

*Building Families Policy and
Procedure Manual
2012*

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Director

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PART A
BOARD

A-1

Open Process for Board Recruitment

To assure all possible candidates wishing to serve on the Building Families Board are able to apply, the following will be enforced:

- Notice of openings will be posted in the Building Families Newsletter and Facebook page
- Board application will be available on the website (for all community Members to access)
- Current Board Members and Board Members whose terms are expired will recruit persons in their community to consider serving as a Board
- Board members will promote board membership through speaking engagements at community clubs, events, and community meetings.
- Board members will use a one on one approach or an “elevator speech” that the director develops for the board to promote board membership

A-2

Board Member Duties in Board Recruitment

- A prospective Board Member will be approached by a current Board Member residing in their respective county.
 - Board members will assist in seeking out when possible persons who show interest, provide advocacy for early childhood and ask to serve on the board
 - Board member will consider diversity in recruitment
 - Board Members will look for people who have the time to serve, can help beyond board meetings, will review paperwork and be prepared for meetings
 - After the person of interest completes an application and sends it to the Director, the Director meets with the applicant and provides a short orientation
- If interest is indicated, the Board Member will encourage him/her to complete an application and send it to the Director.
- The Director will make contact with him/her.
- The application will be mailed to all Board Members to review.
- The prospective Board Member will attend a Board meeting and express his/her interest, answer questions by the Board.
- The board may invite the applicant to serve on the board, or deny their request. This will be done outside the board meeting by contacting the Director.
- At the next meeting he or she may be nominated by a Board Member to serve.

A-2.1
Board Recruitment Policy Supplement
2012

Using the CEO as the board recruiter is like picking your own boss.

Vision:

Every child, beginning at birth, will be healthy and successful.

Mission:

Building Families' mission is for children, youth, and families to live in safe and nurturing environments that promote health, independence and success. Building Families will create a continuum of supports and services that embrace children and their families.

Results:

Healthy Children

Children Ready to Succeed in School

Secure and Nurturing Early Care and Education Environment

Secure and Nurturing Families

Safe and Supportive Communities

Recruitment

Step 1: What are we looking for in a board member?

- Commitment
 - ✚ Time
 - ✚ Helps behind the scene
 - ✚ Look over paper work prior to meetings
 - ✚ Manages organization
- Passionate about the topic and enhancing early childhood
- Understand what the programs and projects are about
 - ✚ Orientation
 - ✚ Openness to have the capacity to understand the projects
- Diversity: reflect the community we are serving (minority)

Step 2: Recruit a pool of candidates for each seat open, one at a time.

1. Faith representative
2. Open Humboldt
3. Open Wright
4. Future members retiring
 - a) Justin 2012-Parent
 - b) Ann J. 2013-Early Care
 - c) Mike Kruger 2013-Education

Step 3: Want individuals who “ask” to be a member of the board instead of us requesting them to serve on the board.

1. Make it known we are looking, do this like we are seeking a new employee—
Elevator Speech

2. Public speeches, new board members are always welcome
3. Announcements at breakfast clubs, networking groups, etc.
4. Advertise on the web or newsletter
5. Let people know this is a position they can aspire (seek, want, wish) to
6. Applications posted on the website

Step 4: Application process

1. Application-posted on the web site
2. Orientation-done by the Director after the application is received
3. Interview-done at the first board meeting they attend

Step 5: Now that they are on board

1. Describe board member behavior-(attend meetings, be prepared, promote the organization) through the orientation process and board book
2. Describe the board member duties-orientation, board book, and by-laws
3. Seasoned board member mentor a new board member by meeting with them 15 minutes prior to the meetings and discuss the agenda and what is going to happen

Step 6: full blown orientation

1. Discuss the projects and other activities expected of the ECI area
2. Discuss acronyms, provide a spread sheet for them to use
3. History of our ECI area
4. Budget
5. Fiscal Processes
6. Board Duties and Legislative Responsibilities
7. Board Book

Step 7: Put them to work

1. Array of activities
2. Committee member

Competencies of Board Members

Skills and Talents of Board Members include:

1. Together Board Members should have a range of operational competencies needed to carry out the duties of the Board. These areas include: management, finance, investment, law, accounting, public relations, and fund raising.
2. Board Members must have knowledge of and informed insight on the organization's programs.
3. Board Members should have a connection to constituencies. The Board will represent widespread support which requires a diverse Board, including representation from groups the organization directly serves but not agencies who receive funding.
4. Board Members show advocacy leadership by having access to resources, and influence with constituencies important to the charitable nonprofit organization.
5. Board Members will have inclusiveness including age, sex, ethnicity, religion, sexual orientation, socio-economic background, and geographic location.
6. Board Members will be committed to giving time, funds and participation in fund-raising.
7. Board Members must be supportive of our mission, vision and values.
8. Board Members must be able and willing to work and contribute the strengths they have.
9. Board Members will have a positive attitude toward the organization.
10. Board Members should be:
 - a. Knowledgeable
 - b. Interested
 - c. Enthusiastic
 - d. Accountable
 - e. Committed
11. Board Members must be team players.

Application for Board Members

BOARD OF DIRECTORS
Building Families Early Childhood Area
Hamilton, Humboldt and Wright Counties

Early Childhood Iowa, formerly Empowerment, is a State of Iowa initiative that was established through legislation in 1998. The legislation allowed communities to form local governance Boards to develop a community plan for early childhood. The focus of Empowerment is children ages 0-5.

Building Families is a non-profit 501(c) (3) charitable organization and under Iowa Code is also an Iowa governmental entity.

VISION

Every child, beginning at birth, will be healthy and successful.

MISSION

Building Families' mission is for children, youth, and families to live in safe and nurturing environments that promote health, independence and success. Building Families will create a continuum of supports and services that embrace children and their families.

APPLICATION PROCESS FOR SERVING AS A BOARD OF DIRECTOR

Applications will be accepted throughout the year at the Building Families office located at:

500 Fair Meadow Drive, Suite A
Webster City, Iowa 50595

New applications will be presented to the Board of Directors for review and consideration. Applicants will be invited to attend one Board meeting prior to being accepted as a Board Member. The Applicant will be notified of the Board's decision.

Iowa Code states that employees of agencies receiving Early Childhood Area funding are ineligible to serve on the Board.

MEMBERSHIP TERMS

Board Member terms are for 3 years. The Membership can be renewed at the expiration of the designated term.

MEETINGS

Building Families Board meets on the fourth Monday of every other month, at Building Families Office from 3 to 4:30 pm.

BOARD OF DIRECTORS APPLICANT INFORMATION

Building Families Early Childhood Area
Hamilton, Humboldt and Wright Counties

Name:

Address:

Phone Numbers: (work): (home): (mobile):

Representing Organization:

Background Information about Organization:

Position/Employment with Organization:

Reason for interest in a Board Membership:

Signature:

Date:

Please attach any other applicable documents or information.

Submit application with a current resume by e-mail to:

astewart@hamiltoncountymhsb.org

or mail form to:

Ann Stewart
500 Fair Meadow Drive, Suite A
Webster City, Iowa 50595

Conflict of Interest Policy

**Conflict of Interest Procedures
Building Families Board**

Building Families Conflict of Interest Policy States:

If a Member of the Board will derive any profit or gain directly or indirectly by reason of Membership on the Building Families Board or through services provided to the project, the objectivity or loyalty of that Member could be questioned and a charge of self-dealing could be made because of the possible conflict of interest.

Board Members are obligated to always act in the best interest of the Building Families Board. This obligation requires that any Board Member in the performance of Board duties seek only the furtherance of the Building Families mission. At all times, Board Members are prohibited from using their Board Membership, the Building Families name or property for private profit or benefit.

The term “conflict of interest” refers to situations in which financial or other personal considerations may compromise, or have the appearance of compromising, a Board Member’s professional judgment in administration, management, instruction, research and other professional activities.

This means:

1. Board Members or employees should neither solicit nor accept gratuities, favors, or anything of monetary value. This is not intended to preclude bona-fide fund raising-activities.
2. Situations where financial gain or personal considerations may have a bearing on a decision made by the Board. This includes Board Members having a close active association with a program or institution being considered for official action by Building Families. Close, active association includes, but is not limited to:
 - current or past employment as faculty, staff, or consultant by the institution or program being considered;
 - current or past discussion or negotiation of employment with the institution or program;
 - attendance as a student at the program where a close, family relative is a student or employed, or an unpaid official relationship with an institution, e.g. Membership on the institution’s Board of Trustees or industry Advisory Board. (If a Board Member has been or is an agency employee, Board Member, or a family Member or relative is employed or a Board Member of an agency the Board is about to make a decision about, that Board Member has a perceived conflict of interest and should disclose the conflict of

- interest. Then the remaining Board will determine abstaining from discussion and voting eligibility.)
3. A potential conflict of interest on the part of Board Members, significant others, or extended family Members will be disclosed to other Members and made a matter of record when the potential interest becomes a matter of Board action.
 4. A Member with a potential conflict of interest on any matter will not vote or discuss the matter without the express approval from the majority of the remaining Building Families Board. The minutes of the meeting will reflect the disclosure. The Board will determine voting eligibility. A quorum will be determined by the number of Board Members present not the number of Board Members eligible to vote. Voting will be done by roll call.
 5. When a perceived conflict of interest is disclosed to a Board Member or the Executive Director outside of a Board meeting:
 - the Board Member or Executive Director must present a written statement of the perceived conflict of interest at the next scheduled Board meeting;
 - the Board will determine any potential conflict of interest;
 - the Board will decide if a plan of action is needed and if so develop the plan.
 6. When a perceived conflict of interest is disclosed to a Board Member during a Board meeting:
 - the Board Member or Executive Director must present to the Board a statement of perceived conflict of interest during that meeting;
 - the Board will determine any potential conflict of interest;
 - the Board will decide if a plan of action is needed and if so develop the plan.

All Board Members may avoid a conflict of interest situation by:

- focusing on the vision, mission and working toward collaboration;
- applying data to make decisions based on community assessment;
- keeping a consistent process for selecting projects, allocating funds, and making decisions;
- serving the Building Families Board as a whole rather than any special interest group or constituency;
- avoiding the appearance of a conflict of interest and disclose any potential conflicts to the Board in a timely fashion;
- maintaining independence and objectivity with a sense of fairness, ethics, and personal integrity;
- never accepting (or offering) favors or gifts from (or to) anyone who does business with Building Families Board.

Revised 4/22/10

**BUILDING FAMILIES BOARD
POLICY STATEMENT REGARDING CONFLICT OF INTEREST**

Because of the public service mission of the Building Families Board, it is particularly important the community have confidence in the management and administration of the project. If a Member of the Board will derive any profit or gain directly or indirectly by reason of Membership on the Building Families Board or through services provided to the project, the objectivity or loyalty of that Member could be questioned and a charge of self-dealing could be made because of the possible conflict of interest.

In order to establish a procedure for dealing with conflict of interest and to encourage disclosure, all Board Members will be required to submit a disclosure statement at the beginning of each year.

If a matter arises in which a Member of the Board has a conflict of interest, the Board Member shall promptly disclose this to Building Families Board.

In matters involving a conflict of interest, a Board Member must disclose any known significant reasons why a transaction might not be in the best interest of the project. A Board Member shall not participate in discussion or vote on such transactions unless approved by the Board. His/her abstention and the reason for it shall be recorded in the minutes.

INDIVIDUAL STATEMENT REGARDING CONFLICT OF INTEREST

This statement is to be completed annually by each Member of the Building Families Board in compliance with the policy adopted by the Board.

I have read and am fully familiar with the Building Families Board's Policy Statement Regarding Conflict of Interest. I am not presently involved in any transactions, investment, or other matter in which I would profit or gain directly or indirectly as a result of my Membership on the Board. Furthermore, I agree to disclose any such interest, which may occur in accordance with the requirements of the policy.

I declare the following as potential conflicts of interest:

SIGNATURE

Duties of Board Members

As a designated community Early Childhood Iowa Area, the Board is **legislated** to have responsibilities and authority that:

- Promote and demonstrate community collaboration
- Coordinate community assessment and planning
- Enhance comprehensive services for young children
- Support families and communities
- Coordinate program/funding to meet needs and priorities as identified in the community plan.

Responsibilities of Board Members

The Board will demonstrate effectiveness as a team by sharing a common vision, values and goals, respecting others opinions, expressing one's own opinions, demonstrate a sense of obligation to cooperate, have the ability to accept and support group decisions.

Individual Board Member's Responsibilities will include:

- Attend all meetings of the Board, including assigned committees and task forces. Notify the Board Chairperson or Director of any absences in advance, if possible.
- Thoroughly review the agenda and all background support material and come to all meetings prepared to contribute to the discussion of issues and business to be addressed.
- Consider serving on at least one committee.
- Represent the area Board in a positive and supportive manner.
- Keep the Board Chairperson or Director informed about any community concerns or issues that are relevant to this Board.
- Recognize conflicts of interest between position as a Board Member and personal and professional life. If such a conflict does arise, declare that conflict before the Board and refrain from voting on matters in which a conflict exists.

Duties of the Board as a Whole

- Interpret the scope of responsibilities of the Early Childhood Area as set by Iowa Legislation
- Establish the mission of policies to support the legislative intent;
- At a minimum, administer funds from the state;

- Ensure that interest on earnings from funds be used for services in the community plan;
- Award contracts and request funding proposals;
- Develop and implement the community plan with identified priorities, based on community input and assessments, which address human service, education and health needs to support the children and their families to reach desired results;
- Evaluate the outcome of community plans;
- Assure wide community input as part of all procedures by forming standing communities, task groups and focus groups;
- Assign tasks to committees as appropriate;
- Ensure that the annual report is submitted each fiscal year by September 15 to the State Early Childhood Board and to local governing bodies in the local area;
- Develop a plan to continue community efforts to support children and their families within the local area;
- Assume other responsibilities established by law or administrative rule.
- Use data to make informed funding decisions.

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Meetings

All Board and committee meetings will be held at the Building Families Office, 500 Fair Meadow Drive in Webster City.

- Meetings can take place in alternate sites if needed.
- Meetings must be held in a space that is wheel chair accessible.
- Board meetings occur on the fourth Monday of every other month from 3 to 4:30 PM unless changed by Board request.
- Committee meetings will occur on the third Thursday of every other month from 9AM to 11:30AM unless changed by Board request.
- Other ad hoc committees will meet at locations and times as determined.

By-Laws

Building Families' By-Laws will be reviewed and updated on an annual basis.

Article I: Name of the Board

Section A: Name

The name of this organization shall be BUILDING FAMILIES, hereafter referred to as the Project.

The name shall be used by the Early Childhood Area as defined in Iowa Code Chapter 256I which will currently operate primarily within the counties of Hamilton, Humboldt, and Wright Counties.

Section B: Geographic Location

All School districts with Administrative Offices located within the boundaries of Hamilton, Humboldt or Wright Counties are considered part of the Building Families Project. All districts have borders located in contiguous counties. The Administrative Office sites indicate the definitive geographic location.

If a family resides outside of the geographic location but attends a school district in one of the counties, they would be eligible to receive programming.

Article II: Purpose

Section A: Mission and Vision

Mission Statement: Building Families Mission is for children, youth, and families to live in safe and nurturing environments that promote health, independence and success. Building Families will create a continuum of supports and services that embraces children and their families.

Building Families Vision: Every child, beginning at birth, will be healthy and successful.

Section B: Purpose of the Project

The focus of this board is to improve results for families with young children. This shall be accomplished by fostering collaboration among state agencies and communities for the purpose of coordinating the use of agencies' funding and other resources. It is also the intent of the Early Childhood Iowa Area to establish broad community representation with the goal of providing services collaboratively to families and children. An additional emphasis is to reduce duplicative bureaucratic requirements that are barriers to community efforts to improve the efficiency and effectiveness of local education, health, and human services programs.

Section C: Purpose of the Board

As a designated community Early Childhood Iowa Area, the Board is charged with the **leadership** functions of developing a process toward collaboration with agencies serving families with young children; developing a strategic plan that addresses the needs and gaps in services for families and children in the three counties; providing oversight and management of programs funded and oversight and management of the funding delegated to the project.

As a designated community Early Childhood Iowa Area, the Board is **legislated** to have responsibilities and authority that:

- Promote and demonstrate community collaboration
- Coordinate community assessment and planning
- Enhance comprehensive services for young children
- Support families and communities
- Coordinate program/funding to meet needs and priorities as identified in the community plan.

Article III: Membership

Section A: Number and composition

The Project will maintain a board membership of 7 to 12 required representatives. As stated in Iowa Code Chapter 2561, board membership shall include at least one representative as follows:

- Parent, Grandparent, or guardian of a child aged from zero through five years
 - Business
 - Faith
 - Human Services
 - Health
 - Education
 - Early Care
- Board members must reside in Hamilton, Humboldt or Wright Counties.
 - Board members will represent three from each county and three at large.
 - Board members who miss three consecutive meetings may relinquish their position on the board. The Chair may accept or reject a resignation of a board member under these circumstances.
 - Board will be gender equal.
 - A citizen representative is “a member of the Early Childhood Area Board who is not an elected official or paid staff member of any agency whose services fall under the plan or purview” (the full scope or compass of any document, statement, subject, book, etc) “of the board directly or indirectly.”
 - An Elected Official is defined as “a member of the board or governing body elected through the means of a public election”.

Section B: Responsibilities of Board Members

The business and affairs of the Project shall be managed by Building Families Board, named “The Board” in these by-laws, which shall possess all of the powers of the “Governing Body” of the Project.

The board will demonstrate effectiveness as a team by sharing a common vision, values and goals, respecting others opinions, expressing one’s own opinions,

demonstrate a sense of obligation to cooperate, have the ability to accept and support group decisions.

Individual Board Member's Responsibilities will include:

- Attend all meetings of the Board, including assigned committees and task forces. Notify the Board Chairperson or Executive Director of any absences in advance, if possible.
- Thoroughly review the agenda and all background support material and come to all meetings prepared to contribute to the discussion of issues and business to be addressed.
- Consider serving on at least one committee.
- Represent the area board in a positive and supportive manner.
- Keep the Board Chairperson or Director informed about any community concerns or issues that are relevant to this board.
- Recognize conflicts of interest between position as a board member and personal and professional life. If such a conflict does arise, declare that conflict before the board and refrain from voting on matters in which a conflict exists.

Section C: Board Member Terms

Terms of service will be three years. The Building Families Board members who have served their three-year term may recommend individuals to replace them on the board, request to complete a second term on the board, or be replaced by persons volunteering to become a board member subject to approval.

In the event of a member's death, resignation, or transfer of power due to re-appointments, replacements will be nominated by any community member and approval by the board at the next regularly scheduled meeting_or a special session of the Building Families Early Childhood Iowa Area Board meeting.

A board member may serve two consecutive three year terms with one years off before serving on the board another term. Term limits do not include the

completion of a vacated seat. Terms will be staggered evenly so that the same number of terms expires each year.

Section D: Board Member Criteria

Board members must be residing in one of the projects counties.

Section E: Selection

Board members are selected by interested persons requesting a position on the board. Prospective board members will complete a board application, attend a board meeting and express their interest, answer questions by the board, and at the next meeting may be nominated by a board member to serve.

Section F: Committees

Board members are encouraged to serve on at least one committee during the year. This may be an ongoing committee or an ad hoc committee with a special interest or purpose. Board members will volunteer to serve as committees are identified by the board chair. This choice will be identified by the first meeting of the year.

Section G: Reimbursement

Citizen members may request reimbursed mileage to and from board and committee meetings at the state rate.

Section H: Responsibilities of the Board

Full Board Responsibilities of the Building Families Board shall be the following:

- Interpret the scope of responsibilities of the Early Childhood Iowa. Area as set by Iowa Legislation;
- Establish the mission of policies to support the legislative intent;
- At a minimum, administer funds from the state;
- Ensure that interest on earnings from the community Early Childhood Iowa funds be used for services in the community plan;

- Award contracts and request funding proposals;
- Develop and implement the community plan with identified priorities, based on community assessments, which address human service, education and health needs to support the children and their families to reach desired results;
- Evaluate the outcome of community plans;
- Assure wide community input as part of all procedures by forming standing communities, task groups and focus groups;
- Assign tasks to committees as appropriate;
- Ensure that the annual report is submitted each fiscal year by September 15 to the Iowa Early Childhood Iowa State Board and to local governing bodies in the Early Childhood Iowa Area;
- Develop a plan to continue community efforts to support children and their families within the Early Childhood Iowa Area;
- Assume other responsibilities established by law or administrative rule;
- Use data to make informed funding decisions.

Section I: Board Authority

The board as a 501-C-3 agency shall serve as their own fiscal agent, as approved by the Department of Management for Early Childhood Funds. All expenses will be paid before the 30th of the month with one board member and the Executive Director co-signing all checks and approval for payment done by signing a financial statement. Bills will be available for review. All records will be kept in the Building Families office.

Article IV: Governance

Section A: Director

The Building Families Board shall hire a Director to perform administrative duties for the Building Families Early Childhood Iowa Area and other duties to be determined by the Board.

Section B: Officers

The Board will elect a Chairperson, a Vice-Chairperson/ Treasurer from among the board members who are citizens or elected officials at the first meeting of a new fiscal year. Other officers shall be elected as deemed necessary by the board. The Chairperson shall preside over all Building Families Board meetings. The Vice-Chairperson will preside when the Chairperson is unable to attend. The Treasurer or other designated board members will oversee the budget and approve vouchers.

Article V: Meetings and records

Building Families Early Childhood Iowa Area Board meetings will be held at a minimum of four times each fiscal year or as frequently as deemed necessary by the Chairperson to carry out project business. Meetings will be held at the discretion of the board. The board will determine the meeting time and place. Meeting locations will meet ADA requirements. All meetings will be open to the public and will follow the Open Meetings Law. All meetings will follow Roberts Rules of Order. A quorum must be in place prior to taking action on an issue. In the event of a meeting without a quorum and action on an item is deemed necessary prior to the next scheduled board meeting, board members may be contacted by phone during the meeting by the Director or Board Chair to solicit enough votes to take action/inaction on the issue at large. The votes should be cast over speaker phone so that the public has access in accordance to the open meetings law.

Section A: Publicity

All Building Families Board meetings will be announced by placing time, place, location and agenda items on the website seven days prior to the meeting. The agenda will be posted at Building Families office 24 hours prior to the meeting. Meeting reminders, agenda and minutes from the last meeting will be sent to board members or posted on the web site five days prior to the next scheduled meeting.

Section B: Agenda

The Director will determine the agenda items with the assistance of the Chairperson. Persons requesting items to be placed on the agenda or persons who would like to speak to the board regarding an issue will contact the Chairperson or the Director seven (7) days prior to the next scheduled board meeting.

Article VI: Annual and Special Meetings of Full Membership

Section A: Place of meetings

All meetings of full membership shall take place within the three county cluster area of Hamilton, Humboldt, and Wright Counties as designated by the Building Families Board.

Section B: Open Meetings

Building Families Early Childhood Iowa Board meetings shall be conducted in accordance with the Law of the State of Iowa concerning open meetings. All records will be located at the Building Families Office and requests for information or copies of records will be made in writing to the Director. A charge will be determined by the board for all copies and staff time for making copies.

Section C: Special Meetings

The Building Families Board Chairperson may at any time call a Special Meeting of the full membership. In case of neglect or refusal of the Chairperson to call a meeting when requested, a Board Member may call a Special Meeting.

Notification will be placed in the Newsletter, the website and by e-mail seven (7) days prior to the meeting or as soon as the meeting is scheduled. Notice shall state the purpose of the meeting and tentative agenda. A quorum of a special meeting will be 2/3 the current board membership with 51% roll call vote to pass an action item.

Section D. Cancellation of Meetings

Meetings will be canceled on an emergency basis for situations such as inclement weather. Local radio stations will be contacted to give notification of cancellation in an emergency situation. The Board Chairperson will cancel Building Families Early Childhood Iowa Board meetings on an emergency basis by contacting board members by phone. Other canceled meetings will be by notification in the newspaper, Newsletter, e-mail or by mail as directed by the Building Families Board. Meetings will be automatically cancelled if the school district in the community where the meeting is being held is dismissed early or not held because of inclement weather.

Section E: Quorum

A quorum of the Building Families Board is needed for the purpose of transacting business. A quorum will be 50% of all current members plus one.

A quorum of a special meeting will be 2/3 the current board membership with 51% roll call vote to pass an action item.

Article VII: Committees

Section A:

The Building Families Board will assign responsibilities, membership and reporting at time of development and designate committees as need arises.

Article VIII: Conflict of Interest

Section A:

No less than once a year each board member will disclose their conflict of interest by serving on other boards or interests in other projects and sign a conflict of interest agreement. If a board member discloses a conflict of interest, he/she will abstain from voting.

Article IX: Grants, Requests for Proposals and Project Criteria

Section A: Grants

The Building Families Board may authorize the Director to write grants.

Section B: Request for Proposals

Requests for Proposals will be accepted at times indicated by the Building Families Board.

Section C: Funding Criteria

Using the evaluation criteria developed by the Building Families Board, quarterly reports will be submitted by each funded project by the 15th of October, January, and April and a yearly report by the 15th of July. The board will review all reports and evaluate projects. The Board will designate which projects to be funded if any and determine the funding allocated to each project budget by July 1st of the current funding year.

Section D: Appeals

The Building Families Board has developed a process for appealing board decisions.

Article X: Amendments

Section A: The by-laws will be reviewed yearly. The by-laws may be amended or revised by recommendations from the Program Committee. Final approval of the amendment or revision will be required by Building Families Board action, provided such amendment has been proposed at a previous meeting, or at any meeting called for that purpose, and voted on and approved at the following meeting. A 2/3 vote shall be required to change or amend the by-laws .

Revised: April 2011

Professional Development Plan

Professional Development of the Building Families Board will include:

- Board Orientation for new Members and open to others who are interested at least once a year.
- Mini presentations at Board meetings. These presentations may include the following information and will be presented as the Director feels the need of the Board to be advised or by requested by the Board:

Non Profit Boards
Board Duties
Open Meetings Law
Board Policies
Early Childhood
Early Learning
Health and Early Childhood
Child Care
QRS
IQPPS
Parent Support/Education
Early Childhood Iowa (state)
Budgets and financial issues
Advocacy for early childhood

- The Director or other special interest persons will provide the information to the Board.
- Any training provided by Early Childhood Iowa.

Annual Performance Review
Board Self-Evaluation
Building Families

To be completed yearly.

Considerations		5 Very Good	4 Good	3 Ave.	2 Fair	1 Poor
1	Board has full and common understanding of the roles and responsibilities of a board					
2	Board members understand the organization's mission and its products/ programs					
3	Structural pattern (board, officers, committees, executive and staff) is clear					
4	Board has clear goals and actions resulting from relevant and realistic strategic planning					
5	Board attends to policy-related decisions which effectively guide operational activities of staff					
6	Board receives regular reports on finances/budgets, products/program performance and other important matters					
7	Board helps set fundraising goals and is actively involved in fundraising					
8	Board effectively represents the organization to the community					
9	Board meetings facilitate focus and progress on important organizational matters					
10	Board regularly monitors and evaluates progress toward goals and community indicators/program performance					
11	Board regularly evaluates and develops the coordinator					
12	Each member of the board feels involved and interested in the board's work					
13	All necessary skills, stakeholders and diversity are represented on the board					

2012

PART B DIRECTOR

B-1 Director Competencies

The Building Families Board will assure hiring quality staff that are stable and qualify to deliver positive services effectively and efficiently to consumer satisfaction.

Director is Responsible to the Building Families Board.

Director Job Description:

Under the direction of the Building Families Board, the Director is responsible for providing service coordination and administrative management of the Hamilton, Humboldt and Wright Community Early Childhood initiative. The position will ensure that operational and specialized planning, community and program organizational coordination, and collaboration activities are carried out as directed by the Board. The primary objective of this position will be to promote development of services benefiting children 0-5 and their families in a three county area. These services will enhance the existing array of support and prevention programs.

Qualifications:

Education: Bachelor's Degree in Behavioral Sciences, Public Administration, Business Management or a related field and 3-5 years of experience. Master's Degree with at least two years experience in educational field preferred.

Personal Characteristics

- Work independently with minimal supervision
- Work with a non-profit Board
- Carryout major project activities
- Interpret and apply agency policies
- Plan work, think conceptually, observe and evaluate trends, analyze data, draw logical conclusions, and make sound decisions and recommendations
- Express ideas clearly and concisely, both orally and in writing
- Speak before public and private groups
- Plan, organize, and control the work of staff
- Develop and maintain effective working relationships with other people
- Meet customer needs in a consistently helpful and courteous manner
- Work cooperatively with others as part of a team
- Recruit and recommend employment or termination of support staff for approval by the Board
- Display high standards of ethical conduct and exhibit honesty and integrity

Language Skills:

- Ability to respond to common inquiries or complaints from customers, regulatory agencies, or members of the business.

Reasoning Ability:

- Ability to define problems, collect data, establish facts, and draw valid conclusions.
- Ability to interpret an extensive variety of technical instructions, regulations, and rules.

Mathematical Skills:

- Ability to work mathematical concepts such as probability and statistical inference, bookkeeping, budget development, and fiscal principles.

B-2

Director Duties

Building Families Director

Job Description

Position Title: Director

Education: Appropriate Four-Year Degree

Experience: 3-5 years

Reports To: Building Families Board

Basic Functions:

The Building Families Director is a full-time position that coordinates and provides leadership for Building Families Early Childhood Area Board. The Director is responsible for the management, guidance and direction for all programs and services provided by and authorized by the Board; communicates to the Board community-based needs based upon input from member organizations and community-wide assessments; primarily responsible for the recommendation of policy formulation to the Board and for the execution and evaluation of policy adopted by the Board; and ensures two-way communication between the Board, provider agencies and the constituents of Hamilton, Humboldt and Wright Counties.

Specific Responsibilities

Leadership:

- Acts as the executive officer of the Board and accepts the broad authority and responsibility of the office.
- Provides leadership, vision and direction in working with the Board and provider agencies.
- Promotes coordination of services through cooperative collaboration with provider agencies and the public.
- Assists the Board Chair in organizing and facilitating all Building Families meetings.
- Monitors appropriate state and federal legislation and policy which impacts the day-to-day operation of Building Families Early Childhood Area.

- Maintains appropriate communications between the Board, provider groups and the constituents of Hamilton, Humboldt and Wright Counties.
- Develops and presents appropriate action items to the Board.
- Assists the Board in designating appropriate standing committees to carry out the goals and objectives of Early Childhood Area.

Administration:

- Manages all internal control and support service systems with the Directors office.
- Develop and review administrative procedures.
- Report to the Board through appropriate committees on programs progress and evaluation.
- Provide staff support services to all committees or delegate such as deemed appropriate.
- Ensure and report compliance with Board Policy and procedures.
- Prepare proposals for appropriate outside sources of funding.
- Represent the Board at public meetings and other media events.
- Provide leadership in the development and submission of the State Iowa Early Childhood Board report and application for on-going funding.
- Submit appropriate reports for proposals awarded to the Building Families Board.

Fiscal:

- Ensure sound budget planning and accounting practices are fully utilized.
- Assist in developing an annual budget for review and approval by the Board.
- Provide the Board with monthly financial reports and other appropriate accompanying information.
- Assure the economical and efficient operation of Building Families' sponsored activities.

Personnel Management:

- Effectively and efficiently manage, supervise, and assign support staff to accomplish the organizational goals.
- Recruit and recommend employment or termination of support staff for approval by the Board.

Planning and Evaluation:

- Provide assistance to the Board and its committees in developing and revising the organization's strategic plan, which sets forth goals and objectives for achieving the overall mission and vision of the Early Childhood Area.

- Maintain records on Building Families resource delivery and collect data on community projects to assist the Board in evaluating programs productivity and impact.
- Provide leadership in evaluation and improvement of provider services funded by the Board.

Community Outreach:

- Is highly visible and active in community events and projects which are related to the overall mission and vision of the Early Childhood Area.
- Serves as the primary communicator to the Board of the community's needs.
- Collaborate with appropriate civic, business and cultural organizations to promote the mission and vision of Building Families

Recruitment and Selection of Director:

- Notice for employment will be distributed in the newspapers for our three counties and through Workforce Development at least three weeks prior to interviewing. Applicants will be asked to complete an application form available on the Building Families web site and mail or hand deliver with a resume and three references.
- Applicants will be given a job description prior to their interview. A short job description will be provided on line on the Workforce Development website or available upon request.
- Three references are required for employment consideration. References and credentials will be verified. References will be contacted by phone. Credentials will be verified by a copy of the diploma or license.
- Applicants will be prescreened for job qualifications. Opportunity for employment will be open to any person who, on the basis of merit, can present satisfactory evidence of qualifications for the position.
- Applicants interviewed will have a child abuse and a criminal background check.

Interview process: No person who has been found guilty of a crime or of a founded report involving mistreatment, exploitation and or child abuse as defined by Iowa law shall be employed in the program.

- Other tests such as drug testing may be required and is at the discretion of the hiring committee.
- Final selection of an applicant for employment will be made by the Board upon the recommendations of the hiring committee. The person selected will receive written notification of their job appointment, position title, starting salary, job description, immediate supervisor, reporting date and location, schedule of working hours and orientation schedule.
- Candidates not selected will be notified by mail that the position has been filled.
- No employee will be hired that constitutes a conflict of interest with a Building Families Board Member or staff.

Interview Questions: Supervisor

1. Have you read the job description? Do you have any questions about what the position involves?
2. What piece of this position most interests you?
3. What is your education and experience level?
4. Tell us about your career goals.
5. What type/style of supervision do you best function under?
6. What experience have you had:
 - a. Working with a non-profit Board
 - b. Facilitating groups
 - c. Developing policies
 - d. Developing a community plan
 - e. Collecting and developing data
 - f. Keeping track of budgets/accounting
 - g. Writing and monitoring contracts
 - h. Writing formal reports
 - i. Supervising staff
7. What is your knowledge/experience with:
 - a. The Logic Model
 - b. Writing and monitoring grants
 - c. Writing goals and outcomes
 - d. Financial responsibility and accountability
8. Describe a time when you had to use your leadership skills to motivate others to carry out an assignment when others were resistant.
9. Give us an example of a time when you had to go above and beyond the call of duty in order to get a job done.
10. Tell us about a job experience in which you had to speak up in order to be sure that other people knew what you thought or felt.
11. Tell us about your early childhood expertise and how you would advocate for children.
12. Explain about a time you worked as a team player to get a project completed. What position on the team did you take?
13. Talk about a time you had to be flexible.
14. Tell me about a situation when you had to resolve a conflict at work.
15. What experience have you had in and what level would you describe your experience (basic, intermediate, or advanced)
 - a. Word
 - b. Excel
 - c. Outlook
 - d. Publisher
 - e. Web development
16. Would your schedule be flexible enough to drive out of the county? Stay overnight in Des Moines? Attend meetings in Des Moines?
17. Is there anything else you would like to tell us regarding your application for this position?

Professional Development Plan

The Director will have opportunities to participate in a minimum of 15 hours of training each year. Such training will be determined by the Board and an assessment of the Director’s training needs. Some of the possible training needed to perform the duties of the Director may include:

ECI Training Modules
Financial Management
Goal Writing
Grant Writing
Working with Non-Profit Boards
Contract writing and management
Program evaluation
Early Childhood Iowa
Basics of Early Childhood Learning
Child Care rules and regulations
Healthy Child Development
Program Best Practices
Basic Facilitation
Conflict Management
Working with Data
Strategic Planning
Marketing, Public Relations, Advocacy
Working with Legislators
Leadership
Diversity
State and local training as the opportunities exist.

B-4
 Annual Performance Review
 Building Families Employee
JOB PERFORMANCE REVIEW

Name:

Date:

QUALITY		Recommendations:
JOB KNOWLEDGE (Understanding all phases of work)		Recommendations
DEPENDABILITY		Recommendations:
INITIATIVE (Thinks constructively and initiates actions)		Recommendation:
ADAPTABILITY (Ability to learn and meet changed conditions)		Recommendation:
ATTITUDE		Recommendation:
LEADERSHIP		Recommendation:

Comments:

Recommendations:

Job Performance review completed by:

Employee Signature:

Executive Director Signature:

Employer of Record

All employees and volunteers are screened with a child abuse background and criminal history check through the Department of Human Services or Public Health.

The Director is a legal employee of Hamilton County. The Hamilton County Personnel Policy book located in the Supervisors Office is available to staff on an ongoing basis. All policies apply unless the organizations Board has made an exception (as identified in the policy manual—if a Board governs the department, the Handbook may be modified.) Policies followed include:

- Conditions of employment, salary, time off, mileage reimbursement, reimbursement for meals
- Benefits
- Rights of employees

Employee responsibilities and competencies are monitored and when needed the Board writes a plan of corrective action with a time line to rectify any inadequacies of the Director.

The Director receives a written evaluation once a year by a committee of the Board. It is reviewed and comments are documented. The review is place in the personnel file and a copy is given to the Director and Hamilton County Auditor to place in the county personnel files.

Contract Monitoring

All contracts will have at the minimum:

- Name and address of the vendor
- Start and end date
- Maximum funding allowed
- How vouchers will be paid
- Explanation of expectations of vendors providing the service
- Explanation of the Boards expectations to monitor the service

Contracts utilized will be taken from the ECI website or Decategorization project.

Contracts will be monitored by the Request for Proposal service description including the number served, the number delivered, what services are provided. Contract progress will be monitored by the quarterly reports.

Vendors not meeting their goals will be put on probation and be allowed to write a plan of action to address their deficits. The inability to meet their goals may result in early termination of the contract or not being awarded a continuation of the contract the next fiscal year.

Financial Monitoring

Vouchers will be reviewed by the Director for appropriateness of expenditures. Documentation for all expenditures must be included with the vouchers. Budgets will be reviewed for timeliness of expenditures. If budgets are being spent on an untimely basis (either too rapidly or too slowly) the Director will contact the vendor for an explanation and a warning to better control the spending. When appropriate the billing will be for the unit cost of service to eliminate multiple copies of documentation.

Project Monitoring

Project progress will be monitored by:

- Monthly vouchers
- Quarterly reports
- Semi Annual budget review
- Face to face visits with project staff as deemed appropriate
- Quarterly meetings as deemed appropriate
- Spot checks of the vendor's supervisor's with a written or verbal report to the Director

PART C
PROJECTS/PROGRAMS

C-1

Request for Proposal

A Request for Proposal (RFP) will be submitted for all programs and services no less than once every three years. The RFP will be in a format that will compliment the services requested. All RFP's must address at least one state result and at least one community result as identified in the community plan. The RFP will be the baseline for the services and will be incorporated into the contract. Sample RFP's are included in the policy manual and will be updated and revised as needed.

**Building Families Early Childhood Area
Project Proposal**
Title Page**

***If you are planning to submit for more than one activity, you must submit a project proposal for each activity. An example: Training and follow up visits; activity kits; transportation; parent education; preschool support; and so on.*

Contact Person:	Address:
Date:	Phone:
E-Mail:	Fax:
Name of Project:	
Name of Organization:	
Mission Statement:	
Description of Organization:	
Section I: Abstract: In no more than 100 words give a one-paragraph summary of your proposal.	

Building Families Request for Proposal Guidelines

Requests must be double spaced, 12 point font

Section II: Narrative –5 pages

1. Show the need for the project. The need must link with the Building Families strategic plan. Use baseline data if possible.
2. Define your plans; tell about your program and how it addresses the identified need.
3. Discuss the population and area you will be providing services to; number of children, families, child care providers, kits or totes, or units of services.
4. Define the qualifications and training of staff. What and how will be the ongoing training provided.
5. Discuss how the project and staff will be supervised.
6. Discuss your current collaborative efforts and future collaborative efforts relating to the project.
7. Discuss how your project is not a duplication of services already provided in our three counties.
8. Is the project evidenced based, promising practices; is the program accredited or credentialed, etc. and explain.

Section III: Results and Indicators-No page limit

Using the following matrix, identify your results, indicators, action steps and timeline.

Result (Goal to be accomplished)	Action Steps (How the result will be accomplished)	Timeline (Indicate when the action step will take place.)	Indicator (Data you will collect that shows you are meeting the stated result. Must be tied into the state required results.)

Section IV: Evaluation- 1 page

1. Explain how you will report back to the ECI Board.
2. Explain how you will assess the project for change.
3. Explain how you will know if your project is successful.

Section V: Budget-2 pages

1. Clearly outline your budget using the following form:

Item	Budget
Salary	
Benefits	
Mileage	
Training	
Supplies	
Phone	
Equipment	
Sub-Total	

Administration 5%	
Total	

2. Provide a detailed justification of each line item

If the proposal involves direct services to families, indicate how many face to face client contacts you plan to make and relate it to the budget. What would your fee for service be for each face to face contact?

Evaluation
Possible 315 points

1. ___ The organization's Mission Statement is relevant to working with children and families and fits with our Mission Statement and vision. **(0-5 points)**
2. ___ Organization has trained qualified staff, a history of outcomes and financial accountability, a history of collaboration, and cares about children. **(0-5 points)**
3. ___ Section I: Abstract is clear and concise and is no longer than 100 words. **(0-5 points)**
4. Section II: Narrative **(give 1-10 points for each item. Possible 120 points but no one is that perfect!)**
 - ___ Shows the need for the service.
 - ___ The identified need links with our strategic plan.
 - ___ Has baseline data.
 - ___ Explains how the need will be addressed by the project.
 - ___ Identifies the population to be served.
 - ___ Identifies the geographic area the services will be provided.
 - ___ Staff qualifications are appropriate for the services to be provided.
 - ___ Staff in-service training is explained and is appropriate for the services to be provided.
 - ___ There is a good plan for staff supervision and oversight of the project.
 - ___ Current and future collaborations are discussed.
 - ___ The project is not a duplication of other services provided in our area.
 - ___ Narrative is written in a clear and concise manner.
5. Section III: Results and Indicators **(0-20 points for each item. Possible 120 points.)**
 - ___ Results will impact at least one of the five state results.
 - ___ Results are tied in with the required state indicators and results.
 - ___ Indicators are realistic and measurable.
 - ___ Indicators are a measurement of the result.
 - ___ Action steps will actually lead to the end result.
 - ___ Timeline is realistic and doable.
6. Section IV: Evaluation **(0-10 points for each item. Possible 30 points.)**
 - ___ A plan for evaluating the project in house is in place.
 - ___ A plan for reporting to the state is in place.
 - ___ A plan for reporting to the ECI Board is in place.
7. Section V: Budget **(0-10 points for each item. Possible 30 points.)**
 - ___ Budget for the project is line-itemed.
 - ___ All budget items are justified expenses and are reasonable costs.
 - ___ A fee for service has been identified.

Total Points _____

Evaluator's Comments:

- ___ Vendor is a soul source provider.
- ___ Vendor has a positive history with the ECI Area.
- ___ Vendor is a non-profit organization.

C-2

Reapplication

A reapplication for request for funding will be completed by each project yearly unless the funding is in the third year, requiring an RFP. The following is a sample of a reapplication.

Request for Reapplication for Building Families Funding
Fiscal Year _____ to _____
Name of project _____

Please complete the following budget request and return to ECI Director by _____.
 This form will assist the Building Families Board in determining the budgets for the _____
 fiscal year.

Name of agency: _____
 Contact Person: _____ Phone Number: _____
 Name of Project: _____
 Project is: _____ Evidenced based _____ Researched based
 _____ Promising Practices _____ Accredited or Credentialed

Number of families served to date in FY 20__	Number of new baby visits completed to date FY 20__	
Number of home visits completed to date for FY 20__	Number of families projected to serve in FY 20__	
Number of home visits projected for FY 20__	Number of new baby visits projected for FY 20__	
Number of babies born in your county last fiscal year	Number of socializations for FY 20__	
Number of RN/Social workers in the program	FTE equivalency of all staff combined	

What do you plan to do to enhance your program this year?
 What have you done in the past year that has been especially successful?
 What things do you need help with?
 Tell a success story about a family you worked with last year.
 Please complete your budget:

Home visits		Budget
	\$95/face to face visit for RN/Social Worker	
	\$55/face to face visit for CNA Family Support Worker	
Sub-total for services:		
Wraparound can be 10% of your budget: Be specific on what you will use the wraparound for.		
	Training	
	Translators	
	Socializations	
	Incentives	
	Credentialing	
	Educational Material	
Sub-total for wraparound:		
	Total Budget Request:	

Budget request s may not be granted to the extent of the request. Budgets will be
 dependent on the amount of funding available to our empowerment area.

Approved by the Board: _____

Comments by the Board: _____

C-3

Market Request for Proposal outside Geographical Area

Request for proposals will be sent by mass e-mail to a service provider list serve. They will also be listed on our Web Site, posted in the Newsletter.

Appeal Process

Applicants of a proposal for funding whose proposals are rejected and denied funding may appeal in the following manner:

- Upon receipt of the grant RFP rejection notification from the Director, the applicant may file an appeal letter with the Director of the Building Families ECI Board. If he/she is expected to have an extended absence the appeal will be rerouted to the Building Families Chair.
- Appeals may be filed on the grounds that the selection process violated state or federal law or that the process involved a conflict of interest by project staff or the review team Members. Other grounds could include definitions specific to the grant process, an error in point calculation, errors made in the applications, or the Board did not follow the defined grant or RFP process.
- Appeals may not be filed when the applicant is disqualified by not following the RFP process or guidelines.
- Appeals must be filed within seven working days of the rejection letter date. Appeals must be in written form, clearly, objectively and specifically defining what they did not like and why. All appeals must be in written form and either hand delivered or mail delivered. Fax and electronic appeals will not be accepted.
- A special meeting of the Review Board consisting of Board Members available that would not have a conflict of interest will be called within seven working days after receipt of the appeal letter, to review the appeal.
- The Review Board makes a decision on the appeal and sends written notification to the applicant.
- The appealing person/agency may then call a special meeting of the Board by written request within the next seven days. Board Members will meet with the person/agency to discuss decision. The Board decision will be final and recorded in the Board Meeting notes.

C-5

Site visits

Site visits may be conducted by the Director or a Board Member for each contract as deemed appropriate. The purpose of the site visit is to:

- Assure the project/service is actually being provided
- Learn more about the project/service
- To assess the quality of services being provided
- To identify any barriers, gaps, training, and the strengths of the program/service

Site visits will have a template of criteria to follow to assist in the assessment.

Site visits may also include a review of billing procedures, a review of files, or one on one interview with staff providing the services.

Information and recommendations gathered from the site visits will be shared with staff and their supervisor.

Preschool Scholarship Contract Site Visit

Name of Center: _____ Date of Visit: _____

Visit was: Planned Unannounced

Purpose of Visit:

Room funding Preschool Scholarship funds: _____

of Children present: _____ # of Staff Present: _____

Room is licensed for _____ children.

Date Contract Criteria Met:

- ___ Two identified goals of improvement based on the IQPPS submitted to Building Families by May 1, 2011.
- ___ Completed a Portfolio for two sections on the IQPPS.
- ___ Submit the state Early Childhood Iowa required information by May 1, 2011.
- ___ Creative Curriculum Individual Child Profile submitted by May 1, 2011.
- ___ Maintain the space requirements of 35 square feet per child.
- ___ Staff to child ratio of one to ten for four year olds and one to eight for three year olds.
- ___ Parent night for parents who receive preschool funds.

Activity in the room:

Staff:

Children:

Any unusual issues that may need to be addressed?

Other comments by the reviewer:

Follow-up:

Reviewer: _____ Director of Center: _____

Date: _____

Building Families Staff Supervised Visit Log
Parent Coordinator/Home visitation

Name of Staff: _____ Staff Position: _____

Supervisor Name: _____ Date: _____

Purpose of Supervision: ___ Staff Evaluation ___ Program Evaluation ___ CDA
___ Other

Services Provided:

	Discussed Parent Health		Discussed Child Development
	Discussed Child Health		Teach problem solving skills
	Promoted positive parent/child interaction		Made a link to community services
	Self Esteem Building		Modeling Appropriate strategies
	Discussed stress reduction		

Comments:

Staff demonstrated:

	Empathy for parent's situation		Demonstrated genuine in relationship with parent
	Self disclosure		Demonstration good communication skills
	Respect for family/culture		Demonstrated trust
	Focused on family's goals		Flexibility to meet immediate needs

Comments:

Staff:

	Was on time for visit/group		Set up next visit/group time with family
	Demonstrated appropriate limit setting/professional boundaries of client		

Comments:

Overall Performance:

	Satisfactory. No improvement needed.
	Satisfactory. Minor improvement needed requiring feedback only.
	Unsatisfactory. Requires:
	Training by supervisor
	Other training
	Immediate corrective action by supervisor
	Additional evaluation

Feedback was given to the worker: ___yes ___no

Date: _____

Other Comments:

Building Families Staff Supervised Visit Log
Child Care/Center/Preschool

Name of Staff: _____ Staff Position: _____
 Supervisor Name: _____ Date: _____
 Purpose of Supervision: ___ Staff Evaluation ___ Program Evaluation ___ CDA ___ Other
 Services Provided:

	Discussed Health and Safety issues		Discussed Child Development
	Discussed Environment		Taught problem solving skills
	Promoted positive provider/child interaction		Made a link to community services/CCR&R staff
	Promoted Self Esteem Building with provider/cc staff/director		Modeling Appropriate strategies
	Discussed stress reduction with provider/cc staff/director		Encouraged best practices or incorporating strategies from a past training

Comments:

Staff demonstrated:

	Empathy for situation with provider/cc staff/director		Demonstrated genuine concerns in relationship with provider/cc staff/director
	Self disclosure		Demonstration good communication skills
	Respect for provider/cc staff/director		Demonstrated trust
	Focused on goals with provider/cc staff/director		Flexibility to meet immediate needs

Comments:

Staff:

	Was on time for visit		Set up next visit with provider/cc staff/director
	Demonstrated appropriate limit setting/professional boundaries of client		

Comments:

Overall Performance:

	Satisfactory. No improvement needed.
	Satisfactory. Minor improvement needed requiring feedback only.
	Unsatisfactory. Requires:
	Training by supervisor
	Other training
	Immediate corrective action by supervisor
	Additional evaluation

Feedback was given to the worker: ___yes ___no

Date: _____

Other Comments:

Non-compliance Policy

In the situation where a program is not compliant to their RFP or their contract, or if the program is not providing the services or outcomes as they identified a program may:

- Be asked to develop a plan of action to correct the inadequacies and turn the document into the Director for approval and monitoring
- Be placed on probation until the issue is resolved
- Contract could be terminated
- Contract could not be awarded the next year

The Director will monitor the progress towards correcting the issue. If the issue is not resolved in a reasonable amount of time, the issue will be brought before the Board for their recommended action.

PART D
FIDUCIARY

D-1

Designation of Fiscal Agent

The Board will designate a fiscal agent. The Board may designate themselves as fiscal agent in the event they are a 501-C-3 non-profit organization.

Separation of Duties

At the first Board meeting of the new fiscal year, the Board will:

- Designate a fiscal agent if using an outside agency
- Designate three Board Members who will have the power to sign checks
- Two signatures are required to sign checks, the Director and one Board Member
- Board Member's will rotate the duty to approve the vouchers, review the bank statements and transfer of funds between accounts
- The Director will make the transfers
- Designate a Board Member to deposit checks
- The Director will be responsible to provide financial statements to the Board each month

D-3

Fiscal Year

Building Families Fiscal Year is from July 1st to June 30th. State reports are based on a cost basis and the 990 report is based on accrual basis.

D-4

Budget Authorization

1. Budget is approved by the board and includes what category the funding is taken from.
2. Budget is approved by the state.
3. Contracts are developed that includes the budget parameters.

Distribution of Funds

1. Policy sets authorizations on the first meeting of the fiscal year.
2. Vouchers are sent to the Director
3. All vouchers will have documentation supporting expenses
4. The Director Reviews and approves the vouchers and contacts agency with questions
5. Checks are written by the 25th of the month
6. Two financial statements are printed, Programs/Projects Report and Profit and Loss Report.
7. Checks remain with the original vouchers, copies are filed.
8. One board member reviews the vouchers checking them against the check written and the Program/Project Report. During this time the name on the check, the check number and the amount are reviewed for errors.
9. A designated board member signs the checks along with the Director (only three board members can sign checks therefore some months a second board member is involved as we are rotating who is responsible for the review.)
10. The bottom third of the check is taken off and filed in a folder in the fire safe.
11. The Director mails all checks and records the date mailed on the transfer sheet.
12. A transfer of funds sheet is developed and is signed by the board member and the Director. The Director transfers the funds at the bank and records them in the QuickBooks file.
13. Transfer sheet, vouchers, and monthly financial statements are clipped together and stored in the fire safe in the Director's office.
14. Transfer slips are filed in the financial book and recorded in QuickBooks.
15. Checks are mailed and date is recorded.
16. Financial statements are e-mailed to the board monthly and for months when a board meeting is held, hard copies are provided to the board and other attendees.
17. QuickBooks file is on the director's computer and is saved monthly on the red ump drive located in the Director's desk.

D-6

Bank Statements

1. Bank statements are reviewed and reconciled by the Director.
2. Board Member who reviews and approves the vouchers will also review the bank statements and compare them to the current balances.

D-7

Deposits

1. Deposits are made by a board member at First State Bank in Webster City.
2. All checks will have the account number the check is to be deposited in written on the back of the check.
3. Board member initials the deposit slip and it is filed in a financial book with any documentation sent with the check and recorded in QuickBooks.

Budget Monitoring

1. Director monitors the program budgets and approves expenditures.
2. Director completes a spread sheet that shows the carve outs and carryover along with the current appropriation.
3. After the Board makes a decision on program funding, the Director develops the budget to reflect where an agency's budget can be taken out of. This is brought back to the board for approval.
4. Director sends the budget to the state and reconciles mistakes as directed by the state.
5. A monthly expenditure report by project is compiled and a copy given to the board at each board meeting and e-mailed to the board members each month.

Mid-year the Director will send a report to the board on the progress benchmarks as identified in their reapplication or RFP, for each project and the % of their budget expended.

D-9

Tax Form
990

1. When all bank statements have been received and reviewed, the statements for the last 12 months (the end of June) are copied and sent to the CPA.
2. QuickBooks files are e-mailed to CPA.
3. Board matrix is sent to the CPA.
4. CPA is to have the 990 form completed and ready to mail by November 15th. Sometimes this takes several prompts from the Director.
5. Director sends a copy to the Executive Board Members for review and approval.
6. Director signs and mails the 990 forms.
7. Currently Schnurr and Co., CPA in Fort Dodge completes the 990.

D-10

Audit

Beginning in fiscal year 2013, an annual audit will be completed each year and must be included in the annual budget.

The purpose of the audit is to verify the accuracy of the state financial statement and to assess the validity of the vouchers. The Audit will include at a minimum:

- Review of vouchers to assure
 1. Payments are correct and accurate
 2. Payments are legitimate
 3. Payments are made out of the correct account (or funding stream)
 4. Financial statements are true and accurate (accrual basis)
- Review receipts for accuracy
 1. Funds received are deposited in the correct account
 2. Funds that were supposed to be received were actually received and deposited
 3. Funds paid out were not documented in two different funding sources (double dipping)
- Review funding stream parameters and assure the funding taken from that account was legitimate according to the funders rules
 1. Tool G(A) and any locally developed policies, procedures about funding
 2. Administration funds vs Program funds
 3. Big focus on the Director duties, time spend on different activities, and where the funding is coming from
 4. Interest is used for programming and not administration
 5. Review eligibility for program, that is the preschools scholarships must be reviewed and the HOPEs program review of family eligibility for services. This would include looking at a random number of HOPES entrance assessments and scholarship applications.
- Fund Balance
 1. annual report financial statement fund balances (by funding category) match the summary of financial data
 2. carryover is not more than 20%
- Timeline
 1. Completed by March 31st of the following year.

PART E
STAFF

E-1

Apprenticeship

Building Families Personnel Policy: Apprenticeship

Student Internships will be accepted by approval of the Building Families Board.

Building Families will accept Apprenticeship Applications on the basis of the following:

The agency sponsoring the Apprenticeship is reputable such as:

- Apprenticeship with college students who are doing a work study
- Apprenticeship with a college for a student who is enrolled in a master's program
- Apprenticeship with an employment agency
- Apprenticeship with an AmeriCorps Volunteer
- Or with another Board approved entity.

The Apprenticeship can be terminated at any time by Building Families Board.

The Student or Volunteer:

- Must have suitable education and skills to perform the duties
- Must agree to background checks
- Must have reliable transportation and a valid driver's license
- Must have basic computer skills
- Must maintain confidentiality
- Must be interviewed by the Board prior to approval of applicant.
- Other qualifiers as determined by the Board.

Compensation:

- Compensation to the Apprenticeship will be given only as the Student and Volunteer completes the hours agreed upon by the contract
- Sick leave, vacation or holiday time, or unemployment compensation will be determined per applicant by the Building Families Board.

Employment Policy

- Student or Volunteer must comply with Hamilton County's Personnel Handbook and Board decision
- Student or Volunteer will be supervised and evaluated by the Director and Building Families Board
- Student or Volunteer cannot have a kinship or a relationship with a Board Member that might be seen as a conflict of interest

Revised 6-28-10

Policy on Suspected Misconduct, Dishonesty, Fraud,
and Whistle-blower Protection

Building Families is committed to the highest possible standards of ethical, moral, and legal conduct. Consistent with this commitment, this policy aims to provide an avenue for employees to raise concerns about suspected misconduct, dishonesty, and fraud and to provide reassurance that they will be protected from reprisals or victimization for whistle-blowing in good faith.

PROCEDURE

Reporting

Employees and any other person who has a concern relating to suspected misconduct, dishonesty or fraud may make a report. The Building Families Board wants to hear of possible problems in these areas.

Concerns or suspected misconduct, dishonesty or fraud may be reported by telephone, email or regular mail, at the employee's or reporter's preference:

An employee may telephone Building Families Board Chair at: (515) 332-5562.

.An employee can email directly the Board Chair at: jcmattes@msn.com

An employee may write a letter to the Board Chair:

Carl Mattes

1106 10th Ave. SW

Humboldt, IA 50548

Comment: Telephone number, name of Board Chair, email and postal addresses must be kept current.

Timing

The earlier a concern is expressed, the easier it is to take action.

Investigating the Concern

Following the receipt of any complaints submitted, the Board Chair will investigate each matter so reported and take corrective and disciplinary actions where appropriate.

The Board Chair may enlist Board Members, committee members, employees and/or outside legal, accounting or other advisors, as appropriate, to conduct any investigation of complaints regarding financial reporting, accounting, internal accounting controls, auditing matters, or any other form of misconduct, dishonesty, or fraud. In conducting any investigation, the Board shall use reasonable efforts to protect the confidentiality and anonymity of the complainant.

Further Information

The amount of contact between the complainant and the body investigating the concern will depend on the nature of the issue and the clarity of information provided. Further information may be sought from the complainant.

Report to Complainant

The complainant will be given the opportunity to receive follow-up on their concern within two weeks:

- Acknowledging that the concern was received;
- Indicating how the matter will be dealt with;
- Giving an estimate of the time that it will take for a final response;
- Telling them whether initial inquiries have been made; and
- Telling them whether further investigations will follow, and if not, why.

Information

Subject to legal constraints the complainant will receive information about the outcome of any investigations.

Document Retention

The Board Chair shall retain as a part of the records of the Committee any such complaints or concerns for a period of at least seven years.

SAFEGUARDS

No Retaliation

No director, officer, or employee or other person who in good faith reports a violation shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to

discipline up to and including termination of employment. This policy is intended to encourage and enable employees and others to raise concerns within the organization prior to seeking resolution outside the organization.

Additionally, no employee shall be adversely affected because they refuse to carry out a directive which, in fact, constitutes corporate fraud, or is a violation of state or federal law.

Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation. Every effort will be made to protect the complainant's identity.

Anonymous Allegations

Employees are encouraged to put their names to allegations because appropriate follow-up questions and investigation may not be possible unless the source of the information is identified. Concerns expressed anonymously will be investigated, but consideration will be given to:

- The seriousness of the issue raised;
- The credibility of the concern; and
- The likelihood of confirming the allegation from attributable sources.

Acting in Good Faith

Anyone filing a complaint must be acting in good faith and have reasonable grounds for believing the information disclosed indicates misconduct, dishonesty, or fraud. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

DEFINITION OF TERMS

For purposes of this policy, the definition of misconduct, dishonesty, and fraud includes but is not limited to:

- Acts which are inconsistent with Building Families Board policy
- Theft or other misappropriation of assets

- Misstatements or other irregularities in records
- Incorrect financial reporting
- Misuse of resources
- Illegal activities
- Immoral activities
- Forgery or alteration of documents
- Any other form of fraud

Building Families Board reserves the right to modify or amend this policy at any time as it may deem necessary.

Office Security

Building Families Office Security Policy

Occasionally there have been times where a person has posed a threat to the building or persons in the building. These threats have been aimed at the social services staff and clientele. With our offices in the same building, this also has a potential to include our staff. Here are policies implemented by Social Services and Building Families Director to assure our staff is safe:

- The side door to our office will be locked at all times unless there is a meeting with numerous persons attending. Then the door may be unlocked until all persons expected arrive. The door needs to be locked immediately after the meeting begins.
- If there is a person of interest, Social Services will alert us and provide a description of the person.
- Arriving early, prior to 8am and staying after 4:30pm or working on the weekends is not recommended. This will be mandatory when a security alert is in place.
- If you arrive early or stay late, it is recommended you have someone else with you.
- During a security alert, use the buddy system walking to or from your car after hours. If this involves a meeting, stand by the door and watch for persons of interest and observe all participants getting in their car.
- Do not hold trainings without another staff present or the trainer agrees to stay with you until you are ready to leave the building.
- If a person acts strange or threatening, do not attempt to diffuse the situation or attempt to talk to them. If this person is threatening, call Social Services at 515-832-9550 and ask for the "blue folder". This is the password for calling the police.
- If a person acts strange or threatening, all staff need to stay in their office and lock their door until told it is safe to come out.
- Close your blinds during a security alert.
- Report any unusual activity or person to the Social Services secretary.

It is our intent to keep our staff safe and our office area secure. It will take the cooperation of everyone to make this happen.

Revised 9/22/2011

Purchase Policy

Building Families Policy for Purchasing Food at Fareway in Webster City:

- All purchases must be preapproved by the Director
- Purchase form must be filled out and signed by the Director and the staff requesting permission to charge food
- Food can only be purchased at Fareway in Webster City
- When checking out, tell the clerk this is a charge to
 - Hamilton County Empowerment
 - In care of Ann Stewart
 - 500 Fair Meadow Drive
 - We are a department under Hamilton County and we are tax free

- Turn into the Director: the cash register receipt, the written charge receipt attached to the signed approval form.

Program: _____

Date of Request: _____

Staff making the request: _____

Reason for the purchase: _____

Item	Quality	Approximate Cost

Director Approval: _____ Date: _____