

# Policy & Procedures

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**EARLY CHILDHOOD IOWA  
SERVING: BUENA VISTA, CRAWFORD, & SAC  
116 SOUTH STATE STREET, SUITE 4 - SAC CITY IA**

## INTRODUCTION

This document has been developed by the Buena Vista, Crawford, Sac Early Childhood Iowa Board (BVCS ECI) in order to familiarize employees with the history of BVCS ECI and policies and procedures of the board and staff. BVCS ECI employees will follow Buena Vista County's Employee handbook for information about working conditions, key policies, procedures, and benefits affecting employment at BVCS ECI. Buena Vista County is the employer of record for the BVCS ECI employees.

### **BVCS ECI Vision and Mission**

**VISION:** Every child beginning at birth will be healthy and successful.

**MISSION:** To improve the quality of life for children and families by strongly supporting safe environments, lifelong learning and facilitating a coordinated system for community services.

### **History**

Iowa's Community Empowerment was established during the 1998 legislative session in an effort to create a partnership between communities and State government with an emphasis to improve the well-being of families with young children. Within local empowerment areas, local citizens are able to lead collaborative efforts involving education, health, and human service programs.

The 2010 legislative session brought about some changes in Iowa's early childhood structure. Prior to this legislative session, Iowa's youngest children were supported through a partnership between Community Empowerment and the Early Childhood Iowa Stakeholder's Council (ECI). Both groups have served as leading advocates for young children and their families for several years.

In an effort to work toward a common vision of a comprehensive early care, health, and education system, the Iowa Legislature established Senate File 2088, calling for a merger of Community Empowerment and Early Childhood Iowa into one inclusive structure. These efforts lead to the name change from Community Empowerment to Early Childhood Iowa.

**Achieving Results:** Every community in Iowa will have the opportunity to develop the capacity and commitment for achieving these results:

- Healthy Children
- Children Ready to Succeed in School
- Safe and Nurturing Families
- Secure and Nurturing Child Care Environments

The Early Childhood Iowa legislation established two specific programs School Ready and Early Childhood. These programs provide funding to encourage communities to "work together" to assist families with children ages zero through five.

School Ready Funds, the Iowa legislature appropriates state funds for School Ready funding. The funds are separated into four categories: Family Support and Parent Education, Preschool Tuition

Assistance, Quality Improvement and General Aid (Administration and Other Services). Most of the categories have specific requirements on how boards may use the funds. Assistance in the form of “tools” is available for each category.

Distribution to Early Childhood Iowa areas for School Ready funds were established the Early Childhood Iowa State Board. There is one ‘overarching’ formula for disbursing funds to the General Aid, Preschool Tuition Assistance and Family Support and Parent Education categories. Quality Improvement formula provides a based dollar amount for each area and then the remaining is distributed using the ‘overarching’ formula. A resource is provided on the Early Childhood Iowa website <http://www.earlychildhoodiowa.org/>.

*Early Childhood Iowa area boards must adhere to requirements specific to each funding category.*

Early Childhood Funds, annually, beginning in SFY’14 the Iowa legislature began appropriating state funds for Early Childhood funding. Early Childhood Area boards are considered sub-recipients of these federal funds.

The amount of Early Childhood funds received by Early Childhood Iowa areas is based on a percentage of the average number of monthly statewide Family Investment Program (FIP) cases for females with children ages 0-5 in the preceding state fiscal year. Iowa Code section 256I.11 (4) (b) describes the formula used to distribute Early Childhood funds.

The funds are separated into two categories: administrative and program. There are many programs, services and activities a board may fund to enhance the capacity and quality of child care for children ages 0-5 based on the area’s community plan.

*Source: Tool G: 3/26/14 Revision*

### **BVCS ECI Early Childhood Iowa**

The Buena Vista, Crawford and Sac Counties Early Childhood Iowa Area (BVCS ECI, formally known as Community Empowerment Area) was formed in 1998 and received official designation from the state in 1999. The major concentration of the area has been to support services for in-home visitation, parent support, and children having access to quality preschools and childcare.

Collaborative guidance for our Early Childhood Iowa Area is provided by a 3-County Board and local planning councils. The structure provides communication and cooperation not only for our direct early childhood activities, but also for additional collaboration between participating community partners. The 3-County Board is comprised of 11 voting members, and one ex-officio member with representation from each of the counties. The members are comprised of representatives from a wide variety of citizens and elected officials.

Currently funded programs that work toward meeting the priorities of the BVCS ECI include:

- In-home parent education
- Consultation for homes, centers and preschools
- Financial preschool support for parents
- Dental screenings health prevention measure
- Coordination for services offered by BVCS ECI

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# BOARD OPERATIONS

Policy ID: 1.1.1

Title: *BOARD Membership Requirements*

**Policy:** The BVCS EARLY CHILDHOOD IOWA 3-COUNTY BOARD commits itself to a policy of BOARD inclusiveness to ensure a BOARD comprised of individuals with diverse perspectives, life experiences, and personal and professional backgrounds. The BOARD is composed of people who are committed and have the attributes, abilities, and skills to move the organization toward achieving its goals and objectives. The BOARD shall also meet all membership requirements as stated in Iowa Code for the local Early Childhood Iowa Area (ECIA) BOARD.

**Definitions:** *Per Iowa Code, Chapter 256I.7:* The members of an area BOARD shall be elected officials or members of the public who are not employed by a provider of services to or for the area BOARD. In addition, the membership of an area BOARD shall include representation from early care, education, health, human services, business, and faith interests, and at least one parent/grandparent, or guardian of a child from zero through age five. In addition to the Early Childhood Iowa state code the board representation will include elected officials, and law enforcement. Board representatives will have an elected official from each county; the remaining board members will be equally represented on the board.

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

Definitions:

- Citizen Members of the public/citizen representative - an individual that is not an elected official or paid staff member of an agency whose services fall under the plan or purview of the community BOARD either directly or indirectly.
- Early Care, Education, Health, and Human services - individuals that have knowledge in these areas. These individuals are not required to be an employee of a State of Iowa department.
- Elected official - a member of a BOARD or governing body elected through the means of a public election.
- Business - an individual representing the required perspective of business.
- Faith - an individual representing the required perspective of faith.
- Parent, guardian, grandparent - a parent or primary caregiver of a child, including grandparents or other relatives of the child, and foster parents, who are serving as the child's primary caregiver from birth to kindergarten entry, and including a noncustodial parent who has an ongoing relationship with, and at times provides physical care for the child.
- Program Director will be a non-voting member of the BOARD.

**Procedures:**

- The BOARD shall be composed of 11 voting representatives and one (1) non-voting representative.
- Members will be representative of: 1- education, 1 - early care, 1 -health, 1 - human services, 1 - business, 1 - faith, 1 - parent, guardian, or grandparent, 1 - law enforcement, and 3 - county supervisors (one from each county) and the Program Director.
- BOARD composition shall be reviewed at least annually to ensure that the BOARD reflects knowledge, experience, skills, and diversity required for the BOARD to fulfill its duties.
- Vacancies in BOARD membership for required representation will strive to be made within 60 days of the BOARD recognizing the vacancy.
- Out-going board members will recommend one or two possible replacements in the spring of the year when their membership expires. Possible members will meet the equivalent qualifications of those members going off the board or missing requirements of members on the board. The outgoing board member will contact the possible member prior to the Program Director contacting them.

<b>Effective Date:</b> 3/26/14	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	8/27/14; 10/30/16; 9/26/18
<b>Bylaw Reference</b>	Article III, Section 2
<b>Tool Kit Reference</b>	Tool LL

Policy ID: 1.1.2

Title: *BOARD Members Roles and Responsibilities*

**Policy:** Members will be aware of their role and responsibilities to the BOARD they serve. Board members will be given the *Board Member Job Description* upon joining the Board.

**Definition:** The purpose of the 3-County BVCS ECI Early Childhood Iowa area is to enable local citizens to lead collaborative efforts involving early care, education, health and human services programs on behalf of the children, families, and other citizens residing in the area (Iowa Code Chapter 2561).

A BVCS ECI board is responsible with the following **leadership** functions:

- Strategic Planning;
- Oversight and Management of Programming;
- Oversight and Management of Funding.

A BVCS ECI board is **legislated** to have responsibilities and authority as follows:

- *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*

**Procedures:**

Members will be provided with a copy of this policy and the *Board Member Job Description* during their initial BOARD orientation and will be reviewed periodically.

Full Board Responsibilities

- Designate a public agency of Iowa, as defined in Section 28E.2, to be the fiscal agent for grant money and for other monies administered by the 3-County BVCS ECI Board.
- Advise the Fiscal Agent in writing of the identity of BVCS ECI 3-County Board personnel authorized to approve and submit payment request for Early Childhood Iowa grant funds to the Fiscal Agent and to receive and review expenditures and other reports for the Fiscal Agent as required.
- Maintain separate accounting records for each School Ready Children Services payment and for each Early Childhood Program payment authorized to be paid by the Fiscal Agent.
- Review on a monthly basis the monthly expenditure reports submitted by the Fiscal Agent and reconcile with the records maintained by the BVCS ECI board. The BVCS ECI board and the Fiscal Agent shall work together to resolve any discrepancies and take any necessary corrective action.
- Determine overall program plans and priorities for the BVCS ECI area including provisions for evaluating progress against performance.
- Make final approval of all program proposals and budgets, based on availability data.
- Enforce compliance with all conditions of any funding source grants.
- Determine, subject to funding source policies, rules and procedures for the governing board.
- Designate one or more committees for oversight of grant monies awarded to the Early Childhood Iowa area, to accomplish the mission of the BVCS ECI Area. Each committee shall report back to the 3-County BVCS ECI Board at a public meeting.
- Function as a coordinating body for services offered by different entities directed to similar purposes within the early childhood Iowa area.

- The officers shall be responsible for the preparation of the annual report. The 3-County BVCS ECI board shall submit an annual report on the effectiveness of the grant program in addressing school readiness and children’s health and safety needs to the Iowa early childhood board and to the local governing bodies. The annual report shall indicate the effectiveness of the community board in achieving state and locally determined goals.
- Develop neighborhood bodies (Community Coalitions) for community-level input to the community board and implementation of services.
- Appoint the BVCS ECI Program Director.
- Develop and implement the community plan with identified priorities, based on community assessments, which address human services, education and health needs to support the children and their families to reach desired results.
- Members of the 3-County Board will be well versed in the mission of the Early Childhood Iowa Area and be capable of sharing the mission and goals in the community settings.
- Assume other responsibilities established by law or administrative rule.
- Ensure that interest on earnings from the early childhood Iowa funds be used for services in the community plan.
- Any Early Childhood Iowa grant funds allocated to the BVCS ECI board remaining unexpended at the end of the state fiscal year shall be retained for use in the next state fiscal year and shall be treated as an advance of the Early Childhood Iowa grant funds allocated to the Local Board for the next state fiscal year.

Individual Board Member’s Responsibilities:

- Attend all meetings of the 3-County Board, including assigned committees and task forces. Notify the Program 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 informed about any community concerns or issues that are relevant to this board.
- Recognize conflicts of interests 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.

<b>Effective Date:</b> 3/9/12	Approved by: BVCS Early Childhood Iowa Board
<b>Revisions:</b>	3/1/13; 9/30/15A-1.3; 10/30/16
<b>Reference:</b>	BVCS Early Childhood Iowa; By-laws Article II
<b>Reference:</b>	Early Childhood Iowa Initiative: Iowa Code 2561.8

Policy ID: 1.1.3	Title: <i>Election of BOARD Officers</i>
<p><b>Policy:</b> The officers of the BOARD are Chairperson, Vice Chairperson and Financial Officer, which shall be elected from the members of the BOARD. The Director or his/her designee shall be responsible for the duties of the Secretary, and Treasurer.</p>	
<p><b>Definitions:</b> BOARD Officers shall include Chairperson, Vice-Chairperson, Secretary, and Treasurer.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The Chairperson shall be elected bi-annually. The Vice Chairperson will elevate to the Chair position and assume the role as the Chairperson for the next year.</li> <li>• The Vice Chair and Financial Officer shall be elected annually.</li> <li>• Each of the foregoing officers shall be limited to two consecutive terms in the same office.</li> <li>• Election shall be held at the last meeting of each fiscal year, generally at the June meeting, to enable the new officers to assume their responsibilities at the first meeting following the election.</li> <li>• Financial Officer shall serve a term of one year and shall be eligible for re-election for as long as they are eligible to remain members of the Board.</li> <li>• Elections of new officers are generally nominated from board members that have served a minimum of one year on the board.</li> <li>• One board member from each county will be elected to a officer position.</li> <li>• New officer terms will commence July 1<sup>st</sup> and run through June 30<sup>th</sup>.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	4/22/13; 8/27/14; 10/30/16
<b>Reference:</b>	By-Laws Article IV, Officers



Policy ID: 1.1.4

Title: *BOARD Officers Roles and Responsibilities*

**Policy:** BOARD Officers shall be confirmed by the BOARD at the first meeting of each fiscal year.

**Definitions:** BOARD Officers shall include Chairperson, Vice-Chairperson, and Fiscal Officer.

**Procedures:**

The Chair must conduct the meeting in a fair and equitable manner. Because the chair is presiding over the meeting, he or she should maintain an aura of neutrality and refrain from making any motions. In addition, the chairperson should vacate the chair if he or she wishes to debate any motions. The chair does not vote unless to break a tie or cause a tie.

The responsibilities of the Chairperson are as follows:

- Preside at all meetings;
- Serve as official representative of the organization along with the Director;
- Sign documents on behalf of the organization;
- Assist the Director as needed to prepare meeting agendas; and
- Serve as the communication linkage, along with the Director, between the ECI State BOARD and the local BOARD.
- In the absences of the Chairperson, the Vice Chairperson shall perform the duties of the Chairperson.

The responsibilities of the Vice Chairperson are as follows

- The Vice Chair presides when the chair is absent or must vacate the chair and fills a vacancy in the office of chairperson.
- The Vice Chairperson is to be familiar with the chairperson's duties so that if the chair becomes unable to serve, the vice chairperson is prepared to step in and take over.
- The Vice Chairperson will elevate and assume the role of Chairperson for the next year.

The responsibilities of the Financial Officer are as follows:

- Review monthly expenditures presented to the Fiscal Agent for payment.
- Meet with the Program Director and Fiscal Agent to review the annual financial report.

The Program Director will be responsible for secretarial duties including the taking of minutes of meetings of the Board.

Basic information the minutes must contain:

- Date and location of the meeting
- Name of the board
- Start time of the meeting and each agenda item (actual time)
- End time of the meeting (actual time)
- Name of the recording secretary

- Attendance record of members present, members absent, staff present and absent, and any other guests present.
- Date, time and location of the next board meeting
- Motions and the decisions of the board
- Who made the motion and who seconded the motion
- How each member voted on all decisions

<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	4/22/13; 10/30/16
<b>Reference:</b>	By-Laws Article IV

<b>Policy ID:</b> 1.1.5	<b>Title:</b> <i>Attendance Requirements</i>
<p><b>Policy:</b> Members are expected to regularly attend BOARD meetings. Notice of the time, date, and place of each meeting, and its tentative agenda shall be given at least twenty-four hours prior to the commencement of said meeting pursuant to Iowa Code Chapter 21.</p>	
<p><b>Definitions:</b> BOARD member shall be deemed to have submitted a resignation if either of the following events occurs: the person does not attend three or more consecutive regular meetings; the person attends less than one-half of the regular meetings within any period of twelve calendar months beginning on July 1.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Notices will be sent by email and posted at County Auditors Offices or county courthouse bulletin boards in Buena Vista, Crawford and Sac Counties.</li> <li>• Attendance records will be kept and monitored by the BOARD Director and reviewed at least annually by the BOARD.</li> <li>• A member of the Board no longer able to serve shall submit a letter of resignation to the Chair of the Board.</li> <li>• Resignations shall be submitted in writing to the Chairperson of the Board at least 30 days prior to the date of intended departure.</li> <li>• If a Board member is appointed to the board of a provider of services/entity that receives Early Childhood Iowa funds or takes employment with such provider/entity that member shall resign immediately from the Early Childhood Iowa Area Board by sending a letter to the Chair.</li> <li>• BOARD Members with three consecutive absences without an excused absence, may request an exception to the attendance policy due to special circumstances.</li> <li>• An excused absence is obtained by notifying the Program Director prior to the scheduled meeting.</li> <li>• The BOARD Chair can accept or reject a resignation of a BOARD member under these circumstances.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16;
<b>Reference:</b>	By-Laws Article V; Section 4; Article III, Section 5

Policy ID: 1.1.6	Title: <i>BOARD Recruitment</i>
<p><b>Policy:</b> Potential new BOARD members will be recruited to fill available positions on the BOARD as needed. Recruitment will be led by current BOARD members with assistance of the Director. Recruitment will adhere to legislative membership requirements and strive for gender balance.</p>	
<p><b>Definitions:</b> All eleven (11) 3-County BVCS ECI Board positions will serve three (3) year staggering terms. However, not all members from any one county shall expire in the same year. Members who have served their three-year term may recommend individuals to replace them on the board, request to complete a term on the board, or be nominated from a community coalition member, self-nomination or a publication for a vacancy to the 3-County BVCS ECI Board.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Prospective members will write a short letter of intent showcasing their involvement in your community, and commitment to young children.</li> <li>• In the event of a member’s resignation and or inability to complete their term, replacements will be nominated by any community member and approval by the board at the next regularly scheduled meeting.</li> <li>• The 3-County BVCS ECI Board will approve all positions.</li> <li>• A 3-County BVCS ECI Board member missing three consecutive meetings without an excused absence or more than half of the meetings in a fiscal year will be considered to have tendered their resignation. An excused absence is obtained by notifying the Program Director prior to the scheduled meeting. The 3-County BVCS ECI Board Chair can accept or reject a resignation of a board member under these circumstances.</li> <li>• The Program Director will maintain a record of terms.</li> <li>• Members of the 3-County BVCS ECI Board must meet the definition for a citizen representatives. The Chairperson of the 3-County BVCS ECI Board will be a citizen representative.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	3/26/14; 8/27/14; 10/30/16
<b>Reference:</b>	By-Laws Article V; Sections 5 & Section 7

<b>Policy ID:</b> 1.1.7	<b>Title:</b> <i>New BOARD Member Orientation</i>
<b>Policy:</b> New BOARD members will be orientated to the responsibilities and operations of the BOARD, before the appointment of new board members.	
<b>Procedures:</b>	
<ul style="list-style-type: none"> <li>• Program Director will set up an appointment to meet with each prospective board member separately at their convenience.</li> <li>• The meeting will provide the new board member the opportunity to ask questions and to be presented with board information, meeting materials, explanation of funds, and responsibilities of the a board members. This one-on-one meeting will help new members understand the purpose of Early Childhood Iowa before attending the meeting.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16;
<b>Reference:</b>	By-Laws Article III, Section 4

<b>Policy ID:</b> 1.1.8	<b>Title:</b> <i>Resignation/Removal of a BOARD Member</i>
<p><b>Policy:</b> A 3-County BVCS ECI Board member missing three consecutive meetings without an excused absence or more than half of the meetings in a fiscal year will be considered to have tendered their resignation. An excused absence is obtained by notifying the Program Director prior to the scheduled meeting. The 3-County BVCS ECI Board Chair can accept or reject a resignation of a board member under these circumstances.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• A member of the Board no longer able to serve shall submit a letter of resignation to the Chair of the Board.</li> <li>• If a Board member is appointed to the board of a provider of services/entity that receives Early Childhood Iowa funds or takes employment with such provider/entity that member shall resign immediately from the Early Childhood Iowa Area Board by sending a letter to the Chair.</li> <li>• Resignations shall be submitted in writing to the Chairperson of the Board at least 30 days prior to the date of intended departure.</li> </ul>	
<b>Effective Date:</b> 3/8/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16;
<b>Reference:</b>	By- Law Article III; Section 5 & Section 8

<b>Policy ID:</b> 1.1.9	<b>Title:</b> <i>Evaluation of BOARD Functioning</i>
<b>Policy:</b> Board members will evaluate the board’s performance based on a self-evaluation in the second quarter of the State Fiscal Year.	
<b>Procedures:</b>	
<ul style="list-style-type: none"> <li>• Annually, the BOARD will use the state example board evaluation found on the Early Childhood website will be used in the evaluation process</li> <li>• Utilization of an evaluation tool will be sent or mailed to each BOARD member for completion.</li> <li>• Community input on the board’s performance will be gathered in the second quarter of the State Fiscal Year at Community Coalitions meetings.</li> <li>• Results will be compiled by the Program Director and put on the agenda for discussion at the next regularly scheduled BOARD meeting.</li> <li>• Assist members focus on the priorities and determine professional development needs of the board.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	3/26/14; 9/30/15

<b>Policy ID:</b> 1.1.10	<b>Title:</b> <i>Membership Terms Limits</i>
<b>Policy:</b> Terms of membership on the BOARD shall last three years and the membership terms shall be staggered. A member can be re-elected to serve more than one term.	
<b>Procedures:</b>	
<ul style="list-style-type: none"> <li>• All eleven (11) 3-County BVCS ECI Board positions will serve three (3) year staggering terms.</li> <li>• However, not all members from any one county shall expire in the same year.</li> <li>• Members who have served their three-year term may recommend individuals to replace them on the board, request to complete a term on the board, or be nominated from an advisory council member, self-nomination or a publication for a vacancy to the 3-County BVCS ECI Board.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	3/26/14; 8/27/14; 10/30/16
<b>Reference:</b>	By-Laws Article III; Section 7



Policy ID: 1.1.11	Title: <i>Notice of Meetings</i>
<p><b>Policy:</b> Notice of the time, date, and place of each meeting, and its tentative agenda shall be given at least twenty-four hours prior to the commencement of said meeting pursuant to Iowa Code Chapter 21.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The Program Director will send notices to County Auditors offices, by email, to be posted on County Courthouse bulletin boards in Buena Vista, Crawford and Sac Counties.</li> <li>• The Program Director will email notification of meetings to the current 3-County Board Members.</li> <li>• The Program Director will email notification of meetings to the current Early Childhood Iowa Community Coalition Members distribution list on file with the Program Director.</li> <li>• The draft agenda will be sent with the meeting notifications.</li> <li>• A regular meeting may be cancelled in event of an emergency upon the decision of the Chair and with not more than one-third of the membership of the Board objecting. This will be done with an email being sent to all community members/board members and a follow-up phone call to all board members not replying to the email to confirm receipt of notification.</li> <li>• Notice of meetings will be compliant with the Open Meetings Law and will include the time, date, place of the meeting, and a tentative agenda.</li> <li>• Notice of meetings will be provided at least 24 hours in advance.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	9/30/15; 10/30/15
Reference:	By-Laws Article V; Section 4

Policy ID: 1.12	Title: <i>Compliance with Open Meetings Law</i>
<p><b>Policy:</b> The 3-County BVCS ECI Board will comply with Iowa’s Open Meetings Law, Iowa Code Chapter 21.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The 3-County BVCS ECI Board shall meet at least six (6) times per year. Ten meeting are scheduled in the fiscal year.</li> <li>• The meetings will be the last Wednesday of every month. Meeting months are as follows: June, August, September, October, November, January, February, March, April, and May.</li> <li>• Each meeting shall be held at a place reasonably accessible to the public and at a time reasonably convenient to the public as required by Iowa Code Chapter 21.</li> <li>• Order of business for board meeting: introduction, public comment, approval of agenda, approval of minutes, financial report, business for meeting and information sharing.</li> <li>• Mileage reimbursement is available for citizen members based on the Fiscal Agent fee rates per mile rate. Submission for reimbursement will be completed following each meeting.</li> <li>• All actions and discussions at meetings will be conducted and executed in an open session, unless otherwise provided by law.</li> <li>• The BOARD will keep minutes of all its meetings showing the date, time and place, the members present, a summary of the discussions, motions made, members who voted and how, and the action taken/decisions made at each meeting.</li> <li>• If accommodations are needed for an individual with disabilities that wishes to attend or participate in the meeting, they will be directed to contact the BVCS Early Childhood Iowa office prior to the meeting to arrange for special accommodations.</li> <li>• The Program Director or designee will be responsible for making sure that special accommodations are met.</li> <li>• Open Meeting information will also be posted on the website.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16; 9/27/17; 11/28/18
<b>Reference:</b>	By-Laws Article V; Section 1 & Section 2

<b>Policy ID:</b> 1.13	<b>Title:</b> <i>Special Meetings</i>
<b>Policy:</b> Special meetings may be called by the Chairperson or upon the call of a majority of voting members.	
<b>Definitions:</b> A special meeting is a meeting not previously identified on the current fiscal year calendar. All meetings of the Board shall operate in accordance with the open meeting law as specified in Chapter 21 of the Iowa Code. The latest available edition of Robert's Rule of Parliamentary Procedure shall be the standard authority for conduct of business.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• If determined by a majority of members that there is a need for a special meeting, the BOARD Chairperson shall be contacted and a special meeting requested. Any 3-County Board member can call a special meeting of the Board. A quorum of a special meeting will be 2/3 the total board membership with 51% roll call vote to pass an action item.</li> <li>• The BOARD Chairperson directs the Program Director to create an agenda and prepare for the upcoming meeting.</li> <li>• Notices will be posted at County Auditors Offices or county courthouse bulletin boards in Buena Vista, Crawford and Sac Counties.</li> <li>• Notices will be sent to all BOARD members by the Program Director.</li> <li>• Notice shall state the purpose of the meeting and tentative agenda.</li> <li>• The meeting shall adhere to the Open Meetings Law and must be posted at least 24 hours in advance. Notice of the time, date, and place of each meeting, and its tentative agenda shall be given at least twenty-four hours prior to the commencement of said meeting pursuant to Iowa Code Chapter 21.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16; 9/27/17; 9/26/18
<b>Reference:</b>	By-Laws Article V; Section B

Policy ID: 1.14	Title: <i>Telephonic or Electronic Meetings</i>
<p><b>Policy:</b> In-person participation is the preference for BOARD meetings. BVCS ECI 3-County Board may conduct a meeting by electronic means (telephone conference) only in circumstances where such a meeting in person is impossible or impractical and only if the BVCS ECI 3-County Board complies with all of the following procedures.</p>	
<p><b>Definition:</b> The quorum for a meeting of the 3-County BVCS ECI Board shall be one half the current voting members plus one Board member shall constitute a quorum at any meeting (51%). No electronic mail (email) meetings will be allowed, however to constitute a quorum if necessary, members may be present through a conference call for the duration of the meeting.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Provides public access to the conversation of the meeting to the extent reasonably possible.</li> <li>• A meeting by electronic means may be conducted without public access to if conducted in accordance with all the requirements for a closed session (<i>Iowa Code 21.8 closed session</i>).</li> <li>• Identify the place of the meeting is the place from which the communication originates or where public access is provided to the conversation.</li> <li>• Minutes are kept of the meeting. The minutes shall include a statement explaining why a meeting in person was impossible or impractical.</li> <li>• All members participating in this manner shall be reflected in the 3-County BVCS ECI Board minutes.</li> <li>• The board members will need to give prior notice for the director to set up a location that will accommodate the use of a teleconference line.</li> <li>• Upon the call being made and anyone joining the meeting via telephone, notation will be made in the meeting minutes.</li> <li>• Roll call votes will be taken if there is anyone participating in the meeting via phone and if there is a dissenting vote. Roll call voting maintains the identity of each voting member for anyone on the phone.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16; 11/28/18
<b>Reference:</b>	By-Laws Article V; Section 13

Policy ID: 1.15	Title: <i>Closed Session Meetings</i>
<p><b>Policy:</b> The BVCS ECI 3-County Board may hold a closed session only to the extent necessary for one of the twelve sections in Iowa Code section 21.5 (1) (a-1). The BVCS ECI 3-County Board may hold a closed session by affirmative public vote of either two-thirds of the members of the body or all of the members present at the meeting. BVCS ECI 3-County Board may hold a closed session only to the extent a closed session is necessary for reasons stated in <i>Iowa Code: Chapter 21</i>.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Chapter 21; 21.5 (A) To review or discuss records which are required or authorized by state or federal law to be kept confidential or to be kept confidential as a condition for that governmental body's possession or continued receipt of federal funds.</li> <li>• Chapter 21; 21.5 (C) To discuss strategy with counsel in matters that are presently in litigation or where litigation is imminent where its disclosure would be likely to prejudice or dis-advantage the positions of the governmental body in that litigation.</li> <li>• Chapter 21; 21.5 (I) To evaluate the professional competency of an individual whose appointment, hiring, performance, or discharge is being considered when necessary to prevent needless and irreparable injury to that individual's reputation and that individual requests a closed session.</li> <li>• The vote of each member on the question of holding the closed session and the reason for holding the closed session by reference to a specific exemption (<i>Iowa Code 21; 21.5</i>) shall be announced publicly at the open session and entered in the minutes. BVCS ECI 3-County Board shall not discuss any business during a closed session which does not directly relate to the specific reason announced as justification for the closed session.</li> <li>• Final action by the BVCS ECI 3-County Board on any matter shall be taken in an open session unless some other provision of the Code expressly permits such actions to be taken in closed session.</li> <li>• BVCS ECI 3-County Board shall keep detailed minutes of all discussions, person present, and action occurring at a closed session, and shall also tape record all of the closes session. The detailed minutes and tape recording of a closed session shall be sealed and shall not be public record open to public inspection. However, upon order of the court in an action to enforce this chapter, the detailed minutes and tape recording shall be unsealed and examined by the court in camera. The court shall then determine what part, if any, of the minutes should be disclosed to the party seeking enforcement for use in that enforcement proceeding.</li> <li>• The BVCS ECI 3-County Board shall keep the detailed minutes and tape recording of any closed session for a period of at least one year from the date of that meeting.</li> <li>• Nothing in this section requires BVCS ECI 3-County Board to hold a closed session to discuss or act upon any matter.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	
<b>References:</b>	Iowa Code Chapter 21, Iowa Open Meetings, Open Records Handbook Chapter 21; 21.5

Policy ID: 1.16	Title: <i>Quorum Requirements</i>
<p><b>Policy:</b> A majority vote of those present at a meeting of the BOARD where a quorum is present shall determine all matters of business. When a quorum is not present at a meeting, a majority of those present may adjourn the meeting.</p>	
<p><b>Definitions:</b> The quorum for a meeting of the 3-County BVCS ECI Board shall be one half of the current voting membership plus one Board member (51%).</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The BOARD Secretary will note prior to the start of the BOARD meeting if a quorum has been achieved and make notes for meeting minutes.</li> <li>• The BOARD Secretary will note comings and goings of any BOARD members at the meetings and note if the quorum was maintained or lost.</li> <li>• If the BOARD loses quorum during a BOARD meeting, the BOARD Secretary will immediately notify the BOARD Chair.</li> <li>• Agenda items can be discussed but business will not be conducted.</li> <li>• The remaining BOARD Members will vote to adjourn the meeting.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16; 11/28/18
<b>Reference:</b>	By-Laws Article V Section 7

<b>Policy ID:</b> 1.17	<b>Title:</b> <i>Meeting Agenda/Minutes</i>
<p><b>Policy:</b> The Program Director or designated person is responsible to create the agenda and receive approval of the Board Chair.  Order of business for board meeting: introduction, order of business, approval of agenda, approval of minutes, financial report, business for meeting and information sharing.  Board members will receive a draft agenda at least 24 hours before any regular or special meeting of the BVCS ECI board.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Common practice of the director will be to deliver a draft agenda with board meeting notice five calendar days prior to any regular or special meeting of the ECI Board, unless for good cause such notice is impossible or impractical.</li> <li>• Board Members can contact the Program Director or designated person to add items to the agenda prior to or before the agenda if approved at the Board meeting.</li> <li>• Written minutes for each meeting of the Board will be maintained in which a record of votes on all motions will be entered.</li> <li>• Minutes of the previous meeting shall be distributed to all members prior to the next meeting. Minutes will be made available to the public after approval by the Board, on the Board’s website or in writing, or email or in person.</li> <li>• Secretarial duties refer to Policy &amp; Procedure A-1.4.</li> </ul>	
<p>The following shall be the order of business to be conducted at regular meetings of the BVCS ECI 3-County Board for the BVCS Early Childhood Iowa Area.</p> <ul style="list-style-type: none"> <li>• Call to Order</li> <li>• Introduction of attendees</li> <li>• Public Comment</li> <li>• Approval of Agenda</li> <li>• Approval of Minutes from previous meeting <ul style="list-style-type: none"> <li>○ Financial Reports</li> <li>○ School Ready</li> <li>○ Early Childhood</li> </ul> </li> <li>• Agenda Items</li> <li>• Directors Update</li> <li>• Adjournment</li> <li>• Community Input</li> </ul> <p>The above regular order is established as a guide. Item may be rearranged, taken in a different order, or additional item inserted.</p>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16; 9/27/17;
<b>Reference:</b>	By-Laws Article V: Section 5 & Section 6

<b>Policy ID:</b> 1.18	<b>Title:</b> <i>Board Decisions</i>
<b>Policy:</b> The BVCS ECI board will follow the open meeting laws and Robert's Rules of Order.	
<b>Definitions:</b> Robert's Rules of Order - a book of rules for presiding over a meeting; Parliamentary Procedure - a body of rules followed by an assembly.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• Board members may make a motion to express their thoughts on an issue.</li> <li>• A motion is a proposal that the entire membership of the board can take action or a stand on an issue. Each individual member can make a motion, second a motion, debate a motion, and/or vote on a motion.</li> <li>• Once a motion has been made, all motions must be seconded.</li> <li>• All motions must be adopted by a majority vote unless otherwise noted in the by-laws.</li> <li>• All motions may be debated unless otherwise noted, refer to the Robert's Rules of Order for those items that cannot be debated.</li> <li>• All decisions will be noted in the BVCS ECI minutes.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	
<b>Reference:</b>	Roberts Rules of Order



<b>Policy ID:</b> 1.19	<b>Title:</b> Strategic Planning
<b>Policy:</b> The BVCS ECI board will review the community plan every year during the State Fiscal Year's third quarter.	
<b>Procedure:</b>	
<ul style="list-style-type: none"> <li>• Committee meetings, community members input, agency staff, and other methods of information gathering will be used throughout the year to gather the current needs of children ages prenatal to five and their families.</li> <li>• Needs assessment survey will be done every two to three years to gather a snapshot of all three counties and the needs that families and community members see close to them.</li> <li>• The time-line of the area needs assessment will be determined by the level the BVCS ECI board is at on the Designation.</li> <li>• A needs assessment will be complete to help update the community plan.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	9/27/17
<b>Reference:</b>	

Policy ID: 1.20	Title: <i>Committees</i>
<p><b>Policy:</b> The 3-County BVCS ECI Board may establish such standing or ad hoc committees and work groups as the board believes will help to carry out its responsibilities. Iowa Code, Chapter 28 for required representation on the board, the board cannot delegate decision-making authority to another group such as an executive committee.</p>	
<p><b>Procedures:</b> Subcommittees may include By-laws, Community Plan, Request for Proposals/Renewals, Indicator/Outcomes, Annual Report, finance etc.</p> <ul style="list-style-type: none"> <li>• Ad Hoc Committees will be made up of board members. May include members of Community Coalitions, for additional input, as needed.</li> <li>• Board members will volunteer to serve on subcommittees at board meetings.</li> <li>• Every attempt will be made to have representation from each county.</li> <li>• The committee will take minutes and report back to the 3-County BVCS ECI Board with their recommendation.</li> <li>• All committee meeting will follow open records and open meeting laws.</li> </ul> <p>The Executive Committee shall be comprised of the elected board members of the 3-County BVCS ECI Board. The committee shall provide the following:</p> <ul style="list-style-type: none"> <li>• Guidance to the 3-County BVCS ECI Board,</li> <li>• Program Director support and oversight,</li> <li>• Assure compliance with operating policies and procedures,</li> <li>• Review contract performance and compliance and issues,</li> <li>• Oversee all Board finances including the Early Childhood Area funds and other grants received by the board and maintain fiscal accountability, and</li> <li>• Assist in establishing the meeting agenda.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	4/22/13; 9/30/15; 10/30/16
<b>References:</b>	By-Laws Article VII; Section 1

<b>Policy ID:</b> 1.21	<b>Title:</b> <i>Annual Reports</i>
<p><b>Policy:</b> The officers shall be responsible for the preparation of the annual report. The 3-County BVCS ECI board shall submit an annual report on the effectiveness of the grant program in addressing school readiness and children’s health and safety needs to the Iowa early childhood board and to the local governing bodies. The annual report shall indicate the effectiveness of the community board in achieving state and locally determined goals.</p>	
<p><b>Definitions:</b> The Early Childhood Iowa Annual Report is a prescribed document of reporting requirements as determined by the State Early Childhood Iowa BOARD and Office.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The Program Director will compile the annual report with from reports from each contracted program.</li> <li>• Each contracted program is required to report a summary along with state required data.</li> <li>• Each contracted program will submit required data to the program director for the first three quarters by the 15<sup>th</sup> of the month following the end of each quarter, October, January, April.</li> <li>• Each contracted programs will submit complete year-end report with required data for the final report is due by August 1<sup>st</sup>.</li> <li>• The Program Director will request final budget reports from the fiscal agent to complete the expenditure reports for the state.</li> <li>• The Program Director will complete the Financial Statements and set a meeting with the Fiscal Agent to Reconcile of the Expenditures with Financial Records financial expenditures.</li> <li>• The Program Director (acting on behalf of the officers) will complete the data and narrative portion of the annual report with assistance from the local programs and the BVCS ECI local board.</li> <li>• The annual report will include an update from the community plan.</li> <li>• The annual report will be presented to the BVCS ECI board at the last meeting before September 15<sup>th</sup> of each year for the final approval. This meeting will be scheduled before September 10<sup>th</sup> of each year to allow time for the report to approved, signed, and submitted to the state.</li> <li>• The board chair and fiscal agent will need to sign the annual report before it is submitted to the state.</li> <li>• A two page executive summary will be completed about the BVCS ECI area for a quick overview of the area. This summary will be sent to legislators, board members, and community members.</li> <li>• Annual Reports will be approved by the BOARD and submitted by the due date set by the state.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	10/30/16; 11/28/18
<b>Reference:</b>	By-Laws Article VI; Section 2

<b>Policy ID:</b> 1.22	<b>Title:</b> <i>Community Plan</i>
<b>Policy:</b> Develop and implement the community plan with identified priorities, based on community assessments, which address human services, education and health needs to support the children and their families to reach desired results.	
<b>Definition:</b> Develop and implement the community plan with identified priorities, based on community assessments, which address human services, education and health needs to support the children and their families to reach desired results.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• The BVCS ECI Community Plan will be developed based on needs identified through meetings, surveys, and input from community agencies and members.</li> <li>• The state ECI TA team will supply the local area with a template of required information that will be in the community plan.</li> <li>• Volunteer committee members from the BVCS ECI 3-County Board and Community Coalition members will compile, develop and review the community plan.</li> </ul> <b>Iowa law requires the community plan to:</b> <ul style="list-style-type: none"> <li>• Describe community needs for children prenatal through five years of age based on ongoing assessments;</li> <li>• Describe the current and desired levels of community coordination of services for children prenatal through five years of age;</li> <li>• Identify all federal, state, local, and private funding sources including funding estimates available in the early childhood area that will be used to provide services to children zero through five years of age;</li> <li>• Describe how funding sources will be used to support young children and their families;</li> <li>• Identify the desired results and the community-wide indicators the area board expects to address through implementation of the comprehensive community plan.;</li> <li>• Changes to the BVCS ECI Community Plan will be approved by the BVCS ECI 3-County Board and recorded in the boards minutes.</li> <li>• The Community Plan is posted on the website for public access.</li> <li>• The Community Plan is shared with community partners when revised and updated through email distribution.</li> <li>• A copy of the Community Plan can be requested at any time by a member of the public by contacting BVCS ECI office at 712-662-3880.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	9/30/15; 10/30/16; 11/28/18
<b>Reference:</b>	Iowa Code Chapter 2561.8 (c)

<b>Policy ID:</b> 1.23	<b>Title:</b> <i>Signature Authority</i>
<b>Policy:</b> Official documents requiring BOARD signature shall be signed by the BOARD Chairperson or Vice Chairperson.	
<b>Definitions:</b> Official documents could include, but are not limited to: Program Contracts, Annual Reports, and State Contracts.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• The BVCS ECI board chair has the authority to sign contracts, state reports, and other board required forms. <ul style="list-style-type: none"> <li>○ First option for signature shall be for the Program Director to contact the Chairperson.</li> <li>○ If the Chairperson is unavailable, authority for signature shall be under the auspice of the Vice-Chairperson.</li> </ul> </li> <li>• The Program Director has the authority to sign off on payments by the fiscal agent to programs. These payments shall be reviewed by the fiscal officer at their request.</li> <li>• The director may sign off on all office related work, insurance, and paperwork not requiring the Board Chair’s signature.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18
<b>Reference:</b>	Policy & Procedure Manual Financial Policy 3.2, 3.3

<b>Policy ID:</b> 1.24	<b>Title:</b> <i>Public Input – Community</i>
<b>Policy:</b> Each County shall establish County Coalitions for the purpose of gathering information, committee volunteers, evaluating needs and setting priorities of the community, and collaborating with other entities, both public and private.	
<b>Definitions:</b> Community Coalition Membership: Anyone who is living in or an agency representative serving the BVCS ECI Area interested in the investment of young children age zero through five years of age. The Advisory Council will consist of at least one 3-County BVCS ECI Board member.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• Community Coalitions will be the source of community input for the needs of children 0-5 years of age.</li> <li>• Community members are welcome to attend the BVCS ECI board meetings and give input to the meetings at appropriate times.</li> <li>• Community members can also contact the board chair or program director to request time on the agenda for an item dealing with Early Childhood Iowa business.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	8/27/14; 9/30/15; 10/30/16
<b>Reference:</b>	By-Laws Article VII, Section 2

<b>Policy ID:</b> 1.25	<b>Title:</b> Responding to Public Inquires
<b>Policy:</b> The BVCS Early Childhood Iowa staff will respond to inquiries from community members.	
<b>Procedures:</b>	
<ul style="list-style-type: none"> <li>• The Program Director responds to all inquiries from community members in a timely manner, or before the requested due date on all inquiries. <ul style="list-style-type: none"> <li>○ Phone calls</li> <li>○ Emails</li> <li>○ Request to participate in events/presentations</li> </ul> </li> <li>• In an event that Program Director is not available, the board chair will respond to all requests.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	11/28/18
<b>Reference:</b>	None

<b>Policy ID:</b> 1.26	<b>Title:</b> Responding to Inquiries from the State
<b>Policy:</b> The Program Director responds to all inquiries from the state in a timely manner, or before the requested due date on all inquiries. In an event that Program Director is not available, the Board Chair will respond to all requests.	
<b>Procedures:</b>	
<ul style="list-style-type: none"> <li>• Program Director responds to all inquiries from the state in a timely manner, or before the requested due date on all inquiries.</li> <li>• In an event that Program Director is not available, the Board Chair will respond to all requests.</li> <li>• Program Director is not available, could be related to: vaction, extended leave of absence or position is vacant.</li> <li>•</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	
<b>Reference:</b>	None



Policy ID: 1.27	Title: <i>Confidentiality</i>
<p><b>Policy:</b> All board, committee, and program reports are open to the public under the Public Records Law and Open Meetings Law.</p>	
<p><b>Definition:</b> <i>Iowa Code</i> section (22.7) provides for 65 exceptions to the rule. Exceptions of Confidential Records include, but are not limited to: student information, investigative reports by law enforcement, personnel information, trade secrets, criminal identification files, security protocols and critical asset protection. BVCS ECI the lawful custodian of the record will state the statutory authority for not releasing a record.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The following confidentiality clause is in effect with service providers funded by BVCS Early Childhood Iowa. <ul style="list-style-type: none"> <li>○ <b>Confidentiality.</b> Information of the BVCS Early Childhood Iowa BOARD which identifies clients and services is confidential in nature. The Contractor and its employees and agents shall be allowed access to such information only as needed for performance of their duties related to the Contract. The Contractor shall not use confidential information for any purpose other than carrying out the Contractor’s obligations under this Contract. The Contractor shall establish and enforce policies and procedures for safeguarding the confidentiality of such data. The Contractor may be held civilly or criminally liable for improper disclosure. The Contractor shall promptly notify the BVCS Early Childhood Iowa BOARD of any request for disclosure of confidential information received by the Contractor.</li> </ul> </li> <li>• All BOARD members, Director, and funded contractors will adhere to this policy on confidentiality.</li> <li>• Families will agree to sign a statement for Release of Information to share with the Program Director for program file reviews and data collection. All shared information will be kept confidential by the Program Director and only non-identifying information will be shared with the BOARD for reporting purposes.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18
<b>Reference:</b>	

Policy ID: 1.28	Title: <i>Use of Name and Logo</i>
<p><b>Policy:</b> Contracted programs are required through program contracts to use the BVCS Early Childhood Iowa name and logo.</p>	
<p><b>Definitions:</b></p> <div data-bbox="706 422 938 674" data-label="Image"> </div>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Request to use the BVCS ECI logo, must be sent in writing to the Program Director at the BVCS ECI office.</li> <li>• The director will present the request to the board chair.</li> <li>• The ECIA name and logo may be used for all events sponsored by BVCS ECI.</li> <li>• Contracted programs will be required to acknowledge and include BVCS Early Childhood Iowa as a sponsor and funding source in all promotional and written materials, and public information as deemed reasonable and appropriate for the funded service. Copies of promotional items and written materials shall be included annually with the program reports.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18

<b>Policy ID:</b> 1.29	<b>Title:</b> <i>Expense Reimbursement for BOARD Members</i>
<b>Policy:</b> Board expenses set aside in School Ready Funds or Early Childhood Funds, Administration, can be used for reimbursement for board members travel, training, other board events, or board related early childhood activities.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• The board will decide at the beginning of the year if there are funds in the budget to set aside funds for expense reimbursement.</li> <li>• A written request for reimbursement must come to the board from the board member prior to travel, training, or the board activities.</li> <li>• Receipts will be required for reimbursement and mileage will be reimbursed at the employer of record set rate.</li> <li>• The claim will then be submitted following all current fiscal policies for payment to the incurring BOARD member(s).</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18

Policy ID: 1.30	Title: <i>Lobbying</i>
<p><b>Policy:</b> The BVCS ECI 3-County Boards binding agreement that – no federal appropriated funds have been paid or will be paid on behalf of any party hereto to any person for influencing or attempting to influence an officer or employee of any agency, state or local elected officials, a Member of Congress, an officer or employee of Congress, or an employee of a Member of congress in connection with the awarding of any Federal contract, the making of any Federal grand, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.</p> <p>If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, state or local elected officials, a Member of Congress, or an employee of a Member of Congress in connection with this contract, grant, loan or cooperative agreement, the BVCS ECI 3-County Board shall complete and submit Standard Form – LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.</p>	
<p><b>Procedures:</b> The above two paragraphs apply only when the agreement involves federal funds.</p>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Reference:</b>	Early Childhood Iowa State Board -Annual Agreement

<b>Policy ID:</b> 1.31	<b>Title:</b> <i>Political Support/Endorsements</i>
<p><b>Policy:</b> Guidelines for Political Activity: The Hatch Act restricts the political activities of Individuals employed by state or local agencies with programs financed wholly or in part by federal loans or grants. Prohibited activities include running for partisan office, use of official authority to influence the results of an election, and solicitations of contributions.</p> <p>The BVCS EARLY CHILDHOOD IOWA BOARD will not provide political support or endorsements on behalf of the BOARD to individuals seeking election or re-election to public office.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• County governmental resources – telephones, copy machines, office space, staff time, etc. – are prohibited from political use (supporting or opposing a candidate or ballot issue). “Not on county time, not with county property”.</li> <li>• If the Program Director and/or a BOARD member is approached by an individual seeking election or re-election to public office for political support or endorsement from the BVCS EARLY CHILDHOOD IOWA BOARD, the Program Director or member is to simply state the BOARD policy of not providing support or an endorsement.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision</b>	11/28/18
<b>Reference</b>	Buena Vista County Handbook

<b>Policy ID:</b> 1.32	<b>Title:</b> <i>Conflict of Interest</i>
<b>Policy:</b> BOARD members shall acknowledge when their personal or professional circumstances create a conflict of interest situation, and refrain from discussion and voting on those items of business.	
<b>Definitions:</b> <u>Conflict of Interest</u> – situation in which a person has a private or personal interest sufficient to appear to influence the objective exercise of his or her official duties as a BOARD member.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• A possible/potential conflict of interest on the part of a BOARD member or their spouse will be disclosed to the other members and made a matter of record through an annual procedure and when the interest becomes a matter of BOARD action.</li> <li>• A BOARD member or their spouse with a possible/potential conflict of interest on any matter will not vote or use personal influence on the matter. The minutes of the meeting will reflect a disclosure and the abstention from voting.</li> <li>• The “Disclosure of Potential Conflicts of Interest” policy will be reviewed by members annually.</li> <li>• BOARD Members will agree each year as evidenced by signature on the “Conflict of Interest Statement”.</li> <li>• A new BOARD Member will be advised of the policy upon becoming a member of the BOARD and agree as evidenced by signature on the “Conflict of Interest Statement”.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18
<b>Reference:</b>	By-Law Article V; Section II

<b>Policy ID:</b> 1.33	<b>Title:</b> <i>Compliance with Open Records Laws and Record Accessibility</i>
<p><b>Policy:</b> An open session is a meeting to which all members of the public have access. The public may use cameras or recording devices at any open session. Reasonable rules of conduct may restrict interference or interruption by spectators.</p>	
<p><b>Definition:</b> All meetings of early childhood area boards are subject to the Open Meetings Law. Iowa Code § 28.6(5) states in part as follows: “All meetings of an early childhood area board or any committee or other body established by a community board at which public business is discussed or formal action taken shall comply with the requirements of chapter 21 [Open Meetings Law]. A community board shall maintain its records in accordance with chapter 22 [Open Records].”</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Public notice must be provided at least 24 hours prior to the meeting, absent an emergency.</li> <li>• Notice must be reasonably calculated to advise the public of the date, time, place and tentative agenda.</li> <li>• Notice must be provided to news media who have filed a request for notice, and posted on a bulletin board or other prominent place easily accessible by the public at the principle office of the body holding the meeting.</li> <li>• Any member of the community may request access to BVCS ECI public documents from the BVCS ECI office with a written request submitted to the board chair or director.</li> <li>• Will respond to all requests, with an acknowledgement of receipt, within ten working days of the request. Refer to A – 1.27 Confidentiality.</li> <li>• All records, documents, or other information stored including computer records developed, received, or maintained by the BOARD shall be considered a public record.</li> <li>• If someone from the public has a request for a public record, they should contact the BVCS EARLY CHILDHOOD IOWA office.</li> <li>• Examination and copying of records will be done under the supervision of the BOARD Chairperson and/or Program Director.</li> <li>• A fee of \$1.50 per page copied may be charged to the recipient.</li> <li>• Public records will be provided as soon as reasonably practical by the BOARD Chairperson and/or Program Director.</li> <li>• A request for public records needs to be made in writing.</li> <li>• Records containing information that should not be disclosed to members of the public pursuant to Iowa Code section 22.7 or other provisions of the code shall be kept confidential.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	11/28/18

Policy ID: 1.34	Title: <i>Liability Insurance</i>
<p><b>Policy:</b> The BVCS ECI is a unit of local government for purposes relating to tort liability of governmental subdivision. Every municipality is subject to liability for its torts and those of its officers and employees, acting within the scope of their employment or duties. Liability insurance will be maintained for the board and employees through administration funds.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The BVCS ECI board receives notification of liability insurance at the end of the State fiscal year payment annually upon due date.</li> <li>• The board will review the insurance information every spring during a board meeting. Necessary paperwork will be approved and signed by the board chair and or Program Director representing the board.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	



<b>Policy ID:</b> 1.35	<b>Title:</b> <i>Record Retention &amp; Storage</i>
<b>Policy:</b> All records and contracts will be kept following the State/Federal guidelines.	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The BVCS ECI 3-County Board shall maintain books, records, and documents which sufficiently and properly document and calculate all moneys expended under an agreement with the Office of Early Childhood Iowa throughout the term of the agreement.</li> <li>• Record will be stored for a period of at least five (5) years following the date the final payment or completion of any required audit, whichever is later.</li> <li>• The BVCS ECI 3-County Board shall permit the Auditor of the State of Iowa or any authorized representative of the State, and where federal funds are involved, the Comptroller General of the United States or any other authorized representative of the United States government, to access and examine, audit, excerpt and transcribe any directly pertinent books, documents, paper, electronic, or optically stored and created records or other records of the BVCS ECI 3-County Board relating to orders, invoices, or payments or any other documentation or material pertaining to the Agreement with the Office of Early Childhood Iowa.</li> <li>• Records will be stored within the locked office of the BVCS Early Childhood Iowa board.</li> <li>• BOARD records including but not limited to annual reports, financial statements, contracts, minutes, funding proposals, and program files will be retained by the BVCS EARLY CHILDHOOD IOWA office.</li> <li>• Records will be retained at the office or in the designated storage area.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18
<b>Reference:</b>	Agreement with the Early Childhood Iowa State Board

<b>Policy ID:</b> 1.36	<b>Title:</b> <i>Record Disposal</i>
<b>Policy:</b> All records being disposed of after the State /Federal guidelines.	
<b>Procedures:</b>	
<ul style="list-style-type: none"> <li>• Records being disposed of will be shredded by a reputable/secure shredding company. Example: Take records to Buena Vista County Fiscal Agent, and use the shredding company they utilize.</li> <li>• Receive a signed notice the material has been properly disposed.</li> <li>• Disposal of records will occur only after verification of policy and time limitations.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	10/28/15; 11/28/18

Policy ID: 1.37	Title: <i>Security – Storage of Back-up Files &amp; Sensitive Data</i>
<b>Policy:</b> All files are backed up on an external disk drive and a removable source.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• An external disk drive will be used for backup.</li> <li>• A removable disk drive/CD shall be utilized. Removable disk drive/CD will be stored off location with the program director.</li> <li>• All files with sensitive data will be locked in a file in the locked in the BVCS Early Childhood Iowa office.</li> <li>• Regularly scheduled backup will occur monthly.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	11/28/18

<b>Policy ID:</b> 1.38	<b>Title:</b> Technology & Electronic Communications
<b>Policy:</b> BVCS ECI will provide staff with the equipment needed to perform their jobs.	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• None of this equipment should be used for personal use.</li> <li>• Incidental and occasional personal use of computers and electronic communications is permitted, but information and messages stored in these systems will be treated no differently from other business-related information and messages.</li> <li>• Electronic mail should be used only for conducting business.</li> <li>• Incidental and occasional personal use of computers and electronic mail is permitted, but information and messages stored in these systems will be treated no differently from other business-related information and messages.</li> <li>• Computer equipment is the property of the BVCS ECI and will be disposed by the BVCS ECI Board as they determine.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	3/26/14;

Policy ID: 1.39	Title: Technology & Website
<p><b>Policy:</b> The Buena Vista Crawford Sac Early Childhood Iowa area (BVCS ECI) will use the “<a href="http://bvcsempowerment.com">bvcsempowerment.com</a>” in transition to, “<a href="http://www.bvcsearlychildhoodiowa.org">www.bvcsearlychildhoodiowa.org</a>” website as the primary communication tool for the area. Monitoring and selection of items to be put on the website will be performed by the Program Director.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• A web hosting company will be retained. The annual budget will reflect a hosting fee that will be built into the budget and may include other miscellaneous fees as determined.</li> <li>• The website will be reviewed and updated by the Program Director on a monthly basis.</li> <li>• The Program Director has the authority to solicit articles from members or other individuals with expertise or information pertinent to the association. The Program Director may solicit other BVCS ECI members to assist with responsibilities.</li> <li>• The Program Director will review and edit articles submitted and then update the website.</li> <li>• For those members who do not have access to the web, BVCS ECI will make available a copy of the website information upon request. The Program Director will be the contact person to copy and mail this information.</li> <li>• The website may include, but not limited to, the capacity for e-newsletters, minutes, agendas, events, and funded programs.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	3/26/14;

Policy ID: 1.40	Title: Technology & Social Media
<p><b>Policy:</b> BVCS Early Childhood Iowa (BVCS ECI) recognizes the growing importance of online social media networks as a communication tool. This policy addresses employees’ personal use of such networks including: personal websites, web logs (blogs), wikis, social networks, online forums, virtual worlds, and any other kind of social mediums. BVCS ECI respects the right of employees to use these mediums during their personal time. Personal use of these mediums during company time on personal is prohibited. If an employee chooses to identify himself or herself as an employee of BVCS ECI on such Internet venues, some readers of such Web sites or blogs may view the employee as a representative or spokesperson of the agency. In light of this possibility, BVCS ECI requires, as a condition of employment at the agency, that employees observe the following guidelines when referring to BVCS ECI its programs or activities, its clients, volunteers, other employees, and/or governing bodies, in a blog, on a web site, or in any other type of social media or on-line platform.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Employees must not mention or make reference to any BVCS ECI clients in any circumstances.</li> <li>• Employees must be respectful in all communications and blogs related to or referencing the agency, other employees, volunteers, and/or governing bodies.</li> <li>• Employees must not use obscenities, profanity, or vulgar language.</li> <li>• Employees must not use blogs or personal Web sites to disparage the agency, clients, volunteers, other employees, and/or governing bodies of the agency.</li> <li>• Employees must not use blogs or personal Web sites to harass, bully, or intimidate other employees or clients. Behaviors that constitute harassment and bullying include, but are not limited to, comments that are derogatory with respect to race, religion, gender, sexual orientation, color, or disability; sexually suggestive, humiliating, or demeaning comments; and threats to stalk, haze, or physically injure another employee, client, volunteer, or governing body.</li> <li>• Employees must not use blogs or personal Web sites to discuss engaging in conduct that is prohibited by agency policies, including, but not limited to, the use of alcohol and drugs, sexual behavior, sexual harassment and bullying.</li> <li>• Employees must not post pictures of clients, volunteers, other employees, or governing bodies on a Web site without obtaining written permission.</li> <li>• The use of our agency name or logo is not allowed without written permission of BVCS ECI Program Director. Employees who participate in social media may still decide to include information about their work at BVCS ECI as part of their personal profile, as it would relate to a typical social conversation. This may include: <ul style="list-style-type: none"> <li>• Work information included in a personal profile, to include company name, job title, and job duties.</li> <li>• Status updates regarding an employee’s own job promotion.</li> <li>• Personal participation in BVCS ECI sponsored events.</li> <li>• Be mature, be ethical and think before you type.</li> </ul> </li> <li>• Any employee found to be in violation of any portion of this Social Networking Policy will be subject to immediate disciplinary action, up to and including termination of employment.</li> <li>• BVCS ECI is free to view and monitor an employee’s website or web log at any time without consent or previous approval. Nothing in this policy is to be applied or interpreted as interfering with employees’ right to engage in protected concerted activities.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	9/30/15

Policy ID: 1.41	Title: Technology & Electronic Confidentiality Security – Password & Wi-Fi
<p><b>Policy:</b> BVCS ECI takes reasonable steps to protect users from unauthorized entry into accounts or files, whether by other users or by system administrators, except in instances where a system-related problem requires such entry.</p>	
<p><b>Definition:</b> A limited number of authorized personnel must occasionally monitor information on the computer systems to maintain the integrity of the systems. This access is required for reasons that include, but are not limited to, trouble-shooting hardware and software problems; preventing unauthorized access and system misuse; providing for the overall efficiency and integrity of the systems; protecting the rights and property of the BVCS ECI; ensuring compliance with software and copyright, distribution, and complying with legal and regulatory requests for information.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Passwords need to be eight (8) characters in length.</li> <li>• Password should include alphanumeric, special character, and upper/lower case letters.</li> <li>• Passwords should be changed every 90 days (3 months).</li> <li>• Keep passwords safe and secure.</li> <li>• Passwords must be used on all computers and/or mobile equipment supplied by BVCS Early Childhood Iowa.</li> <li>• Wireless Wi-Fi is provided by internet provider/Frontier Communications. <ul style="list-style-type: none"> <li>○ Secure Identification code is assigned by the internet provider/Frontier Communication.</li> <li>○ Password should be restricted to use related to BVCS Early Childhood Iowa business.</li> <li>○ To change password contact the internet provider/Frontier Communication to reset.</li> </ul> </li> <li>• Router is supplied by the Internet agency providing service to BVCS Early Childhood Iowa. <ul style="list-style-type: none"> <li>○ Current provider Frontier Communications: If they notice unfamiliar activity generating from firmware. Frontier will lock it down.</li> <li>○ Call Frontier Communications/internet provider to reset the network.</li> <li>○ Service Set Identifier (SSI) is set by the internet provider and/or Frontier Communications.</li> </ul> </li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	11/28/18

Policy ID: 1.42	Title: <i>Acceptable Use - Technology</i>
<b>Policy:</b> Staff members of BVCS Early Childhood Iowa guidelines for computer/mobile device usage, data privacy, and protocol for reporting an incident.	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Equipment that leaves the confines of the BVCS Early Childhood Iowa office for business reasons must be secured in the vehicle or removed and taken with you at all times.</li> <li>• Close down or lock computer whenever you step away from your desk.</li> <li>• When off-site computer should be kept with the employe or secured in a locked location.</li> <li>• Equipment is for business use associated with BVCS Early Childhood Iowa. Use must not interfere with an employee’s performance of job duties. <ul style="list-style-type: none"> <li>○ Only access appropriate websites related to use for work responsabilites.</li> <li>○ Only use secure wi-fi access when accessing the internet in public venues,.</li> <li>○ Only use items purchased and/or approved for use by BVCS Early Childhood Iowa in electornic equipment.</li> <li>○ Do not use unauthorized downloading of software and unauthorized use of flash dirve, and CDs.</li> </ul> </li> <li>• Employees have the responsibility not to disclose access codes or passwords.</li> <li>• Protect Personally Identification information should be protected.</li> <li>• Active anti-virus protection should be active at all times. Software should be up to date with most recent databases and applications.</li> <li>• Staff members will sign an acknowledgement of receipt on the Acceptable Use Policy Statement.</li> <li>• Report any theft or potential harm to the BOARD Chair.</li> <li>• Disciplinary actions, warnings issued, if employee has had three warnings, the employee could be terminated from position.</li> </ul>	
<b>Effective Date:</b>	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	11/28/18
<b>Acknowledgement of Receipt:</b>	



Policy ID: 1.43	Title: <i>Security – Disaster Recovery Plan</i>
<p><b>Policy:</b> Disaster plan recovery plan, including cyber security risks and business protocol if a natural disaster or system breach were to occur. Documentation should be stored at more than one location so that it is readily available if a disaster were to occur.</p>	
<p><b>Procedures: What to Include:</b></p> <ul style="list-style-type: none"> <li>• Master list of member owned hardware/software assets (Policy 1.44 Property &amp; Equipment Inventory).</li> <li>• Maintain scheduled, regular data back-ups and store at an off-site location (Policy 1.37 Security –Storage of Back-up Files &amp; Sensitive Data).</li> <li>• <u>Paper records put into electronic format or copies and stored at an off-site location.</u> <ul style="list-style-type: none"> <li>○ Claim submissions are scanned by the Fiscal Agent and kept off-site at the Buena Vista County Auditor Office (Fiscal Agent).</li> <li>○ Expenditure Reports are filed off-site Buena Vista County Auditor Office (Fiscal Agent), a copy of such report on-site at the BVCS Early Childhood Iowa office.</li> <li>○ Revenue reports are filed off-site Buena Vista County Treasures Office (Fiscal Agent), a copy of such report on-site at the BVCS Early Childhood Iowa office.</li> </ul> </li> <li>• Master list of personel assigned to recovery team with emergency phone numbers will be recorded in the BVCS Early Childhood Iowa Succession Plan.</li> <li>• <u>Security breach notification procedures and response plan.</u> <ol style="list-style-type: none"> <li>1. Notification to impacted BVCS Early Childhood Iowa clients. BVCS Early Childhood Iowa values the protection of private information of individuals. Program Director is required to notify an individual when there has been or is reasonably believed to have been a compromise of the individual’s private information in compliance with the Information Security Breach and Notification sections of this policy.</li> <li>2. The Program Director, after consulting with the Executive Committee as well as possibly external consultants to determine the scope of the breach and restoration measures, shall notify an individual when it has been determined that there has been, or is reasonably believed to have been a compromise of private information through unauthorized disclosure.</li> <li>3. Notification may be delayed if a law enforcement agency determines that the notification impedes a criminal investigation. In such case, notification will be delayed only as long as needed to determine that notification no longer compromises any investigation.</li> <li>4. Program Director will notify the affected individual. Such notice shall be directly provided to the affected persons by one of the following methods: <ul style="list-style-type: none"> <li>• Written notice; electronic notice; telephone notification or</li> <li>• Substitute notice, if the <i>BOARD</i> demonstrates to the state attorney general that the cost exceeds availability of funds, or such <i>BOARD</i> does not have sufficient contact information. Substitute notice shall consist of all of the following: <ul style="list-style-type: none"> <li>• e-mail notice when such Program Director has an e-mail address for the subject persons;</li> <li>• Conspicuous posting of the notice on BVCS ECI web site page, if such maintains one.</li> </ul> </li> </ul> </li> <li>• Template notification letters to notify members, consultants, suppliers, insurance company, etc. of the breach.</li> </ol></li></ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	

<b>Policy ID:</b> 1.44	<b>Title:</b> Property and Equipment <i>Inventory Log</i>		
<p><b>Policy:</b> Inventory: Inventory records are required for certain property and equipment purchased or constructed with BVCS ECI funds. Implementation date for Inventory Log will begin July 1, 2012.</p>			
<p><b>Procedures:</b></p> <p>Required Inventory Records: Inventory records must be maintained on all non-expendable, movable property and equipment and:</p> <ul style="list-style-type: none"> <li>• Has an expected useful life of one year or more.</li> <li>• Is self-contained for its primary function (not a component part of another piece of equipment).</li> <li>• Has sufficient individuality and size to make control feasible by means of identification tags, numbers and/or manufacturer's serial numbers marked thereon.</li> </ul> <p>Responsibilities: The Program Director is responsible for:</p> <ul style="list-style-type: none"> <li>• Establishing and maintaining the records and procedures necessary for the accountability of BVCS ECI property and equipment inventory.</li> <li>• Items will be tagged, including identification numbers and/or serial numbers.</li> <li>• A log book will be used to keep track of items.</li> </ul> <p>Reporting Changes Previously Inventoried Material: Report change on the report when any inventoried property or equipment has been:</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <ul style="list-style-type: none"> <li>• Stolen</li> <li>• Lost</li> <li>• Cannibalized</li> <li>• Destroyed</li> </ul> </td> <td style="vertical-align: top;"> <ul style="list-style-type: none"> <li>• Found (after previously reported lost or stolen)</li> <li>• Donated</li> <li>• Other (trade-in, etc.)</li> </ul> </td> </tr> </table> <p>Verifying Inventory Records: On an annual basis, a listing of all inventoried assets will be electronically sent to the Board Chair.</p> <p>Dispositions of Property and Equipment</p> <ul style="list-style-type: none"> <li>• If equipment is sold, scrapped, donated or stolen, adjustments need to be made to the inventory log.</li> <li>• If money is received for the asset, it will be credited to the appropriate funding category.</li> </ul> <p>Write-Offs of Property and Equipment</p> <ul style="list-style-type: none"> <li>• The Board Chair approves the disposal of all capitalized fixed assets that may be worn-out or obsolete.</li> <li>• Property that is discovered to be missing or stolen will be reported immediately to the Board Chair. If not located, this property will be documented in the inventory log with the proper notation specifying the reason.</li> </ul>		<ul style="list-style-type: none"> <li>• Stolen</li> <li>• Lost</li> <li>• Cannibalized</li> <li>• Destroyed</li> </ul>	<ul style="list-style-type: none"> <li>• Found (after previously reported lost or stolen)</li> <li>• Donated</li> <li>• Other (trade-in, etc.)</li> </ul>
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<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board		
<b>Revised:</b>			

Policy ID: 1.45	Title: <i>Legal Representation</i>
<p><b>Policy:</b> In the event that it is deemed necessary, the BOARD may retain legal representation for assistance and/or consultation.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Under the direction of the BOARD, the BOARD Chairperson and/or Director will contact an attorney regarding the matter at hand.</li> <li>• Further procedure will depend on the action necessary.</li> <li>• Necessary action will be under the direction of the full BOARD.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	11/28/18

Policy ID: 1.46	Title: <i>General Office Security</i>
<p><b>Policy:</b> The office of the BVCS Early Childhood Iowa is on the lower level of the Sac County South Courthouse Annex in Sac City, in the Suite number four (4).</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The Sac County South Courthouse Annex building is unlocked in the morning by the custodial personnel.</li> <li>• The BVCS ECI office is unlocked during business hours 8:00 am to 4:30 pm and/or when personnel are on locations.</li> <li>• The South Courthouse Annex and BVCS ECI office doors are locked at the close of the business day, 4:30 pm.</li> <li>•</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	3/26/14;

# PERSONNEL

Policy ID: 2.	Title: <i>Roles, Responsibilities, and Duties of Director</i>
<p><b>Policy:</b> Roles, responsibilities, and duties shall be outlined in a job description for identification and clarity of the position.</p>	
<p><b>Definition:</b> Employees of BVCS Early Childhood Iowa will follow the policies of the acting Employer of Record/Fiscal Agent (Buena Vista County) employee’s handbook.</p>	
<p><b>Procedures:</b></p> <p>Hours of Work and Work Period</p> <ul style="list-style-type: none"> <li>• Full time employees shall normally follow a weekly work schedule of forty (40) hours. Normal business hours shall be 8:00 A.M. to 4:30 P.M. However, recognizing the demands of public and the workload vary, the number of hours per day or week may be changed by the Director from time to time.</li> </ul> <p>Work Period</p> <p>The work week for payroll purposes and for computing overtime shall commence at 12:01 AM of Saturday and end at 12:00 Midnight the following Friday.</p> <p>Overtime</p> <ul style="list-style-type: none"> <li>• The BVCS ECI director will be allowed to work an excess of forty (40) hours in any work week if deemed necessary to complete reports and attend require conferences or meetings.</li> <li>• The Board Chair shall determine whether it is necessary for employees to work overtime hours. Compensatory time at the rate of one hour and one-half (1 1/2) hours for each hour of overtime worked.</li> <li>• The director may use the compensatory time within a reasonable time period, if does not unduly disrupt the operations of the office. An employee may not accrue more than forty (40) hours of compensatory time.</li> </ul> <p>Duties for Program Director</p> <ul style="list-style-type: none"> <li>• The primary function of the ECI Area Director is to provide strong leadership, managerial and administrative skills to ensure quality functioning of the ECI Board and its partners.</li> <li>• Demonstrate knowledge and understanding of basic accounting and managerial skills including fiscal management (or fiscal accountability and compliance).</li> <li>• Manages the essential functions of the 3-County ECI Board as defined by law including: Together with the 3-County ECI Board who has the decision making authority, the Program Director shall: <ul style="list-style-type: none"> <li>○ Facilitate collaboration between local providers, citizens, numerous county-wide human service planning effort and state/local agencies.</li> <li>○ Assist the board with the development, implementation and updating of community and strategic plan.</li> <li>○ Facilitates board functioning per Iowa Code (i.e. develop agendas, uses parliamentary procedures; Roberts Rules, orientation/training, etc.)</li> <li>○ Develops and submits annual report per state requirements.</li> </ul> </li> </ul>	

<ul style="list-style-type: none"> <li>○ Supports 3-County ECI Board activities to reach and/or maintain a Designation Status for the Early Childhood Iowa area.</li> <li>• In cooperation with the 3-County ECI Board, responsible for performance measures and accountability.</li> <li>• Develops and maintains local collaboration and working relationships with local community leaders both in the public and private sectors from various groups, organizations, and agencies that are in alignment of early childhood services.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	9/27/17; 11/28/18
<b>Reference:</b>	Buena Vista County Employee Handbook

Policy ID: 2.1	Title: <i>Responsibility for Purchasing</i>
<p><b>Policy:</b> The Program Director is allowed discretion to purchase office supplies and equipment, not to exceed the approved budget amount for the fiscal year.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The Program Director is allowed discretion to purchase office supplies and equipment, not to exceed the approved budget amount for the fiscal year.</li> <li>• In the event the equipment would exceed the budget prior approval from the BVCS ECI Board, and a contract amendment would be required.</li> <li>• Purchase Orders are documents submitted by the Program Director to request a good or services from a vendor.</li> <li>• It is the Program Directors responsibility to ensure funding is available and that the expense has been established prior to submitting the purchase order.</li> <li>• The one-time purchase of goods or services costing \$5,000 or more requires a competitive bid process unless the purchase is already tied to an agreement. The BVCS ECI competitive process for items over \$5,000 will be performed using a bidding process. Two separate bids from companies providing the good or service are required. The bidder providing the best rate for the good/service will be granted the bid.</li> <li>• If the competitive process cannot be used to procure goods or services or the director feels that such a process would not be appropriate or in BVCS ECI’s best interest, a sole source acquisition will be performed. The 3-County BVCS ECI Board must approve any sole source acquisition exceeding the budgetary limits.</li> <li>• Equipment needed rented for the BVCS ECI office must be presented to the board in writing. The board will discuss the need of the equipment and approve at the board meeting.</li> </ul> <p>Receipt and acceptance of goods: Equipment/ and supplies for the receipt and delivery of freight and inspecting shipments after delivery.</p> <ul style="list-style-type: none"> <li>• Inspects shipments for visible damage (exterior damage).</li> <li>• Initiates damage claims, coordinating between the delivery carriers, vendor as appropriate.</li> <li>• Verifies package count and signs delivery receipt at time of delivery.</li> <li>• Inspects contents of package.</li> <li>• Makes arrangements for pickup or delivery of freight.</li> <li>• Coordinates delivery and provides storage for all inbound materials.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	



Policy ID: 2.2	Title: Code of Conduct in Purchasing
<p><b>Policy:</b> Ethical conduct in managing the Agency's purchasing activities is absolutely essential. Staff must always be mindful that they represent the Board of Directors and share a professional trust with other staff and the general membership.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Program Director shall discourage the offer of, and decline, individual gifts or gratuities of value in any way that might influence the purchase of supplies, equipment, and/or services.</li> <li>• Program Director shall notify their immediate supervisor if they are offered such gifts.</li> <li>• No Board member, employee, or agent shall participate in the selection or administration of a vendor if a real or apparent conflict of interest would be involved. Such a conflict would arise if a Board member, employee or agent, or any member of his/her immediate family, his/her spouse/partner, or an Agency that employs or is about to employ any of the parties indicated herein, has a financial or other interest in the vendor selected.</li> <li>• Board members, employees, and agents shall neither solicit nor accept gratuities, favors, or anything of monetary value from vendors or parties to sub-agreements.</li> <li>• Unsolicited gifts of a nominal value of \$50 or less may be accepted with the approval of the Board Chair.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 2.3	Title: <i>Contracting for Employer of Record Services</i>
<p><b>Policy:</b> The BOARD shall enter into an agreement with Buena Vista County Board of Supervisors for Employer of Record services for staff to be supervised by the Early Childhood Iowa BOARD.</p>	
<p><b>Definitions:</b> Employer of Record - an entity contracted for the sole purpose of providing payroll and human resource services to the employed individual.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• If the Executive Committee deems the contract needs an amendment or termination, contract discussion will be brought to the BOARD as an agenda item.</li> <li>• The BOARD retains all responsibility to hire, fire, evaluate, and supervise the Program Director. The Program Director retains responsibility of all other staff.</li> <li>• The BOARD shall follow the Employer of Record’s policies related to the following: <ul style="list-style-type: none"> <li>○ Employment at Will</li> <li>○ Equal Employment Opportunity</li> <li>○ Productive Work Environment (Anti-bullying, Sexual Harrassement, and Workplace Violence)</li> <li>○ Secondary Employment</li> <li>○ Drug and Alcohol Free Workplace</li> <li>○ Worker’s Compensation</li> </ul> </li> <li>• All employees of the BOARD will be provided copies of the aforementioned policies upon hire.</li> <li>• Employees are allowed flexible schedules within the pay period.</li> </ul>	
<p><b>Effective Date:</b> 11/28/18</p>	<p><b>Approved by:</b> BVCS Early Childhood Iowa Board</p>
<p><b>Revision:</b></p>	

Policy ID: 2.4	Title: <i>Contracting with an Entity or Individual Contractor</i>
<p><b>Policy:</b> A contract will be developed to protect the interests of the board, identifies responsibilities of the parties to the contract, defines what the contractor must deliver, and documents the mutual agreement and parameters of what was agreed upon.</p>	
<p><b>Procedures:</b></p> <p>The contract should include the following:</p> <ul style="list-style-type: none"> <li>• Clearly state and define the scope of work, contract terms, allowable renewals and procedures for any changes.</li> <li>• Provide specific measureable deliverables and reporting requirements, including due dates.</li> <li>• Describe the methods of payment and payment schedules.</li> <li>• Limit the board’s liability for work performed either before or after the contract’s scope.</li> <li>• Contain performance standards, performance incentives and/or clear penalties and corrective actions for non-performance, with a dispute resolution process.</li> <li>• Contain monitoring and audit provisions.</li> <li>• Tie payments to the acceptance of deliverables or the final product.</li> <li>• Contain appropriate signatures, approvals, acknowledgements, or witnesses.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 2.5	Title: <i>Job Vacancies, Hiring, and Selection Process</i>
<b>Policy:</b> To establish a standardized process for the hiring and selection of BOARD staff.	
<b>Definitions:</b> BOARD staff may include the Program Director, and/or other staff used in the coordination of services.	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The BOARD chair and executive committee will be asked to assist the director in filling the vacant position.</li> <li>• Notification of the vacant position will be submitted to newspapers in the three county area. The vacancy ad will include the geographical area being served, board name, overall function of the position, competency and educational requirements, and where to send resume and cover letter.</li> <li>• The BOARD chair will receive all applicants' information and set up interviews.</li> <li>• The BOARD will assign three board members (one from each county) to assist the board chair with interviews.</li> <li>• The top applicant will be presented to the BOARD for approval of hire.</li> <li>• All positions shall have an approved job description prior to announcement.</li> <li>• Job applications may be made by submitting a resume and cover letter to the Director and/or BOARD Chair.</li> <li>• The most qualified applicant is presented to the BOARD for approval.</li> <li>• All new hires will be directed to the Employer of Record's Human Resource Department/Representative to complete initial new hire paperwork and administrative and technical support regarding relevant employee policies and procedures.</li> </ul>	
<b>Effective Date:</b> 3/2/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18

Policy ID: 2.6	Title: <i>New Staff Orientation</i>
<b>Policy:</b> To provide new staff with appropriate orientation in their respective position(s).	
<b>Definitions:</b> Staff may include the Program Director, and/or other staff used in the coordination of services.	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• BVCS ECI will seek out assistance from the Early Childhood Iowa State Technical Assistance Team, and mentor from a neighboring Early Childhood Iowa area.</li> </ul> <p>Orientation of a new director will be handled by the board chair, and /or the outgoing director. Within one month orientation will include:</p> <ul style="list-style-type: none"> <li>• Understanding the mission, philosophy, goals and services of BVCS ECI.</li> <li>• Culture training related to the cultural and socioeconomic characteristics of the BVCS ECI area.</li> <li>• Buena Vista Counties Employee Information Handbook.</li> <li>• Policy/Procedure Manual for BVCS ECI.</li> <li>• BVCS ECI Financial Policy &amp; Procedure Manual</li> <li>• Accountability and deadlines within Early Childhood Iowa.</li> <li>• Reviewing the BVCS ECI Community Plan.</li> <li>• Mandatory reporting and the identification of clinical indicators of suspected abuse and neglect is personal will have regular contact with clients.</li> <li>• Early Childhood Iowa’s “Tool Kit”.</li> <li>• Early Childhood Iowa’s budget process.</li> <li>• Early Childhood Iowa’s annual report template.</li> <li>• Early Childhood Iowa’s Performance Measures.</li> <li>• Early Childhood Iowa’s funding parameters.</li> </ul> <p>In the event additional staff is employed new staff orientation will be handled by the BVCS ECI Program Director.</p> <ul style="list-style-type: none"> <li>• The director will work with all new staff to become familiar with the operations of the office of the early childhood board and the board.</li> <li>• The director will follow the above stated orientation.</li> <li>• Training will be based on the position and reason for employment.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	9/27/17; 11/28/18

<b>Policy ID:</b> 2.7	<b>Title:</b> <i>Leave of Absence</i>
<p><b>Policy:</b> Occasionally, for medical, personal, or other reasons, employees may need to be temporarily released from the duties of their job with BVCS ECI and the fiscal agent Buena Vista County. It is the policy of BVCS ECI to allow its employees to apply for and be considered for certain specific leaves of absence.</p> <p>The BVCS EARLY CHILDHOOD IOWA BOARD accepts and adopts the “Leave of Absence” Policy from the Employer of Record contracting entity.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• It is the policy of BVCS ECI to allow its employees to apply for and be considered for certain specific leaves of absence.</li> <li>• All requests for leaves of absence should be submitted in writing to the BVCS ECI board.</li> <li>• The BVCS ECI board chair and director will work with the county to provide necessary information for the leave.</li> <li>• A suitable substitute will be hired or the board chair will temporarily continue with the duties of the BVCS ECI office during the leave.</li> <li>• BVCS EARLY CHILDHOOD IOWA shall defer to all other leave of absence related policies of the employer of record unless otherwise noted.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18
<b>Reference:</b>	Buena Vista County Employee Handbook : Section 5; 5.6 & 5.7

<b>Policy ID:</b> 2.8	<b>Title:</b> <i>Holidays</i>
<b>Policy:</b> It is the policy of BVCS EARLY CHILDHOOD IOWA to designate and observe certain days each year as holidays. BVCS EARLY CHILDHOOD IOWA staff will be given the holiday designated off with pay for each holiday observed.	
<b>Procedures:</b>	
<ul style="list-style-type: none"> <li>• Staff are eligible for the following paid holidays: <ul style="list-style-type: none"> <li>○ New Year’s Day (Jan. 1)</li> <li>○ Presidents Day (3<sup>rd</sup> Mon. in Feb)</li> <li>○ Memorial Day (last Mon. in May)</li> <li>○ Independence Day (July 4)</li> <li>○ Labor Day (1<sup>st</sup> Mon. in Sept.)</li> <li>○ Veteran’s Day (Nov. 11<sup>th</sup>)</li> <li>○ Thanksgiving Day</li> <li>○ Day after Thanksgiving</li> <li>○ Christmas Day (Dec. 25)</li> </ul> </li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Reference:</b>	Buena Vista County Employee Handbook, Section Five

Policy ID: 2.9

Title: *Vacation Leave*

**Policy:** BVCS EALY CHILDHOOD IOWA grants vacation with pay to recognize each employee’s length of service and performance and to show our appreciation by providing time off with pay. It is provided for the purpose of rest and recreation from daily routines.

The BVCS EARLY CHILDHOOD IOWA BOARD accepts and adopts the vacation Policy from the Employer of Record contracting entity.

**Procedures:**

- Eligibility and Accrual: Full-time employees earn vacation based on continuous years of service based on their date of hire according to the following schedule.

Years of Service	Days of Vacation	
After 1 year	1 week	5 days
After 2 years	2 weeks	10 days
After 7 years	3 weeks	15 days
After 15 years	4 weeks	20 days
After 21 years	4 weeks ½ day	20 ½ days
After 22 years	4 weeks 1 day	21 days
After 23 years	4 weeks 1 ½ days	21 ½ days
After 24 years	4 weeks 2 days	22 days
After 25 years	4 weeks 2 ½ days	22 ½ days

- Vacation is earned from anniversary date to anniversary date. Full-time employees (35 hours) are eligible to receive vacation with pay after completing on full year of service.
- When an employee is eligible for an increase in the number of weeks of vacation.
- Employee will accrue vacation at the old rate and on the anniversary date that completes continuous employment of two years, seven years, and fifteen years, the employee will automatically be granted an additional five days of vacation which is immediately available for use. It is the employee’s responsibility to notify the department head upon his/her attaining eligibility for an increase in the rate.
- Vacation days available for your use appear on your paycheck stub. The number of hour shown on your last paycheck is the maximum number of hours you may request for vacation.
- Scheduling, you may take your earned vacation at any time during your anniversary year subject to the work requirements of the BVCS Early Childhood Iowa area.
- Employees may carry over a maximum of five (5) days into the next year.
- Additional days may be carried over with BOARD approval.
- In the event employee is not allowed to take scheduled vacation due to work load requirements, the employee will not lose any earned vacation.

**Effective Date:** 11/28/18

**Approved by:** BVCS Early Childhood Iowa Board

**Revision:**

**Reference:**

Buena Vista County Employee Handbook : Section 5.2



Policy ID: 2.10	Title: <i>Annual Performance Evaluation and Unscheduled Reviews</i>
<p><b>Policy:</b> The Program Director will receive a regular (annual) written performance evaluation by the Governance BOARD. Other staff will receive a performance evaluation by the Program Director.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Annual performance evaluation will be completed by the BVCS ECI Board in the spring.</li> <li>• The board chair will be responsible to send out the Performance Evaluation, on the director, to all board members.</li> <li>• Evaluation will be completed by the board, returned to the board chair.</li> <li>• The chair will tabulate the results of the evaluation.</li> <li>• The results will be shared with the director and fiscal agent and kept on file at the BVCS ECI office.</li> <li>• The chair will serve as the administrator for the director.</li> <li>• Salary/wage reviews typically occur in conjunction with the annual performance evaluation and start the beginning of the fiscal year (July 1).</li> <li>• A review will be performed six months after a new hire the first year, and at one year. After the first year has passed, performance evaluations will be annually before the start of the new fiscal year.</li> <li>• Other staff members follow the same performance evaluation schedule.</li> <li>• Staff members will be evaluated by the director and kept on file at the BVCS ECI office.</li> <li>• Unscheduled performance reviews will be done at the request of the board chair if questions arise at the performance of a staff member.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	
<b>Reference:</b>	By-law Article IV Section B: Number 1

Policy ID: 2.11	Title: <i>Staff Compensation and Benefits</i>
<p><b>Policy:</b> It is BVCS EARLY CHILDOOD IOWA desire to pay all employees' wages or salaries that are competitive with other employers in the marketplace and in a way that will be motivational, fair, and equitable. Compensation may vary based on roles and responsibilities, individual, and performance, and in compliance with all applicable laws.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• BVCS ECI will set salary increases based on performance reviews and funds available from the state and federal funds received by the board.</li> <li>• The funds available to the board will also set number of hours to be worked by staff each fiscal year. These hours will be set in the May/June meeting.</li> <li>• Starting July 1, 2011, all salary will be deducted from the appropriate grant based on cost allocations.</li> <li>• Each grant will determine the number of hours the director or staff will be employed by Buena Vista County. Cost allocations of hours worked for each grant will be documented.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 2.12	Title: <i>Insurance and Retirement Programs</i>
<p><b>Policy:</b> It is the policy of BVCS Early Childhood Iowa to provide its employees with insurance and retirement benefits. The Employer of Record shall provide information and summaries intended to explain these benefit plans to employees participating in the plan on a regular basis. BVCS Early Childhood Iowa and/or the Employer of Record reserves the right at any time to modify, amend, or terminate its benefits as they apply to all current, former, and retired employees.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• BVCS Early Childhood Iowa offers certain benefits to eligible employees, including health, dental, life and disability insurance, and pension/retirement plans. Eligibility will depend upon the specific vendor or insurance provider requirements of each benefit plan. The benefits are managed by the Employer of Record.</li> <li>• All insurance benefits provided are described in official documents that are kept on file in the Employer of Record office. These documents are available for examination by any plan participant or beneficiary. In addition, these documents are the only official and binding materials concerning the insurance benefits.</li> <li>• The Employer of Record serves as the Administrator of the health and retirement plans and is responsible for all communications and disclosures concerning benefits, and for compliance with all applicable laws and regulations.</li> <li>• Employees are required to participate in the Iowa Public Employee’s Retirement System (IPERS). Contributions to IPERS are mandated by the Iowa Code.</li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

<b>Policy ID:</b> 2.13	<b>Title:</b> <i>Payroll – Preparation and Review of Time Cards</i>
<b>Policy:</b> All staff will submit time cards to the Employer of Record documenting hours worked.	
<b>Definition:</b> The work week for payroll purposes and for computing overtime shall commence at 12:01AM on Saturday and end at 12:00 Midnight the following Friday.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• Each payroll is for a two week period.</li> <li>• Timesheets will be prepared and will represent hours worked in those two weeks. Timesheets will be signed by the employee and submitted to the fiscal agent.</li> <li>• The time card shall be approved and submitted in accordance with the policies of the Employer of Record.</li> <li>• Employer of Record is in charge of reviewing and processing timesheets. The Employer of Record will follow the Policy/Procedures for their agency.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18
<b>Resource:</b>	Buena Vista County Iowa, Employee Information Handbook, Section Four: 4,3, D Public Health

Policy ID: 2.14	Title: <i>Terminations</i>
<p><b>Policy:</b> Terminations of employees can occur in the following manners: 1) Resignation, 2) Dismissal, or 3) Layoff.</p>	
<p><b>Procedures:</b></p> <p><b>1) Resignation:</b> Any employee who wants to terminate employment shall give a written notice to their direct supervisor. An employee who wants to terminate employment is expected to give as much advance notice as possible, with a minimum of two weeks. The BOARD officially accepts the resignation at the first BOARD meeting to follow receipt of notice.</p> <p><b>2) Dismissal:</b> The BOARD can dismiss an employee for:</p> <p style="padding-left: 40px;"><i>a) Substandard Performance</i> - An employee may be discharged if his or her performance is unacceptable. Documentation shall include reason for separation, performance history, corrective efforts taken, alternatives explored, and any additional pertinent information and shall be placed in the employee's personnel file.</p> <p style="padding-left: 40px;"><i>b) Misconduct</i> - An employee found to be engaged in activities such as, but not limited to, theft of organization property, insubordination, conflict of interest, or any other activities showing willful disregard of organization interest or policies, is terminated as soon as the BOARD determines the action to be taken.</p> <p><b>3) Layoff:</b> If the BOARD decided a reduction in staff is necessary or if one or more positions are eliminated, employees are identified for layoff after evaluating the following factors: work requirements, abilities, experience, and skills.</p> <ul style="list-style-type: none"> <li>• The Employer of Record shall be notified of the employee termination by the Program Director or BOARD chair.</li> <li>• The employee's final check shall include all earned pay, and any expense reimbursement due the employee. Terminated employees are entitled to receive all earned pay, including vacation pay.</li> <li>• Appeal Procedures for Employees: The appeal must be in writing and submitted to the BOARD Chairperson within a seven-day period from date of termination notice. The BOARD will place the appeal on the agenda of the next regularly scheduled BOARD meeting. The BOARD makes the final decision.</li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 2.15	Title: <i>Succession Planning</i>
<p><b>Policy:</b> A succession plan shall be in place and ready for transition in the event that the Program Director is no longer available to assume duties of the current position.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The Executive Committee under the direction of the BOARD chair shall utilize the succession plan upon vacancy in the Director’s position.</li> <li>• The BOARD Chair shall retain a copy of the succession plan.</li> <li>• The plan shall be reviewed annually at a minimum.</li> <li>• The Director shall notify the Executive Committee of any known changes to the plan and provide revised copies to the BOARD Chair.</li> <li>• Upon vacancy in the Director’s position, the BOARD Chair shall notify the appropriate liaisons for all funding sources and subcontractors. Liaisons and their contact information will be listed in the succession plan.</li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

<b>Policy ID:</b> 2.16	<b>Title:</b> <i>Travel Expenses for Staff</i>
<p><b>Policy:</b> Reimbursement of travel related expense will follow the fiscal agent’s policy and procedures for staff of the BVCS Early Childhood Iowa office. Travel reimbursement will not exceed the federal guidelines. At any time staff can travel together it is encouraged. For travel-related items to be reimbursed, the staff member must retain and submit itemized receipts for each travel-related expense.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Meal receipts must have the following information printed on them: the name of the restaurant, the city and state where the restaurant is located, the date and time of the meal purchase, and an itemization of the order. If any of this information is missing on the printed receipt, it must be hand written on the receipt and the receipt must be signed (in ink). The Employer of Record/Fiscal Agent – Buena Vista County – refer to the county handbook for acceptable meal reimbursement costs.</li> <li>• Employees that are required to drive in performance of his or her job are required to possess and maintain the appropriate valid driver’s license(s).</li> <li>• The staff member is also required to maintain insurability and certify to the fiscal agent that the required level of insurance is carried.</li> <li>• Lodging for over-night work related in-state travel, must be at a reasonable rate for hotel cost.</li> <li>• BVCS ECI does not reimburse any employee or board member for separate travel costs (air fare, etc.) associated with his/her spouse or partner. The cost of a shared hotel room need not be allocated between employee/board member and spouse/partner for purposes of this policy.</li> <li>• Travel Advances: Unless approved by BVCS ECI board, no travel advances will be made to the director or staff of the BVCS ECI office.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	
<b>Reference:</b>	Buena Vista County Employee Handbook

Policy ID: 2.17	Title: <i>Policy for Suspected Misconduct</i>
<p><b>Policy:</b> In order to maintain safe, efficient and harmonious operations, and to continue to provide the highest standard of public service, Buena Vista County has adopted the following rules. Each rule reflects a common understanding of what behavior is acceptable in the workplace.</p>	
<p><b>Definition:</b> The BVCS Early Childhood Board will follow the Employer of Record Policies and Procedures for misconduct. These rules can be modified by the County as changing condition warrants. The County may take whatever disciplinary action it deems appropriate in response to an offense, even if it is not included in the following list. You must understand that any offense, whether or not it is included in these work rules, may result in disciplinary action, up to and including discharge, without prior warning. The County expects your complete cooperation in observing these rules which have been designated for our common protection and benefit.</p>	
<p><b>Procedures:</b>  <b>Work Rules</b>  While it is not possible to list all the offenses for which you will be disciplined, the following are examples of inappropriate, unacceptable conduct:</p> <ol style="list-style-type: none"> <li>1. Unsatisfactory work performance</li> <li>2. Falsifying employment or other job-related records.</li> <li>3. Violating the County’s policy against workplace harassment of any kind.</li> <li>4. Establishing an unacceptable pattern of tardiness or absenteeism.</li> <li>5. Unauthorized failure to return from a leave of absence.</li> <li>6. Engaging in excessive, unnecessary, or unauthorized use of County property of supplies, particularly for personal use.</li> <li>7. Reporting to work intoxicated or under the influence of non-prescription drugs, alcohol, or other substances.</li> <li>8. Illegally manufacturing, possessing, using, selling, distributing, or transporting drugs.</li> <li>9. Brining or using alcoholic beverages to or in County workplaces or using alcoholic beverages while engaged in County business off of County premises.</li> <li>10. Fighting or using obscene, abusive, or threatening language.</li> <li>11. Stealing property of coworkers, customers, clients, or the County.</li> <li>12. Having unauthorized firearms of county premises or while on county business.</li> <li>13. Disregarding smoking, safety or security regulations.</li> <li>14. Engaging in insubordination or failing to cooperate with assigned employees, co-workers, supervisor, or manager.</li> <li>15. Failing to follow job instructions or to perform work requested by a supervisor or manager.</li> <li>16. Violating a County safety rule or practice or creating or contributing to unsafe, unhealthy, or unsanitary conditions.</li> <li>17. Failing to maintain confidentiality of County, client, patient, or customer information.</li> <li>18. Failing to maintain necessary licenses and/or certifications.</li> <li>19. Failing to maintain motor vehicle insurance.</li> </ol>	



**Discipline:**

If your performance, work habits, attitude, or demeanor becomes unsatisfactory in the judgment of the County, based on violations of either the rules listed above, or other county policies, rules, procedures, or expectation, you will be subject to disciplinary action, up to and including discharge. Certain offenses can be corrected using progressive discipline. Situation that the County believes will respond to corrective discipline will normally be handled as follows:

1. Counseling: The employee's supervisor will normally give the employee a verbal warning.
2. Written warning: If the unsatisfactory conduct continues, the employee's department head will normally issue a written warning.
3. Suspension: If sufficient improvement has not been made, or if the conduct continues, the employee may be suspended without pay. Exempt employees will not be subject to unpaid disciplinary suspensions of less than one week intervals.
4. Termination: If the conduct continues, the County may terminate the employment of the employee.

The County reserves the right to use whatever discipline it decides is appropriate in any situation, up to and including discharge, without regard to the progressive discipline guidelines explained above.

Employees are free to resign their employment with the County at any time and for any reason and the County retains the same right regarding termination of employment.

<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	
<b>Reference:</b>	Buena Vista County, Employee Information Handbook, Section 7, 7.12

# FUNDING & CONTRACTING

Policy ID: 3.1

Title: *Funding Process Request for Proposals*

**Policy:** Finding the vendor best suited to the needs of your organization. Casting a wide net and letting the unknown companies compete against the familiar ones will increase the likelihood of finding just the right vendor for your current needs

Accountability and good governance. Due to its open nature, the Request For Proposal (RFP) process encourages fairness and transparency while minimizing the likelihood of corruption or favouritism. Needs Assessment. The process of writing an RFP gives you an opportunity to interview key stakeholders and bridge the gap between the vague aspirations that launch a project and the concrete, measurable requirements that guide to successful conclusion.

**Procedures:**

- Annually a projection of available funds will be determined by the BOARD. The BOARD will release Request for Proposals (RFP). These will be targeted RFP’s based on funding guidelines.
- Request for Proposals will be open to the community every three years.
- The Board will approve the types of proposals that will be accepted.
- Types of proposals will be based off the current Community Plan.
- Priorities set by the board and needs identified in the community.
- The proposal will be published to email contact groups (BVCS 3-County Board and Community Coalition Members) and on the BVCS ECI website.
- The proposal will include:

Timeline for project	Issue Notice for Request For Proposal
Proposal Forms and Availability of forms	Issuing Officer for RFP will hold bidders conference
Guidance and supporting documents	Proposals due date
Required Documents, conflict of Interest Statement, Proof of Insurance etc.	

- Proposals will be reviewed using a scoring system. Scoring will assist the board to come to a unified decision. Scoring gives the board support in the event of an appeal.
- BVCS Early Childhood Iowa staff will monitor all requests for funding received and perform a technical review.
- The Program Director shall convene the BOARD Executive Committee to evaluate the requests, identify priorities, determine if additional information is needed and formulate funding recommendations to be presented to the BOARD.
- Contracts will be issued for three years with the option for renewal.
- Renewals will be based on the contractor’s performance.
- In the case a contract does not work out the contract expires, and the board does not renew.
- Contract renewals will include:
  - Timeline for project
  - Issue notice for Request for Renewal
  - Review of Proposal submitted when entered into contract
  - Budget for new fiscal year
  - Required Documents, conflict of Interest Statement, Proof of Insurance etc.

Timeline for project	Issue notice for Request for Renewal
Summary of program	Budget for new fiscal year
Required Documents, conflict of Interest Statement, Proof of Insurance etc.	

**Effective Date:** 3/28/12

**Approved by:** BVCS Early Childhood Iowa Board

**Revision**

11/28/18

Policy ID: 3.2	Title: <i>Contracting - Preparation and Adoption</i>
<p><b>Policy:</b> The BVCS ECI Board reserves the right to award funds to the proposal(s) that best meet the overall needs outlined in the Request for Proposal/ Request for Renewal (Funding Process Requests for Proposals 3.1)</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The BVCS ECI Board will break into small groups and review proposals at the designated board meeting.</li> <li>• Applicant representatives are encouraged to attend to answer questions.</li> <li>• After the small groups evaluate each proposal the board will rejoin and make recommendations on each proposal.</li> <li>• Final review of proposals and funding awards will take place at a board meeting or once the local area has received funding notice from the state. This may happen at the May meeting if funding amounts are known, but generally all final decisions are made final at the June meeting.</li> <li>• BVCS ECI director will submit budget forms to the Early Childhood Iowa Office by July 15 reflecting the decisions of the BVCS ECI board to issue funding. The director will immediately start working on completing contracts to be sent to the programs that have been award grant funds.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision</b>	11/28/18
<b>Reference:</b>	By-laws Article VII, Section A #2; Article III, Section #6; Article VIII

Policy ID: 3.3	Title: <i>Allocation of Early Childhood Iowa Funds</i>
<p><b>Policy:</b> The allocation of grant dollars to the BVCS Early Childhood Iowa Area will reflect any restrictions established by state allocation law or funding source.</p> <p>Funds supporting programs consistent with the stated purpose of the Early Childhood Iowa Area will be dispersed pursuant to a request for proposals (RFP) process or Request for Renewal RFR process.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Any entity requesting Early Childhood Iowa funds shall complete and submit an RFP or RFR that complies with the requirements set by the 3-County BVCS ECI Board.</li> <li>• County Coalitions help identify positive and unmet necessities in the community. The Coalition will help identify program models for the board to pursue.</li> <li>• The 3-County BVCS ECI Board will review and evaluate all RFP's/RFR requesting funds from a given funding source.</li> <li>• The 3-County BVCS ECI Board will allocate funds for the fiscal year beginning in July at a meeting held one to four months prior.</li> <li>• Any Early Childhood Iowa Funds not allocated through the RFP/RFR process may be allocated in a manner agreed upon by a majority of the 3-County BVCS ECI Board.</li> <li>• Funding for any staff position(s) designated by the 3-County BVCS ECI Board shall <u>not be</u> subject to the RFP/RFR process.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision</b>	8/27/14; 10/30/16
<b>Reference:</b>	By-laws Article VII, Letter D

Policy ID: 3.4	Title: <i>Program Budgets &amp; Request of Payment</i>
<p><b>Policy:</b> Detailed program budgets will be submitted with the Request for Proposal/Renewal. A Program Reimbursement Request Form will be utilized for programs requesting payment to maintain consistency by requests.</p>	
<p><b>Definitions:</b> The program reimbursement request form includes the BOARD approved budget line items, amount of current request, expenses year-to-date, dollar amount remaining, and percent of funds remaining for grant balance.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Contractors will submit bills to BVCS ECI based off budgets submitted and approved by the BVCS ECI 3-County Board through the Request for Proposal/Renewal process.</li> <li>• Any program/contractor requesting funds will be required to complete and submit a Program Reimbursement Request form. The form shall be submitted with any requests for funding based on the BOARD approved budget as part of the program contract.</li> <li>• Program Budget Categories will be defined as either Direct Costs or Indirect Costs.</li> </ul> <p><b>DIRECT COSTS</b></p> <ul style="list-style-type: none"> <li>• Salaries, Benefits, and Taxes – Agency staff that provide the program service directly to recipients or direct supervisor of agency staff. Includes benefits such as health or dental insurance, and state, federal, and unemployment taxes.</li> <li>• Program Costs – Includes materials used in providing the program service to recipients, i.e. books, activity items, curriculum, and costs directly related to program promotion.</li> <li>• Participant Supports – Items or services to encourage or enhance program participation, i.e. interpreters, incentives, bus pass, etc.</li> <li>• Sub-Contracted Services – Services contracted out to another entity to assist in the implementation of the program.</li> <li>• Travel – Mileage associated with providing a service of the program. BVCS Early Childhood Iowa will reimburse mileage at the programs established rate (state or federal).</li> <li>• Professional Development – Includes training and conference registration fees for direct service providers and associated travel costs. Does not include any employee salaries.</li> </ul> <p><b>INDIRECT COSTS</b></p> <ul style="list-style-type: none"> <li>• Indirect program administrative costs include agency office expenses, office furniture, computer equipment costs, office supplies, utilities, in-direct supervision, accounting, telephone, copying expenses, etc. Indirect costs are limited only to expenses incurred in the delivery of the contracted program.</li> <li>• Program Reimbursement Request can be submitted during the month to the BVCS ECI office. Invoices will be reviewed and approved by the director and submitted for payment to the fiscal agent within two weeks of receipt.</li> <li>• The Fiscal Agent (Buena Vista County) will make payments based on their schedule. Payments are made every other week.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18

<b>Policy ID:</b> 3.5	<b>Title:</b> <i>Program Budgeting - Indirect Cost Rates</i>
<b>Policy:</b> BVCS EARLY CHILDHOOD IOWA shall have an established policy for the utilization of Indirect Cost Rates and allowable indirect administrative costs for all service contracts.	
<b>Definitions:</b> Early Childhood Iowa Indirect Cost Rate Principles Tool H (A)	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• Indirect costs of no more than 15% may be an allowable expense if the applicant provides documentation from a recognized federal agency that identifies an Indirect Cost Rate approved by a federal agency.</li> <li>• Indirect costs are limited only to expenses incurred in the delivery of the contracted program.</li> <li>• Program cannot charge administrative fees if they are charging indirect costs.</li> </ul> <p>Administrative Fees:</p> <ul style="list-style-type: none"> <li>• Applicants without an approved indirect cost rate may charge no more than 15% administrative fees and must describe how the rate is defined and what it includes.</li> <li>• Administrative fees are limited only to expenses incurred in the delivery of the contracted program.</li> <li>• Indirect program administrative costs include agency office expenses, office furniture, computer equipment costs, office supplies, utilities, in-direct supervision, accounting, telephone, copying expenses, etc. Indirect costs are limited only to expenses incurred in the delivery of the contracted program.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	3/26/14; 11/28/18
<b>Reference:</b>	

Policy ID: 3.6	Title: <i>Program Budgeting - Amendments</i>
<p><b>Policy:</b> Amendments of Program Budgets in excess of 10% of the total contract will need the approval of the BVCS EARLY CHILDHOOD IOWA BOARD.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• An annual program budget shall be submitted with a signed contract between the BOARD and the funded program. This will be considered the working budget for the contract period unless an amendment is requested by the Contractor.</li> <li>• If a Contractor determines that a line item adjustment is needed, a written request can be made to the Program Director. Line item adjustments that total less than 10% of the total contract value do not require BOARD approval. Line item adjustments less than 10% of the total contract need written explanation to the BVCS EARLY CHILDHOOD IOWA Program Director and the amendment column completed in the reimbursement request form.</li> <li>• The Program Director will present the budget line item adjustments in excess of 10% of the total budget to the full BOARD for their approval with a written request and explanation.</li> <li>• The Contractor may be asked to attend the BOARD meeting to explain any request to the BOARD.</li> </ul>	
<b>Effective Date:</b> 11/28/18	Approved by: BVCS Early Childhood Iowa Board
<b>Revision:</b>	



<b>Policy ID:</b> 3.7	<b>Title:</b> <i>Requirements for Formal Contract between the BOARD and Service Provider</i>
<b>Policy:</b> A written agreement must be in place between the BOARD and service providers prior to initiation of services.	
<b>Definition:</b> Early Childhood Iowa contracts are between the BOARD and the Service Provider.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• Contracts will be awarded following the Request for Proposals (RFP) and Request for Renewal (RFR) processes and approval by the board.</li> <li>• Contracts will be completed by the director, as soon as, approval from board is received, and signed prior to July 1<sup>st</sup> the start of the Fiscal Year.</li> <li>• Contracts will be emailed to the Service Provider. The Service Provider may request an original or an electronic signed version be returned.</li> <li>• After the return of a signed contract, the BOARD chair will sign the contract or contracts.</li> <li>• A signed contract will be returned to the Service Provider and one will be kept in that fiscal year's Service Providers file.</li> </ul> <p>A contract will include the following:</p> <ul style="list-style-type: none"> <li>• A contract will state and define the scope of work, contract terms, allowable renewals and procedures for any changes.</li> <li>• Provide specific measurable deliverables and reporting requirements, including due dates.</li> <li>• Describe the methods of payment and payment schedules.</li> <li>• Limit the board's liability for work performed either before or after the contract's scope.</li> <li>• Contain performance standards, performance incentives and/or clear penalties and corrective actions for non-performance standards, with a dispute resolution process. The contract should also include a requirement for a performance bond, when appropriate.</li> <li>• Contain monitoring and audit provisions.</li> <li>• Include provisions for contract termination.</li> <li>• Include provisions for contract renegotiation and/price escalations, if applicable.</li> <li>• Tie payments to the acceptance of deliverables or the final product, if applicable.</li> <li>• Contain all standard or required clauses that were in the request for proposal (RFP).</li> <li>• Contain appropriate signatures, approvals, acknowledgements, or witnesses.</li> <li>• Contracts will be issued for one year with the option for renewal. Renewals will be based on the contractor's performance. In the case a contract does not work out the contract expires, and the board does not renew.</li> </ul>	
<b>Effective Date:</b> 3/28/17	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	11/28/18

Policy ID: 3.8	Title: <i>Review and Sign-Off of Contract</i>
<p><b>Policy:</b> The BOARD Chair or Vice Chair and the Contractor shall review and sign the contract. BVCS Early Childhood Iowa will receive an original. Contractor will receive either an original, electronic version or a copy, this will be at the Contractors discretion.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Once funding recommendations have been approved by the BOARD, notification will be sent to the contractor notifying them of the intent to award, time frame, and amount.</li> <li>• Upon Board approval and direction, authorized staff may request an amended budget and/or scope of work from the applicant if needed.</li> <li>• A contract will be prepared by the Program Director utilizing the approved template. The identified contract person for the successful applicant will receive a protected contract document via email from BVCS Early Childhood Iowa staff.</li> <li>• The successful applicant has ten (10) working days in which to negotiate and sign a contract with BVCS Early Childhood Iowa. Under no circumstances may the applicant make any edits or changes to the contract without prior knowledge and approval of the Program Director or will be immediately null and void.</li> <li>• Signed contracts will be returned to the BVCS Early Childhood Iowa office and under no circumstances will they be returned directly to any BOARD member from the applicant.</li> <li>• If a contract has not been successfully executed within ten (10) working days of applicants receipt, BVCS Early Childhood Iowa reserves the right to cancel the award and to begin negotiations with the next ranked applicant or other entity deemed appropriate. BVCS Early Childhood Iowa may, at its sole discretion, extend the time period for negotiations of the contract.</li> <li>• The Program Director, upon his/her discretion may arrange a meeting with the Contractor to discuss details of the contract and required Performance Measures.</li> <li>• Upon receiving back signed copies of the contract and final budget based upon the actual allocation, the BOARD Chair will sign the contract.</li> <li>• An original (or electronic version) of signed copy will be returned to the Contractor.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	11/28/18

Policy ID: 3.9	Title: <i>Contract Monitoring and Review</i>
<p><b>Policy:</b> The BOARD and/or designated staff will monitor the performance of the Contractor to ensure that the Contractor is meeting the deliverables of the contract and achieving the specified program goals. The procedures are consistent with the terms of the contracts between the BOARD and their contractors.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Each program receiving funds from the BVCS Early Childhood Iowa board will complete a quarterly report for the board.</li> <li>• The report will be due on the following schedule: <ul style="list-style-type: none"> <li>• October 15<sup>th</sup>,</li> <li>• January 15<sup>th</sup>, and</li> <li>• April 15<sup>th</sup>.</li> <li>• The final quarter annual will be a complete year-to-date report, due by August 1<sup>st</sup>.</li> </ul> </li> <li>• The report will include local and state required data (not all data can be reported each quarter, but is required for the final annual report) and a narrative of the programs activities.</li> <li>• Each program will include the following information in their narrative report: <ul style="list-style-type: none"> <li>○ summary of services,</li> <li>○ successes from the quarter,</li> <li>○ programmatic changes,</li> <li>○ program challenges or</li> <li>○ barriers, and</li> <li>○ successful collaborative efforts.</li> </ul> </li> <li>• Some programs that do not operate all year will report to the board the quarter that the program is operating.</li> <li>• The 3-County Board shall review all quarterly reports submitted to the BVCS Early Childhood Iowa Office for programs operated with funding received by BVCS Early Childhood Iowa Board.</li> <li>• The Program Director will supply the board with copies of the reports and /or presentation of the data.</li> <li>• If the board feels that the program is not meeting the performance measures set out in the contract, a meeting will be set up between the board chair, director, and program administrator to determine steps that can be taken to help the program improve.</li> <li>• At least one site visit will occur each year. During the site visit the director or board chair will review all financial reporting methods, contract requirements, insurance documentation, and use an approved template to inquire about the contractor’s practices.</li> <li>• Contract review will include a review of the contractors Audit for Statement of Financial Position, Statement of Functional Expenses, and Schedule of Findings.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18
<b>Reference:</b>	Iowa Law References: Iowa Code Chapter 256i.5(1)(c) Iowa Administrative Rules 541 CH. 9

Policy ID: 3.10	Title: <i>Non-Compliance with Contract Requirements</i>
<b>Policy:</b> The EARLY CHILDHOOD IOWA BOARD will address issues with contract non-compliance.	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Results of all Contract Monitoring and Review reports will be shared with the Board annually, or as needed, if non-compliance issues arise. Contract non-compliance issues will either result in a program improvement plan or a corrective action plan.</li> <li>• The BOARD may ask the Director to gather additional information, the BOARD Chair may be asked to draft a letter addressing compliance concerns, or a committee may be formed to further explore the issue of non-compliance.</li> <li>• The course of action taken to address the non-compliance shall be documented and included in the contract file to include, but not be limited to: monthly desk monitoring activities, progress reports and annual reports, Contract Monitoring and Review reports, Program Improvement Plans and/or Corrective Action plan and other correspondence relating to monitoring and review.</li> <li>• Progress toward resolving the non-compliance item(s) will be discussed at BOARD meetings and documented regularly until the issue is resolved.</li> <li>• If the BOARD deems that termination of the contract is necessary, BOARD action will be taken and 60 days written notice shall be provided to the Contractor.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revisions:</b>	11/28/18

Policy ID: 3.11	Title: <i>Contract Amendments</i>
<p><b>Policy:</b> The EARLY CHILDHOOD IOWA BOARD may amend a contract if the contractor is projected to under-utilize contract funds, or if additional funds for expansion of program services become available.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• When it is brought to the attention of the BOARD that a Contractor will not expend funds during the current fiscal year, or if additional funds have been requested by the Contractor, the Program Director and the Contractor will discuss the situation and establish a projected budget for the remainder of the current fiscal year.</li> <li>• A Contractor may not request a contract amendment during the last 60 days of the contract period. Only the BOARD may initiate contract amendments during this time period.</li> <li>• The BOARD will review the projected budget and may take action to amend the contract.</li> <li>• An amendment for additional funds will only be offered by the BOARD if funds are available.</li> <li>• The presence of the Contractor at the BOARD meeting when the amendment is discussed may be requested.</li> <li>• Upon Board approval, two copies of a contract amendment and budget will be sent to the Contractor for their approval and signature.</li> <li>• The BOARD Chair will sign both copies and one original will be returned to the Contractor.</li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	

Policy ID: 3.12	Title: <i>Appeals/Concerns Process</i>
<p><b>Policy:</b> The EARLY CHILDHOOD IOWA BOARD’s appeal policy provides current or potential community service providers a structured process with timeframes by which they may express a concern by appealing to the BOARD.</p>	
<p><b>Procedure:</b></p> <ul style="list-style-type: none"> <li>• Once the Request for Proposal (RFP) process is complete, all applicants will be mailed written notification of the selection decision. Applicants may appeal to the BVCS ECI Board.</li> <li>• All appeals must be in written form to the Chairperson.</li> <li>• The appeal shall state the specific grounds for the appeal and the remedy requested.</li> <li>• The Chairperson must receive an appeal ten (10) days after the decision for funding was made.</li> <li>• The appeal shall be heard at the next scheduled Board meeting after it was received.</li> <li>• Appeals must be based on the contention that the process violated state or federal law, that policies or rules did not provide adequate public notice or involved a conflict of interest by board.</li> <li>• The BVCS Early Childhood Iowa Board will review the appeal and mail a notice to the appellant within ten (10) working days of review.</li> <li>• Appeals for all other reasons, (etc. preschool scholarships, health and safety grants), must be based on the contention that the process violated state or federal law, that policies or rules did not provide adequate public notice or involved a conflict of interest by the board or committee handling the grant or scholarship process.</li> <li>• The BVCS ECI will review the appeal and mail a notice to the appellant within ten (10) working days of the review.</li> </ul> <p>All appeals shall be mailed to Board Chair, C/O BVCS Early Childhood Iowa, 116 South State Street, Suite 4, Sac City, IA 50583</p> <p>All appeals shall utilize the Grievance Form which may be requested by contacting the office at 712-662-3880 or email akosterbvcs@frontiernet.net.</p>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revised:</b>	10/30/16; 11/28/18
<b>Reference:</b>	By-laws Article VIII

<b>Policy ID:</b> 3.13	<b>Title:</b> <i>Estimated Carry Forward Funds</i>
<b>Policy:</b> Under Expenditure of Funds: Funds not expended by a contract during the fiscal year they are awarded, revert back to the BVCS ECI category fund that they were awarded from.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• Programs will be asked to report any large (over \$1,000) expected carry forward by May 1 of that fiscal year.</li> <li>• Any reported expected carry forward will be used in planning for the next year.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 3.14	Title: <i>Closing Out a Contract</i>
<p><b>Policy:</b> The BVCS EARLY CHILDHOOD IOWA BOARD will maintain contracts and program files in a manner so that files can easily be located, reviewed, and utilized in the future if need arises.</p>	
<p><b>Procedures:</b></p> <p>The occurrence of any one or more of the following events shall constitute cause for the contractor to be declared in default of its obligations under a contract Agreement.</p> <ol style="list-style-type: none"> <li>1. Failure to observe and perform any covenant, condition or obligation created by the Agreement; or</li> <li>2. Failure to make substantial and timely progress toward performance of the Agreement; or</li> <li>3. Failure of the Contractor’s work product and services to conform to any specifications noted herein.</li> </ol> <ul style="list-style-type: none"> <li>• The following will be kept in the contractor file following the end of the current contract term: <ul style="list-style-type: none"> <li>○ Program proposal, narrative, or letter for consideration</li> <li>○ Budget request</li> <li>○ Contract</li> <li>○ Contracted budget</li> <li>○ Monthly claims and supporting documentation</li> <li>○ Program evaluations</li> <li>○ Annual financial report and/or audit</li> <li>○ Annual program report (including required performance measures data)</li> <li>○ Completed monitoring &amp; review document</li> <li>○ Copy of liability insurance coverage summary</li> <li>○ Any necessary communication/documentation with the contractor</li> </ul> </li> <li>• Closed files will be placed in storage, boxed, dated, and named with contents.</li> <li>• The Director will be responsible for closing the contract file once the Annual Report evaluation has been received and reviewed by the BOARD.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18



FISCAL

Policy ID: 4.1	Title: <i>Fiscal Agent – Roles &amp; Responsibilities</i>
<p><b>Policy:</b> Responsibilities of the Board to designate a public agency of this State, as defined in Section 28E.2, to be the fiscal agent for grant money and for other monies administered by the 3-County BVCS ECI Board.</p>	
<p><b>Definition:</b> The BVCS Early Childhood Iowa 3-County Board will designate a public agency as the fiscal agent. The fiscal agent will administer Early Childhood Iowa grant monies available from the State to the BOARD as provided by law and any other monies made available from federal, state, local, and private sources.</p>	
<p><b>Procedures:</b> The Fiscal Agent – Buena Vista County - shall provide the following services for each of the two separate categorical funds for which it is acting as fiscal agent:</p> <ul style="list-style-type: none"> <li>A. Deposit EARLY CHILDHOOD IOWA funds into accounts in accordance with Iowa Code Chapter 12C and the Cash Management Improvement Act, 31 U.S.C. §6501 et seq.</li> <li>B. Issue payments from the Early Childhood Iowa grant account as directed by authorized Local Board director. Payments shall be issued to the individual, vendor, business, or other entity identified by the local board, in the amount specified, and to the address provided by the local board. Payments shall be issued as directed, within 14 work days from the date the fiscal agent receives written notification from authorized Local Board staff.</li> <li>C. Be responsible for any costs charged by the financial institution for maintaining the Early Childhood Iowa grant accounts or accounts containing EARLY CHILDHOOD IOWA grant funds. The fiscal agent shall ensure that any such costs are reduced or offset to the extent possible through earnings credits offered by the financial institution.</li> <li>D. Be responsible for completing and submitting any 1099 reports as required by federal or state law or regulation.</li> <li>E. Maintain separate accounting records for School Ready Children Services and Early Childhood Program funds that at a minimum include the following: <ul style="list-style-type: none"> <li><b>1. For each School Ready Children Services grant payment and for each Early Childhood Program grant payment made as directed by the Local Board:</b> <ul style="list-style-type: none"> <li>• The date written notification/authorization was received from the Local Board.</li> <li>• The name of the authorized Local Board staff authorizing the payment.</li> <li>• The name and mailing address of the payee.</li> <li>• The amount of the payment.</li> <li>• The check number or other unique identification of the payment.</li> <li>• The date the payment was mailed or hand-delivered to the payee.</li> <li>• The date the payment is cleared or paid out of the Early Childhood Iowa grant account or account containing Early Childhood Iowa grant funds.</li> <li>• The date of any stop payment requested by the Fiscal Agent and the reason.</li> </ul> </li> <li><b>2. Running balances for each fund which include:</b> <ul style="list-style-type: none"> <li>• The cumulative amount of payments authorized by the Local Board.</li> <li>• The cumulative amount of payments issued.</li> </ul> </li> </ul> </li> </ul>	

- Available Early Childhood Iowa grant funds that are not encumbered or otherwise allocated for payments made but not yet cashed.

**F.** The amount of any monthly bank costs for maintaining the Early Childhood Iowa fund account or proportion of such costs attributable to that portion of an account constituting Early Childhood Iowa grant funds, and the amount of any monthly interest earned for the Early Childhood Iowa fund account or proportion of such earnings attributable to that portion of an account constituting Early Childhood Iowa grant funds.

**G.** Submit monthly expenditure reports within 21 work days from the end of the prior month to the Local Board. Reports shall be submitted in a format agreed to by the Local Board and the Fiscal Agent, and shall include as much of the information as the Fiscal Agent is required to maintain as described in this section as the Local Board may request, and as is necessary to reconcile the records of the Local Board with the records of the Fiscal Agent.

**H.** Submit a report within 30 workdays from the end of the agreement period, or such earlier date as the agreement may be terminated, to the Local Board. The report shall be submitted in a format agreed to by the Local Board and the Fiscal Agent, and shall include as much of the information as the Fiscal Agent is required to maintain as described in this section and as the Local Board may request, and as is necessary to reconcile the records of the Local Board with the records of the Fiscal Agent.

**I.** Submit a report to the Local Board on any audits performed as well as the findings of any audits of the accounting records for School Ready Children Services and Early Childhood Program funds. The report shall be submitted to the Local Board within 5 workdays of its receipt by the fiscal agent.

**J.** Provide services in this section at a cost agreed upon by the fiscal agent and the Local Board.

**K.** Return unexpended Early Childhood Iowa grant funds, and accrued interest as may be required by law, to the Local Board if this agreement is terminated or if Early Childhood Iowa grant funds remain in an account held by the Fiscal Agent at the end of the agreement period, unless the agreement is renewed or extended as provided for herein.

**L.** Reconcile its records for the payment and distribution of Early Childhood Iowa grant funds with the Local Board as requested by the Local Board.

**M.** If this agreement is renewed or extended any unexpended Early Childhood Iowa grant funds remaining in an account held by the Fiscal Agent at the end of the current agreement period shall be retained by the Fiscal Agent for use in the next agreement period.

**Effective Date:** 3/28/12

**Approved by:** BVCS Early Childhood Iowa Board

**Revisions:**

POLICY ID: 4.2

Title: *Annual Audit- Agreed Upon Procedures*

**Policy:** Follow Guidance (Tool UU) State ECI Board Agreed Upon Procedures Guidance to Early Childhood Iowa Area Boards

Regarding Financial Agreed Upon Procedures

*Iowa Code requires the Department of Management and the Early Childhood Iowa State Board to develop guidance for Early Childhood Iowa Area Boards with the responsibility of having audits conducted of their funds.*

**Area boards that are required to have full financial audits**

In the case that BVCS CEI would receive over \$500,000 in federal funding a full audit for the funds received. In addition to the full audit, the note disclosure must be included.

In the case that BVCS ECI receives less than \$500,000 in federal funding the Board will coordinate with the fiscal agent's review to conduct the *Agreed-upon Procedures* (Tool UU).

*Note Disclosure: The County participates in the Early Childhood Iowa Local Area, a jointly governed organization formed pursuant to the provisions of Chapter 28E of the Code of Iowa.*

*Financial transactions of this organization are included in the County's financial statements as an Agency Fund because of the County's fiduciary relationship with the organization. The following financial data is for the year ended June 30, 20XX:*

**Definitions:** Follow Guidance (Tool UU) State ECI Board Agreed Upon Procedures

Guidance to Early Childhood Iowa Area Boards

Regarding Financial Agreed Upon Procedures

*Iowa Code requires the Department of Management and the Early Childhood Iowa State Board to develop guidance for Early Childhood Iowa Area Boards with the responsibility of having audits conducted of their funds.*

**Procedures:**

• ***Agreed-upon Procedures***

In the event that BVCS ECI receives less than \$500,000 in federal funding and do not have an audit conducted the board must the agreed-upon procedures as a part of the fiscal agent's audit. One benefit of this method is the reduction of audit costs; however, more coordination with the fiscal agent is necessary, including the following steps:

- i. Discuss with a responsible official of the fiscal agent the Code requirement for an agreed-upon procedure of the board's financial activity.
  - ii. Document name of responsible official and discussion.
  - iii. Obtain the organization's concurrence to conduct the agreed-upon procedure. Ask for the concurrence in writing. Governing body action may be required.
  - iv. Obtain a letter of engagement that delineates what is to be included in the agreed-upon procedure. It must include the note disclosure (as attached with this guidance).
  - v. Discuss billing arrangements.
- Results of the audit will be provided to the Director and shared with the BOARD at the next regularly scheduled meeting.

- The BOARD will take action for approval or denial of acceptance of the financial audit as presented.
- The BOARD may assign an ad hoc committee to work with the auditor and fiscal officer regarding any findings or corrections needed.
- A certified audit report will be distributed to the ECI office directly from the Auditor on an annual basis.

***Responsibilities of ECI Area Board and Fiscal Agent:***

- Close the books within 60 days of the end of the fiscal year.
- Prepare a summary of financial data. (Template provided by TA Team/FAWG)
- Provide procedures for who does what, where documentation is stored.
- Provide the annual financial statement and annual report to the auditing company that will be conducting the review.
- Ensure claims meet public purpose: (meet legislation)

BVCS ECI Area Board is responsible for grant requirements:

- Early Childhood Compliance Requirements: Review of area boards policies and procedures for this funding
- School Ready Compliance Requirements:
  - Review of area boards policies and procedures (family support funding, General Aid (other), Quality Improvement and Preschool Support funding.
  - Eligibility requirements for family support and preschool support funding. Review procedures in place, test it.

Provide supporting documentation as requested by the Auditor

***Steps to Include in the Agreed-upon Procedure:***

1. Gain an understanding of the grants received by the ECI Area boards, including the authorization procedures within the local area. Analyze internal control of ECI funds and prepare comments and recommendations for any weaknesses noted.
2. Obtain the Summary of financial data. Verify its accuracy; trace to the underlying accounting records.

Receipts: confirm amounts received from State of Iowa and test the distribution of the amounts between the early childhood and school ready funds.

Disbursements:

Gain an understanding of the various programs and the parameters for making disbursements from the various funding categories.

Early Childhood Funds (link to Tool G(A)) and any locally developed policies, procedures about funding

- Administration
- Program

School Ready Funding Categories (Tool G (B)) and any locally developed policies, procedures about funding.

- Quality Improvement (Tool II)
- Administration (Tool I)
- Family Support (Tool FF)
- Preschool Supporting (Tool CC)
- Other (General Aid)

Interest must be used for program use and may not contribute to administrative expenses. Scan disbursement records for unusual items and items that do not appear to meet or be in agreement with your understanding of how funds are to be spent. For explanation, contact the ECI Area Director. Prepare comment and recommendation for any items not adequately explained.

Select and trace a reasonable number of transactions to the supporting documentation, noting whether or not the local authorization procedures were followed. Be sure to consider any eligibility and other program-specific requirements. Testing must include sufficient transactions to ensure footnote disclosures are materially correct. Prepare comment and recommendation for any items not adequately supported.

3. Fund balances:

Carry Forward: The ECI Area board is allowed to carry forward 20% of the School Ready allocation for the program year. (Tool G (B)). Early Childhood Iowa areas reporting a carryover balance of school ready funds in excess of 20% of the current year’s allocation will receive a reduction equal to the excess amount above the 20% in their next year’s school ready allocation, based on accrual reporting.

Funding Categories: Verify that the annual report financial statement fund balances (by funding category) match the summary of financial data in the footnote.

***Timeline for Audit procedures***

ECI funds are to be reviewed through the procedures outlined in the guidance any time after the close of the annual records until March 31 of the following year. The audit or agreed-upon procedure must cover the state fiscal year (July 1 - June 30).

<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	
<b>Reference:</b>	Agreed Upon Procedures (Tool UU) & Early Childhood Iowa Tool Kit

<b>Policy ID:</b> 4.3	<b>Title:</b> <i>Budgeting - Fiscal Year Budget</i>
<b>Policy:</b> BVCS EARLY CHILDHOOD IOWA BOARD will approve and submit a fiscal year budget to the appropriate state offices prior to the determined due date.	
<b>Procedures:</b>	
<ul style="list-style-type: none"> <li>• After the Executive Committee has completed their process for funding recommendations for the upcoming fiscal year, the Program Director will complete the Fiscal Year Budgets, assuring that all programs can be funded within categorical requirements or designations.</li> <li>• Funding recommendations and a completed Fiscal Year Budget will be presented to the full BOARD for discussion and their approval prior to submission to the state.</li> <li>• The Program Director will submit the Fiscal Year Budget to the State Early Childhood Iowa Office by July 15<sup>th</sup>, noting the date that the BOARD approved the budget.</li> <li>• The Program Director will submit budgets as required for all other funding sources and after approval of the BOARD.</li> <li>• Necessary corrections or clarifications from the state will be responded to upon receipt by the Program Director.</li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	
<b>Reference:</b>	Iowa Grants.Gov

Policy ID: 4.4	Title: <i>Budgeting - Amendments</i>
<p><b>Policy:</b> BVCS EARLY CHILDHOOD IOWA will submit a budget amendment to the state if the BOARD has approved the funding of a new program.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>•</li> <li>• If the BOARD decides to fund a program and has taken formal action that was not submitted as part of the original budget, a budget amendment will be completed by the Program Director.</li> <li>• An amended budget will be submitted to the state.</li> <li>• Once the amended budget has been approved by the state, a contract will be offered to the new program.</li> <li>• The Program Director will make the updated change on the monthly Financial Report and submit to the BOARD and Fiscal Agent for their continued use.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18



Policy ID: 4.5	Title: <i>Receipt Electronic Fund Transfers</i>
<p><b>Policy:</b> The Fiscal Officer shall receive Electronic Fund Transfers funds on behalf of the BVCS EARLY CHILDHOOD IOWA BOARD.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The Buena Vista County Treasurer shall complete the required EFT Deposit form to receive funds by Electronic Fund Transfers.</li> <li>• The Buena Vista County Treasurer shall record that a deposit has been made, the amount of the deposit, and into which funding account the deposit was made.</li> <li>• The Buena Vista County Treasurer will provide the BVCS Early Childhood Iowa Program Director with a copy of the transaction.</li> <li>• All revenue will be reported in the financial reports prepared by the Program Director.</li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board

<b>Policy ID:</b> 4.6	<b>Title:</b> <i>Revenue - Processing of Checks and Cash Received in the Mail</i>
<b>Policy:</b> The Fiscal Agent shall process checks and cash received in the mail on behalf of BVCS EARLY CHILDHOOD IOWA in a timely and fiscally responsible manner.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• Checks are signed by the Fiscal Agent (Buena Vista County).</li> <li>• Bank account statements are received and completed by the Fiscal Agent, Buena Vista County Treasures Office. A copy is sent to the Program Director at BVCS ECI. All bank reconciliations are kept at the Fiscal Agent.</li> <li>• Any check received by the Program Director, will be deposited with the Fiscal Agent.</li> <li>• The Program Director will identify the Revenue Code for deposit.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18

<b>Policy ID:</b> 4.7	<b>Title:</b> <i>Early Childhood Iowa Revenue - Interest Earned</i>
<p><b>Policy:</b> The Revenue Report provided by the fiscal agent (Buena Vista County Treasurer) is the collection of all asset, liability, net assets, and revenue. The Expenditure Detail Report provided by the fiscal agent (Buena Vista County Auditor) is the collection of expense accounts. They are used to accumulate all financial transactions and is supported by budget reports to the 3-County Board that provide details for certain accounts (categorical funding). The revenue and expenditure reports are the foundation for the accumulation of data and production of the budget reports.</p>	
<p><b>Description:</b> Interest earned on BVCS ECI grant funds will apply the interest to implementation of programs that support the community plan. Interest should be considered program funds to be invested in services according to the community plan. Interest is not part of the grant amount and not part of administrative allowable costs. Therefore, interest cannot be used for administrative costs.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Interest is directly deposited into the Early Childhood Iowa accounts.</li> <li>• Upon receipt of the Revenue statement, the Program Director reviews the monthly interest received, and notes the amount in the BVCS Early Childhood Iowa, Budget Worksheet Report.</li> <li>• Interest is then noted on the respective end of year Annual Report.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	<b>11/28/18</b>
<b>Reverence:</b>	Quarterly Financial Reporting Tool SS; Iowa Grants

Policy ID: 4.8	Title: <i>Check Disbursements</i>
<p><b>Policy:</b> The Fiscal Agent (Buena Vista County Auditor) is authorized to act on behalf of the BVCS Early Childhood Iowa 3-County Board to pay bills, receive funds and maintain accounts for School Ready, Early Childhood and other funds approved and received by the BVCS ECI area.</p>	
<p><b>Procedures:</b>  <b>Check preparation</b></p> <p>Process claims upon receipt of BVCS ECI Program Director:</p> <ul style="list-style-type: none"> <li>• Fiscal Agent reviews <i>Claim Voucher</i> sent from BVCS ECI;</li> <li>• Fiscal Agent receives Buena Vista County Board of Supervisors approval;</li> <li>• Fiscal Agent writes and mails payment;</li> <li>• Fiscal Agent records expenditures monthly on the <i>Expenditure Detail Report</i>;</li> <li>• Fiscal Agent sends <i>Expenditure Detail Report</i> to BVCS CEI Program Director.</li> </ul> <p>Checks will be signed by the fiscal agent (Buena Vista County) and follow their office policies and procedures.</p> <p>Checks will be mailed from the fiscal agent's office (Buena Vista County) following their policies and procedures.</p>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 4.9	Title: <i>Grants Receivable Management</i>
<p><b>Policy:</b> The BVCS ECI 3-County Board of Directors is ultimately responsible for the fiscal management of all activities. The Program Director is responsible for the day-to-day financial management of the BVCS Early Childhood Iowa area. The Board authorizes the Program Director to perform site-reviews, process claims, manage funding categories, and maintain categorical records for funds received.</p>	
<p>The Fiscal Agent (Buena Vista County Auditor) is authorized to act on behalf of the BVCS Early Childhood Iowa 3-County Board to pay bills, receive funds and maintain accounts for School Ready, Early Childhood and other funds approved and received by the BVCS ECI area.</p>	
<p><b>Procedures:</b>  The Program Director is authorized to enter into contracts for activities that have been approved by the BVCS ECI 3-County Board as a part of budgets or plans for programs/services to BVCS ECI.</p> <p>The Program Director is authorized to manage expenses within the parameters of the overall approved budget, reporting to the Board Chair and the reason for these variances.</p> <p>Only authorized persons designated by the BVCS ECI 3-County Board may purchase supplies in the name of BVCS ECI. No employee whose regular duties do not include purchasing may incur any expense on behalf of BVCS ECI.</p>	
<b>Effective Date:</b> 3/28/12	<b>Approved By:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 4.10	Title: Issuance of Corporate Credit Cards
<p><b>Policy:</b> The Board will approve the issuance of a credit card for the Program Director. Cardholders will be required to sign a statement acknowledging that the card shall be used exclusively for legitimate Agency-related business purposes and that the cardholder agrees to take reasonable precautions to protect the card from loss or theft by storing it in a secure location.</p>	
<p><b>Definition:</b> The primary purpose of the credit card is to purchase airline tickets, to make reservations for hotels or for an emergency situation. The credit card shall not be used for purchasing anything unless it is absolutely necessary. Charges on the credit card are to be related to the employee or board members only. Upon approval from the credit card company, a card will be issued bearing the names of both the individual and BVCS Early Childhood Iowa.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Each month the Fiscal Officer is provided with a master credit card statement along with individual statements for each corporate credit card. These statements detail the expenditures that were charged to the cardholder’s corporate credit card.</li> <li>• The fiscal officer will compare purchase orders and purchase requests to the master credit card statement and indicate purchasing compliance with a check mark next to the each charge. If discrepancies are found, the fiscal officer will then discuss the individual credit card statement with the Program Director.</li> <li>• The Program Director will review this statement within three days for any allowable changes or inadvertent personal or unauthorized uses of the card.</li> <li>• Cardholders must reimburse the Agency for any inadvertent personal charges within the same three-day period. If there are unauthorized charges or discrepancies on the credit card the Program Director is responsible for contacting appropriate parties to research the origin of the charge and resolve the problem. Results of research shall be documented and shared with the fiscal officer immediately. If needed the Board Chair will then contact the credit card provider about the documented discrepancy.</li> <li>• Any fraudulent charges shall be immediately pointed out to the Program Director for further investigation with the credit card provider. See the policy on suspected misconduct and the procedures to be followed (A - 6.0).</li> <li>• Personal use of corporate credit cards is strictly prohibited. Any personal use will subject the employee to the Agency’s disciplinary actions discussed earlier in this manual and in the Employee Handbook.</li> <li>• Upon separation or termination from the Agency, credit cards are returned to the BVCS ECI Board Chair as part of the exit interview. The card number will be cancelled with the credit card company and the card will be destroyed. The cardholder remains responsible for the unbilled activity on the account up through the day the card is cancelled.</li> </ul> <p><u>BVCS ECI requires the following review and approval procedures:</u></p> <ul style="list-style-type: none"> <li>• Purchasing procedures were followed before purchases were made.</li> <li>• Monthly statement is reviewed by the Fiscal Officer and cardholder, if necessary.</li> </ul>	

- Cardholder may designate use of the credit card to authorized staff on a purchase by purchase basis, but the cardholder will remain solely responsible for making sure proper purchasing procedures are followed.

Cardholders shall report the loss or theft of a corporate credit card immediately by notifying the credit card company as well as the Board Chair.

**Vendor Credit Cards**

1. Employees sign custody of receipt.
2. All vendor credit card receipts and supporting documentation must be turned in to the Fiscal Agent before they will be paid.
3. The person making the purchase must sign all vendor receipts.
4. All employees making purchases with their vendor credit card must follow the purchasing procedures.
5. The employee who signs out or has signed custody of the card assumes all responsibility for that card including safekeeping and liability for charges incurred until the card is returned.

**Revocation of Corporate Credit Cards**

- Failure to comply with any of these policies associated with the use of BVCS ECI’s corporate credit cards shall be subject to revocation of credit card privileges. The Board Chair, with the approval of the Executive Board, shall determine whether credit cards are to be revoked. The cardholder will be notified of credit card misuse and appropriate disciplinary actions will be taken.

<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	
<b>Reference:</b>	Current card: Wal-Mart Credit Card for store purchases

<b>Policy ID:</b> 4.11	<b>Title:</b> <i>Expenditures and Disbursements – Invoice and Payment Approval</i>
<b>Policy:</b> The BVCS EARLY CHILDHOOD IOWA BOARD shall make payments to contractors and vendors for services and goods provided.	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• Contractors must use the Reimbursement Claim Form that includes BOARD approved budget, amount requested, amount reimbursed year-to-date, grant balance remaining, and percent remaining.</li> </ul> <p>The Program Director shall:</p> <ul style="list-style-type: none"> <li>• Submit all claims for payment to the Fiscal Agent and file required reports in a timely manner.</li> </ul> <p>Process claims from contractors for accuracy and contractual budget restrictions:</p> <ul style="list-style-type: none"> <li>• Review claim;</li> <li>• Complete <i>Claim Voucher</i>;</li> <li>• Sign and date <i>Claim Voucher</i>;</li> <li>• Submit approved <i>Claim Voucher</i> to Fiscal Agent;</li> <li>• Record expenditure paid by Fiscal Agent by means of <i>Expenditure Detail Report</i>;</li> <li>• Prepare and report financial statement to BVCS ECI 3-County Board.</li> </ul> <p>The 3-County Board shall:</p> <ul style="list-style-type: none"> <li>• The Finance Officer appointed by the BVCS ECI 3-County Board shall review payments to assure that they conform to the program approved budget.</li> </ul> <p>The Fiscal Agent shall:</p> <ul style="list-style-type: none"> <li>• Process claims upon receipt of BVCS ECI Program Director:           <ul style="list-style-type: none"> <li>• Fiscal Agent reviews <i>Claim Voucher</i> sent from BVCS ECI;</li> <li>• Fiscal Agent receives Buena Vista County Board of Supervisors approval;</li> <li>• Fiscal Agent writes and mails payment;</li> <li>• Fiscal Agent records expenditures monthly on the <i>Expenditure Detail Report</i>;</li> <li>• Fiscal Agent sends <i>Expenditure Detail Report</i> to BVCS CEI Program Director.</li> </ul> </li> </ul> <p>After claims are processed, payment information will be recorded into financial reports prepared for the BOARD.</p>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	11/28/18



Policy ID: 4.12	Title: <i>Reporting - Monthly Financial Statements</i>
<p><b>Policy:</b> The Program Director will review the Expenditure Reporting Form received from the Fiscal Agent staff (Buena Vista County Auditor) monthly to review expenditures paid.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• After this review is complete, reconciliation between the Expenditure Report and 3-County Board Budget Report balance is prepared by the Program Director.</li> <li>• The reconciliation process shall involve an inspection of Expenditure Report, amount of payment, date of payment and categorical code.</li> <li>• Unusual or unexplained items shall be reported immediately to the Fiscal Agent and Board Chair.</li> <li>• The purpose of this inspection is to identify signs of forgery, altered or substitute checks, or other signs of fraudulent activity.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 4.13	Title: <i>Reporting - Reconciliation of Financial Records</i>
<p><b>Policy:</b> The Program Director will review the Expenditure Reporting Form received from the Fiscal Agent staff (Buena Vista County Auditor office) monthly to review expenditures paid. The reconciliation process shall involve an inspection of Expenditure Report, source of payment, amount of payment, date of payment and categorical code.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• At the end of the Fiscal Year (June 30, 20xx) The Program Director will prepare the end of year Early Childhood Annual Report/Financial Statements.</li> <li>• The report will be completed using an accrual method. Claims paid in the new fiscal year will be marked PAID IN FYXX, the fiscal year that ended.</li> <li>• The Program Director and member/s of the BVCS ECI Board will meet with the Fiscal Agent (Buena Vista County Auditor) to review and reconcile the financial standing at the end of the year and carry forward to the new fiscal year.</li> <li>• When the Auditor and BVCS ECI Board Chair are in agreement the BVCS ECI Annual Report will be, voted on by the BVCS ECI Board, signed in appropriate places by designated staff/board chair.</li> <li>• Due date for the Early Childhood Iowa Annual Report is September 15<sup>th</sup>.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

<b>Policy ID:</b> 4.14	<b>Title:</b> <i>Reporting - Year End Financial Statements</i>
<b>Policy:</b> Year-end financial statements for BVCS EARLY CHILDHOOD IOWA will be prepared and submitted to the state by the established due date.	
<b>Procedures:</b> <ul style="list-style-type: none"> <li>• The Program Director shall prepare the year-end financial statements required by each funding source.</li> <li>• The completed year-end statements will be submitted to the Buena Vista County Auditor for review and approval.</li> <li>• The BOARD will approve the year-end financial statements as part of the BVCS EARLY CHILDHOOD IOWA annual reports prior to the established due date.</li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 4.15	Title: <i>Whistleblower Protection Policy</i>
<p><b>Policy:</b> BVCS Early Childhood Iowa will adhere to all federal, state, and local laws and/or regulations; and its BOARD, Program Director, and staff will act in an honest and ethical fashion. In support of these principles, BVCS Early Childhood Iowa has adopted this “whistleblower” protection policy.</p>	
<p><b>Procedures:</b> Pursuant to this policy, any employee who becomes aware of any violation of federal, state, or local law or regulation, including any financial wrongdoing, should immediately report the violation to the Program Director to allow the organization to investigate and, if applicable, correct the situation or condition. If the Program Director is involved, or is believed to be involved in the matter being reported, employees may, in the alternative, make a report to the Chairperson of the BOARD.</p> <p>Upon receiving the report, Program Director or Chairperson will contact legal counsel. An investigation will be conducted and appropriate action will be taken within a reasonable period of time. Such complaints will be held in confidence to the extent the needs of the investigation permit.</p> <p>“Financial wrongdoing” may include, but not limited to:</p> <ul style="list-style-type: none"> <li>• Questionable accounting practices.</li> <li>• Fraud or deliberate error in financial statements or recordkeeping.</li> <li>• Deficiencies of internal controls.</li> <li>• Misrepresentations to company officers or the accounting department (including deviation from full reporting of financial conditions).</li> </ul> <p>If any employee reports in good faith what the employee believes to be a violation of the law and/or financial wrongdoing to the Program Director, its officers, or to a federal, state, or local agency, or assists in an investigation concerning financial wrongdoing, it is BVCS Early Childhood Iowa policy that there will be no retaliation taken against the employee.</p> <p>Although the employee is not expected to prove the truth of an allegation, the employee should be able to demonstrate to the person contacted that the report is being made in good faith. Allegations made in bad faith may result in disciplinary action. Employees are reminded of the importance of keeping financial matters confidential. Employees with questions concerning the confidentiality or appropriateness of disclosure of particular information should contact the Program Director.</p>	
Effective Date: 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

<b>Policy ID:</b> 4.16	<b>Title:</b> <i>Voided Checks and Stop Payments</i>
<b>Policy:</b> If a check/payment is determined to be lost, the lost check will be voided, and payment will be re-issued.	
<p><b>Procedures:</b>  Checks may be voided due to processing errors by making calling the Fiscal Agent (Buena Vista County Auditor Office).  The following procedure applies:</p> <ul style="list-style-type: none"> <li>• Payee should notify the Program Director as soon as payment has been determined to be lost, stolen, mutilated or otherwise deemed non-negotiable.</li> <li>• The Program Director will contact the Fiscal Agent.</li> <li>• The Fiscal Agent will issue a letter (form) to them, stating they lost the check and are asking for a replacement. The Board of Supervisors authorizes the Fiscal Agent (Buena Vista County Auditor) to VOID the check; the Auditor’s office follows procedure in the financial system, and re-issues another check. The bank is called, and a stop payment is issued on the lost check.</li> </ul>	
<b>Effective Date:</b> 3/28/12	<b>Approved by:</b> BVCS Early Childhood Iowa Board
<b>Revision:</b>	

Policy ID: 4.19	Title: <i>ECI Area Boundaries/Exceptions to Policy</i>
<p><b>Policy:</b> Geographic areas for Early Childhood Iowa are defined by the boundaries of Buena Vista, Crawford, and Sac Counties.</p> <p>The BOARD will entertain requests for consideration of services for children and their families working or attending school but not living within the BVCS Early Childhood Iowa Boundaries.</p>	
<p><b>Procedures:</b></p> <ul style="list-style-type: none"> <li>• The Program Director shall make contracted programs aware of geographic boundaries, and boundaries will be noted in program contracts.</li> <li>• If contracted programs are contacted by an individual or entity regarding services for someone outside of the BVCS ECI area, referrals are made to the Early Childhood Iowa area where the individual resides by the contracted program with the guidance of the BVCS ECI Program Director.</li> <li>• Identified school districts in Buena Vista, Crawford, and Sac Counties may serve children residing in a neighboring county but within the school district boundaries without exception.</li> <li>• Family support programs that have enrolled families who move to a neighboring community may request an exception to ensure continuation of services for at-risk families. Programs shall contact the Program Director via email for an exception. In the interest of time, the BOARD authorizes the Program Director to make such determination as needed.</li> <li>• BVCS Early Childhood Iowa strives to put family needs first and will collaborate with neighboring counties whenever possible.</li> </ul>	
<b>Effective Date:</b> 11/28/18	<b>Approved by:</b> BVCS Early Childhood Iowa Board