possess all of the powers of, the governing body of the Polk County ECI area. The Polk County ECI board shall manage the business and affairs of Polk County ECI, as directed in Iowa Code, Chapter 256I.8.

The Polk County ECI Board has fiscal responsibility for the proposals granted during the current fiscal year within the Early Childhood Iowa area and ensures that funded proposals/requests are in keeping with the mission statement and goals of the Polk County ECI.

The organization is not a separate non-profit organization and has no members as such. The Board shall designate a fiscal agent each year and ensure that the auditing requirements laid out in the Iowa Code are met.

Procedures:

- The Board shall periodically, at least once every three years, review and approve a board member job description, which outlines the responsibilities of the Board as a whole as well as that of individual members.
- At the first meeting of each year each board member shall affirm that they have read the job description and are prepared to carry out the duties listed there.

Form: Board Member Job Description

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.3

Title: Board Membership Recruitment

Policy: The Polk County Early Childhood Iowa Board shall recruitment members so it can fulfill its mission and stay in compliance with all board membership requirements set by the Iowa Code and Polk County ECI Bylaws.

Code reference:

Bylaws reference:

Procedures:

- The Polk County ECI website shall have posted on it at all times a board member application as well as the board membership requirements for interest group representatives.
- A board member or staff shall contact potential board members to provide them information on how the Board functions and what is expected of board members. If they have not already filled out an application, one will be provided.
- Board members will be regularly reminded to encourage prospects they know to apply. Community partners are welcome to make suggestions and encourage individuals to apply.
- The Polk County ECI staff shall maintain the file of all individuals who have completed a board member application and make it available to all board members when requested.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.4 Title: Election of Board Members

Policy: The Chair shall appoint a governance committee, which shall present a slate of candidates for the Board to vote on at their annual meeting.

Code reference:

256I.7(1)(b) Terms of office of area board members shall be not more than three years and the terms shall be staggered.

Bylaws reference:

ARTICLE III: MEMBERSHIP

Board members will serve a term of three years. A Board member shall be entitled to be re-appointed for one additional three-year term or up to eight consecutive years. An individual who has left the Board shall be eligible for election again after being off the Board for two years.

Procedures:

- The chair shall appoint a governance committee at least three months prior to the annual meeting.
- The Polk County ECI staff will give the committee any applications which have come into the office and inform them of whose terms are ending and who may be renominated for a second term, with special notice of any state code required representation that needs to be filled.
- The staff shall develop a matrix showing the community representation of the current board and the areas where the Board is lacking to include gender, residency, interest group representation.
- The governance committee will contact prospects to ensure that they understand the roles and responsibilities of the Polk County ECI board. They will also check that they have no conflict that would preclude them from serving.
- At the annual meeting, the governance committee will present a slate of individuals for nomination to membership for the Board to vote on, ensuring that all code and bylaw requirements are met.
- A board member will continue to serve until their successor is elected.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.5

Title: Filling Board Vacancies During the Year

Policy: The Polk County ECI board will fill vacancies during the year when it is necessary to meet state or bylaws requirements. If that is not the case, the vacancy may be filled at the next annual meeting.

Code reference:

Bylaws reference:

ARTICLE III: MEMBERSHIP

Vacancies may be filled at any Board meeting and, if the Board must fill the vacancy to meet state or other requirements, the vacancy must be filled within 90 days.

Procedures:

- If there is a vacancy on the Board whether due to resignation or otherwise during the year, the Executive Director will inform the Board on whether the vacancy needs to be filled immediately in order to keep the Board in compliance with both Iowa Code and Polk County ECI Bylaws.
- If the vacancy needs to be filled immediately, the chair will appoint a governance committee if one has not yet been appointed for the year.
- The committee will follow the process outlined in Policy 2.3 Board Membership Recruitment.
- The committee will make its nomination report to the Board within 90 days of the resignation being accepted by the Board.
- If the vacancy does not need to be filled immediately, the Board will decide on whether to fill the vacancy and if so, will follow the same procedure outlined above; provided that the governance committee will make its nomination report to the Board in advance of the annual meeting at which the vacancy is to be filled.
- A Board member appointed to fill a vacancy on the Board will be appointed for the unexpired term of his or her predecessor and then will be entitled to serve two three-year terms (or up to 8 consecutive years).

Date Approved by the Polk County ECI Board: August 26, 2015

Policy ID: 2.6

Title: Officers' Roles and Responsibilities

Policy: The officers of the Board shall be aware of their duties and responsibilities and agree to carry them out.

Code reference:

256I.7(3) An area board shall elect a chairperson from among the members who are citizens or elected officials.

Bylaws reference:

ARTICLE V: OFFICERS

The number of officers of the Board shall be a chairperson and a vice chairperson, each of whom shall be elected by the Board.

The **Chairperson** shall be an elected official or citizen member of the Board and subject to the control of the Board and shall, in general, supervise all of the business and affairs of the Polk County ECI Board. The Chairperson shall perform all duties incident to the office of the Chairperson and such other duties as may be prescribed by the bylaws or the Board from time to time.

The **Vice-Chairperson** shall assume the duties of Chairperson in the absence of the Chairperson or in the event of a vacancy occurring in the position of Chairperson. The Vice-Chairperson shall perform other duties as assigned by the Chairperson.

Procedures:

- The Board shall approve job descriptions for the Board officers.
- Prior to voting on the officers of the Board, those being nominating shall declare their willingness to carry out the duties of the officer as listed in the job description.

Form: Job description for Polk County ECI Board Chairperson and Vice-Chairperson

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.7

Title: Election of Officers

Policy: The Board shall elect its leadership each year from among the members who are citizens or elected officials.

Code reference:

256I.7(3) An area board shall elect a chairperson from among the members who are citizens or elected officials.

Bylaws reference:

ARTICLE V: OFFICERS

The officers of the Board shall be a chairperson and a vice chairperson, each of whom shall be elected by the Board. The Chairperson shall be an elected official or citizen member of the Board.

Definitions:

The Chairperson shall perform all duties incident to the office of the Chairperson and such other duties as may be prescribed by the bylaws or the Board from time to time.

The **Vice-Chairperson** shall assume the duties of Chairperson in the absence of the Chairperson or in the event of a vacancy occurring in the position of Chairperson. The Vice-Chairperson shall perform other duties as assigned by the Chairperson.

Procedures:

- The officers of the Board shall be elected each year at the annual meeting and shall serve until their successors are elected.
- The Chair shall appoint a governance committee at least three months prior to the annual meeting.
- Officers are generally nominated from board members who have served at least one year on the Board.
- Officers may be reelected to the same office or to another office as long as they are on the Board.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.8

Title: New Board Member Orientation

Policy: New board members will be orientated to the policies, procedures and everyday workings of the Board within 60 days of the annual meeting, or within 30 days if they are elected after that meeting.

Code reference:

Bylaws reference:

Procedures:

- Upon the election of a new board member, the Polk County ECI Director will arrange for a time and place for a board orientation prior to the new member's first meeting.
- The meeting will provide the new board member the opportunity to ask questions and to be presented with board information, meeting materials, explanation of funds and responsibilities of the board members.
- Conflict of Interest and how it pertains to the Polk County ECI board will be part of the orientation meeting and forms shall be distributed, signed and returned.
- The meeting shall include the Board Chair if at all possible. If the Chair cannot attend another board member shall attend in the chair's place.
- As part of orientation, the new board member shall receive a board notebook, which will be updated annually, either in hard copy or electronically, according to board member's preference.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.9 Title: Conflict of Interest

Policy: Polk County ECI Board members and staff shall declare conflicts of interest.

Code reference:

256I.7(1)(a): The members of an area board shall be elected officials or members of the public who are not employed by a provider of services to or for the area board.

Members of the ECI Board are public officials and must comply with the Iowa Public Officials Act, Iowa Code Chapter 68B – Conflicts of Interest of Public Officers and Employees, of the Code of Iowa

Bylaw Reference:

ARTICLE IX: CONFLICTS OF INTEREST

Definitions:

Conflict of Interest – Occurs when a person with decision-making power may benefit, directly or indirectly, from a decision. Conflicts of interest include both financial and non-financial (personal relationships, status, power, etc.) concerns.

Purpose:

To acknowledge and manage potential conflicts of interest that allows the Board to make unbiased, independent decisions. The policy requires board members and staff to:

- Serve the mission and vision of the Board as a whole rather than any special interest or constituency.
- Maintain independence and objectivity with a sense of fairness, ethics and personal integrity.
- Never accept (or offer) favors or gifts from (or to) anyone who does business with the Board. Avoid the appearance of a conflict of interest.

Procedure:

• **CONFLICTS OF INTEREST STATEMENT**

- The Chairperson shall include the conflict of interest statement and forms in the annual meeting.

- At the annual meeting, Polk County ECI board members and staff shall complete, sign and date the Conflicts of Interest Statement.
- If a board member is not present at this meeting, the Executive Director will either mail or email the Conflicts of Interest Statement to the member. The board member must complete, sign, date and return the conflicts of Interest statement to the Polk County ECI office before the next scheduled board meeting. If the board member does not return the completed statement, the board member must complete a form before participating in any meeting.
- If a new board member joins the Board after the annual meeting, the Executive Director will ask the member to complete the Conflicts of Interest Statement at the new board member orientation meeting.
- Board members will be reminded to update the form if there is a change during the year.
- When a new staff person is employed, the person must complete the Conflicts of Interest Statement during their first week of employment.
- The Executive Director is responsible for storing the completed forms.

• **CONFLICTS OF INTEREST AT BOARD MEETINGS**

- If a board meeting agenda item presents a perceived conflict of interest for a board member, the member must not participate in board discussion or decision-making on the matter.
- When board members vote on the motion, the member with the perceived conflict must abstain from voting.
- The meeting minutes must state the name and reason the board member abstained from voting.
- If the board member with a perceived conflict of interest does not disclose the conflict, it is the duty of the other board members present to encourage the member to disclose the perceived conflict of interest and request that the member abstain from voting.
- Staff with a perceived conflict of interest with an agenda item must make the Board aware of their conflict and must not participant discussion on the matter.

• **PARTICIPATION ON COMMITTEES/TASK FORCES**

- A board member with a perceived conflict of interest shall not participate on committees or task forces that may pose a potential conflict of interest.

Form: Conflicts of Interest Statement

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.10 Title: Board Member Attendance

Policy: Board meeting attendance is important to the operation of the Board, and members are responsible for learning what occurred at a meeting they missed. Lack of attendance shall be perceived as lack of interest in serving on the Board unless other information has been related to the Board and staff.

Code reference:

Bylaws reference:

ARTICLE III: MEMBERSHIP

A Board member missing three consecutive meetings or more than half of the meetings in a fiscal year may be considered to have tendered their resignation.

Definition:

Attendance at a meeting can be either in person or telephonic.

Procedures:

- A board member is responsible for notifying staff if they are going to be unable to attend a meeting.
- The board member who misses a meeting is responsible for learning what happened at the meeting and if there is any work they need to do before the next meeting.
- If a board member misses two consecutive meetings without notifying the Chair or staff before the meeting, the chair will contact that member to talk about board attendance.
- If a board member misses three consecutive meetings without notification, or half of the meetings in a year, the chair will meet with that member to discuss whether they will continue to serve on the Board.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.11 Title: Resignation or Removal of a Board Member

Policy: Board members shall resign from the Board when they feel they can no longer carry out the duties of a board member or no longer meet the requirements of board membership. The Board may remove board members if they are not meeting the attendance requirements outlined in the bylaws.

Code reference:

256I.7(1)(a) The members of an area board shall be elected officials or members of the public who are not employed by a provider of services to or for the area board.

Bylaws reference:

ARTICLE III: MEMBERSHIP

A Board member missing three consecutive meetings or more than half of the meetings in a fiscal year may be considered to have tendered their resignation.

Procedures:

- If a board member chooses to resign from the Board, they shall provide written notification to the Board chairperson. If they are not resigning immediately but at a future date that date needs to be included in the letter.
- The resignation will be recognized at the next regularly scheduled board meeting, and the term of the board member shall be considered ended following the acknowledgement of the member resignation by the Board, noting the effective date when recognized.
- The Chairperson may ask the Board to approve the resignation of a member who has not met the meeting attendance policy and whom the chair has met with or attempted to meet with. The resignation shall be considered by the Board and may be accepted, postponed or rejected.
- If a board member or their spouse takes employment with a provider of services or an entity that receives Polk County ECI funds, that member shall resign immediately by sending a letter to the chairperson.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.12 Title: Board Self-Evaluation

Policy: The Board shall annually complete a board self-evaluation.

Code reference:

Bylaws reference:

Procedures:

- Each spring the Board shall do a self-evaluation.
- The particular form used shall be determined by the Chair and distributed electronically to all board members.
- The results of the self-evaluation shall be compiled and shared with the entire Board at a regular board meeting.
- Discussion shall include, but not be limited to, results, areas of concerns identified, strengths and areas where board development is needed.
- The results of the Board self-evaluation will be used in developing a community assessment of the work being done by Polk County ECI.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.13 Title: Board Committees and Task Forces

Policy: The Chairperson, with the board members' concurrence, shall appoint those committees or task forces, which are deemed desirable for the endeavors of the Polk County ECI.

Code reference:

256.8(2) An area board may do any of the following: a. Designate one or more committees to assist with area board functions.

Bylaws reference:

ARTICLE VIII: COMMITTEES

The Chairperson, with the board members' concurrence, may establish and appoint standing and special committees as shall be deemed desirable for the endeavors of Polk County ECI. A standing or special committee shall limit its activities to the accomplishment of those tasks for which it was appointed and shall have no powers, except those specifically conferred by action of the Board. Upon the completion of the task(s) assigned to any special committee the special committee shall be discharged.

No committee shall have the authority of the Board. The designation or appointment of any such committee shall not operate to relieve the Board or any individual member of any responsibility imposed upon it, him or her by law.

Procedures:

- At the beginning of the fiscal year the chairperson shall outline those committees that have been identified as desirable for the completion of the year's work.
- As needs arise, the chairperson shall make the Board aware of other committees or task forces that are needed.
- The committees shall include at least one board member and may include non-board members as deemed appropriate to the functioning of the committee.
- All committees and task forces shall be dissolved at the end of the fiscal year unless otherwise noted at the annual meeting.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.14 Title: Expense Reimbursement for Board Members

Policy: Board members will not receive compensation for serving on the board, but they may be reimbursed for expenses incurred, including meals, mileage and hotel costs, while attending an event or meeting on behalf of the Polk County ECI Board.

Code reference:

Bylaws reference:

Procedures:

- If a board member is asked to attend a meeting or event on behalf of Polk County ECI, they may request expense reimbursement for the costs they incur by filling out the appropriate form and submitting it to the Executive Director within 30 days of the occurrence.
- Receipts will be required for reimbursement, and mileage will be reimbursed at the state rate.
- The expenses of staff and board members will be included in the financial report presented at the next board meeting.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 2.15 Title: Annual Review of Polk County ECI Governance Documents

Policy: Each year, the chair shall appoint a committee to review the bylaws, policies and procedures manual, and any other governance documents used by Polk County ECI to ensure that they are up to date and aligned with current state law.

Code reference:

Bylaws reference:

Procedures:

- The Chair shall appoint a governance document review committee at least two months prior to the Annual Meeting.
- The committee will meet and review the documents currently in force to determine if they need to be updated.
- The committee will report back to the board at the May meeting with their findings and recommendations.
- The Board shall vote on any recommendations made by the committee at the Annual Meeting in June.

Date Approved by the Polk County ECI Board: November 19, 2014

BOARD MEETINGS

Policy ID: 2.16 Title: Notification of Meetings

Policy: Meeting notices shall be posted in a community location and on the website at least 24 hours prior to the meeting.

Code reference:

2562.7(5) All meetings of an area board or any committee or other body established by an area board at which public business is discussed or formal action taken shall comply with the requirements of Chapter 21.

Bylaws reference:

ARTICLE VI: MEETINGS AND RECORDS

The Board shall meet no less than four times per year, including the annual meeting. Meeting notices shall be posted in a community location and on the website. The meeting agenda, created by the Chairperson, will be published and distributed to board members and the public one week in advance of the meeting.

Procedures:

- Notice of Meetings will be compliant with the Open Meetings Law and will include the time, date and place of the meeting and a tentative agenda.
- The meeting notice will be posted outside the Polk County ECI office and on the website at least 24 hours before the meeting, with every effort made to post it a week prior to the meeting.
- The notice shall be sent out to all board members as well as to media representatives and all others who ask to be on the distribution list.
- While the Board **MUST** meet at least four times a year, it will determine what its meeting schedule should be in order to carry out its duties.
- The proposed schedule of meetings for the year shall be posted on the website and distributed to members and other interested parties.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.17 Title: Compliance with Open Meetings Law

Policy: The Polk County Early Childhood Iowa Board and any committee or any other body established by the Board shall adhere to Iowa's Open Meeting Law.

Code reference:

2562.7(5) All meetings of an area board or any committee or other body established by an area board at which public business is discussed or formal action taken shall comply with the requirements of Chapter 21.

Bylaws reference:

ARTICLE VI: MEETINGS AND RECORDS

All meetings of the Polk County ECI Board shall be open to the public in accordance with the Iowa Open Meetings Law.

Definitions:

From Iowa Code 21.2

"Meeting" means a gathering in person or by electronic means, formal or informal, of a majority of the members of a governmental body where there is deliberation or action upon any matter within the scope of the governmental body's policy-making duties. Meetings shall not include a gathering of members of a governmental body for purely ministerial or social purposes when there is no discussion of policy or no intent to avoid the purposes of this chapter.

"Open session" means a meeting to which all members of the public have access.

Procedures:

- Meetings will be held in a session that is reasonably accessible to the public and proceeded by public notice.
- All actions and discussions at meetings will be conducted and executed in an open session, unless otherwise provided by law.
- The Board will keep minutes of all its meetings showing the date, time and place; the members present; a summary of the discussions; motions made; members who voted and how; and the action taken or decisions made at each meeting.
- If accommodations are needed for an individual with disabilities who wishes to attend

or participate in the meeting, they will be directed to contact the Executive Director prior to the meeting to arrange for special accommodations.

- The Executive Director will be responsible for making sure that special accommodations are met. These accommodations could include but are not limited to assistance in getting into the meeting site or providing accessibility to the meeting through a conference call.
- Open Meeting Laws information will also be posted on the website.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.18 Title: Telephonic Board Participation in Meetings

Policy: Board members may participate in board meetings telephonically as long as the technology used allows for full communication with all participants.

Bylaws reference:

ARTICLE VI: MEETINGS AND RECORDS

Board members may vote if they are present by phone, ICN, polycom or other technology that allows them full communication with the Board.

Procedures:

- If a board member wishes to participate via the telephone, arrangements for a conference or telephone line will be made by the Executive Director at the meeting location.
- The individual will provide the number where they can be reached.
- Upon the call being made and individual(s) joining the meeting via telephone, notation will be made in the meeting minutes. The minutes will also note when the person(s) participating telephonically leave the call.
- Roll call votes will be taken if there is anyone participating in the meeting via phone and if there is a dissenting vote. (Roll call voting maintains the identity of each voting member for anyone on the phone.)

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.19 Title: Special Meetings

Policy: The Board Chairperson, Vice-Chairperson or any five Board members may call special meetings.

Bylaws reference:

ARTICLE VI: MEETINGS AND RECORDS

The Chairperson, Vice-Chairperson, or any five board members may call the Polk County Early Childhood Iowa Board together for any number of business or special meetings that may be deemed necessary to carry on the business of the organization. All members and the public shall be notified not less than 24 hours prior to any meeting by telephone, mail or electronic mail and posting of agenda. Special meeting agendas will be posted in accordance with the Iowa Open Meetings Laws and distributed to board members and public not less than 24 hours prior to meeting.

Definitions:

A special meeting is a meeting not previously identified on the current fiscal year calendar.

Procedures:

- If it is determined that there is a need for a special meeting, one will be called by the Board Chairperson, Vice-Chairperson or at least five members of the Board.
- The Board Chairperson shall give the Executive Director the agenda for posting.
- Notices will be sent to all board members and posted in compliance with the Open Meeting Law.
- All requirements and procedures for regular meetings are applicable for special meetings.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.20 Title: Telephonic Meetings

Policy: The Board can hold regular or special meetings telephonically if necessary.

Code reference:

21.8(1) Electronic Meetings. A governmental body may conduct a meeting by electronic means only in circumstances where such a meeting in person is impossible or impractical and only if the governmental body complies with all of the following:

1. The governmental body provides public access to the conversation of the meeting to the extent reasonably possible.
2. The governmental body complies with section 21.4[Public Notice]. For the purpose of this paragraph, the place of the meeting is the place from which the communication originates or where public access is provided to the conversation.
3. Minutes are kept of the meeting. The minutes shall include a statement explaining why a meeting in person was impossible or impractical.
4. A meeting conducted in compliance with this section shall not be considered in violation of this chapter.
5. A meeting by electronic means may be conducted without complying with paragraph “a” of Subsection 1 if conducted in accordance with all of the requirements for a closed session contained in Section 21.5.

Bylaws reference:

ARTICLE VI: MEETINGS AND RECORDS

Telephonic meetings may be conducted in compliance with Iowa Code Section 21.8.

Procedures:

- Electronic meetings may be held only when a meeting in person is impossible or impractical. The chairperson can determine if a meeting needs to be held telephonically.
- All board members and other interested parties who want to participate will be provided with a call in number.
- Minutes will list all board members who are in attendance when the meeting begins and make a notation when someone joins the call.
- Roll call votes will be taken.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.21 Title: Closed Sessions

Policy: Closed session board meetings are highly discouraged, but if absolutely deemed necessary may occur. If the Board chooses to conduct a closed session, all requirements of the Open Meetings Law will be adhered to.

Code reference:

21.5 (1) A governmental body may hold a closed session only by affirmative public vote of either two-thirds of the members of the body or all of the members present at the meeting. A governmental body may hold a closed session only to the extent a closed session is necessary for any of the following reasons:

- To review records that must remain confidential as a condition of the receipt of federal funds;
- To discuss patent applications;
- To discuss strategy with counsel when litigation is currently pending or imminent and where discussion would prejudice the government's position in the litigation;
- To discuss contents of a licensing examination or whether to initiate a disciplinary proceeding if the governmental body is a licensing examination board;
- To discuss whether to suspend or expel a student unless an open meeting is requested by the student or parents;
- To discuss a decision to be rendered in a contested case hearing under Section 17A;
- To avoid disclosure of certain information that if disclosed would allow a violator of the law to avoid detection;
- To evaluate the professional competency of an individual in order to prevent needless and irreparable injury to the person's reputation and that person requests a closed session;
- To discuss real estate purchases when premature exposure may increase the price of the property (the information must be made available after the transaction is made);
- To discuss information contained in records of an airport, a municipality, municipal or jointly owned municipal utility, or a rural water district organized pursuant to Section 357A, if the records are confidential under Chapter 226.

Bylaws reference:

Procedures:

The procedure as outlined in Iowa Code shall be followed:

- Affirmative two-thirds vote of the members of the governmental body or all of the members present.
- The vote of each member on the question of holding a closed session must be announced publicly and entered in the minutes.
- The reason for the closed session must be announced publicly and entered in the minutes.
- Any business discussed during closed session must relate directly to the specific reason announced as justification to close the session.
- Final action on any matter discussed during a closed session must be taken in open session unless a specific provision of the Code expressly permits final action in closed session.
- Detailed minutes must be kept on (1) all discussion; (2) persons present; and (3) action occurring.
- Closed sessions must be tape recorded.
- Minutes and tape recording must be sealed and retained for a period of at least one year.

Date Approved by the Polk County ECI Board: August 27, 2014

Policy ID: 2.22 Title: Public Input

Policy: The public shall be given the opportunity to ask questions and give input at every Polk County ECI meeting.

Code reference:

Bylaws reference:

ARTICLE VI: MEETINGS AND RECORDS

The Board will solicit public comment by allowing open discussion of each agenda item. The Chair is responsible for setting time limits on each discussion item.

Definitions:

Procedures:

- Every Polk County ECI board meeting shall include a time for the public to comment and have input. The Board Chair shall recognize members of the public who wish to speak while a specific topic is being discussed by the board. The chair may set time limits on discussion.
- Community members can contact the Board Chair or Executive Director to request time on the agenda for an item dealing with Early Childhood Iowa business.

Date Approved by the Polk County ECI Board: October 22, 2014

Section 3: OFFICE OPERATIONS

PERSONNEL POLICIES

Policy ID: 3.1 Title: Hiring Process for the Executive Director

Policy: The Board shall be empowered to hire staff to help carry out its duties. When a vacancy in the executive director's position occurs the chairperson shall work with the Human Resources staff of the fiscal agent, the employer of record and the Board to oversee the hiring of the new Executive Director.

Bylaws reference:

ARTICLE X: STAFFING

The Board shall be empowered to hire the staff it deems necessary to carry out its duties. The Board shall comply with Iowa law and administrative rules when so doing. The Board shall approve any contract for services.

Definitions:

Procedures:

- When a vacancy in the executive director's position occurs the Chair of the Board shall follow the following steps:
 - Work with the board on any refinement of the job description and the salary range to be used in hiring.
 - Work with the Human Resources staff of the fiscal agent to prepare and place an advertisement for the position ensuring that all EEOC guidelines are followed.
 - Let all Polk County ECI contractors and other interested parties know of the vacancy.
 - Work out a plan with the Human Resources staff to review all applications received to ensure that they meet the requirements set.
 - With the approval of the Board, the Chairperson shall establish a board committee to assist in the hiring. The Board Chair may chair this committee or may choose someone else to serve as chair
- The board committee shall be responsible for:
 - Reviewing all applications passed onto the committee by the Human Resources staff and determining whom they wish to interview.
 - Interviewing those selected.
 - Working with the Human Resources staff to contact references of the finalists.

- The Board shall make an offer to the person selected by the committee, subject to the board's approval.
 - If the committee's first choice does not accept the offer, they shall determine if they want to make an offer to another candidate or start the process over.
- Once the Board has approved their choice for Executive Director, the Chair will work with the Human Resources staff to ensure that all employment requirements are met and all benefits and policies explained.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.2 Title: Executive Director Job Description

Policy: The Board shall establish a job description for the Polk County ECI Executive Director and review it annually.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Annually, the Board shall review the job description of the Executive Director and make any changes it deems necessary.

Form: Executive Director Job Description

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.3

Title: Orientation for a New Executive Director

Policy: The orientation of a new Executive Director shall be handled by the chair, the Human Resource staff of the fiscal agent, a member of the state Early Childhood Iowa Technical Assistance team and the outgoing director if that person is available and their assistance is desired by the chair.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The Chairperson will arrange for the orientation of a new Executive Director.
- The Chair will notify the state ECI office when a new director is hired, and they will arrange for an orientation within the first 60 days.
- The Chair and/or designated members of the Board will provide orientation on local programs and the local board operations.
- The Human Resources department of the fiscal agent will provide orientation on behalf of the employer of record including employment information and office operations.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.4 Title: Annual Performance Evaluation for the Executive Director

Policy: The Board shall complete a performance review of the Executive Director annually.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- At the beginning of the fiscal year the Board shall approve goals for the Executive Director that have been worked out by the Executive Director and the Board Chair.
- Each spring the Board shall do a performance evaluation of the Executive Director based on the job description and the annual goals.
- The particular form used shall be determined by the Chair and distributed electronically to all board members.
- At least once every three years a broader executive director evaluation form will be sent to Polk County ECI's partners and contractors to get their input.
- The results of the evaluations shall be compiled and shared with the entire Board at a regular board meeting.
- The results of the evaluations and any recommendation that come from the board discussion will be used in formulating the goals for the coming year.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.5

Title: Succession Plan for Executive Director

Policy: Polk County ECI shall have a succession plan in place for the executive director position.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- As part of the annual performance review, the Executive Director shall advise the Board on pending issues they need to be aware of in case of a sudden departure in order to ensure organizational stability until a new Executive Director is appointed.
- The Executive Director will ensure that Polk County ECI always has a current operating plan outlining the monthly duties of the Executive Director and staff in place as well as a listing of vital information which includes, but is not limited to, computer access information and the location of board minutes, board documents and all financial records.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.6 Title: Executive Director Compensation

Policy: The Board shall determine the compensation for the Executive Director.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Annually, the Chairperson shall appoint a committee to review the Executive Director's compensation and make a recommendation to the Board. This recommendation shall include salary and benefits, including professional development.
- The committee shall take the following into consideration when making their recommendation:
 - The roles and responsibilities of the position
 - Salaries for similar positions in the Des Moines area and across the state
 - The evaluations of the Executive Director
 - The funds available in the Polk County ECI budget
- The Board shall review the committee's recommendation and vote on the compensation package they believe is appropriate. The motion shall indicate the starting date for the compensation.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.7 Title: Hiring of Additional Staff

Policy: If the Executive Director determines that additional staff is needed to carry out the work of Polk County ECI, the director shall get approval from the Board to hire staff before doing so.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The Executive Director shall let the board know if additional staff is needed to carry out the work of the Polk County ECI.
- The Executive Director shall recommend to the Board the type of position needed, and the best manner to fill this need, e.g., contract for the work, hire an additional staff person, etc.
- Once the Board has approved adding additional staff the fiscal agent will be contacted for approval if they are expected to be the employer of record.
- The Executive Director will be responsible for hiring the staff once the position has been approved by the Board and the fiscal agent, if applicable.
- If the Board decides to contract out for the work, the normal contracting procedure shall apply.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.8

Title: Staff Performance Reviews and Compensation

Policy: The Executive Director shall be responsible for carrying out staff performance reviews for any other staff working for Polk County ECI and making compensation recommendations to the Board.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Annually, the Executive Director will carry out staff performance reviews for any staff working for Polk County ECI and maintain staff files.
- The Executive Director will make the Board aware if there are any staffing issues with staff shared with other entities that they need to take into consideration when setting the budget and approving staffing contracts.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.9

Title: Staff Expense Reports and Reimbursements

Policy: The Polk County ECI staff may incur business expenses related to execution of job responsibilities and are responsible for submitting a monthly claim for reimbursement. Any single expense greater than \$250 requires prior board approval.

Code reference:

By-laws reference:

Definitions:

A business expense is any ordinary or necessary expense incurred by an individual while acting on behalf of the employer, and/or during the execution of a business-related event or circumstance.

Procedures:

- The Executive Director shall record and track all business expenses incurred by staff, keeping all receipts of items purchased or mileage incurred. A fiscal agent credit card may be used for expenses.
- The Executive Director shall prepare, sign and submit, with receipts, a Request for Payment to the Fiscal Agent. Receipts are required for any expenditure that is \$25 or more and strongly encouraged for expenses under \$25 whenever practical. Requests for Payment for an expense greater than \$250 needs to be signed by the Board Chair or have notation of board action attached.
- All expenses incurred by staff will be reported monthly to the Board along with the financial statements for each funding source.
- The Board or board committee may ask to see the documentation for staff expense reimbursements.
- A fiscal agent credit card may be used for expenses but the actual receipts for those expenditures are still needed.

Date Approved by the Polk County ECI Board: November 19, 2014

OFFICE PROCEDURES

Policy ID: 3.10

Title: Property Log

Policy: Any purchase of equipment or other property of value greater than \$500 shall be approved by the Board and tracked by the staff.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The Executive Director will be responsible for presenting any equipment requests to the Board for approval and purchasing the equipment.
- The Executive Director will be responsible for maintaining documentation of any Polk County ECI property.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.11 Title: Open Records

Policy: As outlined in Iowa Code, Chapter 22, the public shall have the right to examine, copy and publish any Polk County ECI record of the information contained in a record unless it is otherwise confidential under state or federal law.

Code reference:

3561.7.5. An area board shall maintain its records in accordance with Chapter 22.

Bylaws reference:

ARTICLE VI: MEETINGS AND RECORDS

Board records are held in the Polk County Early Childhood Iowa offices and members of the public can access records by contacting the Polk County ECI Director or Board Chairperson.

Definitions:

Procedures:

Under Chapter 22 of the Code of Iowa, the public has a right to examine, copy and publish a record or the information contained in a record of a governmental body (including a 28E entity) unless it is otherwise confidential under state or federal law.

The staff shall make records available as quickly as possible after the request is received.

If the staff has any questions about an open records request, they shall refer to Tool E on the ECI website. If further clarification is needed they shall contact the ECI office.

The staff shall make the chairperson aware whenever a request is made.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.12 Title: Record Retention and Storage

Policy: All Polk County ECI records and contracts will be retained for a minimum of seven years.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Records will be retained for a minimum of seven years and organized and stored in a manner such that the records can easily be retrieved if necessary.
- Some records may be retained for a longer period if needed for historical reference, contractual, legal or regulatory requirements.
- Hard copy records that are not in current use shall be stored in a secure area provided by the fiscal agent.
- Polk County ECI electronic records shall be backed up daily and a copy of these records shall be stored securely off site by the fiscal agent.

Date Approved by the Polk County ECI Board: September 24, 2014

Policy ID: 3.13 Title: Signature Authority

Policy: Official documents requiring board signature shall be signed by the Board Chairperson or designee.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The Board Chair has the authority to sign contracts, state reports and other board required forms.
- If the Board Chair is not available, the Chair may authorize the Vice-Chair to sign.
- The Executive Director has the authority to sign off on payment by the fiscal agent on behalf of Polk County ECI. These payments shall be reviewed by the Board at their request.
- The Executive Director may sign off on all office related work and paperwork not requiring a board chair signature.

Date Approved by the Polk County ECI Board: October 22, 2014

Policy ID: 3.14 Title: Liability Insurance

Policy: Polk County ECI shall carry Directors' and Officers' Liability Insurance.

Code reference:

Iowa Code 256i.7(4)

An area board is a unit of local government for purposes of chapter 670, relating to tort liability of governmental subdivisions. For purposes of implementing a formal organizational structure, an area board may utilize recommended guidelines and bylaws established for this purpose by the state board.

Bylaws reference:

Definitions:

Every municipality is subject to liability for its torts and those of its officers and employees, acting within the scope of their employment or duties. Liability insurance will be maintained for the board and employees through administration funds.

Procedure:

- The Board will review its D and O insurance requirements annually as part of the budget process.
- At least once every three years the Board will seek bids on D and O insurance.

Date Approved by the Polk County ECI Board: October 22, 2014

Section 4: FINANCIAL

Policy ID: 4.1 Title: Setting of the Annual Budget

Policy: The Polk County ECI board shall submit its budget for the fiscal year starting July 1st to the ECI office by July 1st if possible, but no later than the July 15th deadline.

Code reference:

Iowa Code 256i.8 (1) (b) Administer Early Childhood Iowa grant moneys available from the state to the area board as provided by law and other federal, state, local, and private moneys made available to the area board.

Bylaws reference:

Definitions:

Procedures:

- Following the review of program proposals and using the estimated budget provided by the ECI office, the Polk County ECI staff will prepare a draft budget using the budget template provided by the ECI office.
- The staff shall present the first draft budget to the Board for their discussion, noting state legislated categorical requirements.
- The Fiscal Agent shall be asked to review the budget for accuracy and amount verification.
- Following the Board's discussion of the draft budget and the receipt of final budget numbers following the governor's approval of funding, the staff will present a proposed budget to the board.
- Following the Board's approval of a budget, it shall be sent to the ECI office for approval. This shall be done no later than July 15th.
- No contracts shall be issued prior to the state's approval of the budget.

Date Approved by the Polk County ECI Board: October 22, 2014

Policy ID: 4.2 Title: Amending the Annual Budget

Policy: The Polk County ECI board may amend the annual budget after it has been approved but shall not implement the budget changes until they have received approval from the state ECI office.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- If the Board decides to make an amendment to its annual budget after the budget has been approved by the state it must first approve such a change at the board level.
- An amended budget will be submitted to the state ECI office on the originally submitted budget form.
- Once the amended budget has been approved by the state ECI office, a new or amended contract will be offered to any program(s) whose funding is part of the budget change.
- A copy of the amended budget will be shared with the Fiscal Agent.
- The Executive Director will make the updated change on the monthly financial statements and submit to the Fiscal Agent for their continued use.

Date Approved by the Polk County ECI Board: October 22, 2014

Policy ID: 4.3

Title: Fiscal Agent Selection and Agreement

Policy: The Polk County ECI Board shall designate an entity to serve as the fiscal agent for Early Childhood Iowa grant funds and for any other funds that may be administered by Polk County ECI.

Code reference:

256I.8 Early Childhood Iowa area board duties.

1. An Early Childhood Iowa area board shall do all of the following:
 - a. Designate a public agency of this state, as defined in section 28E.2, a community action agency as defined in section 216A.91, an area education agency established under section 273.2, or a nonprofit corporation, to be the fiscal agent for grant moneys and for other moneys administered by the area board.

Bylaws reference:

ARTICLE V: GOVERNANCE

The board shall designate a fiscal agent each year and ensure that the auditing requirements laid out in the Iowa Code are met.

Definitions:

"Fiscal Agent," as designated by an area board, means a public agency as defined in Iowa Code Section 28E.2; a community action agency as defined in Iowa Code Section 216A.91; a nonprofit corporation; or an area education agency as defined in Iowa Code Chapter 273.

Procedures:

- Annually, the Board will discuss the effectiveness of the fiscal agent, contract terms and the offering of a new or renewed contract.
- Should the Board desire to continue contracting with the current fiscal agent, the fiscal agent will be notified, requesting any changes to the contract if necessary and agreement to move forward.
- Should the Board desire considerations for other fiscal agents, recommendations will be taken from members for possible options. An RFP for fiscal agent will be prepared and sent to all identified prospects. The Executive Director will be in touch with prospects to answer any questions they may have.

- The Chair shall appoint a task force to review all proposals and make a recommendation to the full board.
- Annually, the Polk County ECI Board will approve the agreement with a fiscal agent which shall clearly define the roles and responsibilities of each and which meets all the requirements set out by the state, prior to the Board Chair signing the agreement. Templates provided by the state ECI office will be utilized as guidance.
- Once both parties have signed the agreement, each will keep a copy for their records, and a copy will be sent to the ECI state office.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 4.4 Title: Monthly Invoicing

Policy: Polk County ECI staff will be responsible for communication with contractors regarding invoicing and for processing invoices.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Once contracts are executed, Polk County ECI staff will issue a monthly billing template reflecting updated contract numbers to each contractor. Billing template will include instructions for required documentation of all expenditures.
- The contractor/program is responsible for completing a request for payment, using the billing template provided by Polk County ECI, and submitting it to the Polk County ECI office by the 5th of the month along with the required documentation related to services performed under the contract.
- Claims not received by the 5th of the month will be held for payment until the following month.
- Requests for payment will be reviewed by the Polk County ECI staff for accuracy, detailed documentation, and fiscal accountability to the provisions outlined in the program contract. If there is an error or missing documentation, the contractor will be contacted and the required information will be received prior to payment being made.
- To the best of their ability, contractors are to submit their invoice for work done under the contract within thirty(30) days of an expense being incurred or work being performed.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 4.5 Title: Invoice Review, Approval and Payment

Policy: Polk County ECI will reimburse contractors for program expenses related to the services of the contract.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The Fiscal Agent and Polk County ECI Executive Director shall agree on a fiscal process flow chart which will be used for the invoice review, approval and payment throughout the fiscal year.
- Requests for payment will be reviewed by the Polk County ECI staff for accuracy, detailed documentation, and fiscal accountability to the provisions outlined in the program contract. If there is an error or missing documentation, the contractor will be contacted and the required information will be received prior to payment being made.
- Payment and billing amounts will be verified by Polk County ECI staff before submitting a request for payment to the Fiscal Agent. The Polk County ECI staff will also document the categorical funds from which the payment will be pulled.
- Payments shall be issued to the individual, vendor, business or other entity identified by the Board, in the amount specified, and to the address provided by the Polk County ECI staff.
- The Fiscal Agent will make reimbursement within 15 work days of receipt of the Request for Payment form. Checks will be mailed directly to the funded programs by the Fiscal Agent.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 4.6

Title: Interest Earned

Policy: Polk County ECI funds shall be in an interest bearing account, and the interest accrued will be added into appropriate fund accounts and utilized for program services.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Interest is credited on a monthly basis to each fund, School Ready and Early Childhood, and a journal entry is made each month to reflect this activity.
- Monthly interest is included on the general ledger detail provided each month by the Fiscal Agent to Polk County ECI staff.
- Interest is calculated based on the revenue received to date for each fund, School Ready and Early Childhood, minus expenditures to date.

Date Approved by the Polk County ECI Board: November 19, 2014

Section 5: PROGRAM CONTRACTING

Policy ID: 5.1 Title: Program Funding and RFP Process

Policy: Annually, the Polk County ECI shall establish a process for determining how it will review programs and determine funding for the coming fiscal year.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The Polk County ECI Board uses a written application process during which existing or potential new programs can apply for funding to further the priorities of the Polk County ECI Board's community plan.
- The reapplication process will be approved by the Board at a board meeting between January – March each year.
- The process will outline what the application form will look like, the method that will be used for scoring each application and all relevant deadlines.
- Following Board approval, the process and all related forms will be posted on the Polk County ECI website and be available through the Polk County ECI office. The reapplications will be due back to the Polk County ECI office on the designated date set forth in the materials.
- The Polk County ECI Executive Director will initially review each proposal for completeness. All required elements must be present before the proposal will be sent to the appropriate board work group. Proposals lacking the required elements will be returned to the applicant and information will not be forwarded to the board for review.
- Applicants may be required to respond to questions concerning their proposal in-person or in writing during the grant review process. Applicants will be provided adequate

notification of date, time and location.

- The Polk County ECI Board will review proposals and make final funding decisions in May or June, based on the legislative timeline.

Date Approved by the Polk County ECI Board: October 22, 2014

Policy ID: 5.2

Title: Program Funding Appeals Process

Policy: Polk County ECI shall have an appeal process that provides community residents, recipients of services, potential community service providers and the current contracted service providers a structured means with timeframes by which they may express a funding concern by appealing to the Board.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Once the application process is complete and the budget is approved, applicants will receive written notice of their contract funding and provisions. Appeals must be in writing and be received within ten (10) working days of the date of the notification to the applicant.
- Appeals must be based on the contention that the process violated state or federal law, that the policies and procedures governing the decision making process have not been properly applied or involved a conflict of interest.
- The Polk County ECI Board will review the appeal and mail a notice to the appellant within ten (10) working days of review.

Date Approved by the Polk County ECI Board: October 22, 2014

Policy ID: 5.3

Title: Performance Measures Reports

Policy:

Code reference:

Bylaws reference:

Definitions:

Procedures:

- In addition to monthly billing forms, funded programs are required to submit semi-annual updates on the progress toward their state and locally required performance measures. The report submission format will be the Results Scorecard database and other supplemental methods as requested.
- The report will include local and state required data (not all data can be reported biannually, but is required for the final annual report) and a narrative of the program's activities. Some programs that do not operate all year will report to the board the quarter that the program is operating. The July report will represent a complete year.
- The Polk County ECI staff will collaborate with the Results Scorecard administrative staff to ensure that program information is submitted and completed for each funded program as applicable.

Date Approved by the Polk County ECI Board: October 22, 2014

Policy ID: 5.4 Title: Program Contracts

Policy: All approved programs shall not receive funding until they have signed a contract with Polk County ECI which outlines the board's expectations and documentation requirements.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Once funding recommendations have been approved by the Board, a letter/email will be sent to the contractor notifying them of the funding award, time frame and amount.
- Polk County ECI may utilize and review any templates provided by the state ECI office.
- A draft contract will be prepared by the staff utilizing an approved template and presented to the Board for their approval.
- The contract shall include but be not limited to:
 - Identity of Parties
 - Duration of Contract
 - Purpose
 - Scope of Services including Performance Measures
 - Monitoring and Review
 - Compensation
 - Termination
 - Indemnification
 - Insurance
 - Contract Administration
 - Execution
- The Board will exercise the option at their discretion to have any contract reviewed by legal counsel.
- Once the Polk County ECI budget has been approved by the ECI office, the Executive Director will send the contract to the contractor for their signature.

- Upon receiving back the signed contract, the Board Chair will sign the contract. The contract will be scanned and an electronic copy shall be sent back to the contractor, and a copy will be stored electronically by the fiscal agent and Polk County ECI office. The original signed copy shall be kept in the Polk County ECI office.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 5.5

Title: Amending Program Contracts

Policy: The Polk County ECI Board will request an amendment to a program contract where expenditure of funds is anticipated to not occur within the current fiscal year, where a program is requesting additional funds for expansion of program services, when there are programmatic changes, or when there are changes in state requirements.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- When it is brought to the attention of the Board that a contractor is in need of a contract amendment for any reason, the Executive Director will discuss and/or meet with the contractor to determine the scope of the amendment.
- The Executive Director will bring the proposed amendment and recommendation to the board at their next meeting.
- The presence of the contractor at the board meeting when the amendment is discussed may be requested.
- The contract amendment will be sent to the contractor for their approval and signature.
- The Board Chair will sign off on the contract amendment. The signed amendment will be scanned and an electronic copy will be returned to the contractor, and one stored by the Polk County ECI office or fiscal agent. The Polk County ECI office shall keep the original signed amendment.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 5.6

Title: Noncompliance with Contract Requirements

Policy: The Polk County ECI Board will address issues with contract non-compliance.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- If a concern regarding contract non-compliance is brought to the attention of the Executive Director and/or a board member, the concern will be explored by the staff.
- If staff determines there is an issue with non-compliance, they will meet with the contractor to discuss the issue with the intent of resolving the identified issue.
- Should further intervention be warranted, the Executive Director will contact the state ECI office and request their participation.
- A course of action for addressing the non-compliance will be drafted and provided to the Board for action.
- Regular updates towards progress of resolving the non-compliance item will be discussed at board meetings and documented.
- If the Board deems that termination of the contract is necessary, board action will be taken, and 30 days written notice shall be provided to the contractor.
- The Board's appeals policy will be shared with the contractor.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 5.7 Title: Program Monitoring

Policy: Polk County ECI staff will monitor the performance of contractors to ensure that the contractors are meeting the deliverables of their contract and achieving the specified results and targets. The results of program monitoring will be reported to the Board at each board meeting.

Code reference:

Tracking, Monitoring and Reporting – Iowa law requires the Board to monitor the programs, services and activities the board funds. By September 30th each year, the Board must submit a contract-monitoring schedule for their funded programs to the ECI Office. The ECI Office recommends that ECI area boards develop policies and procedures for monitoring and tracking program, service and activity outcomes and expenditures.

Legal References:

- Iowa Code chapter 256I
- Iowa Administrative Code chapters 249 and 541-9

Bylaws reference:

Definitions:

Procedures:

- Prior to September 30th each year, the Polk County ECI board will approve a contract-monitoring schedule for the coming year which will identify the programs that will receive an in-depth contract site visit and what is expected at such time.
- Monthly, the Board shall receive an update on program monitoring, including both the monitoring that is part of the annual schedule and that which may have arisen due to program performance concerns.
- Programs that are included in the annual contract monitoring schedule shall be informed of the following:
 - A monitoring checklist will be shared with programs prior to visit.
 - Programs will be asked to compile all documentation for one month's invoice.
 - Programs will be given a minimum of 3 calendar weeks to prepare documentation for site visit.

- Results of onsite contract monitoring will be included in board review of programs.
- Program contracts will outline the reporting periods and the data expected in order to keep the Board and ECI updated on the progress towards the current performance goals and outcomes achieved.
- If items are deemed to need further clarification or review, the contractor may be asked to be present at the next board meeting for discussion of the program.
- The Executive Director may also request and document upon receipt verification of the contractor insurance as required in the contract.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 5.8

Title: Annual Program Review

Policy: All funded programs shall participate in an annual review by a committee designated by the Board.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- The staff shall draft an annual review document to be used by the contractors in reporting out the results of their work. They shall also prepare a review timeline for the Board's consideration.
- Once the review documents have been approved by the Board, they shall be shared with all contractors.
- Completed review forms shall be shared with the appropriate board committees. Contractors may be asked to meet with a board review committee to discuss their program.
- An onsite review may be requested by the Board or board review committee.
- The information gained through this review process will be used in determining program funding for the coming fiscal year.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 5.9

Title: Use of Polk County ECI Name and Logo

Policy: Polk County ECI name and logo will be used by programs it funds or sponsors.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Contracted programs will be required through their contracts to acknowledge and include Polk County ECI as a sponsor and funding source in all promotional and written materials, reports and public information.
- Events that Polk County ECI co-sponsors shall acknowledge Polk County ECI in the same manner that other sponsors are acknowledged.
- Materials that Polk County ECI develops may be used by other organizations as long as Polk County ECI is acknowledged as the source through the use of its name and logo.
- If the Polk County ECI name or logo are used without Polk County ECI approval, the user will be asked to remove name or logo from any unapproved location.

Date Approved by the Polk County ECI Board: November 19, 2014

Policy ID: 5.10 Polk County ECI Area Boundaries

Policy: The geographic area for Polk County ECI is defined by the existing boundary of Polk County. When individuals in need of services cross Polk County ECI boundaries, Polk County ECI shall help assure that services continue to be provided.

Code reference:

Bylaws reference:

Definitions:

Procedures:

- Programs shall be aware of Polk County ECI boundaries and of similar services of those provided through their own program in the neighboring areas to their service area.
- If a program is contacted by an individual or entity regarding services for someone whose residence is outside of the Polk County ECI area, the program shall make a referral, with guidance from the Executive Director, to the ECI area that includes the county of residence of the individual.
- In the event that services are not available in the county of residence to support the individual, the individual shall be eligible for funding or services provided there is no other funding or similar service, as determined by the program.

Date Approved by the Polk County ECI Board: June 24, 2015



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