

Cedar / Jones
Early Childhood Iowa

Policies and Procedures
Manual

Manual will be reviewed annually by the Policy and Procedure Committee. Amendments and/or additions will be presented to the Board for adoption. Dates of amendments or adoptions will be noted on individual policies not including the annual review.

Adopted / Reviewed 5/16/13

Reviewed / Revisions Adopted 6/19/14

Reviewed with No Amendments 6/18/15 and 5/19/16

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Policy ID: 1.1.1

Title: *Board Membership Requirements*

Policy: The Cedar/Jones ECI Board shall meet all State Board membership requirements.

Reference: State ECI Tool LL

Definitions: *Per Iowa Code, Chapter 256I.7, and 1(a):* The members of an area board shall be elected officials or members of the public who are not employed by a provider of services to or for the area board. In addition, the membership of an area board shall include representation from 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. However, not more than one member shall represent the same entity or interest.

Also 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.

Elected official - a member of a board or governing body elected through the means of a public election.

Members of the public – an individual that meets the definition of a citizen representative.

Education, health, human services - individuals that have knowledge in these areas.

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.

Business – an individual representing the required perspective of a business.

Procedures:

- The Board shall be composed of no fewer than 8 and not more than 16 individuals. Membership will strive for equal representation from both Cedar and Jones counties and all communities within each county.
- Members of the Board shall be elected officials or members of the public who are not employed by a provider of services to or for the Board.
- In accordance with Iowa Code Chapter 256I, the Board will include representation from

early care, education, health, human services, business, faith interests and at least one parent, grandparent, or guardian of a child from zero through age five.

- The Board will strive to be conscientious of having too many members representing an organization or specific field of expertise.
- In addition to the membership representation requirements, the Board will seek to have gender balance on the Board and will take this factor into consideration during recruitment of new Board members.
- Vacancies in Board membership for required representation will be made within 2 months beginning when the Board has recognized the resignation.
- If the ECI area board enters into an agreement with an entity to provide a program, service or activity, either funded or in-kind, and a board member is employed by that agency and is not an elected official, the member no longer meets the citizen definition. They must, therefore, resign as a board member in order for the Board to comply with Iowa law.
- Board members are not allowed to designate another individual to participate as a Board member in their place.
- It is the intent that members take their perspective back to the community they represent.
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Effective Date: 5/16/13

Approved by: Cedar/Jones ECI Board

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.

Reference: State ECI Tool Y, Tool GG, and Tool I(B)

Procedures:

Members will be provided with a copy of this policy during their initial Board orientation and the policy will be reviewed annually.

Full Board Responsibilities

- Interpret the scope of responsibilities of the Early Childhood Iowa Area as set by Iowa Legislation.
- Create and promote the organization’s identity including the development and support of the organization’s mission.
- Establish the mission of policies to support the legislative intent.
- Administer funds from the state making sure that money is being spent in a responsible manner, including the approval of a budget that is fully understandable and regular review of income and expenses through acceptance of a monthly financial statement.
- Ensure that interest on earnings from the Early Childhood Iowa funds be used for services in the community plan.
- Award contracts and request funding proposals.
- Develop and implement the community plan with identified priorities, based on community assessments, which address human service, education and health needs to support the children and their families to reach desired results.
- Evaluate the outcome of community plans.
- Assure wide community input as part of all procedures by forming standing communities, task groups and focus groups.
- Assign tasks to committees as appropriate.
- Ensure that the annual report is submitted each fiscal year by September 15 to the Iowa Early Childhood Iowa Board and to local governing bodies in the Early Childhood Iowa area.
- Develop a plan to continue community efforts to support children and their families within the Early Childhood Iowa area.
- Assume other responsibilities established by law or administrative rule.
- Use data to make informed funding decisions.
- Make sure the organization is well managed including the authority to hire and fire a director, ensuring that the director has what she/he needs to do the job, and is supported, held accountable, and evaluated on a regular basis.

- Operate in accordance with the Cedar/Jones ECI By-Laws and Policies and Procedures.

Individual Board Member's Responsibilities:

- Attend all meetings of the Board, including assigned committees and task forces. Notify the 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.
- Serve 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 interest between position as a board member and personal and professional life. If such a conflict does arise, declare that conflict before the Board and refrain from voting on matters in which a conflict exists.

Effective Date: 5/23/12

Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.3	Title: <i>Board Membership Term Limits</i>
<p>Policy: Terms of membership on the Board shall be three years and the membership terms shall be staggered. A member can be re-elected to serve more than one term. Members can serve no more than two consecutive terms.</p> <p>Reference: State ECI Tool LL</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Terms of membership will be maintained and recorded by the Director. • Terms start the 1st of the month following the month of Board approval and shall commence for three years. • Membership shall begin on the 1st of the month following Board action accepting membership of a new individual. • To be eligible for further Board membership, a member must be absent from the Board for one full year before re-applying. • Membership rosters including terms will be shared with the Board annually prior to the end of the Fiscal Year. • Members will be notified upon nearing the end of their term and informed of possible membership renewal options. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.4	Title: <i>Board Officers Terms and Election of Officers</i>
<p>Policy: Terms of officers shall commence July 1st and run through June 30th of the following year. Each term is one year. Officers may be re-elected to the same office or another office.</p>	
<p>Definitions: Board Officers shall include Chairperson, Vice-Chairperson, Secretary, and Treasurer. This group of officers shall be referred to as the Executive Committee.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • At the May Board Meeting, an agenda item will reflect the need for nominations of Board Officers for the upcoming Fiscal Year. Nominations will be accepted and recorded. • At the June Board Meeting, members will be presented with officer nominations. • Members will cast their votes and the votes will be tallied by an individual/teller designated by the Board Chairperson. • New officer terms will commence July 1st and run through June 30th. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.5	Title: <i>Board Officers Roles and Responsibilities</i>
<p>Policy: The Board shall elect Board Officers from its membership.</p>	
<p>Definitions: Board Officers shall include Chairperson, Vice-Chairperson, Secretary, and Treasurer.</p>	
<p>Reference: State ECI Tool JJ</p>	
<p>Procedures:</p> <p>Officers shall perform these duties as prescribed and shall assume such additional duties as may be prescribed by the Board.</p> <ul style="list-style-type: none"> • CHAIRPERSON: Shall preside at all meetings of the Board and at all meetings of the Executive Committee. Shall perform the usual duties of the office. Shall act as a liaison between the Board and the Employer of Record when necessary. • VICE-CHAIR PERSON: Shall perform the duties of the Chairperson in the absence of or the inability of the Chairperson to discharge the duties of the office and perform such other duties as may be prescribed by the Board or the Chairperson on a temporary basis. • SECRETARY: Shall keep a complete record of the proceedings of all meetings and actions of the Board and produce records of such proceedings when called upon at any meeting of the Board. Shall keep a complete record of Board policies and procedures including the date the policy was enacted. • TREASURER: Shall review monthly invoices, financial statements, and bank statements. Shall act as a liaison between the Board and the Fiscal Agent when necessary. • The Board shall strive for equal representation in Board officer roles between members from both Cedar and Jones counties. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.6	Title: <i>Attendance Requirements</i>
<p>Policy: Members are required to attend at least one-half of the regular meetings within any period of twelve calendar months beginning on July 1, or January 1 and not be absent for any three consecutive meetings.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Attendance records will be kept and monitored by the Director. • In the event that a member is nearing a violation of Board Attendance Policy, the Director will notify the member to the potential attendance policy violation will notify the member. • The Board member will then choose to either adhere to the Board policy, submit a letter of resignation to the Board Chairperson and/or Director, or provide a written explanation why adhere to the policy is problematic and request an exception to the policy. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.7	Title: <i>Board Recruitment</i>
<p>Policy: Potential new Board members will be recruited to fill available positions on the Board as needed.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Board recruitment will be ongoing and a list of potential Board members will be kept on file at the Director’s office. • The list will be reviewed on at needed basis by the Executive Committee and referred to the full Board for an agenda item as needed. • Board members are responsible for contacting potential new Board members for consideration and providing them with a brief explanation of Board functions. • If interested, the Board Member will provide the Director with the contact information of the potential new member. • The Director will make follow-up contact with the potential new member and ask that they complete a Board Member Application and answer any additional questions that a potential new member may have. • Once the application has been received, the Director will discuss the new potential member with the Executive Committee and obtain approval to add membership approval as an agenda item at the next scheduled Board meeting. • The Director will be responsible for letting a new Board member know the status of the application and Board membership. • If Board approval is obtained, the recruiting Board member will be responsible for introducing the new member at their first meeting, highlighting their personal bio including background, work history, and interests. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.8	Title: <i>New Board Member Orientation</i>
<p>Policy: New Board members will be orientated to the policies, procedures, and everyday workings of the Board within 30 days of the Board approving their membership.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Director will contact the new Board member to arrange a time and place for the new Board member orientation within 30 days of the Board approving their membership. • The Director will meet with the new Board member to conduct New Board Member Orientation prior to their first Board meeting. • The New Board Member Orientation checklist will be used as a guide for the orientation and information will be shared as outlined on the checklist. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.9	Title: <i>Resignation/Removal of a Board Member</i>
<p>Policy: Any Board member shall be deemed to have submitted a resignation if any of the following events occurs: (1) The person does not attend three or more consecutive regular meetings; (2) The person attends less than one-half of the regular meetings within any period of twelve calendar months beginning on July 1, or January 1, or (3) written notification is provided to the Board Director or Chairperson.</p> <p>Any member of the Board may also be removed by a majority vote of the membership when, in its judgment, it is in the best interest of the Cedar/Jones ECI Initiative.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • If a Board member chooses to resign from the Board, they shall provide written notification to the Director or Board Chairperson. • The resignation will be recognized at the next regularly scheduled Board meeting and the term of the Board member shall be considered ended following the acknowledgement of the member resignation by the Board noting the effective date when recognized. • If a Board member wishes to not depart from the Board because of attendance issues, the resignation can be appealed to the Board Chairperson and exceptions shall be subject to approval by the Board at the next regularly scheduled Board meeting. • If a Board member has a concern about another Board Member and wishes to have the said member removed from the Board, the member shall provide the Executive Committee with a written request for removal of the member. The Executive Committee will then determine if the request will be put on the agenda for the next regularly scheduled meeting. • The member in question shall be notified of the request and the status of the agenda item. • A majority Board vote will then determine if the Board member shall be removed from the Board. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.10	Title: <i>Evaluation of Board Functioning</i>
<p>Policy: Annually the Board will evaluate the effectiveness of their functioning.</p> <p>Reference: State ECI Tool AA</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Annually, in the spring, the Board will utilize the “Self-Evaluation,” State ECI Tool AA, or another similar tool to evaluate Board functioning. • Utilization of an evaluation tool will be conducted at a Board meeting, sent to members via email, or provided as an online survey for completion. • If a Board member is not in attendance when the tool is utilized, the tool will be sent out via email for completion. • Individuals from the community who are familiar with Board functions and funded programs will also be asked to complete the tool. • The tool will be posted on the organization website for other community members to complete the tool as desired. • The tool can be printed, completed, and mailed via regular mail to the ECI Office for anyone who wishes to remain anonymous. • Opportunity to complete the tool will be available for two weeks unless otherwise noted. • Results will be compiled by the Director and put on the agenda for discussion at the next regularly scheduled Board meeting. • Discussion will include results, areas of concern identified, strengths, and the need for Professional Development on Board functioning. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.1.11	Title: <i>Committees</i>
<p>Policy: The Board shall appoint committees as deemed appropriate and necessary in carrying out its mandate and such committees shall be responsible for the collaboration and development of work-plans required to meet the goals and objectives of the ECI Initiative. Committees have no decision-making authority.</p>	
<p>Procedures:</p> <p>The Chairperson and Vice-chairperson with consultation of the Board shall appoint members to serve on committees as it sees fit. Committee membership shall be reviewed annually at the start of the Calendar Year. The committees shall include at least one Board member and may include non-Board members as deemed appropriate to the functioning of the committee.</p> <p>a. <i>Executive Committee</i> shall consist of the Officers of the Board. The Executive Committee shall have general supervision of the affairs of the Board between its business meetings, establish the hour and place of meetings, make recommendations to the Board, provide financial oversight, and perform other such duties specified in these By-laws. The Executive Committee shall also provide oversight and guidance for any Administrative Support. Committee meets monthly and as needed.</p> <p>b. <i>Policy and Procedure Committee</i> shall review Board policies, procedures, and By-Laws on an on-going basis and make recommendations as necessary to the full Board for clarifications, modification, and additions. Committee meets annually to review policy and procedure manual and as needed.</p> <p>c. <i>Project Oversight Committee</i> shall partner with and provide networking among providers to assure collaboration and quality of service. They will make recommendations to the Board in the process of selecting initiatives to be funded and work to track measurable outcome data for the funded initiatives. Committee meets semi-annually and as needed.</p> <p>d. <i>Other committees</i> may be established as needed to accomplish the vision, mission and goals of the Board.</p> <p>Committees will be responsible for abiding the Open Meetings Laws by posting meeting notices and compiling meeting minutes for Director distribution at the next month’s Board meeting.</p>	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.1	Title: <i>Compliance with Open Meetings Law</i>
<p>Policy: The Cedar/Jones Early Childhood Iowa Board or any committee or any other body established by the Board shall adhere to Iowa’s Open Meeting Law, under Chapter 21 Code of Iowa.</p> <p>All meetings of Cedar/Jones ECI area board are subject to the Open Meetings law. Iowa Code § 256I.7(5) states in part as follows: <i>“All meetings of an area board or any committee or other body established by an area board at which public business is discussed or formal action taken shall comply with the requirements of chapter 21 [Open Meetings]. An area board shall maintain its records in accordance with chapter 22 [Open Records].”</i></p> <p>Reference: State ECI Tool D</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Meetings will be held in a session that is reasonably accessible to the public and proceeded by public notice. • All actions and discussions at meetings will be conducted and executed in an open session, unless otherwise provided by law. • The Board will keep minutes of all its meetings showing the date, time and place, the members present, a summary of the discussions, motions made, members who voted and how, and the action taken/decisions made at each meeting. • 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 ECI office prior to the meeting to arrange for special accommodations. • The Director will be responsible for making sure that special accommodations are met. • These accommodations could include but are not limited to assistance in getting into the meeting site or providing accessibility to the meeting through a conference call. 	
Effective Date: 5/15/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.2	Title: <i>Notice of Meetings</i>
<p>Policy: Meeting notices shall be posted on the ECI website and/or at the site where the meeting is being held not less than 24 hours prior to the meeting.</p> <p>Reference: State ECI Tool D</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Director shall be responsible for posting or ensure a posting of a hard copy of meeting notices and tentative agenda at the Jones and Cedar County courthouses. • The Director shall also be responsible for posting meeting notices and tentative agenda on the Cedar/Jones ECI website www.cedar-jones-earlychildhoodiowa.org. • Board meeting notices will be requested to be published in the Anamosa Journal Eureka, the Monticello Express, the Midland Times, the Sun Times, the Tipton Conservative, the West Branch Times, and the Wilton-Durant Advocate. • Notice of Meetings will be compliant with the Open Meetings Law and will include the time, date, and place of the meeting and a tentative agenda. • Notice of Meetings will be provided at least 24 hours in advance. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.3	Title: <i>Meeting Schedule</i>
<p>Policy: Regular meetings of the Board will be held at a predetermined time and place, set annually by the Board. A minimum of four meetings will be held annually.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • It is the intention of the Board to meet monthly. • The meeting schedule is posted on ECI website. • A schedule of meetings will be drafted by the Director and presented to the Board at the June meeting for Board approval for the upcoming fiscal year. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.4	Title: <i>Special Meetings</i>
<p>Policy: Special meetings may be called by the Board Chairperson or upon the call of a majority of voting members.</p>	
<p>Definitions: A special meeting is a meeting not previously identified on the current fiscal year calendar.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • If determined by majority of members that there is a need for a Special Meeting, the Board Chairperson shall be contacted and a special meeting requested. • The Board Chairperson may also call a special meeting by notifying the Director and Executive Committee. • The Board Chairperson directs the Director and the Executive Committee to create an agenda and prepare for the upcoming meeting. • The Director will send notices to all Board members. • The meeting shall adhere to the Open Meetings Law. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.5	Title: <i>Telephonic Meetings</i>
<p>Policy: Board Members or any individual from the public may participate in an ECI meeting through a conference call. Anyone participating in this manner shall be reflected in the Board Minutes.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • If an individual wishes to participate via the telephone, the Director will make arrangements for a conference/telephone line at the meeting location. • The individual will be provided with a call in number. • Upon the call being made and anyone joining the meeting via telephone, notation will be made in the meeting minutes. • 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. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.6	Title: <i>Closed Session Meetings</i>
<p>Policy: Closed Session Meetings are highly discouraged, but if absolutely deemed necessary may occur. If the Board chooses to conduct a closed session, all requirements of the Open Meetings Law will be adhered to.</p> <p>Reference: State ECI Tool D</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • If the Board wishes to go into a closed session, a vote will be taken before this can occur. • An affirmative 2/3 vote of the members or all members presented must be obtained before going into closed session. • The vote of each member on the question of holding a closed session and the reason or specific exemption for the closed sessions will be announced publicly and entered into the minutes. • Business discussed during closed session will relate directly to the specific reason announced as justification to close the session. • Final action on any matter discussed during the closed session will be taken in open session unless a specific provision of the Code expressly permits final action taken in closed session. • Detailed minutes will be kept on (1) all discussion; (2) persons present; and (3) action occurring. • The closed session will be audio recorded with the minutes and tape recording sealed and retained for a period of at least one year. • The public shall not have access to the minutes or recording of the closed session. • The person(s) who would otherwise have access to the closed session can get access to minutes and recording even though they may not have been present. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.7	Title: <i>Quorum Requirements</i>
<p>Policy: 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>Definitions: A quorum shall be defined as a simple majority, over 50% of the membership.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Director will note prior to the start of the Board meeting if a quorum has been achieved and note in the the meeting minutes. • The Director will note arrivals and departures of any Board members at the meetings and note if the quorum was maintained or not. • If the Board loses quorum during a Board meeting, the Director will immediately notify the Board Chairperson. • Agenda items can be shared only. • Business will not be conducted. • The remaining Board Members will vote to adjourn the meeting. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.8	Title: <i>Meeting Agenda</i>
<p>Policy: The Agenda will be prepared by the Director and approved by the Executive Committee.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Director will meet monthly with the Executive Committee to determine the business for the upcoming Board meeting. A draft agenda will be shared. • Any Board member may request an item be placed on the agenda by notifying the Chairperson. • The Executive Committee shall have the right to defer the item to a future meeting or omit the item. • Items not on the agenda can be brought up on the Open Forum section of the meeting if an attending individual so chooses. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.9	Title: <i>How the Board Reaches Decisions</i>
<p>Policy: Although the Board will strive for consensus, Robert’s Rules of Order shall serve as Parliamentary Authority.</p> <p>Reference: State ECI Tool Q</p>	
<p>Definitions: Robert’s Rules of Order - a book of rules for presiding over a meeting; Parliamentary Procedure – a set of rules for conduct at meetings that allows everyone to be heard and to make decisions without confusion.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Director will make available copies of reference of Robert’s Rules of Order. • The Board will defer to Robert’s Rules of Order if questions arise during a Board meeting. • The Board Secretary and/or Director will make sure the Robert’s Rules of Order document is available at all meetings. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.2.10	Title: <i>Public Input</i>
Policy: Each meeting will have an agenda item “Open Forum” to allow for public input.	
Definitions: Open Forum is a designated time open to all expression that is protected under the First Amendment.	
Procedures: <ul style="list-style-type: none"> • The Board Chairperson calls for the agenda item “Open Forum.” • Attending individuals may either present a written request to Board Chairperson for his/her presentation or speak publicly on any item one so chooses. • Open forum may be timed and limited to three minutes at the discretion of the Board Chairperson. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.3	Title: <i>ECI Annual Report</i>
Policy: The Board will approve the ECI Annual Report annually.	
Definitions: The ECI Annual Report is a prescribed document of reporting requirements as determined by the State ECI Board and Office.	
Reference: State ECI Tool M	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Board Director completes the ECI Annual Report. • Financials are completed by the Director and presented to the Treasurer and the Fiscal Agent for verification and approval prior to the August Board meeting. • The Board Chairperson presents the complete Annual Report to the Board in August for Board approval and signature. • The completed and Board approved Annual Report is then shared with the Fiscal Agent for approval and signature of the entire report prior to submittal to the State ECI office. • The Director submits the Annual Report by September 15th to the State ECI office. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.4.1	Title: <i>ECI Community Plan - Utilizing and Evaluating</i>
<p>Policy: The Cedar/Jones ECI Board shall use the Cedar/Jones ECI Community Plan to move the local early care, health, and education system forward.</p> <p>Reference: State ECI Tool NN</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Community Plan is a living, breathing document that tells a complete story of Cedar/Jones Early Childhood Iowa. • The Community Plan is discussed and reviewed annually for updates. • The Director under the direction of the Board makes updates. • The Project Oversight Committee utilizes and references the Community Plan annually when reviewing funding requests and making funding decisions. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.4.2	Title: <i>ECI Community Plan - Access to Public</i>
<p>Policy: The ECI Community Plan shall be accessible to the public.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Community Plan is posted on the ECI website for public access. • The Community Plan is shared with community partners when revised and updated through email distribution. • A member of the public can request a copy of the Community Plan at any time. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.5	Title: <i>Signature Authority</i>
<p>Policy: Official documents requiring Board signature shall be signed by the Board Chairperson or designee.</p>	
<p>Definitions: Official documents could include but are not limited to: Program Contracts, Annual Reports, Director Expense Reimbursement Claims, and State Contracts.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • First option for signature shall be for the Director to contact the Chairperson. • If the Chairperson is unavailable, authority for signature shall be under the auspice of the Vice-Chairperson. • The Treasurer is responsible for monthly signing the Director Expense Reimbursement Claims and final claims. If the Treasurer is unavailable, authority shall be diverted to the Board Chair. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.6

Title: *ECI Area Boundaries/Exceptions to Policy*

Policy: Geographic areas for Early Childhood Iowa are defined by the boundaries of Jones County and the following school districts in Jones County: Anamosa, Midland, Monticello, and Olin and the boundaries of Cedar County and the following school districts: Bennett, Durant, North Cedar, Tipton, and West Branch.

The Board will entertain requests for consideration for services for children and their families not living within the Cedar/Jones ECI Area Boundaries.


Procedures:

- The Director shall make contracted programs aware of geographic boundaries and boundaries will be noted in program contracts.
- Contracted programs will also be required to be aware of similar services of those provided through their own program in the neighboring areas to their service area.
- If contracted programs are contacted by an individual or entity regarding services for a child living outside of the boundaries of Cedar or Jones counties, contracted programs shall first check with the ECI area that includes the county of residence of the child to determine if funding is available to support that child from that ECI area or another source of funding and to avoid duplication of services.
- If services or funding are not available in the county of residence to support the child, children residing within the boundaries of the Anamosa Community School, Bennett Community School, Durant Community School, Midland Community School, Monticello Community School, North Cedar Community School, Olin Consolidated School, Tipton Community School, and West Branch Community School districts shall be eligible for funding or services providing there is no other funding or a similar service under the determination of the contracted program.
- In the event that an individual is not eligible for services in their ECI area and/or chooses to utilize services in the Cedar/Jones ECI area while not meeting current eligibility, the contracted program shall contact the ECI Director to explain the current situation and request consideration for waiver to the current policy or eligibility area.
- The Director shall then discuss the consideration for waiver with the Executive Committee.

- The request for consideration for waiver will be placed on the Agenda at the next Board meeting for full Board consideration.
- The individual requesting the consideration for waiver may attend and share pertinent information at the Board meeting in which the item is on the agenda.
- The Director will then work with the contracting program to make the individual aware of the Board's decision.

Effective Date: 5/16/13

Approved by: Cedar/Jones ECI Board

Policy ID: 1.7	Title: <i>Use of ECIA Name and Logo</i>
<p>Policy: Contracted programs are required through program contracts to use the Cedar/Jones Early Childhood Iowa Name and Logo.</p>	
<p>Definitions:  Cedar/Jones Early Childhood Iowa Logo</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> Contracted programs will be required to acknowledge and include Cedar/Jones Early Childhood Iowa as a sponsor and funding source in all promotional and written materials and reports, electronic media, and public information. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.8	Title: <i>Expense Reimbursement for Board Members</i>
<p>Policy: Board members will be reimbursed for expenses incurred, including meals, mileage, and hotel costs, while attending an event or meeting on behalf of the Cedar/Jones ECI Board.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • A member and/or the Director can request Expense Reimbursement for attending a particular event/meeting for a Board member and/or members at a monthly meeting. • Eligible meetings and/or events would be for event/meeting outside of Cedar and Jones counties. • If approved by the ECI Board and after completion of the event/meeting, a member may then submit expenses incurred to the Director for reimbursement. • Receipts will be required for reimbursement and mileage will be reimbursed at the current Jones County rate. • The claim will then be submitted with other monthly claims to the Fiscal Agent for payment to the incurring Board member(s). 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.9	Title: <i>Political Support/Endorsements</i>
<p>Policy: The Cedar/Jones ECI Board will not provide political support or endorsements to individuals seeking election or re-election to public office.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • If the 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 ECI Board, the Director or member is to simply state the Board policy of not providing support or an endorsement. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.10	Title: <i>Conflict of Interest</i>
<p>Policy: Board members shall acknowledge when their personal or professional circumstances create a conflict of interest situation and refrain from voting on those items of business.</p> <p>Reference: State ECI Tool V</p>	
<p>Definitions: <u>Conflict of Interest</u> - occurs when an individual is involved in multiple interests, one of which could <i>possibly</i> corrupt the motivation for an act in the other.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • A possible/potential conflict of interest on the part of a Board Member and/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. • 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. • Members will review the “Disclosure of Potential Conflicts of Interest” policy annually. • Board Members will agree each year to the policy as evidenced by signature on the “Conflict of Interest Statement.” • 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.” 	
Effective Date: 5/23/12	Approved by: Cedar/Jones ECI Board

Policy ID: 1.11.1	Title: <i>Compliance with Open Records Laws/ Record Accessibility</i>
<p>Policy: The public has a right to examine, copy, or publish a record or the information contained in a record of the Cedar/Jones ECI Board unless it is considered confidential under state or federal law pursuant to Chapter 22 of the Code of Iowa.</p> <p>All records of the ECI area board are subject to the Open Records Law. Iowa Code § 256I.7(5) states in part as follows: “<i>All meetings of an area board or any committee or other body established by an area board at which public business is discussed or formal action taken shall comply with the requirements of chapter 21 [Open Meetings]. An area board shall maintain its records in accordance with chapter 22 [Open Records].</i>”</p> <p>Reference: State ECI Tool E</p>	
<p>Definition: <i>Public Record</i> - all records and information in the possession of, stored, or preserved in any medium.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • All records, documents, tape or other information stored or preserved in any medium, including computer records developed, received, or maintained by the Cedar/Jones ECI Board shall be considered a public record. • If someone from the public has a request for a public record, they should contact the ECI office. • Examination and copying of records will be done under the supervision of the Board Chairperson and/or Director. • A reasonable fee for the services directly attributable to the supervision and copying may be charged to the recipient. • The Board Chairperson and/or Director will provide upon demand or as soon as reasonably practical public records. • A request for public records does not have to be made in writing. • 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.

- Open Records Laws will also be published on the ECI website.

Effective Date: 5/16/13

Approved by: Cedar/Jones ECI Board

Policy ID: 1.11.2	Title: <i>Compliance with Open Records Laws/ Record Retention, Storage, and Disposal</i>
Policy: Cedar/Jones ECI Board records will be stored, retained, and disposed of in a manner that complies with Iowa’s Open Records Law.	
Procedures: <ul style="list-style-type: none"> • Board records including but not limited to annual reports, financial statements, contracts, and program files will be retained a minimum of 7 years. • Records will be retained at the office of Cedar/Jones ECI. • Disposal of records will occur only after verification of any possible policy changes with overseeing entities. • Disposal of records will occur under the direction of the Board on the specific documents to be disposed of (i.e. time frame). 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.12	Title: <i>Liability Insurance</i>
<p>Policy: The Cedar/Jones ECI Board shall obtain Directors’ and Officers’ Liability Insurance annually.</p> <p>“The governing body shall defend its officers and employees, whether elected or appointed and shall save harmless and indemnify the officers and employees against any tort claim or demand, whether groundless or otherwise, arising out of an alleged act or omission occurring within the scope of their employment or duties.” § 670.8</p> <p>“The governing body of a municipality may purchase a policy of liability insurance insuring against all or any part of liability which might be incurred by the municipality or its officers, employees, and agents. . . “§ 670.7</p> <p>Reference: State ECI Tool T</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Director shall be responsible for obtaining information regarding options for Directors and Officers Liability Insurance under the guidance of the Executive Committee and State ECI Tool T. • The information for options will be shared with the Board as an agenda item. • Board action will need to be taken to enter into an agreement with an agency for D&O insurance. • Policy information will be reviewed annually prior to payment. • Monies expended by an area board to acquire necessary insurance or other liability coverage shall be considered an administrative expense. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 1.13	Title: <i>Legal Representation</i>
<p>Policy: In the event that it is deemed necessary, the Board may retain legal representation for assistance and/or consultation.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Under the direction of the Board, the Board Chairperson and/or Director will contact an attorney regarding the matter at hand. • Further procedure will depend on the action necessary and will be carried out under the Direction of the full Board. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.1	Title: <i>Roles, responsibilities and duties of Director and other staff</i>
<p>Policy: Roles, responsibilities, and duties of the Cedar/Jones ECI Director shall be outlined in a job description for identification and clarity of the Director’s position.</p> <p>Reference: State ECI Tool MM</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • A job description is on file and reviewed annually with evaluation of the Director. • The job description is utilized in hiring/selection process of a new Director to provide insight on the requirements of the position. • The job description is formally presented to employee upon hiring and provided a copy for their individual reference. 	
<p>Effective Date: 5/16/13</p> <p>Approved by: Cedar/Jones ECI Board</p>	

Policy ID: 2.2	Title: <i>Contracting with an entity or individual contractor</i>
<p>Policy: The Board shall enter into a contractual agreement for Employer of Record services for Board staff.</p>	
<p>Definitions: Employer of Record - an entity contracted for the sole purpose of providing payroll and human resource services to the employing individual.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Executive Committee will explore options for possible Employer of Record opportunities annually or as needed. • The Board Chairperson and/or Director negotiate the terms of the contract under the direction of the Executive Committee. • Board action is required to approve the contract. • The contract is reviewed, updated, and renewed annually by the Board. • If the Executive Committee deems the contract needs an amendment or termination, contract discussion will be brought to the Board as an agenda item and Board action will be required to approve the change as presented. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.3	Title: <i>Job Vacancies/Hiring/Selection Process</i>
Policy: To establish a standardized process for the hiring and selection of Board staff.	
Definitions: Board staff includes the ECI Director.	
<p>Procedures:</p> <ul style="list-style-type: none"> • A job announcement will be published in at least one newspaper for a minimum of one week. The Iowa Work Force Development Office and the Employer of Record are notified. Posting on the Cedar/Jones ECI website and other employment websites is also appropriate. • A standardized form is used for accepting job applications. (A sample application would be the Application for Employment by Jones County.) Requesting resumes, salary requirements, and cover letters are also acceptable. • Basic skills testing may be done to determine if the applicant has the required job skills. The Iowa Work Force Development Office will do testing. • A committee of Board member representatives will be established to select and interview applicants. • The committee will determine the most qualified applicant and will present the applicant to the Board for Board action. • 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 employee policies and procedures. • The committee will be responsible for contacting applicants in regard to the status of their candidacy. • Solicited resumes will be held for 1 year on file per federal guidelines. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.4	Title: <i>New Staff Orientation</i>
Policy: To provide new staff with appropriate orientation for in their respective position(s).	
Definitions: Staff is the ECI Director.	
Procedures: <ul style="list-style-type: none"> • ECI Area Director will participate in an intensive orientation with the State ECI Office within 60 days post hire. • The Executive Committee will provide orientation within 7 days of hiring. • The Board Chairperson shall contact surrounding ECI areas for consideration of a mentor for the new director. • Orientation will include introductions to all Board members and appropriate State contacts, information regarding community resources, policies/procedures, and knowledge of working environment, as well as upcoming deadlines at a minimum. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.5	Title: <i>Leave of Absence</i>
<p>Policy: The Cedar/Jones ECI Board accepts and adopts the “Leave of Absence” Policy from the Employer of Record contracting entity.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Policies will be adopted from the Employer of Record regarding a “Leave of Absence” Policy. • Immediate responsibilities will be handled and managed by the Executive Committee. • The Cedar/Jones ECI Succession Plan will be utilized. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.6	Title: <i>Annual Performance Evaluation/ Unscheduled Performance Reviews</i>
Policy: Board Staff will receive a regular (annual) written performance evaluation by the Board or designee.	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Board Chairperson shall complete with the direction of the Executive Committee the Director Performance evaluation within 90 days prior to the end of the current fiscal year. • A meeting will be scheduled and conducted by the Board Chairperson with the Director to review the results of the performance evaluation and develop corrective action plans if necessary. • An overview of the results of the performance evaluation will be noted at the next Board meeting. • A complete copy of the evaluation may be requested from the Board Chairperson. • An unscheduled performance review may be conducted as deemed necessary by the Executive Committee. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.7	Title: <i>Staff Compensation and Benefits</i>
<p>Policy: The Director shall be compensated for time worked and granted benefits in alliance with the Employer of Record.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The ECI Director position is a non-exempt, hourly position and subject to overtime wages. • Salary will be reviewed annually upon completion of the Annual Performance Evaluation. • The Board Chairperson under the direction of the Executive Committee will be responsible for making salary recommendations to the Board for review and action. • Salary adjustments are recommended prior to the budget preparation for any new fiscal year, but changes can be recommended at any time at the discretion of the Board. • In the event of a change in the salary, the Employer of Record will be notified by the Director of the change with appropriate documentation from the Board including Board meeting minutes. • Non-salary benefits are reviewed annually and are in accordance with the Employer of Record benefits. 	
<p>Effective Date: 6/21/12 Amended: 5/16/13</p>	<p>Approved by: Cedar/Jones ECI Board</p>

Policy ID: 2.8	Title: <i>Payroll – preparation and review of time cards</i>
<p>Policy: The ECI Director will submit bi-weekly time cards to the Employer of Record documenting hours worked.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Bi-weekly the ECI Director will complete a time card for payroll purposes on the 1st day following the end of the payroll period. • The time card can be faxed or scanned and emailed to the Employer of Record and then followed by a hard copy with an original signature. • The Employer of Record will have a Jones County Board Member liaison sign-off on the time card signifying approval. • The Employer of Record will then use the time card to process payroll for the ECI Director. 	
Effective Date: 6/21/12	Approved by: Cedar/Jones ECI Board

Policy ID: 2.9	Title: <i>Home Office Program</i>
<p>Policy: Parameters will be provided for an employee of the Cedar/Jones ECI Board who is conducting business on behalf of the Board from their home office.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Approval of a home office is at the discretion of the Cedar/Jones ECI Board. • The employee must have a suitable workspace, utilities adequate for installing equipment, and a general work environment that is free from interruptions and provides reasonable security and protection to Cedar/Jones ECI equipment and information. • The Cedar/Jones ECI Board assumes no responsibility for any operating costs associated with an employee using his/her personal residence as an alternative work site. This includes home maintenance, insurance, utilities, etc. • When an internet connection is required to meet the work needs of the Board, the employee will be compensated for actual documented costs of internet charges and shall not exceed \$50 per month. • When an adequate phone service is required for business purposes, the employee will be compensated monthly for the documented cost of the phone service not to exceed \$40 per month. • Itemization of home office expenses shall be approved by the Board designated liaison and then presented to the ECI Fiscal Agent for reimbursement. 	
<p>Effective Date: 6/21/12 Amended: 5/16/13</p>	<p>Approved by: Cedar/Jones ECI Board</p>

Policy ID: 2.10	Title: <i>Terminations</i>
<p>Policy: Terminations of employees can occur in the following manners; 1) Resignation, 2) Dismissal, or 3) Layoff. Iowa is an at-will employer.</p>	
<p>Procedures:</p> <p>1) Resignation: Any employee who wishes to terminate employment shall give a written notice directly to the Board or Board Chairperson and is expected to give as much advance notice as possible, with a minimum of two weeks. The Board officially accepts the resignation at the next Board meeting.</p> <p>2) Dismissal: 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 deemed unsatisfactory. Documentation, to be prepared by the Board or Chairperson, shall include reason for separation, performance history, corrective efforts taken, 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, breach of confidentiality, 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>3) Layoff: If the Board decided a reduction in force is necessary, employees are identified for layoff after evaluating the following factors: work requirements, abilities, experience, and skills.</p> <p>The Board Chairperson will notify the other Board members, the Employer of Record, the Fiscal Agent, and program contacts of the employee termination.</p> <ul style="list-style-type: none"> • The employee’s final check shall include all earned pay and any expenses due the employee. Terminating employees are entitled to receive any benefits in accordance with the Employer of Record policies. • Appeal Procedures for Employees: The appeal must be in writing and submitted to the Board or Chairperson within a seven-day period. The Board will place the appeal on the agenda of the next regularly scheduled Board meeting. The Board decision will be final. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.11	Title: <i>Succession Planning</i>
<p>Policy: A succession plan shall be in place and ready for transition in the event that the ECI Director is no longer available to assume duties of the current position.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Executive Committee under the direction of the Board Chairperson shall utilize the succession plan upon temporary or permanent vacancy in the ECIA Director’s position. • The Board Secretary and the Board Chairperson shall retain a copy of the succession plan. • The plan shall be reviewed annually at a minimum. • The Director shall notify the Executive Committee of any known changes to the plan and provide revised copies to the Board Chairperson and Secretary. • Upon vacancy in the ECIA Director’s position, the Board Chairperson shall notify the State ECI office. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.12

Title: *Travel Expenses for Staff*

Policy: Reimbursable travel expenditures are expenses authorized and incurred while transacting official business on behalf of Cedar/Jones ECI. It is the responsibility of the Director to ensure that all travel charges to be paid by Cedar/Jones ECI are incurred for the benefit of ECI and that the travel is pre-approved if necessary and completed at the most economical and reasonable cost.

Procedures:

- *Paid time, travel time, and overnight as hours of work:*
 - 1) Travel time from office to another point of work and return to the office is paid. In the event that an employee is conducting business from a home office, travel time is paid to and from the employee's home.
 - 2) Overnight stay away from home while conducting business. This paid time excludes sleep, meals, and free time. It includes on duty time.
- *Authorization:* Travel authorization for extended travel and overnight travel shall be subject to full Board approval. Day travel for State and Regional ECI Quarterly Meetings/Trainings shall be at the discretion of the Director and/or the Board Chairperson.
- *Transportation:* The Director may use a personal vehicle for business travel with expenses to be reimbursed at the Jones County mileage allowance rate. Reimbursement will be based on mileage incurred on a reasonably direct route traveled to/from the employee office to the business destination. If it is determined that a less expensive procedure for conducting business could be utilized, mileage reimbursement will not be allowed. No reimbursement will be made for personal travel. Parking fees are an allowable expense and receipts are required for reimbursement. Rates are subject to change each July 1st. The employee assumes liability for his/her vehicle in work related travel.
- *Hotel Reservations:* Hotel selections should be modestly priced accommodations requesting single room "state" or lowest rates. Non-reimbursable expenses should be deducted from the total bill before requesting the reimbursable amount.
- *Meals:* Reimbursement for meals, including tips, shall not exceed \$20.00 per day and shall be paid only for an overnight stay. These expenses do not apply to meals served as an integral part of a conference program registration or participation fee and require a receipt from vendor for reimbursement. A meal is defined as food and drink consumed at one sitting. Alcohol and non-food items are not allowable. Break or refreshment items

purchased to be consumed throughout the day are considered personal discretionary expenses are not allowable.

- *Registration Fees:* Reimbursement for registration fees requires a paid receipt.
- Travel expenses and receipts shall be submitted monthly to the designated Board liaison approval.

Effective Date: 6/21/12

Approved by: Cedar/Jones ECI Board

Policy ID: 2.13	Title: <i>Confidentiality</i>
<p>Policy: The Board promotes confidentiality of the children and families served with ECI funding in Cedar and Jones counties.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The following confidentiality clause is made part of the contracts with service providers funded by the Cedar/Jones ECI Board. <ul style="list-style-type: none"> A. Confidentiality. Information of the ECI 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. Contractor shall not use confidential information for any purpose other than carrying out 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. Contractor shall promptly notify the ECI Board of any request for disclosure of confidential information received by the Contractor. • All Board members, ECI Director, and funded contractors will adhere to this policy on confidentiality. • Families will be made aware by the Contractor that Cedar/Jones ECI funds programming. • Families will agree to sign a statement for Release of Information to share with the ECI Director for program file reviews and data collection. The Director will keep all shared information confidential and only non-identifying information will be shared with the Board for reporting purposes. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 2.14	Title: <i>Purchases made by Staff</i>
<p>Policy: Staff shall purchase office supplies (non-equipment)/postage/Board and Community development items at their own discretion and shall submit original receipts for reimbursement.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Staff shall be responsible for purchasing needed office supplies, postage, and others items necessary for the development of the ECI Board and community partners. • Purchases will be documented on an Expense Sheet and submitted with the receipts for approval and signature by the Board Treasurer on a monthly basis. • Both the expense sheet and the receipts shall then be submitted to the Fiscal Agent for payment. • Original receipts will be required for submission for reimbursement. • An individual item over the amount \$200 will require Board approval prior to purchase. 	
<p>Effective Date: 6/21/12 Amended: 5/16/13</p>	<p>Approved by: Cedar/Jones ECI Board</p>

Policy ID: 3.1

Title: *Notice of Intent/Request for Proposals*

Policy: The Cedar/Jones ECI Board will conduct an open and fair process in contracting for early childhood services in the Cedar/Jones Early Childhood Iowa area.

Procedures:

- Each spring when the Cedar/Jones Early Childhood Iowa Board determines an approximate amount of available funding, the Board will determine the need for Request for Proposals (RFP) for funds.
- Three options will be utilized: 1) a letter for consideration of funds; 2) a limited narrative, a SWOT Analysis and budget request; or 3) a complete Request for Proposal by either one identified funding stream or all available funds.
- A combination of the options may also be utilized.
- If the Board determines that an RFP is necessary either for a portion of or all categorical funds, the Project Oversight Committee will be convened to review and recommend for approval a draft RFP to be released.
- Following approval of the RFP, the document will be released to the public, both through email distribution, notification on the ECI website, and notice in local newspapers.
- If the Board determines that a RFP is not necessary, currently funded programs will be asked to submit a request for funds, complete a SWOT Analysis, a budget defining the financial request, and a one to two page narrative outlining changes within the program and justification of the budget.
- A formal request for a “Letter of Consideration” for funds will be also posted in Cedar and Jones county newspapers to determine if there are any new or unfunded programs that the Board would like to consider.
- The notice will include the request for a one page description of the comprehensive service for children prenatal through 5 years of age in Cedar and Jones counties for the stated fiscal year, goals of the service or program, identified targets, program outcomes, and the dollar amount of the funding request. Also identified will be the priorities of Cedar/Jones Early Childhood Iowa.

- The request for “Letters of Consideration” will also be posted on the Cedar/Jones ECI website and distributed via email to community partners.
- The Director will monitor all requests for funding received and convene the Project Oversight Committee to evaluate the requests and determine next steps.
- Items to consider when determining funding requests for proposals will be current community priorities, level of satisfaction and evaluation of the current contractors, and levels of funding compared to previous year(s).
- Requests for proposals will be done at a minimum of every 5 years.

Effective Date: 5/16/13

Approved by: Cedar/Jones ECI Board

Policy ID: 3.2

Title: *Process for Evaluating Programs and Awarding Funding*

Policy: The Cedar/Jones ECI Board will equally and fairly evaluate programs for awarding funding while meeting the needs of children 0-5 in Cedar and Jones Counties and ensuring that ECI funds are utilized with maximum financial efficiency and performance outcomes.

Procedures:

- All requests for funds will include a short narrative or full proposal, a SWOT Analysis, and a completed project budget form.
- An overview of financial requests by program will be compiled and presented by the Director.
- The Project Oversight Committee will meet to discuss availability of funding, Letters for Consideration, proposals, narratives, and budgets received.
- For Letters of Consideration received the Committee will need to review and the requests and determine if this program is a viable option they want to consider funding. If the Committee determines to explore an option, the program/contractor will be notified and additional information i.e. a proposal will be requested. If the Committee determines that any “Letters for Consideration” received do not require further evaluation and will not be considered for funding, a recommendation will be taken back to the Board and pending approval, a letter will be sent to the contractor outlining such.
- When a full proposal is received, committee members will receive copies of each proposal and a scoring sheet and asked to read the proposal and complete the scoring sheet before the next scheduled committee meeting.
- When only a short narrative is being requested from contractors, committee members will receive copies of the narratives and asked to read the requests and complete the Funding Review Tool before the next scheduled committee meeting. Committee members will also be asked to consider items for program SWOT Analysis to be completed at the next meeting.
- When the Project Oversight Committee meets after members have read and reviewed all requests for funding, collectively the group will evaluate and complete a SWOT Analysis on each program.

- The Committee will then compare the results of their completed SWOT Analysis against that the contractors completed on their programs.
- Results from either the Scoring Sheet or Funding Review Tool will be compiled and shared with the committee.
- The Committee will then begin to evaluate funding requests based on: 1) funding availability, and 2) categorical requirements, and 3) committee scoring.
- A completed funding recommendation and analysis will be shared with the Board at the next regularly scheduled meeting.

Effective Date: 5/16/13

Approved by: Cedar/Jones ECI Board

Policy ID: 3.3.1

Title: *Program Budgeting - Request of Funds*

Policy: A Program Budget Form will be utilized for programs requesting ECI funds to maintain consistency by requests.

Procedures:

- Any program/contractor requesting Cedar/Jones ECI funds will be required to completed and submit a Program Budget and Justification Form. The form shall be submitted with any requests for funding and an amended form in its final draft shall be included as part of the program contract.
- Program Budget Categories will be defined as either Direct Costs or Indirect Costs.

DIRECT COSTS

- Salaries – Included will be program staff that provides the program service directly to recipients or direct supervisor of program staff. Noted should be the name and title of the individual, their annual salary or hourly wage, the percent of time he/she will devote to this program and the amount requested per position.
- Benefits, and Taxes –Includes any personal benefits such as health or dental insurance that are associated with the salary section. Include state, federal, and unemployment taxes, worker’s compensation, unemployment insurance and other benefits or taxes.
- Program Costs – Includes expendable office supplies or materials used in providing the program service to recipients, i.e. activity items, curriculum, and for costs directly related to program promotion. Expenditures for large items must be itemized.
- Participant Supports -- Monies paid to participants to encourage or enhance program participation, i.e. child care reimbursement, incentives, meals, transportation.
- Sub-Contracted Services – Services contracted out to another entity to assist in the implementation of the program.
- Travel – Mileage associated with providing a service of the program. Personal mileage for the commute to and from the office is not allowed. Program mileage rate should be noted and not exceed the federal IRS rate.
- Professional Development – Includes training and conference registration fees for direct service providers and associated travel costs, i.e. meals, lodging, mileage. Does not include any employee salaries. Out-of-state travel must be pre-approved by the ECI Board.

INDIRECT COSTS

- Indirect program/administrative costs are those that are for common or joint objectives and therefore cannot be identified readily and specifically in regard to a particular program, but are nevertheless necessary to the operations of the organization. Items include agency office

expenses, office furniture, technology costs, utilities, in-direct supervision, accounting, shared telephone, copying expenses, etc. Indirect costs are limited only to expenses incurred in the delivery of the contracted program.

Effective Date: 3-9-12

Approved by: Cedar/Jones ECI Board

Policy ID: 3.3.2	Title: <i>Program Budgeting - Indirect Cost Rate</i>
<p>Policy: Cedar/Jones ECI shall have an established policy for the utilization of Indirect Cost Rates and allowable indirect administrative costs.</p>	
<p>Reference: Tool H (A)</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Indirect program administrative costs include agency office expenses, office furniture, technology costs, utilities, in-direct supervision, accounting, telephone, copying expenses, etc. Indirect costs are limited only to expenses incurred in the delivery of the contracted program. • Indirect costs can be claimed at a maximum of 3% of the total funded budget with no additional documentation. • Should an agency wish to claim in excess of the 3% indirect costs, the agency shall provide documentation of an established agency Indirect Cost Rate or provide necessary administrative cost documentation related only to the contracted program. • Even with additional documentation, Indirect Costs shall not exceed 10% of the total funded budget. This will be calculated by multiplying the sub-total by 10% to obtain the maximum administrative costs. 	
<p>Effective Date: 3-9-12 Amended: 5/16/13</p>	<p>Approved by: Cedar/Jones ECI Board</p>

Policy ID: 3.3.3	Title: <i>Program Budgeting – Amendments</i>
<p>Policy: Amendments of Program Budgets in excess of 10% per line item will need the approval of the Cedar/Jones ECI Board.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • An annual program budget shall be submitted with a signed contract between Cedar/Jones ECI and the funded program. This will be considered the working budget for the contract period unless the Contractor requests an amendment. • If a Contractor is anticipating a line item to need additional or less funding, a budget amendment request can be made to the Director prior to expenditure. • The Director will present the budget line item adjustments beyond 10% of each individual line item in budget to the full Board for their approval with a written request and explanation. • The Contractor may be asked to attend the Board meeting to explain any request to the Board. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 3.4	Title: <i>Requirements for Formal Contract</i>
<p>Policy: All Cedar/Jones ECI funds will be contracted for a service to be provided.</p> <p>Reference: State ECI Tool QQ</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Contract shall include key components including but not limited to: <ul style="list-style-type: none"> ○ Identity of Parties ○ Duration of Contract ○ Purpose ○ Scope of Services including Performance Measures ○ Monitoring and Review ○ Compensation ○ Termination ○ Indemnification ○ Insurance ○ Contract Administration ○ Execution • The Board may utilize and review any templates provided by the State ECI Office, i.e. State ECI Tool QQ. The Board may also choose to utilize components of the DHS/DECAT Contracts. • The Board will exercise the option at their discretion to have the contract reviewed by legal counsel. 	
Effective Date: 5/26/13	Approved by: Cedar/Jones ECI Board

Policy ID: 3.5	Title: <i>Review and Sign-Off of Contract</i>
<p>Policy: The Cedar/Jones ECI Board Chairperson and the Contractor shall review and sign-off on the contract. Both entities will receive an original of the contract for their records.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Once the Board has approved funding recommendations, a letter/email will be sent to the contract notifying them of the funding award, time frame, and amount. • The Director utilizing the approved template will prepare a draft contract. • The Director will arrange a meeting with the Contractor to discuss details of the contract and required Performance Measures. • Once a formal Cedar/Jones ECI budget has been approved from the State ECI office, the Director will send two copies of the contract to the contractor for their signature. • Upon receiving back the two-signed copies of the contract and any adjusted budget based upon the actual allocation, the Board Chairperson will sign both copies. • An original signed copy will be returned to the Contractor. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 3.6	Title: <i>Monitoring/Terms of Contract/ Performance Measures/Financials</i>
<p>Policy: The Board will monitor the performance on the Contractor to ensure that the Contractor is meeting the deliverables of the contract and achieving the specified results and targets.</p> <p>Reference: State ECI Tool VV</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Programs will be required to submit quarterly program and financial reports that follow the format designated by the Director and include at a minimum: demographic data, activities performed, state and local performance outcomes and measures as outlined in the contract. Reporting periods and due dates are also outlined in the contract. • The Director at Board meetings, allowing Board members to ask questions, and take action on the approval of the submitted reports, will review quarterly Program and Financial Reports. • The Contractor will also provide the Director with time allocation sheets and/or activity reports outlining time spent on the project, activities performed, and work with providers. These documents will be reviewed by the Director and made available at the request of the Board. • The Contractor will be asked to participate in formal operational and financial performance review at contract mid-year. This review shall include but not be limited to current performance measures as well as expenditures to forecasted budget, terms of the Contract and progress toward implementation of the program, goals, achievements, outcomes, evaluation, and utilization of funds. This review will be conducted by the Project Oversight Committee in January of the current fiscal year prior to the Board meeting in that month. • If items are deemed to need further clarification or review, the Contractor may be asked to be present at the Board meeting for discussion of the program. • Contractors will also be asked to provide the Board with a short presentation annually on the outcomes of the program not reflected in the data, i.e. a story of program success and/or struggles and include examples of someone affected by the utilization of ECI 	

funds.

- The Director will also request and document upon receipt verification of Contractor insurance as required in the contract.

Effective Date: 5/16/13

Approved by: Cedar/Jones ECI Board

Policy ID: 3.7	Title: <i>Performance Reviews On-Site</i>
<p>Policy: Annually the Director shall conduct an on-site review of the contractor and applicable program files as related to the service being provided.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • As stated in the contract, the Contractor agrees that the Board’s duly authorized and identified agents or representatives (Director) shall have the right to access any and all information pertaining to the Contract. • The Director shall in the Late Winter/Spring of each Fiscal Year contact the contractor and arrange for a meeting at the location of the Contractor’s office to do an on-site review. • The Director shall ask to have files made available at the time of the site visit pertaining to the service being offered. • File requests will vary depending on the type of service being contracted. Examples include but are not limited to: staff files and documentation of qualifications, time studies, and professional development; documentation relating to the QRS, i.e. Health and Safety Assessments; attendance and program information for professional development; child files for the behavioral services; attendance records for Preschool Scholarships; and child and family files for Family Support programming. • The Director will review files with the assistance of the program supervisor allowing dialogue and understanding of the process on the part of both parties. • Contractors are also to notify program participants that program participation is voluntary and that review of confidential information may be shared with ECI. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 3.8	Title: <i>Non-compliance with contract requirements</i>
<p>Policy: The Cedar/Jones ECI Board will address issues with contract non-compliance</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • If an item regarding contract non-compliance is brought to the attention of the Director and/or a Board member, the item will be discussed at the next regularly scheduled Board meeting. • A committee will be formed and to further explore the issue of non-compliance. • The committee will meet with the Contractor to discuss the issue with the intent of resolving the identified issue. • Should further intervention be warranted, the Director will contact the State ECI office and request their participation. • A course of action for addressing the non-compliance shall be noted in the M&R Document. • Regular updates towards progress of resolving the non-compliance item will be discussed at Board meetings and documented. • If the Board deems that termination of the contract is necessary, Board action will be taken and 60 days written notice shall be provided to the Contractor. • The Board’s Appeals/Concerns Process Policy will be shared with the Contractor. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 3.9	Title: <i>Contract Amendments</i>
<p>Policy: The Cedar/Jones ECI Board will request an amendment to a program contract where expenditure of funds is anticipated to not occur within the current fiscal year or where a program is requesting additional funds for expansion of program services.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • When it is brought to the attention of the Board that a contractor will not expend funds during the current fiscal year or that additional funds are needed, the Director will discuss and/or meet with the contractor to determine the actual dollar amount of potential funds that are anticipated to be needed or not expended and establish a projected budget for the remainder of the current fiscal year. • The Director will recommend that a Contract Amendment be offered to the Contractor in a specified amount, describe any change in programming, and seek Board approval of the amendment and adjusted budget. • An amendment for additional funds will only be offered if funds are available. • The presence of the Contractor at the Board meeting when the amendment is discussed may be requested. • Two copies of a contract amendment and budget will be sent to the Contractor for their approval and signature. • The Board Chairperson will sign off on both copies and one original will be returned to the Contractor. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 3.10	Title: <i>Appeals/Concerns Process</i>
<p>Policy: Cedar/Jones ECI Board’s appeal policy provides community residents, recipients of services, potential community service providers and the current contracted service providers a structured process with timeframes by which they may express a concern by appealing to the board.</p> <p>Reference: State ECI Tool BB</p>	
<p>Procedure: Concerns can be expressed through verbal and/or written procedures.</p> <p>VERBAL APPEAL/OPEN FORUM:</p> <ul style="list-style-type: none"> • A verbal concern is voiced at the Cedar/Jones Early Childhood Iowa Board Meeting. • Board Members hear the concern. • Board Members respond to the concern. • Board Chairperson assures the concern is resolved by a direct question and the response. • In the event the concern is not resolved, the Board Chairperson offers the person(s) an opportunity to follow the written appeal process. <p>WRITTEN APPEAL:</p> <ul style="list-style-type: none"> • Appeal or concern is put in writing and signed by person(s). • Written appeal is submitted to the Board Chairperson. <ul style="list-style-type: none"> ○ Appeal is submitted by certified mail, return receipt requested, or delivered in person. • Appeal is taken to the Executive Committee to determine presentation to the Board. • Appeal is discussed and appropriate action taken at the Board Meeting. • Board’s decision is issued from the Board Chairperson to the person(s) submitting the appeal within 60 calendar days of date of appeal. <ul style="list-style-type: none"> ○ The decision/response to the appeal is returned certified mail, return receipt requested. <p>In the event, the appellant wishes to continue with a process to appeal the Board decision/response, the next option would be through the judicial/legal system.</p>	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 3.11	Title: <i>Reviewing Program Audits</i>
<p>Policy: The Cedar/Jones ECI Board will review findings of independent financial audits or financial reviews (if conducted) for any program, service, or activity funded by the Board.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • In late Fall or Early Spring, the Director will contact the current contractors and request a copy of any audit or portion of any audit including ECI funds for the prior fiscal year. • The Director will share the audits with the Executive Committee for their review. • The Executive Committee will make a recommendation to the Board on whether or not to accept the audits as presented. Also noted will be any identified areas of concern. • If the Executive Committee determines that further review is necessary, the Director will contact the Contractor and request a meeting to discuss the results of the audit. • The Board will take action for approval or denial of acceptance of the financial audits as presented and based on the recommendation of the Executive Committee. • Denial of a report will warrant further information from the contractor. • The Director will have the audits available for further review but complete copies will not be shared with the full Board. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 3.12	Title: <i>Closing Out a Contract</i>
<p>Policy: The Cedar/Jones ECI Board will maintain contracts and program files in a manner so that files can easily be located and reviewed and utilized in the future if need arises.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The following will be kept in the contractor file following the end of the current contract term: <ul style="list-style-type: none"> ○ Program proposal, narrative, or letter for consideration ○ Budget request ○ Contract ○ Contracted budget ○ Monthly claims and supporting documentation ○ Program Evaluations ○ Annual Financial Report ○ Annual Program Report ○ Performance Measure matrix as submitted with ECI Annual Report ○ Completed Monitoring & Review (M&R) Document ○ Any necessary communication/documentation with the contractor • Closed files will be placed in storage boxed dated and named with contents. • The Director will be responsible for closing the contract file once the Annual Report evaluation has been received and reviewed by the Board. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.1.1

Title: *Fiscal Agent - Selection Of & Annual Agreement*

Policy: Cedar/Jones ECI shall designate an entity to serve as the fiscal agent for Early Childhood Iowa grant funds and for other funds administered by the area board.

Reference: State ECI Tool R and Tool HH

Procedures:

- Iowa law requires that the entity meet one of the following criteria:
 - An Iowa public agency, as defined in Iowa Code, section 28E.2
 - A community action agency as defined in Iowa Code, section 216A.91
 - An area education agency established under Iowa Code, section 273.2
 - A nonprofit corporation
- The Cedar/Jones ECI Board will have a signed agreement with a fiscal agent to clearly define the roles and responsibilities of each. Templates provided by the State ECI office will be utilized as guidance.
- The Fiscal Agent Agreement must meet the required elements of State ECI Tool HH. These required elements are also identified in Attachment A of the grant agreement between the local area board and the State of Iowa.
- Annually the Board will discuss the effectiveness of the Fiscal Agent, contract terms, and the offering of a new or renewed contract.
- Should the Board desire considerations for other Fiscal Agents, recommendations will be taken from members for possible options.
- The Chairperson and the Director will be responsible for contacting and having discussions with possible Fiscal Agent options.
- Options will then be discussed with the Executive Committee who will negotiate a contract and make a recommendation for a Fiscal Agent to the full Board.
- Should the Board desire to continue contracting with the current Fiscal Agent, the Fiscal Agent will be notified, requesting any changes to the contract if necessary and agreement to move forward.
- The Executive Committee will be responsible for reviewing any contract changes and negotiating any new/revised contract terms.
- The Director will present the Board and the Fiscal Agent with the new contract asking the approval from both entities.
- Two originals will be signed by the ECI Board Chairperson and the identified individual on behalf of the Fiscal Agent.

- Each entity will retain an original for their records.

Effective Date: 5/16/13

Approved by: Cedar/Jones ECI Board

Policy ID: 4.1.2

Title: *Fiscal Agent - Responsibilities*

Policy: Responsibilities shall be outlined and agreed upon contractually for Fiscal Agent Services between the provider of services and the Cedar/Jones ECI Board.

Reference: State ECI Tool O, Tool R, and Tool HH

Procedures:

The Fiscal Agent shall:

- Deposit Early Childhood Iowa funds in an interest bearing account separate from other funds of the Fiscal Agent and in accordance with Iowa Code Chapter 12C and the Cash Management Improvement Act, 31 U.S.C. §650 I et seq.
- Issue payments from Early Childhood Iowa grant accounts as directed by authorized Board personnel.
- 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.
- Be responsible for completing and submitting any 1099 reports as required by federal or state law or regulation.
- Maintain separate accounting records for School Ready Children Services and Early Childhood Program funds that at a minimum include the following:
 - For each School Ready Children Services grant payment and for each Early Childhood Program grant payment made as directed by the Board:
 - The date written authorization was received from the Board Staff.
 - The name of the authorized Board staff authorizing the payment.
 - The name and mailing address of the payee.
 - The amount of the payment.
 - The check number or other unique identification of the payment.
 - The date the payment was mailed or hand-delivered to the payee.
 - The date the payment is cleared or paid out of the Early Childhood Iowa grant account or account containing Early Childhood Iowa grant funds.
 - The date of any stop payment requested by the Fiscal Agent and the reason.
 - Running balances for each fund which includes:
 - The cumulative amount of payments authorized by the Board.
 - The cumulative amount of payments issued.
 - Available Early Childhood Iowa grant funds that are not encumbered or otherwise allocated for payments made but not yet cashed.

- Separate running balances for Administrative funds and Program funds, including categorical funding streams for the School Ready Children Services fund and Early Childhood Program fund.
- The following shall be considered:
 - Administrative expenses for School Ready Children Services are not to exceed 3% of the annual School Ready grant.
 - Administrative expenses for the Early Childhood Program shall not exceed 5% of the annual Early Childhood grant.
 - Interest accrued is to be added to program funds for each grant.
 - Early Childhood funds have a time limit for expending, obligated with a federal fiscal year and expended by the end of the subsequent federal fiscal year.
 - The Board may carry forward up to 20% of the current year's allocation into the next fiscal year. If the board's carry-forward amount is over the 20% limit, the board's allocation amount is reduced the following year by the amount in excess of the amount allowed.
- Identify 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 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 account constituting Early Childhood Iowa grant funds.
- Submit monthly expenditure reports, based on an accrual reporting system, within 21 calendar days from the end of the prior month to the Board.
- Submit monthly copies of bank statements identifying account balances for both the School Ready Children Services fund and Early Childhood Program fund.
- Submit a report within 45 calendar days from the end of the agreement period, or such earlier date as the agreement may be terminated, to the Board.
- Submit a report to the Board on any audits performed as well as the findings of any audits of the accounting records for the School Ready Children Services and Early Childhood Program funds.
- Return unexpended Early Childhood Iowa grant funds, and accrued interest as may be required by law, to the 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.
- Reconcile its records for the payment and distribution of Early Childhood Iowa grant funds with the Board as requested by the Board.
- Maintain records that document the validity of all reports submitted to the Board for a period of five years.

Effective Date: 5/16/13

Approved by: Cedar/Jones ECI Board

Policy ID: 4.1.3	Title: <i>Fiscal Agent - Annual Payment</i>
<p>Policy: Annually a payment will be made to the Fiscal Agent for services rendered.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Fiscal Agent will submit an invoice annually to the Director for the contracted amount in June of the current fiscal year for services rendered. • The Director will review the invoice for accurateness and timeliness, sign-off on the invoice, receive approval from the Board Treasurer, and submit back to the Fiscal Agent for payment. • The Fiscal Agent will follow the same procedure for paying their entity for Fiscal Agent Services as all other invoices are paid. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.1.4	Title: <i>Fiscal Agent – Review of Audit</i>
<p>Policy: A fiscal audit of the Board’s financial records is completed and reviewed as part of the audit performed on behalf of the Fiscal Agent.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Results of the audit conducted for the Fiscal Agent will be provided to the Director and shared with the Board at the next regularly scheduled meeting. The Fiscal Agent shall submit the report within 15 workdays of its receipt. • The Board will take action for acceptance or denial of acceptance of the financial audit as presented. • Denial of a report will warrant further information from and discussions with the Fiscal Agent. • The Fiscal Agent may be asked to attend the Board meeting for explanation of the audit or items in question. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.1.5	Title: Fiscal Agent – Agreed Upon Procedures
<p>Policy: All ECI Area boards that expend less than \$500,000 in federal funding and do not have an audit conducted must utilize the agreed-upon procedures as a part of the fiscal agent’s audit.</p> <p>Reference: State ECI Tool UU</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Cedar/Jones ECI Financial Records will be included in the audit completed on behalf of the Fiscal Agent. This procedure will be know as the Agreed Upon Procedures. • Additional costs associated with the Agreed Upon Procedures will be identified prior to the start of the fiscal year to be audited and included in the Fiscal Agent Agreement or an additional agreement with the Auditor. • State ECI Tool UU will be shared with the Fiscal Agent and Auditor for utilization. • ECI funds are to be reviewed through the procedures outlined in Tool UU Agreed Upon Procedures (AUP). • The AUP will be conducted anytime between the close of the annual records and March 31 of the following year. • The audit or agreed-upon procedure must cover the state fiscal year (July 1 - June 30). • The auditor must email or send a copy of the final audit report to the Early Childhood Iowa Office in the Department of Management within 10 calendar days of report being accepted by the area board. 	
<p>Effective Date: 12/18/14</p>	<p>Approved by: Cedar/Jones ECI Board</p>

Policy ID: 4.2.1	Title: <i>Budgeting - Fiscal Year Budget</i>
<p>Policy: Cedar/Jones ECI will submit a Fiscal Year Budget to the State Early Childhood Iowa Office by July 15th of the current Fiscal Year.</p> <p>Reference: State ECI Tool G and Tool O</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • After the Project Oversight Committee has completed their process for funding recommendations for the upcoming fiscal year, the Director will complete the Fiscal Year Budget on the template provided by the State ECI office assuring that all programs can be funded within required categorical requirements. • Discussions will continue with the Project Oversight Committee until a budget can be completed meeting their funding recommendations and state legislated categorical requirements. • The Fiscal Agent will be asked to review the Budget for mathematical corrections and verification that allocation amounts for all funding, programs, and categories are correct. • Funding recommendations and a completed Fiscal Year Budget will be presented to the full Board for discussion and their approval. • The Director will submit the Fiscal Year Budget to the State ECI Office by July 15th noting date the Board approved the budget. • A final copy will also be shared with the Fiscal Agent and each Board member. • The Director will enter the approved budget into the Financial Statement for the next Fiscal Year creating a template for use and submit to the Fiscal Agent. • Necessary corrections or clarifications from the State ECI office will be responded to upon immediate receipt by the Director. • No contractors will be allowed to expend funds until approval has been received from the State ECI office regarding the submitted budget. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.2.2	Title: <i>Budgeting - Amendments</i>
<p>Policy: Cedar/Jones ECI will submit a budget amendment to the State ECI Office if an additional program/contractor has been approved for funding following the submittal of the original budget.</p> <p>Reference: State ECI Tool O</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • If the Board wishes to fund a program and has taken formal action to fund a program that was not submitted as part of the submittal of the original budget, the Director will complete a budget amendment. • An amended budget will be submitted to the State ECI Office on the originally submitted budget form. • Once the State ECI office has approved the amended budget, a contract will be offered to the new program. • A copy of the amended budget and meeting minutes verifying Board action to amend the budget will be shared with the Fiscal Agent. • The Director will make the updated change on the monthly Financial Statement and submit to the Fiscal Agent for their continued use. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.3.1	Title: <i>Revenue - Electronic Funds Transfer (EFT) Deposits</i>
<p>Policy: Electronic Funds Transfer (EFT) will be utilized as an option for transfer of funds for Cedar/Jones ECI from the Dept. of Education and the Dept. of Human Services to the Fiscal Agent acting on their behalf.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Cedar/Jones ECI Fiscal Agent shall complete the required EFT Deposit form and submit to the Dept. of Human Services and the Dept. of Education if they choose to receive ECI funds by EFT. • When the Fiscal Agent receives an Electronic Funds Transfer notice from either the Department of Human Services or the Department of Education, a copy is made of the notice and filed in the Cedar/Jones Early Childhood Iowa (ECI) current fiscal year file. • The deposit is recorded in both the Fiscal Agent electronic system utilizing the ECI code as a positive liability (money in) and in the ECI Cash Balance log showing a receipt of funds. • An email is sent to the ECI Director with notification that a deposit has been made, the amount of the deposit, and whether the deposit was made in the School Ready or Early Childhood fund. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.3.2	Title: <i>Revenue - Processing of checks and cash received in the mail</i>
<p>Policy: The Fiscal Agent shall process checks and cash received in the mail on behalf of Cedar/Jones ECI in a timely and fiscally responsible manner.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • For items received in the mail, the School District Secretary opens the the mail and logs in checks or cash received in the district cash receipts log, noting the date, payer, amount, and purpose of check/cash receipt. • The check/cash and receipt is then passed onto the School District Business Manager/ECI Fiscal Agent designee. • The Fiscal Agent designee records in the Cedar/Jones ECI Cash Balance Log receipt of funds. An ECI Cash Balance Log is maintained on a paper document and kept in the Cedar/Jones ECI current year file. An ECI cash balance is also maintained on the Fiscal Agent finance system. • A copy is made of the check and attached to the notice received. • Checks are stamp endorsed by the Fiscal Agent designee. • A deposit is then made at the local bank under the ECI fund by the Fiscal Agent designee. • An email is sent to the ECI Director notifying that funds have been received and deposited. • Funds are deposited within two business days of receipt. • Monthly the School District Secretary and the Fiscal Agent Designee verify a random sample of receipts and documentation of the deposit process from start to finish to ensure proper fiscal accountability of deposits made. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.3.3	Title: <i>Revenue - Interest Earned</i>
<p>Policy: ECI Funds are in an interest bearing account and accrued and added into appropriate accounts and utilized for program services.</p>	
<p>Reference: State ECI Tool G</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Interest is directly deposited into the ECI bank account. • Upon receipt of the Monthly Bank Statement, the Fiscal Agent reviews the monthly interest received and notes the amount in the ECI Cash Balance Log, both electronically and via the paper copy. • The interest is proportioned between the school ready and the early childhood fund balances based upon the balance in each of the accounts at the end of the previous month. • Interest is then noted on the respective financial statements and rolled into the “other funding” category in school ready and into the program funding in early childhood. • The board must use interest earned to support programs, service and activities linked to the area’s community plan. The board cannot use any interest earned to support administrative costs. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.4.1	Title: <i>Expenditures and Disbursements – Invoice Requirements/Review/Deadline</i>
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Policy: The Cedar/Jones ECI Board will reimburse contractors for program expenses related to the services of the contract.

Procedures:

- The contractor/program is responsible for completing the Reimbursement Request Form and submitting to the Director by the 8th of the month outlining expenses related to services performed under the contract.
- Claims not received by the 8th of the month will be held for payment until the following month.
- All expenses require detailed expenditure claims and supporting documentation; i.e. an invoice, payroll register, time activity logs, receipts, etc.
- Expenses will be reviewed by the Director and the Board Treasurer for accuracy, detailed documentation, and fiscal accountability to the provisions outlined in the program contract.
- The Director will document on the form the program to which the funds will be pulled from, the date the request was received, the amount of the claim, and signature by the Director showing approval.
- A spreadsheet showing combined monthly expenses will be created by the Director and reviewed and signed off by the Board Treasurer.
- The spreadsheet of combined monthly expenses and copies of the Reimbursement Request Forms will then forwarded to the Fiscal Agent for payment by the 2nd Wednesday of each month.
- Payment may be denied or reimbursement withheld due to lack of sufficient billing explanation and/or documentation.
- Payments shall be issued to the individual, vendor, business, or other entity identified by the Board, in the amount specified, and to the address provided by the Director.
- A Reimbursement Request Form is provided to the programs by the ECI Director at the start of each Fiscal Year.

Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board
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Policy ID: 4.4.2	Title: <i>Expenditures and Disbursements – Director/Staff Expense Reports/Reimbursements</i>
<p>Policy: The Director is responsible for incurring expenses related to the position and submitting a monthly claim for reimbursement.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Director shall record and track all expenses related to the performance of the position, keeping all receipts of items purchased, noting mileage incurred, etc. • The Director shall prepare, sign, and submit with original receipts to the Board Treasurer a monthly expense report and monthly mileage claim form for approval and signature. • Upon receiving approval from the Board Treasurer, the Director’s monthly expense report and monthly mileage claim are submitted to the Fiscal Agent for payment along with the other monthly claims 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.4.3	Title: <i>Expenditures and Disbursements – Invoice/Payment Approval</i>
<p>Policy: The Fiscal Agent, acting on behalf of the Cedar/Jones ECI Board, shall make payment to contractors for services rendered.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Copies of the Reimbursement Request Forms are submitted to the Fiscal Agent for payment . • The Fiscal Agent designee will approve expenses by the 3rd Monday of each month or within 21 days of receipt of the Reimbursement Request Form contacting the Director with any items in question. • The Fiscal Agent will enter each claim into the Fiscal Agent finance system and total of the monthly claims as a liability (money out) onto the ECI Cash Log Balance. • A Bills Listing will be printed for the ECI account from the Fiscal Agent electronic system outlining payments to be made for that current month. • The ECI List of Bills is reviewed and approved at a public meeting by the governing board of the Fiscal Agent. • The Secretary and the President of the governing board for the Fiscal Agent sign off on the List of Bills certifying the correctness of the list. • Reimbursement checks will be printed from the Fiscal Agent electronic system with signatures printed of the Fiscal Agent and Board Secretary and President. • Checks will be crossed checked with the Reimbursement Request Forms, copied, stuffed, and mailed directly to the funded programs by the Fiscal Agent designee. • The copied checks, the Reimbursement Request Forms, and the Bills Listing for the current month will be filed in the ECI current financial file. • The Fiscal Agent will add all bills paid to the ECI Financial Report, cross-referencing the totals on the Bills Listings, the balances in the Cash Balance Log, in the electronic system, and on the ECI Financial Report. • An updated ECI Financial Report will be sent to the ECI Director for review. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.5.1	Title: <i>Reporting - Monthly Financial Statements</i>
<p>Policy: The Fiscal Agent shall be responsible for submitting a monthly expenditure report to the ECI Board.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Fiscal Agent shall prepare and submit to the Director a monthly expenditure report. • The report shall be based on an accrual reporting system and shall be submitted within 21 calendar days from the end of the prior month. • The report shall be submitted in a format agreed to by the Board and the Fiscal Agent and shall include running balances of both the School Ready and Early Childhood funding streams. • The report shall also include individual payments made to contractors, monthly cumulative amounts of payments issues, interest accrued, deposits made, and running balances and expenditures by categorical funding. • The Director will review the report before the next Board meeting and work with the Fiscal Agent to resolve any discrepancies. • The monthly financial statement will be a regular agenda item to which the Board and review, ask questions, and accept the report as presented. • Questions not able to be answered by the Director will be deferred to the Fiscal Agent with an answer to be available for the following meeting. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.5.2	Title: <i>Reporting - Reconciliation of Bank Statements with Financial Records</i>
<p>Policy: The Fiscal Agent and Cedar/Jones ECI will verify Fiscal Agent records of Cedar/Jones ECI funds with Bank Statements ensuring that all entities agree on the amount of available Cedar/Jones ECI funds.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Fiscal Agent receives the monthly bank statement of Cedar/Jones ECI funds. • A comparison is made between the ECI Cash Balance Log and the bank statement. • A reconciliation of Bank Statement form is completed and placed in the Cedar/Jones ECI current year file. • A copy of the reconciliation statement and the bank statement is made for the ECI Board and provided to the Director. • The Director receives a copy of the Bank Statement from the Fiscal Agent and the Director compares figures on the Financial Statement with the Bank Statement verifying cleared checks and checks and deposits that are still outstanding. A balancing log is created and submitted with document copies to the Board Treasurer for review and approval. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.5.3	Title: Mid-Year and Year-End Online Financial Reporting
<p>Policy: The Cedar/Jones ECI area shall report financial data mid-year and at the end of the fiscal year based on a schedule identified by the Early Childhood Iowa Office.</p>	
<p>Reference: State ECI Tool SS</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Mid-year and at year end, the ECI Director shall complete and submit required financial data using an electronic survey identified by the State ECI office by the required reporting deadline. • Financial Data requested shall include: <ul style="list-style-type: none"> ○ Cumulative income including current year payments, carry-forward from the previous year, and interest earned; ○ Total disbursements in the reporting period; ○ Total cumulative disbursements from July 1st to the end of the reporting period; ○ The percentage of funding expended; ○ And comments/rationale for the percentage of funds expended. • Financial data shall be utilized from the Financial Statement provided by the Fiscal Agent. • If the ECI Director has questions regarding the reporting of the required Financial Data, the Fiscal Agent shall be consulted. 	
Effective Date: 5/15/14	Approved by: Cedar/Jones ECI Board

Policy ID: 4.5.4	Title: <i>Reporting - Year End Financial Statements</i>
<p>Policy: Year End Financial Statements for Cedar/Jones ECI will be prepared and submitted to the State ECI Office by September 15th.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • After the Director has received the final financial statement from the Fiscal Agent, the Director will complete the Year End Financial Statement for Cedar/Jones ECI on the form provided by the State ECI Office. • The completed year-end statement will be sent to the Fiscal Agent for their review and signature. • The Board Treasurer will also review the Year End Financial Statements prior to the Board meeting. • The Board will approve the Year End Financial Statement as part of the Cedar/Jones ECI Annual Report at the August Board Meeting. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.6	Title: <i>Voided Checks and Stop Payments</i>
<p>Policy: If a check/payment is determined to be lost, the lost check will be voided and payment will be re-issued.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • If a Cedar/Jones Early Childhood Iowa check is reported as missing, the Director will notify the Fiscal Agent of the lost check. • A three-week waiting period is required between the date the check was first issued and the date the stop payment can be ordered. • Once that time has elapsed, the Director will ask the Fiscal Agent to request a stop payment and re-issue payment. • A program can request that the three-week waiting period be waived. • The cost of the stop payment is the part of the program allocation and will be deducted from the re-issued check. • The issuing bank determines the Stop Payment fee. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.7	Title: Cost Allocations
<p>Policy: Cost allocation is the assignment of costs among funding sources, i.e. Early Childhood and School Ready. Administrative costs will be allocated between Early Childhood and School Ready funds so that each funding source bears its “fair share” of the cost.</p> <p>Reference: State ECI Tool DD</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Annually a percentage of revenue by each of the funding sources, Early Childhood and School Ready, will be determined by dividing the current year of each funding source allocation by the total combined School Ready and Early Childhood current year allocation. • The resulting percentages will then be multiplied by each Administrative Cost to determine the fair share of each cost between the School Ready and Early Childhood funding sources. • Resulting figures will then be budgeted between the Early Childhood and School Administrative funds. • This procedure will be conducted for all Administrative Costs until one funding source or the other has been fully expended. • If funds are not adequate to cover all Administrative Costs aligning with the appropriate funding source, the other funding source will then cover the costs as allowable. • The last item to distribute per cost allocation processes will be the ECI Director Salary and benefits. Any remaining ECI Director costs will then be allocated to the Quality Funding category. • Final expenses will be compared against budgeted expenses. Adjustments will be made at the end of each Fiscal Year to ensure that Administrative Costs have been appropriately cost allocated between the School Ready and Early Childhood funds. 	
Effective Date: 5/15/14	Approved by: Cedar/Jones ECI Board

Policy ID: 4.8	Title: Property and Equipment
<p>Policy: To maintain a protocol for purchasing non-supply items and for an ongoing itemization of the property of Cedar/Jones ECI.</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • The Director with the guidance of the Executive Committee will be responsible for presenting any equipment requests to the Board for approval, purchasing the equipment, and receiving reimbursement for any purchased item. • Purchase of any necessary property or equipment above and beyond the amount of \$200.00 will need the approval of the Board. • The Director will be responsible for maintaining documentation of any ECI property in the ECI Succession Plan. 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.9	Title: <i>Record Retention</i>
Policy: The Cedar/Jones ECI Board will maintain records for a minimum of seven years.	
<p>Procedures:</p> <ul style="list-style-type: none"> • At the end of each Fiscal Year, records from the past year will be gathered and filed in a storage box marked with the date and items enclosed. • Records will be retained for a minimum of seven years and organized and stored in a manner such that the records can easily be retrieved if necessary. • Records maintained will include but are not limited to: <ul style="list-style-type: none"> ○ Monthly Bank Statements ○ Cancelled Warrants ○ Administrative Claims including Director and Board claims ○ Annual Budgets including any amendments ○ Annual Reports including Year End Financial Statements ○ All Contractor Files ○ Meeting Minutes 	
Effective Date: 5/16/13	Approved by: Cedar/Jones ECI Board

Policy ID: 4.10	Title: Purchasing Food and Drink Items
<p>Policy: Funds used for food, beverage, or catering costs must meet public purpose.</p> <p>Reference: State ECI Tool G</p>	
<p>Procedures:</p> <ul style="list-style-type: none"> • Reasonable food and beverage costs are allowed when a public meeting is being held during a regularly scheduled meal time. • The meeting must meet public purpose, be open to the public, and for purposes of promoting the mission and work of the Early Childhood Iowa Board. • Meal expenses are allowable when a meeting is scheduled to last 90 minutes or more in length. • For the purchase of food, beverage, or catering costs, only the School Ready Administrative funding category may be utilized. • Documentation must be maintained describing how the expenditure met public purpose. • Reasonable effort will be made to keep costs to a minimum. 	
Effective Date: 5/15/14	Approved by: Cedar/Jones ECI Board