



SHARED GOVERNANCE PROCEDURES

Approved by BOD & PC October 2010

SHARED GOVERNANCE PROCESSES

Child Start Inc. accepts the concept of shared governance and has developed the following procedures to describe how the Policy Council and Board of Directors, with staff support and involvement, share decisions in areas related to the Head Start program. Using Appendix A of 45 CFR 1304.50, and newly established requirements of the 2007 Head Start Act, the following descriptions and procedures provide a blueprint for the staff, Board of Directors and Policy Council in implementing shared governance requirements.

PLANNING

REQUIREMENTS

1304.50—Grantees shall establish a procedure for planning that is based on a Community Assessment. The Community Assessment shall be the basis for such decisions as

- the program’s philosophy and long-and short range goals
- the selection of delegate agencies and their service areas
- criteria for defining recruitment, selection, and enrollment priorities
- the time frame for conducting the program self-assessment

1304.51—Grantees must develop and implement a systematic, ongoing process of program planning that includes consultation with the program’s governing body, policy groups, and program staff and other community organizations.

The planning process provides overall direction for the corporation and its programs. The Board of Directors is responsible for charting the course for the agency and does so through its decision-making about the mission, vision and values of the organization, and approval of similar direction for its programs. Although much of the activity of the Corporation is related to the Head Start program, the agency may choose to engage in other programmatic activities that are not Head Start related as a result of its planning decisions. The Head Start Policy Council is an integral part of the operations of CSI, Inc. programs and provides an opportunity to have customers of our agency’s programs directly involved in the decision making processes about those programs.

PURPOSE

The purpose of the planning process is to establish and maintain a systematic approach to Agency decision-making about the direction and scope of programs and services offered by CSI. Planning provides an opportunity to look at our community and determine

- who our customers (both primary and secondary) are
- what our customers value
- how current community resources are employed
- what role we should play in addressing issues in the community

Planning Procedure and Timetable

The planning procedure describes the major events, activities and time frames for CSI to assure that we address all of the requirements of our funding sources in making decisions about Agency and program direction.

The planning procedure describes the development of products that will result from this process. The products of planning include the following.

- the planning procedure itself
- the Community Assessment and the priorities that are chosen from that information
- goals and objectives
- criteria for recruitment, selection and enrollment priorities
- funding applications and amendments
- time frame and process for conduct of the program Self-Assessment

The corporate fiscal year begins in September. The agency shall initiate its multi-year planning phase in **June** every three years with the review and update process beginning in **October** of each of the two succeeding years.¹

1. Note that this documents the organizational as well as the programmatic boundaries for the planning procedure.

The Board will annually adopt its calendar each year. The Policy Council will review and approve the planning cycle at its (September) meeting for the Head Start planning process.²

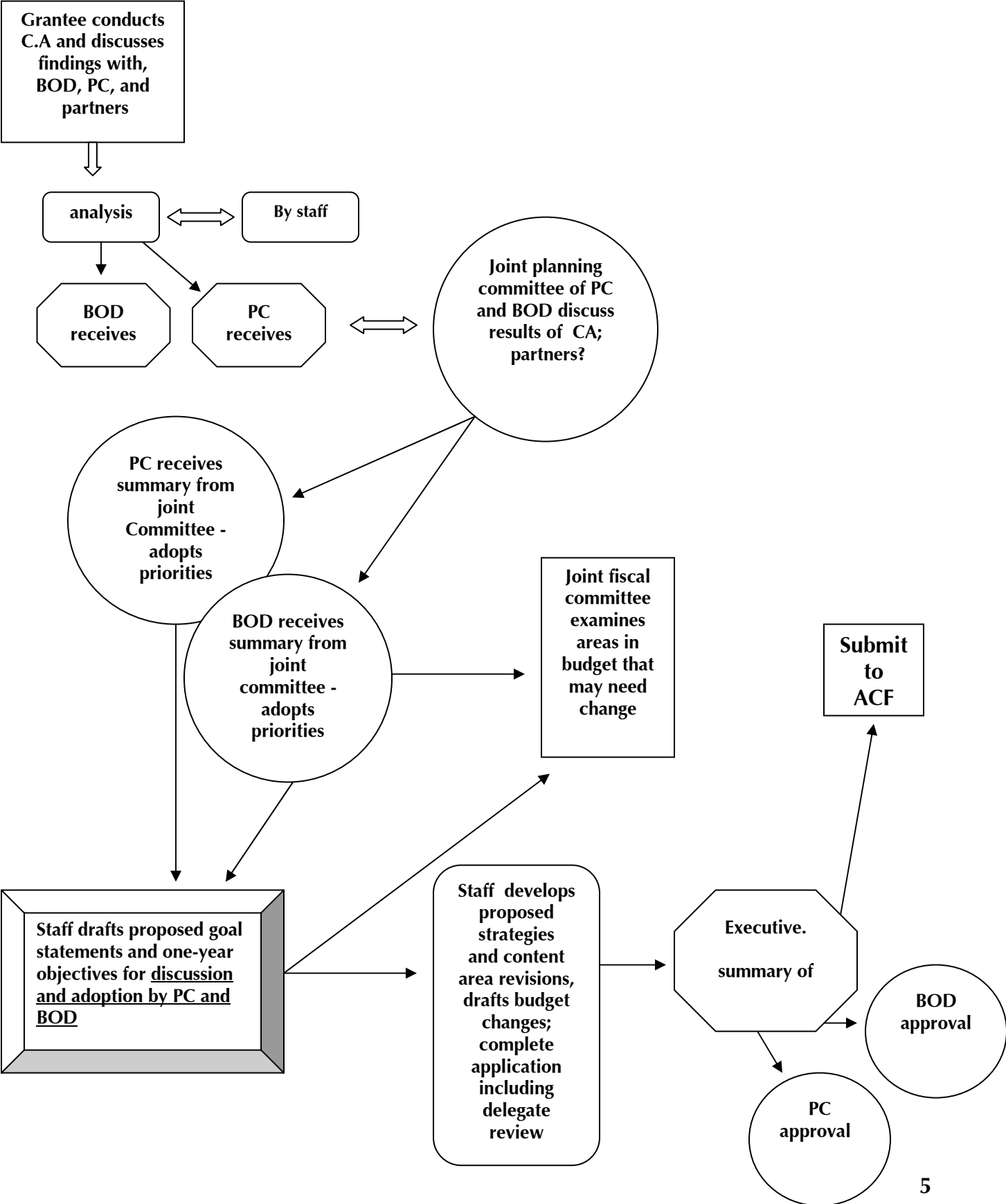
Agency and program Mission, Vision, and Goals will be reviewed and/or revised every three years within the time frames noted below as part of the planning process. The Head Start Policy Council and staff functions are described and integrated into the planning activities.

In the following description of planning activities, we have also addressed other requirements for either the Board of Directors or the Policy Council or both. For example, the composition of the Policy Council is a requirement under General Procedures in the Head Start governance chart. We have incorporated an annual review of PC composition into the planning calendar to assure that it receives the attention it requires. Other issues such as updating wage comparability information, which is directly related to personnel policies, are also incorporated into the calendar. Where such issues are addressed, we have identified the appropriate requirement in Head Start regulations at the end of the description.

A double asterisk, **, denotes those items that are shared between the Board of Directors and Policy Council and require formal action by both bodies.

2. The time frame for approval of the PC should be before the Board's so that any issues for Head Start can be resolved, first with the PC, then the Board.

PLANNING PROCESS



September Activities

- **New Funding Year** begins, classes for part-year, part-day begin.
- **Pre-Service Event** held for all staff
- **PC Members** attend open house at Centers and make presentations about PC role and processes, assist in recruiting new members for PC.
- The **Planning Calendar** is adopted by the Board of Directors and the Policy Council. The planning cycle changes reflect whether the next cycle is a full process or an update process for the Community Assessment and for other planning activities. Goals have been set for three years and will be changed only if it is determined through assessment that a change is needed.
- Year-end **Child Outcomes report** is presented to the Board and PC.
- Year-end **PIR report** presented to the Board and PC.

October Activities

- **Policy Council elections** are conducted for the new year. Elections will reflect any changes in the structure of the PC that were approved by the Board and PC in July and August.(1304.50(b)(4)
 - **New PC members** seated
 - **Last meeting for outgoing PC representatives**
- **Policy Council Training begins** with current members participating and assisting staff in explaining the role of PC and functions of its members and officers.
- **Policy Council officer elections** are conducted for the new year. Elections will reflect any changes in the structure of the PC that were approved by the Board and PC in July and August.(1304.50(b)(4)
- Staff begin **review of Community Assessment (CA)**. The full CA will be completed every three years as required. The update process will be based on the extent to which changes have occurred in any of the areas such as demographic issues, changes in the economy that might indicate that more families may be eligible for services, etc. **
- **Progress on Goals and Objectives** reported to Board and Policy Council

November Activities

- **The Self-Assessment Plan** is proposed to the Board of Directors and Policy Council. The Plan describes when the process is to be conducted (including training of participants), who is to participate, how the results will be communicated and acted on in cases where corrective action is required.**
- **The fourth Quarterly budget/program progress report and analysis** are presented to the Board of Directors and Policy Council, indicating the final status of program expenditures. The report provides information about whether expenditures were in line with budget projections and whether strategies for reaching objectives were met for the previous program year.

January Activities

- **The Community Assessment** is completed and the results are formulated into analyzed information for the Board, Policy Council and staff to use in determining goals, objectives and specific program direction—priorities for selection, recruitment and enrollment, enhancements to program plans and collaboration activities with other community agencies.
- **Parent Emergency Fund** use approved by the Policy Council
- **Child Outcomes Progress Report** presented by Education Manager to Board and Policy Council
- **The first Quarterly budget/program progress report and analysis** are presented to the Board of Directors and Policy Council, indicating the status of program expenditures in relation to expectations. The report provides information about whether expenditures are in line with budget projections and whether strategies for reaching objectives are on target and are appropriate.**1304.51(d)((3)
- **Recruitment, Selection and Enrollment Priorities** are proposed by staff and approved by the Policy Council using data from the Community Assessment. The decisions made at this time allow the program to begin recruitment activities for the next program year and update criteria for ongoing recruitment. The Family Services Advisory Committee of the PC works with staff to review the prior year's priorities. Any issues that arose as a result of implementing the process the previous year are presented along with recommendations for changes. After accepting any changes, the priorities are presented to the full PC for approval, **then submitted to the Board for approval.**
- **Three-year Wage Comparability data** updated for presentation to the Personnel committees of the Board and Policy Council. Staff will complete an update of this information at least every three years or whenever a position or group of positions appears to require review based on issues such as turnover.** (1301.31) (HS Act Sect. 653)
- **Shared Governance meeting held**

January Activities Continued

- **Independent Audit Approval** provides the Board an opportunity to meet with the independent auditor to discuss the review of the agency's financial practices and systems and any recommendations for improvement. The Board is then responsible for assuring that any corrective action proposed by the auditor is implemented. A plan for corrective action (if needed) is proposed by staff and monitored by the Planning and Finance Committee of the Board until all corrective actions are completed and implemented.
1304.50(g)(2), 1301.12
- **Board Assessment is** conducted to review the operations of the Board and plan for improvements in Board processes. An instrument such as that in *Doing Good Better!* is used for this purpose. The assessment should address both individual and group performance including how well committees supported the work of the Board.
- **Annual Self-Assessment (SA)** is conducted with participation of staff, Board and PC using the plan approved in November. The **SA** provides information about the extent to which
 - Federal requirements and our own policies and procedures are implemented
 - children are attaining the knowledge and skills needed to succeed
 - the goals of families are addressed
 - overall management processes support program services
 - the goals established for the three-year cycle are met**

February Activities

- **Community Assessment (CA) Report** is presented to the Board and PC.** The **CA Report** provides information about the Head Start Service Area including
 - the demographic makeup of Head Start eligible children and their families
 - other child development and child care program in the Service Area that are serving Head Start eligible children (with approximate numbers served)
 - the estimated number of children with disabilities
 - the education, health nutrition and social service needs of Head Start eligible children and families as defined by Head Start families and by institutions that serve young children
 - Resources in the Community that are/can be used to address the needs of Head Start families
- **Budget Summary Information preparation** is begun by staff showing major categories, proposed changes from prior year and rationale for proposed changes for refunding **

March Activities

- **Annual Meeting of the Corporation** is held by the Board of Directors. New Board members are seated.
- **Three-Year Program Goals and one-year objectives** are discussed with the Board of Directors and Policy Council, based on the Community Assessment and Self-Assessment Report. Goals will describe, in broad terms, how the agency plans to address issues/needs of Head Start families that were chosen as priorities for the Agency.
- **Staff meet and recommend budget changes for mid-year review based on the Second Quarterly Budget Report and audit recommendations.**
- **Board improvement processes are recommended during the Annual Meeting of the Corporation/ Board Retreat**

April Activities

- **Goals and detailed one-year objectives** are presented to the Board and PC for approval. Objectives describe the one-year measurable actions to be taken to attain the three-year goals.**
- **Compensation structure changes** are presented to the Board and PC for approval based on the recommendations from the Planning & Finance Committees of each body.** Those recommendations are based on the Wage Comparability data and Federal and funding source mandates. Changes in the Agency's salaries and benefits plans will be made in accord with the provisions of Agency Personnel Policies. ** (1301.31) HS Act Sect. 653)
- **The Second Quarterly Budget/Program Progress Report and analysis** is provided to the Board and PC addressing six months of program operations. Report includes six-month analysis of operations and recommendation to adopt mid-year revisions.**
- **Reimbursement policies/procedures for PC** are reviewed, revised and approved by the Policy Council based on the need for increased costs for any reimbursable items for the next budget year and based on the proposed budget changes that have been presented to the Board and PC.
- **Service Delivery Plan changes** are presented to the PC for approval with a description of the areas that require additional effort to fully comply with requirements. This is based on the results of the Self-Assessment.

May Activities

- **Detailed Summary of the application** is prepared by staff for review and approval by the Board and PC.** Summary includes
 - Goals/ Objectives - based on the Community Assessment, Self-Assessment, Board and Policy Council planning process
 - Budget Summary Detail – budget changes proposed by the Planning & Finance Committee
- **Policy Council completes Annual Training Survey**
- **PC** assesses its performance and proposes changes in operations to enhance involvement of parents.
- **Removed statement about planning cycle**

June Activities

- **Removed statement about Board planning process**
- **Grant Application is submitted to ACF** for the next budget year that begins Sept. 1.
- **Personnel Policies** are reviewed by staff and recommended changes are proposed to the personnel committees of the Board and PC.** (1304.50(d0)(x))
- **The Composition of the PC is reviewed** for revision. If the program has planned changes in the options to be implemented during the next operating period, has increased or decreased the number of sites, or made any other program changes that impact the size and/or representation on the PC, the composition will need to be changed. The annual review will also include a determination of whether the community representation on the PC is appropriate based on the goals and objectives and program implementation strategies that have been adopted. Changes are proposed to the Board for approval.
- **Policy Council Bylaws** are reviewed and proposed revisions identified. Items that require Board approval are prepared and forwarded to the Board after PC acceptance. Once the Board acts on those items (e.g. PC composition) that require its approval, they may become part of the PC bylaws.
- **Policy Council Proposes Annual Training** for the new PC to be seated in the fall. Recommendations are based on the PC's assessment of its own performance conducted in May.

August Activities

- **Shared Governance Procedures and Board Planning Calendar** are reviewed and proposed revisions identified.
- **Composition of the Policy Council** recommendations for changes are proposed to the Board of Directors based on the need for new allocations of slots and/or changes in community representation. ** (1304.50(d)(1)(vi) **(moved to June)**)
- **Personnel Policies** are revised based on changes recommended by the Personnel Committee(s). Changes proposed by the Personnel Committees require approval of the Board and PC.** (1304.50(d)(1)(x))
- **Third Quarterly Budget/Program Progress Report and analysis** is provided to Board and PC along with a summary of information submitted in the Agency's Federal Program Information Report.** The information in such reports will routinely include:
 - status of expenditures in relation to projected expenditures
 - status of program implementation based on accomplishment of one-year objectives
 - monitoring of program progress, including tracking patterns of progress and accomplishments for groups of children in the eight domains as well as in health and disabilities services and family and community partnerships
- **Bylaws** revisions are presented to the Policy Council for approval, then reviewed by the Board of Directors.

GENERAL PROCEDURES

REQUIREMENTS

1304.50(d)(1)(vi)—Changes in the Composition and/or the procedures by which policy group members are chosen require approval of the Board of Directors and the Policy Council.

1304.50(d)(1)(ii)—Written procedures that describe how the Board of Directors and the Policy Council implement shared decision-making require the approval of both bodies.

1304.50(h)—The Board of Directors and the Policy Council must jointly establish written procedures for resolving internal disputes, including impasses procedures, between the two bodies.

1304.50(d)(2)(v)—The Board of Directors and the Policy Council must establish and maintain procedures for hearing and resolving community complaints about the program.

Purpose

The purpose of our general procedures in shared governance is to establish and maintain procedures that facilitate the work of the Board of Directors and the Policy Council. It is understood that some of the requirements under general procedures are functions reserved to the Board of Directors. Those items are addressed in other agency procedures, but may also be incorporated into the agency planning calendar (e.g. the oversight of the annual audit process required by 1304.50(d)(1)(ix)).

Procedures for Revising Policy Council Composition

The procedure for making changes in the existing composition for the Policy Council (PC) include:

- An annual review of the composition based on any changes in funding, program options and/or service area allocations. If changes occur in any of the noted areas, a review will be conducted by the PC and staff in June of each year and alternatives proposed, if needed to the existing structure. The objective is to provide, as much as possible, adequate access to representation for parents enrolled in all agency options.
- Once the Policy Council has voted on and approved proposed changes in the composition, the Board will be presented with the rationale and recommendation for approval of the revised composition for the PC in August of each year.
- If the Board disagrees with the proposed composition, an attempt to resolve the difference between the two groups will be initiated by requesting the Policy Council to select two representatives to meet with two representatives of the Board of Directors to form a Dispute Resolution Committee to informally resolve the conflict.
- The two groups will meet within three days of designation of Board and PC representatives. This group will have the authority to make final decisions for both the PC and the Board.
- If the conflict cannot be resolved through this informal process, the mediation process (See below) will be invoked by a vote of the members of the Dispute Resolution Committee who, at this point declare the two groups at impasse.

Written procedures for Shared Decision-Making

By adopting each of the items in these procedures that includes a double asterisk, **, the Board and Policy Council have established procedures that describe how shared decision making is implemented at CSI. Documentation for those procedures that require annual or another timeframe for action and/or activity will be contained in the minutes of the PC and the Board in the corresponding month where they are described in our planning procedure.

Internal Dispute Resolution Procedure

If, at any time, the Board and Policy Council disagree on any item that requires their joint approval, a Dispute Resolution Committee will be established with two representatives each from the Board and Policy Council. The Dispute Resolution Committee will meet and attempt to informally resolve the disagreement.

If the Committee is unable to agree, the Committee will declare an impasse and the Mediation process described below will go into effect.

Once the dispute is determined to be at impasse, the Agency will inform the San Francisco Regional Office of ACF within ten days of the dispute. If the dispute is one that, if not resolved, could lead to termination or denial of refunding of the Head Start grant, the Regional Office will be notified immediately.

In accord with requirements in the Head Start Act, Section 646(a) and Program Instruction HS-96-16, conflicts between the Policy Council and Board of Directors shall be referred to a mediator whenever a Dispute Resolution Committee is unable to reach agreement and an impasse is declared.

When notifying the Regional Office of the dispute, the Executive Director will attempt to arrange a meeting which will include the Executive Director/Head Start Director, Board and Policy Council Chairs. Other members of the PC and/or Board may be asked to attend depending on the nature of the dispute.

If the meetings with the Regional Office fail to assist in resolving the dispute between the Board of Directors and the Policy Council, the issues will be submitted to a professional mediator within ten days after determining that no resolution is possible with Regional assistance. (The Regional Office will be requested to assist in selecting a mediator if necessary.)

Once the mediator is contacted and the first meeting is arranged, the Regional Office will be notified of the time and place. It is expected that the designated representatives of both the Board of Directors and the Policy Council will attend any meetings requested by the mediator. The Executive Director is authorized to arrange all logistics with the mediator and to inform the Board and Policy Council when a mediator has been selected and the plans for any meetings or other activities that are requested by the mediator.

If the conflict relates to refunding, the mediation process must be completed 15 days prior to the refunding date unless the mediator indicates in writing that additional time will likely result in a successful resolution of the conflict. If this is the case, CSI would request additional time to complete the mediation process.

Once the mediation process is completed and a report is prepared, a copy will be provided to members of the Board of Directors and the Policy Council and to the ACF Regional Office.

Community Complaint Procedure

The agency shares responsibility for fostering and maintaining positive relations in our communities. Members of the community must feel that issues and concerns they raise will be listened to and judged fairly. We prefer that anyone who feels they have a just complaint against our agency provide such information and allow us to address the issue. Copies of this procedure must be posted at each site.

Two types of complaints may be lodged with the agency. The resolution process will be handled in distinct ways for each depending on the findings that result:

1. Program Complaints are those that relate to agency practices, procedures or the perception that an agency practice has violated some rule or requirement (including our own internal procedures); or failed to deal fairly with members or our community.
2. Personnel Complaints from the community are those that allege inappropriate action on the part of any agency employee. If, because of reviewing the allegations, it is determined that an employee has acted inappropriately, the agency reserves the right to handle the complaint as a personnel action. In accord with regulations and agency policy, Child Start will not divulge the results of such action, allowing the affected employee the confidentiality to which they are entitled. The only announcement the agency will make will be a clarification of agency policy relating to the issue raised by the complainant.

Complaint Process

Complaints can be submitted in writing, in person or by phone to the Deputy Director. The complaint should describe completely the allegations and provide specific documents, materials, literature, or other evidence in support of such allegations.

The Deputy Director shall have the full and complete authority to review and investigate all complaints and allegations from the community. Upon receipt of such complaints, the Deputy Director shall conduct a thorough review and examination of the information and all available facts surrounding the allegations made in the complaint. This review shall be conducted in a reasonable timeframe.

After completion of the investigation, the Deputy Director shall prepare a written report of the facts involved in the complaint and recommend a course of action to resolve the matter.

The Deputy Director will inform the Executive Director, the HR Director and chairs of the Policy Council or Child Start Board if the complaints are of serious nature.

The Deputy Director will communicate in writing to the complainant and maintain written records of the correspondence.

If resolution is not reached, the matter is referred to the Executive Director. If still unresolved, the matter is referred to the Policy Council or Child Start Board, whichever is more appropriate to the nature of the problem. The Child Start Board has the final authority in resolving all community complaints.

HUMAN RESOURCES

REQUIREMENTS

1304.50(d)(1)(x)—The Policy Council must work in partnership with key management staff and the governing body to develop, review and approve or disapprove program personnel policies and subsequent changes to those policies in accordance with 45 CFR 1301.31, including standards of conduct for program staff, consultants and volunteers.

1304.50(d)(1)(xi) and (xii)—The governing body and Policy Council shall approve decisions to hire or terminate the Head Start director and decisions to hire or terminate any person who works primarily for the Head Start or Early Head Start program.

Purpose

The Purpose of our Human Resources procedures in shared governance is to establish the responsibilities of the three partners: the Board of Directors, Policy Council and management—in assuring that clear policies exist in this area. As required by regulation, the procedures for personnel related matters are contained in agency Personnel Policies.

Procedure for Changing Agency Personnel Policies

In June of each year a review of those policies is conducted and necessary changes are discussed with the Personnel Committees of the Board and Policy Council. After careful review and evaluation of the impact of any proposed changes, the final changes are presented to the Board of Directors and Policy Council for approval. Final procedures are completed in August and made available to staff, either during our annual pre-service or as part of continuing efforts to provide staff updated and appropriate material.

Procedures for Approving Hiring and Termination Actions

The hiring processes for both the Executive Director/Head Start Director and all other staff who are primarily engaged in Head Start activities are contained in the Human Resources Standard Operating procedures. These procedures describe the involvement of the Board of Directors and Policy Council in hiring processes and describe the process for separating employees.

The involvement of the Policy Council is addressed in the final stages of approving an action to terminate before the action can be taken.

Because the Board of Directors may be called upon to hear a grievance from an employee who has been terminated, their role in the termination process is confined to the appellate phase if a terminated employee chooses to appeal such a decision.