

Norfolk Community Services Board

Board Policy Manual

Updated/Approved: 1/01/2012

Norfolk Community Services Board

Board Policy Manual

Adopted by the Board of Directors in August 2010

This Policy Manual is the result of an effort by the Board of Directors to improve its governance effectiveness. Early in 2010, an ad hoc committee was appointed, chaired by Ken Bryant. The committee led the Board through a study of the “Carver Model” of board governance. The directors read the books Boards that Make a Difference and Reinventing your Board by John and Miriam Carver, books which guided the creation of the policies in this manual. Furthermore, the directors decided to adopt the Carver Model to provide for a more proactive and effective style of governance for the benefit of the Norfolk Community Services Board and the citizens of Norfolk, Virginia.

This manual was initially adopted in August 2010 by the Board of Directors:

Lewis J. Taylor, Chair
William H. Graves, Vice Chair
George H. Tatterson, Jr., Treasurer
Kathleen M. Weaver, Secretary
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The Board of Directors extends its thanks to Maureen Womack, Executive Director, and Charles Ray, Consultant, for their support in improving the Capacity of the Board to provide effective governance for the Norfolk Community Services Board.

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All references to Policy Governance Model refer to the Carver Model of Board Governance, created by John Carver and expressed in his book, “Boards That Make a Difference.”

NCSB Board Policy Manual

Policy Type: 1.0 Board Governance
Policy Title: 1.0 Global Board Governance

Date Approved: 8/20/10
Sec. Confirmation: _____

- 1.0 The purpose of the board, on behalf of the citizenry of Norfolk, is to ensure that the Norfolk Community Services Board (a) achieves appropriate results for appropriate persons for an appropriate cost as specified in the board's Ends policies and (b) avoids unacceptable actions and situations as prohibited in the Executive Limitations policies.

NCSB Board Policy Manual

Policy Type: 1.0 Board Governance

Date Approved: 8/20/10

Policy Title: 1.1 Governing Style

Sec. Confirmation: _____

- 1.1 The board will govern lawfully, ethically, and with all integrity observing the principles of the Policy Governance Model, with and emphasis on (a) outward vision rather than internal preoccupation, (b) encouragement in diversity in viewpoints, (c) strategic leadership more than administrative detail, (d) clear distinction between board and CEO responsibilities, (e) collective rather than individual decisions, (f) future rather than past or present, (g) proactivity rather than reactivity, (h) and policy driven rather than consumed by operational matters.
- 1.1.1 The board will cultivate a sense of group responsibility. The board, not the staff, will be responsible for excellence in governing. The board will be the initiator of all board policy, not merely a reactor to staff initiatives. The board will not use the expertise of individual members to substitute for the judgment of the board, although the expertise of individual members may be used to enhance the understanding of the board as a body.
- 1.1.2 The board will direct, control and inspire the organization through the careful establishment of broad written policies reflecting the board's values and perspectives. The board's major policy focus will be on the intended long-term impacts outside the staff organization, not on the administrative or programmatic means of attaining those effects.
- 1.1.3 The board will enforce upon itself whatever discipline is needed to govern with excellence. Discipline will apply to matters such as attendance, preparation for meetings, policymaking principles, respect of roles, and ensuring the continuance of governance capability. Although the board can change its Governance Process policy at any time, it will scrupulously observe those currently in force.
- 1.1.4 Continual board development will include orientation of new board members in the board's governance process and periodic board discussion of process improvement.
- 1.1.5 The board will allow no officer, individual, or committee of the board to hinder or serve as an excuse for not fulfilling group obligations.

1.1.6 The board will monitor and discuss the board's process and performance at each meeting. Self-monitoring will include comparison of board activity and discipline to board policies in the Governance Process and Board-Management Delegation categories.

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Policy Type: 1.0 Board Governance
Policy Title: 1.2 Board Job Description

Date Approved: 8/20/10
Sec. Confirmation: _____

- 1.2 Specific job outputs of the board, as informed representatives of the citizenry of Norfolk, are those that ensure appropriate organizational performance.
 - 1.2.1 Authoritative linkage between the Norfolk citizenry and operational organization (through the CEO).
 - 1.2.2 Written governing policies that realistically address the broadest levels of all organizational decisions and situations.
 - 1.2.2.1 Ends: The organizational impacts, benefits, outcomes, recipients, beneficiaries, impact groups, and their relative worth in cost or priority.
 - 1.2.2.2 Executive Limitations: Constraints on executive authority that establish the prudent and ethical boundaries within which all executive activity and decisions must take place.
 - 1.2.2.3 Governance Process: Specification of how the board conceives, carries out, and monitors its own task.
 - 1.2.2.4 Board-Management Delegation: How power is delegated and its proper use monitored; the CEO's role, authority, and accountability.
- 1.2.3 Assurance of successful organizational performance on Ends and Executive Limitations.

NCSB Board Policy Manual

Policy Type: 1.0 Board Governance

Date Approved: 8/20/10

Policy Title: 1.3 Board Chair's Role

Sec. Confirmation: _____

- 1.3 The Board Chair, a specially empowered member of the board, ensures the integrity of the board's process and secondarily, occasionally represents the board to outside parties. The chair is the only board member authorized to speak for the board.
- 1.3.1 It is the responsibility of the board chair to ensure that the board behaves consistently with its own rules and those legitimately imposed upon it from outside the organization.
 - 1.3.1.1 Meeting discussion content will consist solely of issues that clearly belong to the board to decide or monitor and will avoid discussions regarding issues residing within the responsibility of the CEO.
 - 1.3.1.2 Information that is neither for monitoring performance nor for board decisions will be avoided or minimized and always noted as such.
 - 1.3.1.3 Deliberation will be fair, open, and thorough but also timely, orderly, and kept to the point.
- 1.3.2 The authority of the board chair consists in making decisions that fall within topics covered by board policies on Governance Process and Board-Management Delegation. The board chair is authorized to use any reasonable interpretation of the provisions in these policies. The board chair may not make decisions regarding (a) employment or termination of the CEO and (b) areas where the board specifically delegates portions of this authority to others.
 - 1.3.2.1 The board chair has no authority to make decisions about policies created by the board within Ends and Executive Limitations policy areas. Therefore, the board chair has no authority to supervise or direct the CEO without explicit and specific board approval.
 - 1.3.2.2 The board chair is empowered to chair board meetings with all the commonly accepted powers of that position, such as ruling and recognizing.

1.3.2.3 The board chair may represent the board to outside parties in announcing board-stated positions in stating board chair decisions and interpretations within the area delegated to that role.

1.3.2.4 The board chair may delegate this authority but remains accountable for its use.

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Policy Type: 1.0 Board Governance
Policy Title: 1.4 Board Secretary's Role

Date Approved: 8/20/10
Sec. Confirmation: _____

- 1.4 The Board Secretary is an officer of the board whose purpose is to ensure the integrity of the board's documents.
- 1.4.1 The Board Secretary's job is to see to it that all board documents and filings are accurate and timely.
 - 1.4.1.1 Policies will be current in their reflection of board decisions. Decisions upon which no subsequent decisions are to be based, such as consent agenda decisions, motions to adjourn, and staff or board member recognitions, need not be placed in policy.
 - 1.4.1.2 Policies will rigorously follow Policy Governance principles.
 - 1.4.1.3 Bylaw elements necessary for legal compliance and for consistency with the principles of Policy Governance will be known to the board.
 - 1.4.1.4 Should verify that all board packet materials are complete and distributed to all board members and the CEO one week before the board meeting.
- 1.4.2 The authority of the board secretary is to have access to and control over board documents, and to the use of staff time not to exceed 8 hours per month.

NCSB Board Policy Manual

Policy Type: 1.0 Board Governance
Policy Title: 1.5 Board Member's Conduct

Date Approved: 8/20/10
Sec. Confirmation: _____

- 1.5 The board commits itself and its members to ethical, businesslike, and lawful conduct, including proper use of authority and appropriate decorum when acting as board members.
- 1.5.1 Members must demonstrate loyalty to the Norfolk citizenry, unconflicted by loyalties to staff, other organizations, or any personal interest as consumers.
- 1.5.2 Members must avoid conflict of interest with respect to their fiduciary responsibility.
 - 1.5.2.1 There will be no self-dealing or business by a member with the organization. Members will annually disclose their involvement with other organizations or with vendors and any associations that might be reasonably seen as representing a conflict of interest.
 - 1.5.2.2 When the board is to decide upon an issue about which a member has an unavoidable conflict of interest, that member shall withdraw without comment not only from the vote but also from the deliberation.
 - 1.5.2.3 Board members will not use their board position to obtain employment in the organization for themselves, family members, or close associates including serving as employee references. A board member who applies for employment must first resign from the board.
- 1.5.3 Board members will not attempt to exercise individual authority over the organization or any staff member.
 - 1.5.3.1 Member's interaction with the CEO or with staff must recognize the lack of authority vested in individuals except when explicitly authorized by the board.
 - 1.5.3.2 Member's interaction with the public, press or other entities must recognize the same limitation and the inability of any board member to speak for the board except to repeat explicitly stated board decisions.

- 1.5.3.3 Except for participation in board deliberation about whether the CEO has achieved any reasonable interpretation of board policy, members will not express individual judgments of performance of any employee including the CEO.
- 1.5.4 Members will respect the confidentiality appropriate to issues of a sensitive nature.
- 1.5.5 Members will properly prepare for board deliberation.
- 1.5.6 Members will support the legitimacy and authority of the final determination of the board on any matter, without regard to the member's personal position on the issue.

NCSB Board Policy Manual

Policy Type: 1.0 Board Governance

Date Approved: 8/20/10

Policy Title: 1.6 Board Committee Principles

Sec. Confirmation: _____

- 1.6 Board committees, when used, will be assigned so as to reinforce the wholeness of the board's job description and so as never to interfere with delegation from the board to the CEO. Expectations and authority will be carefully stated in order to prevent conflict with authority delegated to the CEO.
- 1.6.1 Board committees are to help the board do its job, never to help or to advise the staff. Committees ordinarily will assist the board by preparing policy alternatives and implications for board deliberation. In keeping with the board's broader focus, board committees will normally not have direct dealings with current staff operations.
- 1.6.2 Board committees will not speak or act for the board except when formally given such authority for specific and time-limited purposes.
- 1.6.3 Board committees cannot exercise authority over staff. The CEO works for the full board, and will therefore not be required to obtain the approval of board committees before an executive action.
- 1.6.4 Board committees are to avoid over-identification with organizational parts rather than the whole. Therefore a board committee that has helped the board create policy on some topic will not be used to monitor organizational performance on that same topic.
- 1.6.5 Committees will be used sparingly and ordinarily in an ad hoc capacity.
- 1.6.6 This policy applies to any group that is formed by board action, whether or not it is called a committee and regardless of whether the group includes board members. It does not apply to committees formed under the authority of the CEO.
- 1.6.7 No board member shall serve on any committee established by the CEO unless authorized by the board.

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Policy Type: 1.0 Board Governance

Date Approved: 8/20/10

Policy Title: 1.7 Board's Cost of Governance

Sec. Confirmation: _____

- 1.7 The board will invest in governance.
 - 1.7.1 Board skills, methods, and support will be sufficient to ensure governing with excellence.
 - 1.7.1.1 Training and retraining will be used liberally to orient new members as well as to maintain and increase existing members' skills and understandings.
 - 1.7.1.2 Outside monitoring assistance may be arranged so that the board can exercise confident control over organizational performance. This includes but is not limited to financial and other outside audits.
 - 1.7.1.3 Outreach mechanisms will be used as needed to ensure the board's ability to listen to owner viewpoints and values.
 - 1.7.2 Costs will be prudently incurred, though not at the expense of endangering the development and maintenance of superior capability.
 - 1.7.3 The board will establish its costs of governance budget for the next fiscal year during the month of April.

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Policy Type: 1.0 Board Governance

Date Approved: 8/20/10

Policy Title: 1.8 Annual Board Planning Cycle

Sec. Confirmation: _____

- 1.8 To accomplish its job products with a governance style consistent with board policies, the board will follow an annual agenda that (a) completes a re-exploration of Ends policies and (b) continually improves board performance through board education and enriched input and deliberation.
- 1.8.1 The board planning cycle will conclude each year on the last day of July so that administrative planning and budgeting can be based on accomplishing a one-year segment of the board's most recent statement of long-term Ends.
- 1.8.2 The board planning cycle will start with the board's development of its agenda for the next year.
 - 1.8.2.1 Methods of gaining ownership input will be determined and arranged in the first quarter to be held during the balance of the year.
 - 1.8.2.2 Governance education and education related to ends determination (presentations by futurist, demographers, advocacy groups, staff and so on) will be arranged in the first quarter, to be held during the balance of the year.
 - 1.8.2.3 A board member may recommend or request agenda item for board discussion by submitting the item to the board chair no later than ten days before the board meeting.
- 1.8.3 Throughout the year, the board will attend to consent agenda items as expeditiously as possible.
- 1.8.4 CEO remuneration will be decided during the month of February after a review of monitoring reports received in the last year.
- 1.8.5 The education of board members will receive paramount attention in structuring board meetings and agendas. To the extent feasible, the board will identify those areas of education needed to increase its effectiveness in developing Ends policies.

1.8.6 Following board education sessions, the board will invest in rigorous deliberations as to how newly acquired information and understanding affect board policies, especially Ends.

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Policy Type: 1.0 Board Governance
Policy Title: 1.9 Board Meetings

Date Approved: 11/09/10
Sec. Confirmation: _____

- 1.9.1 Any board member can make a motion at any open meeting provided that the board chair received notice of such motion at least twenty-four hours in advance unless the board chair waives this requirement. All motions that meet the above requirement must be recognized by the board chair and voted upon at the meeting in which the motion was presented unless the individual making the motion agreed to table it to another date. After a motion has been made, all board members present will be given an opportunity to ask or respond to questions, and to engage in rigorous discussion regarding the proposal. After the chair determines that ample time has been given for discussion and that each board member who desires to be heard has had that opportunity, he shall call for a vote. Unless otherwise dictated by law or organizational by-laws, motions are passed by a majority of board members present, provide that a quorum has been met.
- 1.9.2 A written record (minutes) of all board meetings shall be kept.
- 1.9.2.1 Minutes shall include the date, time and location of the meetings, as well as a listing of board members present and absent.
- 1.9.2.2 Minutes shall include a summary of discussion on matters proposed, deliberated or decided upon.
- 1.9.2.3 Minutes shall indicate all motions and indicate whether or not they were approved by the board.
- 1.9.2.4 The recording and accuracy of the minutes shall be the responsibility of the board secretary even if the secretary delegates the responsibility to another. (See Policy 1.4.)

NCSB Board Policy Manual

Policy Type: 2.0 Board – Mgmt Delegation

Date Approved: 8/20/10

Policy Title: 2.0 Global Board-Mgmt Delegation

Sec. Confirmation: _____

- 2.0 The board’s sole official connection to the operational organization, its achievements, and conduct will be through a Chief Executive Officer, titled Executive Director.

NCSB Board Policy Manual

Policy Type: 2.0 Board – Mgmt Delegation

Date Approved: 8/20/10

Policy Title: 2.1 Unity of Control

Sec. Confirmation: _____

- 2.1 Only officially passed motions of the board are binding on the CEO.
- 2.1.1 Decisions or instructions of individual board members, officers, or committees are not binding on the CEO except in rare instances when the board has specifically authorized such exercise of authority.
- 2.1.2 No board member or committee may request information or assistance from the CEO unless they get board authorization to do so.

NCSB Board Policy Manual

Policy Type: 2.0 Board - Mgmt Delegation
Policy Title: 2.2 Accountability of the CEO

Date Approved: 8/20/10
Sec. Confirmation: _____

- 2.2 The CEO is the board's only link to operational achievement and conduct, so that all authority and accountability of staff, as far as the board is concerned, is considered the authority and accountability of the CEO.
- 2.2.1 The board will never give instructions to persons who report directly or indirectly to the CEO except in cases where the board needs to solicit information or give direction to the compliance officer.
- 2.2.2 The board will not evaluate, either formally or informally, any staff other than the CEO.
- 2.2.3 The board will view CEO performance as identical to organizational performance so that organizational accomplishment of board-stated Ends and compliance with Executive Limitations will be viewed as successful CEO performance.

NCSB Board Policy Manual

Policy Type: 2.0 Board – Mgmt Delegation

Date Approved: 8/20/10

Policy Title: 2.3 Delegation to The CEO

Sec. Confirmation: _____

- 2.3 The board will instruct the CEO through written policies that prescribe the organizational Ends to be achieved and proscribe Executive Limitations, allowing the CEO to use any reasonable interpretations of these policies.
- 2.3.1 The board will develop policies instructing the CEO to achieve specified results, for specified recipients, at a specified cost. These policies will be developed systematically from the broadest, most general level to more defined levels and will be called Ends policies. All issues that are not ends issues as defined here are means issues.
- 2.3.2 The board will develop policies that limit the latitude the CEO may exercise in choosing the organizational means. These limiting policies will describe those practices, activities, decisions and circumstances that would be unacceptable to the board even if they were to be effective. Policies will be developed systematically from the broadest, most general level to more defined levels and they will be called Executive Limitations policies.
- 2.3.3 As long as the CEO uses any reasonable interpretation of the board's Ends and Executive Limitations policies, the CEO is authorized to establish all operational policies, decisions, actions, practices, and activities; and shall have the full force and authority as if decided by the board.
- 2.3.4 The board may change its Ends and Executive Limitations policies, thereby shifting the boundary between board and CEO domains. By doing so, the board changes the latitude of choice given to the CEO. But as long as any particular action of the CEO is in compliance with board policy, the board will respect and support the CEO's choices.

NCSB Board Policy Manual

Policy Type: 2.0 Board – Mgmt Delegation

Date Approved: 8/20/10

Policy Title: 2.4 Monitoring CEO Performance

Sec. Confirmation: _____

- 2.4 Systematic and rigorous monitoring of the CEO’s job performance will be based only on compliance with Organizational Ends and Executive Limitations.
- 2.4.1 Monitoring is simply to determine the degree to which board policies are being met. Monitoring information that does not do this will not be considered to be monitoring information.
- 2.4.2 The board will acquire monitoring information by one or more of three methods:
 - 2.4.2.1 By CEO report, in which the CEO provides the board with (a) data that demonstrates whether or not board Ends and Executive Limitation policies are being realized (b) and reasons for compliance or noncompliance. All CEO report formats and data are to be predetermined by the board.
 - 2.4.2.2 By external report, in which an external, disinterested third party selected by the board assesses compliance with board policies.
 - 2.4.2.3 By direct board inspection, in which a designated member or members of the board assess compliance with appropriate policy criteria.
- 2.4.3 In every case, the board will judge (a) the reasonableness of the CEO’s interpretation and (b) whether data demonstrates accomplishment of the interpretation.
 - 2.4.3.1 The board is the final arbiter of reasonableness, but will always judge with a “reasonable person” test rather than with an interpretation favored by board members or the board as a whole.

2.4.5 All policies that instruct the CEO will be monitored at a frequency and by a method chosen by the board. The board can monitor any policy at any time by any method, but will ordinarily depend on a routine schedule:

<u>Policy</u>	<u>Method</u>	<u>Frequency</u>
Treatment of Patients	Internal	Annually
Treatment of Staff	Internal	Annually
Financial Planning and Budgeting	Internal	Quarterly
Financial Conditions and Activities	Internal	Quarterly
	External	Annually
Emergency CEO Succession	Internal	Annually
Compensation and Benefits	Internal	Annually
	External	Bi-Annually
Communication and Support	Direct	Annually
	Inspection	

NCSB Board Policy Manual

Policy Type: 2.0 Board – Mgmt Delegation
Policy Title: 2.5 CEO Compensation

Date Approved: 12/05/11
Sec. Confirmation: _____

- 2.5 The board shall set compensation.
- 2.5.1 CEO compensation is based on multiple factors including achievement of ends policies; adherence to executive limitations policies; professional experience, accomplishments and credentials; time in service and other as determined by the board.
- 2.5.2 CEO compensation shall be reviewed and may be adjusted at the end of the fiscal year following the board’s evaluation of the CEO’s performance and before renewal of the CEO’s contract.
- 2.5.3 The board shall set CEO salary within a step of a broad pay-band based on Virginia Department of Behavioral Health and Development Services CSB CEO salary data.
- 2.5.4 The board may authorize a bonus for exceptionally meritorious job performance.
- 2.5.5 The CEO shall receive the same cost of living salary increases as may be granted to CSB employees generally.

NCSB Board Policy Manual

Policy Type: 2.0 Board – Mgmt Delegation
Policy Title: 2.6 CEO Contract

Date Approved: 12/05/11
Sec. Confirmation: _____

- 2.6 The board and CEO shall have a written contract for CEO services with a three (3) year term, renewable annually following evaluation of the CEO's performance by the board.

NCSB Board Policy Manual

Policy Type: 3.0 Executive Limitations

Date Approved: 8/20/10

Policy Title: 3.0 Global Executive Limitations

Sec. Confirmation: _____

- 3.0 The CEO shall not allow any organizational practice, activity, decision, or circumstance that is unlawful, imprudent, or in violation of commonly accepted business and professional ethics and practices or in violation of any contractual obligations.

NCSB Board Policy Manual

Policy Type: 3.0 Executive Limitations
Policy Title: 3.1 Treatment of Patients

Date Approved: 8/20/10
Sec. Confirmation: _____

- 3.1 With respect to interaction with patients, patient representatives, or those applying for services, the CEO shall not cause or allow conditions, procedures, or decisions that are unsafe, untimely, undignified, or unnecessarily intrusive. Accordingly, the CEO will not:
 - 3.1.1 Elicit information for which there is no clear necessity.
 - 3.1.2 Use methods of collecting, reviewing, transmitting, or storing patient information that fail to protect against improper access to the material or that fail to comply with governmental regulations.
 - 3.1.3 Operate facilities that are undignified, unsafe, or that fail to provide a reasonable level of accessibility and privacy.
 - 3.1.4 Fail to establish with patients a clear understanding of treatment options and what may be expected and may be not be expected from the services offered.
 - 3.1.5 Fail to inform patients of this policy (Policy number 3.1) or to provide a grievance process to those patients or patient representatives who believe that they have not been accorded a reasonable interpretation of their rights under this policy.
 - 3.1.6 Allow unqualified or unskilled employees to work with patients and/or patient information.

NCSB Board Policy Manual

Policy Type: 3.0 Executive Limitations
Policy Title: 3.2 Treatment of Staff

Date Approved: 8/20/10
Sec. Confirmation: _____

- 3.2 With respect to the treatment of paid and volunteer staff, the CEO may not allow conditions that are unsafe, unfair, undignified, disorganized, unlawful or unclear. Accordingly, the CEO will not:
 - 3.2.1 Fail to operate without written personnel policies that (a) comply with all governmental agency requirements, (b) provide for effective handling of grievances, and (c) protect against wrongful conditions such as nepotism and grossly preferential treatment for personal reasons.
 - 3.2.2 Discriminate against any staff member for expressing ethical dissent or who has protections under law.
 - 3.2.3 Fail to acquaint staff with their rights under this policy.

NCSB Board Policy Manual

Policy Type: 3.0 Executive Limitations

Date Approved: 8/20/10

Policy Title: 3.3 Financial Planning

Sec. Confirmation: _____

- 3.3 The CEO shall not cause or allow financial planning for any fiscal year, or the remaining part of any fiscal year, to deviate materially from the board's end priorities, risk financial jeopardy, or fail to be derived from a multi-year plan. Accordingly, the CEO will not:
- 3.3.1 Risk incurring conditions described as unacceptable in board policy "Financial Operations." (Policy 3.4)
 - 3.3.2 Omit credible projection of revenues and expenses, separation of capital and operational items, cash flow, and disclosure of planning assumptions.
 - 3.3.3 Fail to provide a line item for board expenses which may include but are not limited to board training, legal fees, retreats, clerk services and meeting materials.

NCSB Board Policy Manual

Policy Type: 3.0 Executive Limitations

Date Approved: 8/20/10

Policy Title: 3.4 Financial Operations

Sec. Confirmation: _____

- 3.4 With respect to the actual, ongoing financial conditions and activities of the organization, the CEO shall not materially deviate from board approved budgets or allow the development of financial jeopardy. Accordingly, the CEO will not:
- 3.4.1 Expend more funds than have been received in the fiscal year to date unless the board's debt guideline is met.
 - 3.4.2 Incur debt in an amount greater than can be repaid by certain and otherwise unencumbered revenues within sixty days.
 - 3.4.3 Fail to settle payroll and debts in a timely manner.
 - 3.4.4 Fail to allow tax payments or other government-ordered payments or filings to be overdue or inaccurately filed.
 - 3.4.5 Acquire, encumber, or dispose of real estate.
 - 3.4.6 Fail to aggressively pursue receivables.
 - 3.4.7 Use any designated reserves other than for established reasons.
 - 3.4.8 Fail to adhere to Generally Accepted Accounting Principles (GAAP).
 - 3.4.9 Fail to maintain organizational self-sufficiency through development of diverse funding sources.

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Policy Type: 3.0 Executive Limitations
Policy Title: 3.5 Emergency Succession

Date Approved: 8/20/10
Sec. Confirmation: _____

- 3.5 To protect the board from sudden loss of CEO services, the CEO shall not permit there to be fewer than two other executives sufficiently familiar with board and CEO issues and processes to enable either to take over with reasonable proficiency as an interim successor. The CEO shall not fail to officially notify the board of these individual's identities.

NCSB Board Policy Manual

Policy Type: 3.0 Executive Limitations

Date Approved: 8/20/10

Policy Title: 3.6 Asset Protection

Sec. Confirmation: _____

- 3.6 The CEO will not allow assets to be unprotected, inadequately maintained, or unnecessarily risked. Accordingly, the CEO will not:
- 3.6.1 Fail to insure adequately against theft and casualty losses and against liability losses to board members, staff, and the organization itself.
 - 3.6.2 Allow unbonded personnel access to material amounts of funds.
 - 3.6.3 Fail to protect intellectual property, information, and files from loss or significant damage.
 - 3.6.4 Receive, process, or disburse funds under controls insufficient to meet the board-appointed or other outside auditor's standard.
 - 3.6.5 Compromise the independence of the board's audit or other external monitoring or advice, such as by engaging parties already chosen by the board as consultants or advisors.
 - 3.6.6 Change the organization's name or substantially alter its identity in the community.
 - 3.6.7 Create or purchase any subsidiary corporation unless authorized by the board.
 - 3.6.8 Make any purchase: (a) wherein a normally prudent protection has not been given against conflict of interest (b) of material value without having obtained comparative prices and quality, and (c) not in accordance with city and/or state regulations.

NCSB Board Policy Manual

Policy Type: 3.0 Executive Limitations

Date Approved: 8/20/10

Policy Title: 3.7 Compensation and Benefits

Sec. Confirmation: _____

- 3.7 With respect to employment, compensation, and benefits to employees, consultants, contract workers, and volunteers, the CEO will not cause or allow jeopardy to financial integrity or public image. Accordingly, the CEO will not:
- 3.7.1 Change the CEO's own compensation and benefits, except as those benefits are consistent with a package for all other employees.
 - 3.7.2 Promise or imply permanent or guaranteed employment.
 - 3.7.3 Establish current compensation and benefits that deviate materially from the geographic or professional market for the skills employed.
 - 3.7.4 Create obligations over a longer term than revenues can be safely projected.
 - 3.7.5 Establish or change pension benefits so as to cause unpredictable or inequitable situations, including those that:
 - 3.7.5.1 Incur unfunded liabilities
 - 3.7.5.2 Provide less than some basic level of benefits to all full-time employees, though differential benefits to encourage longevity are not prohibited.
 - 3.7.5.3 Treat the CEO differently from other key employees.

NCSB Board Policy Manual

Policy Type: 3.0 Executive Limitations

Date Approved: 9/14/10

Policy Title: 3.8 Communication & Support to the Board

Sec. Confirmation: _____

- 3.8 The CEO shall not cause or allow the board to be uninformed or unsupported in its work. Accordingly, the CEO will not:
- 3.8.1 Neglect to submit monitoring data required by the board in Board-Management Delegation policy “Monitoring CEO Performance” (Policy 2.4) in a timely, accurate, and understandable fashion, directly addressing provisions of board policies being monitored, and including CEO interpretations consistent with Board-Management Delegation policy “Delegation to the CEO” (Policy 2.3).
 - 3.8.2 Allow the board to be unaware of any actual or anticipated noncompliance with any Ends or Executive Limitations policy of the board regardless of the board’s monitoring schedule.
 - 3.8.3 Allow the board to be without decision information required periodically by the board or let the board be unaware of relevant trends.
 - 3.8.4 Let the board be unaware of any significant information it requires including anticipated media coverage, threatened or pending lawsuits, and material internal and external changes including the hiring and termination of senior staff who’s identities are made known to the board.
 - 3.8.5 Allow the board to be unaware that, in the CEO’s opinion, the board is not in compliance with its own policies on Governance Process and Board-Management Delegation, particularly in the case of board behavior that is detrimental to the work relationship between the board and the CEO.
 - 3.8.6 Present information in unnecessarily complex or lengthy form or in a form that fails to relate to core board responsibilities.
 - 3.8.7 Allow the board to be without a workable mechanism for official board, officer, or committee communications.

- 3.8.8 Fail to deal with the board as a whole except when (a) fulfilling individual request for information as authorized by the board or (b) responding to officers or committees duly charged by the board.
- 3.8.9 Grant any request for information or assistance from a board member without first receiving board permission to do so.
- 3.8.10 Fail to submit to the board a consent agenda containing items delegated to the CEO yet required by law, regulations, or contract to be board-approved, along with applicable monitoring information.
- 3.8.11 Fail to provide the board with a safe and accessible place to store board documents to which the board chair and secretary have complete access.

NCSB Board Policy Manual

Policy Type: 4.0 Ends
Policy Title: 4.0 Global Ends

Date Approved: 10/11/2011
Sec. Confirmation: _____

- 4.0 Those living in the city of Norfolk who have an ID, MI, or SUD diagnosis and who need or want our services, will achieve their best possible health, have a sense of purpose in their community, manage their lives to the best of their ability, and experience greater community acceptance, through services supported by revenues available to the NCSB which will be used in an efficient, effective and ethical manner.
- 4.1 Persons served by the Norfolk CSB will achieve their best possible state of mental and physical health.
 - 4.1.1 Patients and/or their medical guardians will have an understanding of their diagnosis and treatment options.
 - 4.1.2 Patients will have access to a Primary Care Physician.
- 4.2 Persons served by Norfolk CSB will have a sense of purpose in their communities.
 - 4.2.1 Persons served will live as independently as possible.
 - 4.2.2 Persons will engage in education, volunteer work, and/or obtain employment to the extent of their abilities and wishes.
 - 4.2.3 Persons served will engage in socialization and recreational opportunities to the extent of their ability and wishes.
 - 4.2.4 Persons will engage in spiritual activities to the extent of their abilities and wishes.
- 4.3 Persons served by the Norfolk CSB and/or their guardians will exercise choice among the available options in their treatment, housing, and other life goals to the best of their ability.
- 4.4 The community will become more aware of behavioral health issues and resources available at Norfolk CSB.