



Summit Pointe Board Policies

These policies are effective March 5, 1996. They supercede Community Mental Health/Calhoun Board Polices approved July of 1991.

POLICY TITLE	POLICY TYPE
Number 01-001 General Executive Constraint	Executive Limitations
Number 01-002 Treatment of Consumers	Executive Limitations
Number 01-003 Staff Treatment	Executive Limitations
Number 01-004 Budgeting	Executive Limitations
Number 01-005 Financial Condition	Executive Limitations
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Number 04-001 Board Ends Statement	ENDS



POLICY MANUAL

Policy Title: General Executive Constraint
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Approved By: Summit Pointe Board

Number 01-001

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The CEO shall not allow any practice, activity, decision or organizational circumstance which is illegal, imprudent or in violation of commonly accepted business and professional ethics or in violation of contractual obligations.



POLICY MANUAL

Policy Title: Treatment of Consumers
Policy Type: Exeuctive Limitations

Author: Summit Pointe Board of Directors
Approval Date: 3.5.96
Supersedes: July, 1991
Approved By: Summit Pointe Board

Number 01-002
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With respect to interactions with consumers, or those applying to be consumers, the CEO shall not cause or allow conditions, procedures, or decisions which are unsafe, disrespectful, unduly undignified, unnecessarily intrusive, or which fail to provide appropriate confidentiality and privacy.

Accordingly, she or he may not:

1. Use application forms or procedures that elicit information for which there is no clear necessity.
2. Use methods of collecting, reviewing, or storing client information that fail to protect against improper access to the information elicited.
3. Maintain facilities that fail to provide a reasonable level of privacy, both aural and visual.
4. Fail to provide procedural safeguards for the transmission of information.
5. Fail to establish with consumers a clear contract of what may be expected and what may not be expected from the service offered.
6. Fail to inform consumers of this policy or to provide a grievance process to those consumers who believe that they have not been accorded a reasonable interpretation of their rights under this policy.
7. Fail to have caseloads that reflect the diversity found in the community.
 - 1) ethnic
 - 2) economic
 - 3) gender
 - 4) geographic



POLICY MANUAL

Policy Title: Staff Treatment
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors
Approval Date: 3.5.96
Supersedes: July, 1991
Approved By: Summit Pointe Board

Number 01-003
Page: 1 of 1

With respect to treatment of paid and volunteer staff, the CEO may not cause or allow conditions which are unfair, undignified or unsafe.

Accordingly, she or he may not:

1. Operate without written personnel procedures which clarify personnel rules for staff, provide for effective handling of grievances, and protect against wrongful conditions.
2. Discriminate against any staff member for expressing an ethical dissent.
3. Fail to acquaint staff with their rights under this policy.
4. Fail to consider human diversity in all dealings with staff.



POLICY MANUAL

Policy Title: Budgeting
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors
Approval Date: 3.5.96
Supersedes: July, 1991
Approved By: Summit Pointe Board

Number 01-004
Page: 1 of 1

Budgeting any fiscal year or the remaining part of any fiscal year shall not deviate materially from board *Ends* priorities, risk fiscal jeopardy, or fail to be derived from a multi-year plan.

Accordingly, he or she may not cause or allow budgeting which:

1. Contains too little information to enable credible projection of revenues and expenses, separation of capital and operational items, cash flow, and disclosure of planning assumptions.
2. Plans the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period.
3. Provides less than is sufficient for board prerogatives, such as costs of fiscal audit, board development, board and committee meetings, and board legal fees.
4. Endangers the fiscal soundness of future years or ignores the building of organizational capability sufficient to achieve ends in future years.



POLICY MANUAL

Policy Title: Financial Condition
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors
Approval Date: 3.5.96
Supersedes: July, 1991
Approved By: Summit Pointe Board

Number 01-005
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With respect to the actual, ongoing condition of the organization's financial health, the CEO may not cause or allow the development of fiscal jeopardy or a material deviation of actual expenditures from board priorities established in Ends policies.

Accordingly, he or she may not:

1. Expend more funds than have been received in the fiscal year to date unless the debt guideline (below) is met.
2. Borrow money in an amount greater than can be repaid by certain, otherwise unencumbered revenues within 60 days.
3. Use any designated reserves other than for established purposes.
4. Conduct inter-fund shifting in amounts greater than can be restored to a condition of discrete fund balances by certain, otherwise unencumbered revenues within 30 days.
5. Fail to settle payroll and debts in a timely manner.
6. Allow tax payments or other government-ordered payments or filings to be overdue or inaccurately filed.
7. Acquire, encumber, or dispose of real property in excess of \$100,000.
8. Fail to maintain organizational self-sufficiency through development of diverse funding sources.



POLICY MANUAL

Policy Title: Emergency Executive Succession
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors
Approval Date: 3.5.96
Supersedes: July, 1991
Approved By: Summit Pointe Board

Number 01-006
Page: 1 of 1

In order to protect the board from sudden loss of chief executive services, the CEO may not have fewer than two other executives familiar with board and chief executive issues and processes.



POLICY MANUAL

Policy Title: Asset Protection
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors
Approval Date: 3.5.96
Supersedes: July, 1991
Approved By: Summit Pointe Board

Number 01-007
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The CEO may not allow assets to be unprotected, inadequately maintained nor unnecessarily risked.

Accordingly, he or she may not:

1. Fail to insure against theft and casualty losses to 100 percent replacement value less any reasonable deductible and against liability losses to board members, staff or the organization itself in an amount greater than the average for comparable organizations.
2. Allow unbonded personnel access to material amounts of funds.
3. Unnecessarily expose the organization, its board or staff to claims of liability.
4. Make any purchase: a) wherein normally prudent protection has not been given against conflict of interest b) of material value without having obtained comparative prices and quality.
5. Fail to protect intellectual property, information and files from loss or significant damage.
6. Receive, process or disburse funds under controls which are insufficient to meet the board-appointed auditor's standards.
7. Invest or hold operating capital in insecure instruments, including uninsured checking accounts and bonds of less than AA rating, or in non-interest bearing accounts except where necessary to facilitate ease in operational transactions.
9. Endanger the organization's public image or credibility, particularly in ways that would hinder its accomplishment of mission, including changing the name of the organization.



POLICY MANUAL

Policy Title: Compensation and Benefits
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors
Approval Date: 3.5.96
Supersedes: July, 1991
Approved By: Summit Pointe Board

Number 01-008
Page: 1 of 1

With respect to employment, compensation and benefits to employees, consultant, contract workers and volunteers, the CEO may not cause or allow jeopardy to fiscal integrity or public image.

Accordingly, he or she may not:

1. Change his or her own compensation and benefits.
2. Promise or imply permanent or guaranteed employment.
3. Establish current compensation and benefits which:
 - A. Deviate materially from the geographic or professional market for the skills employed.
 - B. Create obligations over a longer term than revenues can be safely projected, in no event longer than one year with the exception of labor contracts and in all events subject to losses of revenue.
4. Establish or change pension benefits so the pension provisions:
 - A. Cause unfunded liabilities to occur or in any way commit the organization to benefits which incur unpredictable future costs.
 - B. Provide less than some basic level of benefits to all full time employees, though differential benefits to encourage longevity in key employees are not prohibited.
 - C. Allow any employee to lose benefits already accrued from any foregoing plan.
 - D. Treat the CEO differently from other comparable key employees.
 - E. Are instituted without prior monitoring of these provisions.



Policy Title: Communication and Counsel to the Board
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 01-009

Page: 1 of 1

With respect to providing information and counsel to the board, the CEO may not permit the board to be uninformed. Accordingly, he or she may not:

1. Neglect to submit monitoring data required by the board (see policy on Monitoring Executive Performance) in a timely, accurate and understandable fashion, directly addressing provisions of the board policies being monitored.
2. Let the board be unaware of relevant trends, anticipated adverse media coverage, material external and internal changes, particularly changes in the assumptions upon which any board policy has previously been established.
3. Fail to advise the board if, in the CEO's opinion, the board is not in compliance with its own policies on Governance Process and Board-Staff Relationship, particularly in the case of board behavior which is detrimental to the work relationship between the board and the CEO.
4. Fail to marshal for the board as many staff and external points of view, issues and options as needed for fully informed board choices.
5. Present information in unnecessarily complex or lengthy form.
6. Fail to provide a mechanism for official board, officer or committee communications.
7. Fail to deal with the Board as a whole except when (a) fulfilling individual requests for information or (b) responding to officers or committees duly charged by the board.
8. Fail to report in a timely manner an actual or anticipated noncompliance with any policy of the Board.



POLICY MANUAL

Policy Title: Community Resources
Policy Type: Executive Limitations

Author: Summit Pointe Board of Directors
Approval Date: 9.2.97
Supersedes: new policy
Approved By: Summit Pointe Board

Number 01-010
Page: 1 of 1

With respect to the attainment of Summit Pointe Ends, the CEO may not fail to take advantage of collaboration, partnerships and innovative relationships with agencies and other community resources.



POLICY MANUAL

Policy Title: Governance Commitment
Policy Type: Governance Process

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 02-001

Page: 1 of 1

On behalf of the people of Calhoun County, the board continually refines its values and vision, guarantees the accountability of Summit Pointe by assuring that it:

- (a) achieves appropriate results for the appropriate persons at an appropriate cost and
- (b) avoids unacceptable activities, conditions and decisions



POLICY MANUAL

Policy Title: Governing Style ***Policy Type: Governance Process***

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 02-002

Page: 1 of 1

The board will govern with an emphasis on outward vision encouraging diversity of viewpoints, strategic leadership, clear and concise roles of board and CEO, collectively and proactively focusing on the future.

The board will:

1. Function as a unit, be responsible for governing itself, and initiate its own practices. The board will use the expertise of individual members to enhance the ability of the board as a body.
2. Focus its primary efforts on the intended long term impact outside the operating organization, and will direct the organization through the development of written board policies.
3. 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 continuity of governance capability. Continual board development will include orientation of new members in the board's governance process and periodic board discussion of process improvement.
4. Monitor and discuss the board's process and performance at each meeting. Self-monitoring will include comparison of board activity and discipline to policies in the Governance Process and Board-Staff Relationship categories.



POLICY MANUAL

Policy Title: Board Job Description ***Policy Type: Governance Process***

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 02-003

Page: 1 of 1

The job of the board is to represent the people of Calhoun County in determining and demanding appropriate organizational performance. To distinguish the board's own unique job from the jobs of its staff, the board will concentrate its efforts on the following job "products" or outputs:

1. The link between the organization and the people of Calhoun County.
2. Written governing policies which, at the broadest levels, address:
 - A. *Ends*: Organizational products, impacts, benefits, outcomes, recipients, and their relative worth (what good for which needs at what cost).
 - B. *Executive Limitations*: Constraints on executive authority which establish the prudence and ethics boundaries within which all executive activity and decisions must take place.
 - C. *Governance Process*: Specification of how the board conceives, carries out and monitors its own task.
 - D. *Board-CEO Relationship*: How power is delegated and its proper use monitored; the CEO role authority and accountability.
3. The assurance of CEO performance (as outlined in policy number 03-004 page 1 of 1, Monitoring Executive Performance 2 A and 2B).



Policy Title: Chairperson's Role
Policy Type: Governance Process

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 02-004

Page: 1 of 1

The Chairperson assures the integrity of the board's process and, secondarily, occasionally represents the board to outside parties. The Chairperson is the only board member authorized to speak for the board (beyond simply reporting board decisions), other than in rare and specifically authorized instances.

1. The job result of the Chairperson is that the board behaves consistent with its own rules and those legitimately imposed upon it from outside the organization.
 - A. Meeting discussion content will only be those issues which, according to board policy, clearly belong to the board to decide, not the CEO.
 - B. Deliberation will be fair, open, and thorough, but also efficient, timely, orderly, and kept to the point.
2. The authority of the Chairperson consists in making decisions that fall within the topics covered by board policies on Governance Process and Board-CEO Relationship, except where the board specifically delegates portions of this authority to others. The Chairperson is authorized to use any reasonable interpretation of the provisions in these policies.
 - A. The Chairperson is empowered to chair board meetings with all the commonly accepted power of that position (e.g., ruling, recognizing). The Chairperson may invoke Roberts Rules of Order.
 - B. The Chairperson has no authority to make decisions about policies created by the board within Ends and Executive Limitations policy areas. Therefore, the Chairperson has no authority to supervise or direct the CEO.
 - C. The Chairperson will represent the board to outside parties in announcing board-stated positions and in stating Chair decisions and interpretations within the area delegated to him or her.
 - D. The Chairperson may delegate this authority, but remains accountable for its use.



Policy Title: Board Committee Principles
Policy Type: Governance Process

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 02-005

Page: 1 of 1

Board committees, when used, will be assigned so as to reinforce the wholeness of the board's job and so as never to interfere with delegation from board to CEO. Committees will be used sparingly and ordinarily in an *ad hoc* capacity for a specified or limited time.

1. Board committees are to help the board do its job, not to help or 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.
2. Board committees may not speak or act for the board except when formally given such authority for specific and time-limited purposes. Expectations and authority will be carefully stated in order not to conflict with authority delegated to the chief executive.
3. Board committees cannot exercise authority over staff. Because the CEO works for the full board, he or she will not be required to obtain approval of a board committee before an executive action.
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 subject.
5. This policy applies only to committees formed by board action, whether or not the committees include non-board members. It does not apply to committees formed under the authority of the CEO.



POLICY MANUAL

Policy Title: Committee Structure
Policy Type: Governance Process

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 02-006

Page: 1 of 1

A committee is a board committee only if its existence and charge come from the board, regardless of whether board members sit on the committee. Unless otherwise stated, a committee ceases to exist as soon as its task is complete.



POLICY MANUAL

Policy Title: Annual Board Planning Cycle

Policy Type: Governance Process

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 02-007

Page: 1 of 1

To accomplish its job outputs with a governance style consistent with board policies, the board will follow an annual agenda which (a) completes a re-exploration of ends policies annually and (b) continually improves its performance through attention to board education and to enriched input and deliberation.

1. The cycle will conclude each year on the last day of September in order that administrative budgeting can be based on accomplishing a one year segment of the most recent board long range vision.
 - ◆ In the first one or two months of the new cycle, the board will develop its agenda for the ensuing one year period.
2. Education, input and deliberation will receive paramount attention in structuring the series of meetings and other board activities during the year.
 - ◆ To the extent feasible, the board will identify those areas of education and input needed to increase the level of wisdom and forethought it can give to subsequent choices.
3. The sequence derived from this process for the board planning year ending September 30.
 - ◆ October: Celebration; review of past year, contemplation of improvement areas, debate on how much and what improvements to focus on for the coming year.
 - ◆ November: Continuation of October agenda, but with decisions on a rough agenda for the year, other groups to be involved for input, and board education needs.



Policy Title: Board Members Code of Conduct

Policy Type: Governance Process

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 02-008

Page: 1 of 2

The board commits itself and its members to ethical and professional conduct. This includes proper use of authority and appropriate decorum when acting as board members.

1. Members must represent unconflicted loyalty to the interests of the people of Calhoun County. This accountability supersedes any conflicting loyalty such as that to advocacy or interest groups and membership on other boards or staffs. It also supersedes the personal interest of any board member acting as a consumer of the organization's services.
2. Members must avoid conflict of interest with respect to their fiduciary responsibility.
 - A. There must be no self-dealing or any conduct of private business or personal services between any board member and the organization except as procedurally controlled to assure openness, competitive opportunity and equal access to "inside" information.
 - B. When the board is to decide upon an issue, about which a member has an unavoidable conflict of interest, that member shall absent herself or himself without comment from not only the vote, but also from the deliberation.
 - C. Board members must not use their positions to obtain employment in the organization for themselves, family members or close associates. Should a member desire employment, he or she must first resign.
 - D. Members will disclose their involvements with other organizations, with vendors, or any other associations which might produce a conflict.
3. Board members may not attempt to exercise individual authority over the organization except as explicitly set forth in board policies.
 - A. Members' interaction with the chief executive or with staff must recognize the lack of authority vested in individuals except when explicitly board-authorized.

- B. Members' interaction with public, press or other entities must recognize the same limitation and the inability of any board member to speak for the board.
 - C. Members will give no consequence or voice to individual judgments of CEO or staff performance.
4. Members will respect the confidentiality appropriate to issues of a sensitive nature.



POLICY MANUAL

Policy Title: Chief Executive Role
Policy Type: Board Staff Relationship

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 03-001

Page: 1 of 1

The CEO is accountable to the board acting as a body. The board will instruct the CEO through written policies, delegating to him or her interpretation and implementation of those policies.



Policy Title: Delegation to the Chief Executive
Policy Type: Board Staff Relationship

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 03-002

Page: 1 of 1

All board authority delegated to staff is delegated through the CEO, so that all authority and accountability of staff—as far as the board is concerned—is considered to be the authority and accountability of the CEO.

1. The board will direct the CEO to achieve specified results, for specified recipients, at a specified worth through the establishment of *Ends* policies. The board will limit the latitude the CEO may exercise in practices, methods, conduct and other “means” to the ends through establishment of *Executive Limitations* policies.
2. 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 further policies, make all decisions, take all actions, establish all practices and develop all activities.
3. The board may change its *Ends* and *Executive Limitations* policies, thereby shifting the boundary between board and CEO domains. By so doing, the board changes the latitude of choice given to the CEO. But so long as any particular delegation is in place, the board and its members will respect and support the CEO's choices. This does not prevent the board from obtaining information in the delegated areas.
4. Only decisions of the board acting as a body are binding upon the CEO.
 - A. 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.
 - B. In the case of board members or committees requesting information or assistance without board authorization, the CEO can refuse such requests that require—in the CEO's judgment—a material amount of staff time or funds or is disruptive.



Policy Title: Chief Executive Job Description
Policy Type: Board Staff Relationship

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 03-003

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As the board's single official link to the operating organization, the CEO's performance will be considered to be synonymous with organizational performance as a total.

Consequently, the CEO's job contributions can be stated as performance in the following areas:

1. Organizational accomplishment of the provisions of board policies on *Ends*.
2. Organization operation within the boundaries of prudence and ethics established in board policies on *Executive Limitations*.



Policy Title: Monitoring Executive Performance
Policy Type: Board-Staff Relationship

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Number 03-004

Page: 1 of 1

Monitoring executive performance is synonymous with monitoring organizational performance against board policies on *Ends* and on *Executive Limitations*. Any evaluation of CEO performance, formal or informal, may be derived only from these monitoring data.

1. The purpose of monitoring is to determine the degree to which board policies are being fulfilled. Information that does not do this will not be considered to be monitoring. Monitoring will be as automatic as possible, using a minimum of board time so that meetings can be used to create the future rather than to review the past.
2. A given policy may be monitored in one or more of three ways:
 - A. Internal report: Disclosure of compliance information to the board from the chief executive.
 - B. External report: Discovery of compliance information by a disinterested, external auditor, inspector or judge who is selected by and reports directly to the board. Such reports must assess executive performance only against policies of the board, not those of the external party unless the board has previously indicated that party's opinion to be the standard.
 - C. Direct board inspection: Discovery of compliance information by a board member, a committee or the board as a whole. This is a board inspection of documents, activities or circumstances directed by the board which allows a "prudent person" test of policy compliance.
3. Upon the choice of the board, any policy can be monitored by any method at any time. For regular monitoring, however, each *Ends* and *Executive Limitations* policy will be classified by the board according to frequency and method.
 - A. Semiannual Internal reports for Policy **01-002**
 - B. Annual Internal reports for Policies **01-003, 01-004, 01-006, 01-007, 01-008**
 - C. Annual External reports for Policies **01-005, 01-007**
 - D. Quarterly Internal for Policy **01-005**.
4. Each September, the board will have a formal evaluation of the CEO. This evaluation will not only consider monitoring data as defined here, but as it has appeared over the intervening year.



Policy Title: Board Ends Statements
Policy Type: Ends

Author: Summit Pointe Board of Directors

Approval Date: 3.5.96

Supersedes: July, 1991

Approved By: Summit Pointe Board

Revised: 5.2.00, 2.6.01, 8.6.02

Number 04-001

Page: 1 of 1

Mega Ends Statement: **All people in our region will be healthy, living functional and independent lives.**

Sub Ends Statements:

- 1) The primary focus is on creating and expanding opportunities that improve the health of people with a developmental disability or mental illness, regardless of income or socioeconomic background.
- 2) At Risk youth will be identified and provided additional support.
- 3) Seniors, comprising a growing segment of our society, will receive services related to their current needs.
- 4) The health of the community will improve as a result of a focus on prevention and awareness through increased programs and services.