Policy Governance Overview for Veteran and New Board Members

January 19, 2024
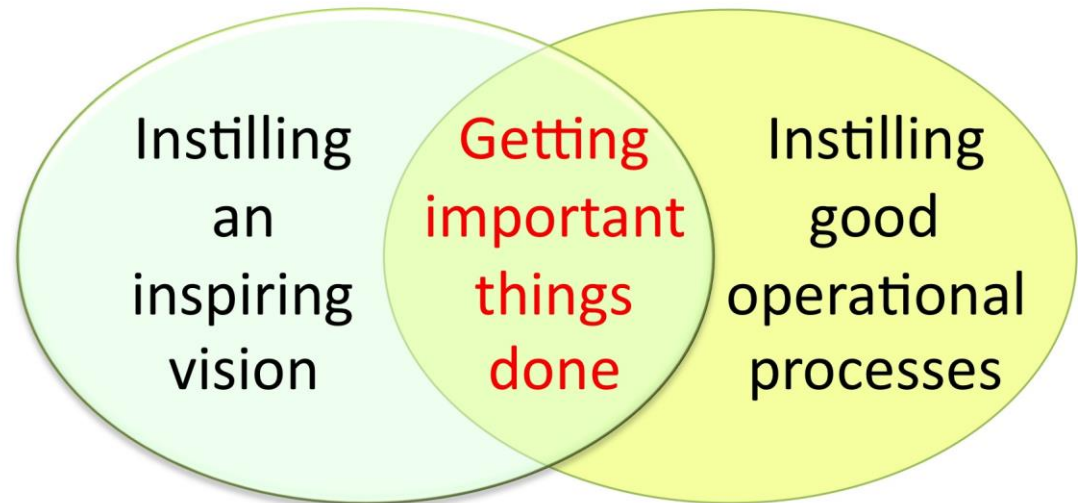
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Objectives for Today's Discussion

- Reground the board and leadership in policy governance and what it is doing and can do for your students and community.

- Revisit roles of the board and the superintendent.

- Discuss how PG looks different after six months/one year of implementation.

- Consider ways to "demystify" PG for the staff and community.

- Consider how monitoring reports and subsequent monitoring report evaluations can be even more meaningful for the staff, the board, and the community.

- Discuss ways to be flexible and responsive to the immediate needs of students and the community while being efficacious about PG.

WHY POLICY GOVERNANCE?

Leadership & Management

Instilling an inspiring vision

Getting important things done

Instilling good operational processes

By David Truss – http://pairadimes.davidtruss.com/leadership-and-management/

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The Purpose of Policy Governance According to John Carver in *Boards That Make A Difference*

"Reduced to its minimum, the purpose of policy governance is to ensure, usually on behalf of others, that an organization achieves what it should achieve while avoiding behaviors and situations that should be avoided." (p. xxv11)

"The idea is to design a system for whatever the future holds, not just fix today's or yesterday's problems." (p. 130)

Four Reasons PG is Good Governance (John Carver in *Boards That Make A Difference,* p. 41 – 42)

Leverage and efficiency: "By grasping the most fundamental elements of an organization, the board can affect many issues with less effort…Boards only have so much time available."

Expertise: "Board members rarely have all the skills required to operate their organization." It is best if board members aren't focused only on their specialties.

Fundamentals: "Boards that govern by attending directly to policies are more certain to address that which has most enduring importance." Minimalism.

Vision and Inspiration: "Dreaming is not only permissible for leaders; it is obligatory. Dealing meticulously with the trees rather than the forest can be satisfying, but it neither fuels vision nor inspires."

Why Policy Governance?

POLICY GOVERNANCE UNPACKS WHAT IT MEANS TO BE ACCOUNTABLE IN A DISTRICT BY SPECIFYING WHO IS RESPONSIBLE TO WHOM AND FOR WHAT.

IT FORMALIZES SUPT-BOE AGREEMENT ON RULES, ROLES AND RELATIONSHIPS.

IT CURBS MICRO-MANAGEMENT, MAINTAINS TRANSPARENCY, AND UNLEASHES STAFF CREATIVITY.

POLICY GOVERNANCE ALLOWS <u>MORE FREEDOM WITHIN CLEARER BOUNDARIES</u>.

A POLICY GOVERNANCE BOARD SUPPORTS AND MONITORS PRIORITY OUTCOMES THROUGH ENDS AND EXECUTIVE LIMITATION POLICIES AND MONITORS THESE POLICIES ANNUALLY VIA AN AGENDA PLANNING CALENDAR.

The Responsibilities of the Board

What are BoE's 3 main responsibilities?

Supervise	Supervise the Sole Employee of the Board (the Superintendent)
Set	Set Strategic Direction
Define	Define a Playing Field for Superintendent and Staff

Policy Governance is Strategic

- Describes the job of the Board

Governance Process Policies

- Describes the ideal future

Ends Policies

- Describes BoE-Supt partnership

Board-Supt Relationship Policies

Executive Limitation Policies

- Describes proverbial guardrails
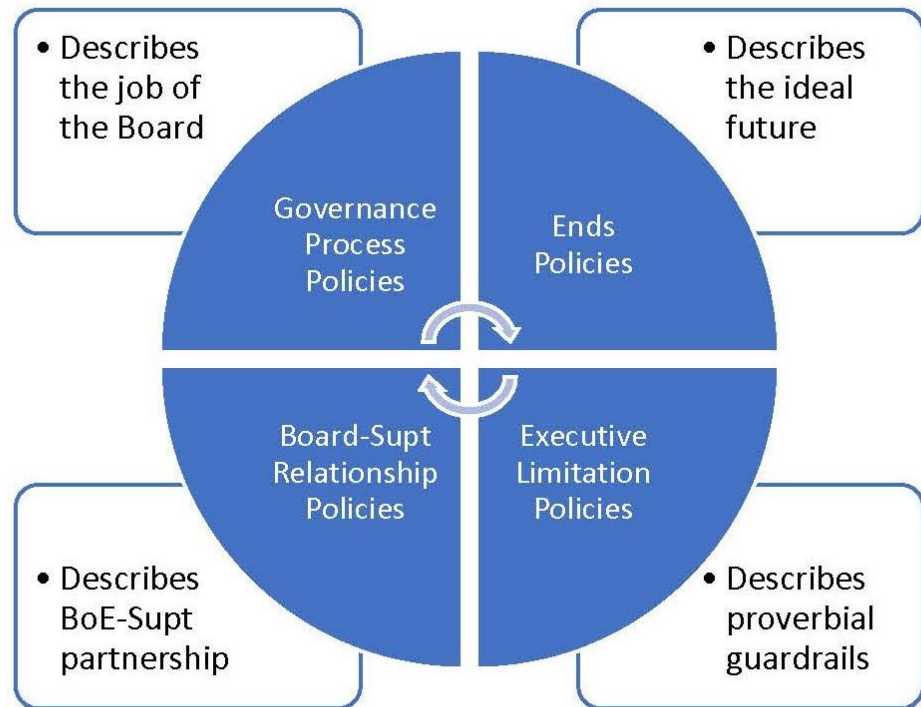
Governance Process Polices

"Construction of Governance Process policies begins with consideration of the board's overall reason for existence, because the ultimate test of process is whether the reason is fulfilled. The board's megaproduct (as opposed to that of the organization) is the bridge between those to whom the board is accountable and those who are accountable to the board."

(From John Carver. *Boards That Make A Difference, p. 197)*

The Ends = Strategic Direction

The Ends are "the most critical of all policy areas" as they "are concerned with what human needs are to be satisfied, for whom, and at what cost."

(From John Carver in *Boards That Make A Difference*, p. 52.)

They "ensure that the organization produces economically justifiable, properly chosen, well-targeted results." (From John Carver in *Boards That Make A Difference*, p. 52)

"The board has a never-ending task of determining not what the organization *does* but what the organization is *for.*"

(From Carver, John and Miriam. *Reinventing Your Board. pp. 151.)*

Ends statements …

- Are not your existing mission statement.
- Are not your existing strategic plan.
- Attainment can be difficult.
- Have rigorous attributes.
- Are a long-term perspective.
- Are doable.
- Ignore current organizational divisions and departments.
- Don't' worry about the problem of measurement.

(From Carver, John and Miriam. *Reinventing Your Board. pp. 155 – 158)*

Summit School Board's Ends Policies

Global Ends Statement: Every student will achieve academic and personal success to belong, thrive, and foster civic engagement and socioeconomic agility in an ever-changing global community.

- Ends-1 – Academic Success
- Ends-2 – Personal Success
- Ends-3 – Economic Success

Executive Limitations (EL's) Set the Playing Field

These are the policies that "enable the board to withdraw safely from most details of operation."

(From Carver, John and Miriam. *Reinventing Your Board, p. 65)*

These are the policies that "limit the choice of staff means, normally for the reasons of prudence and ethics."

(From John Carver. *Boards That Make A Difference, p. 52)*

They "represent Board values about methods and conduct employed as staff pursues organizational ends." (From John Carver. *Boards That Make A Difference, p. 49)*

Executive Limitations (EL's)
Set the Playing Field

- They are "the board's way of telling the superintendent the limits of acceptability regarding staff means."

- These policies are "boundary setters."

- "While Ends policies tell the superintendent what the board intends for the organization to achieve, the EL's tell the superintendent what the board will not put up with. The superintendent is held personally accountable that all staff means fall within the boundaries established by the EL policies."

(From Carver, John and Miriam. *Reinventing Your Board, p. 65)*

Summit School Board's Executive Limitations Policies

- EL-1 – General Executive Limitations
- EL-2 – Emergency Superintendent Succession
- EL-3 – Treatment of Students, Families, and Community
- EL-4 – Treatment of Staff and Volunteers
- EL-5 – Financial Administration
- EL-6 – Financial Planning and Budgeting
- EL-7 – Asset Protection
- EL-8 – Staff Compensation and Benefits
- EL-9 – Communication and Support to the Board
- EL-10 – Safety, Security, and Social-Emotional Wellness

Governance Process Policies Set the Playing Field

These are the policies in which "the board explicitly describes the standards of group and individual behavior to which it agrees to hold itself accountable."

"Having a succinct description of the board's job and manner in which it will operate is not only handy for new board members but useful as a continuing guide to experienced ones as well."

(From Carver, John and Miriam. *Reinventing Your Board, p. 103)*

Governance Process Policies Set the Playing Field

"The manner in which the board represents the ownership, disciplines its own activities, and carries out its work of leadership."

These policies speak to "how the Board goes about the job of governing."

(From John Carver. *Boards That Make A Difference, p. 52)*

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Summit School Board's Governance Process Policies

- GP-1 – Purpose of the Board
- GP-2 – Board Job Description
- GP-3 – Governing Style
- GP-4 – Board Officer Roles, Transitions, and Framework
- GP-5 – Investment in Governance
- GP-6 – Agenda Planning Calendar
- GP-7 – Board Business Guiding Principles, Norms, and Operations
- GP-8 – Board Member Code of Conduct, Violations, and Vacancy Processes
- GP-9 – Board Member Conflict of Interest and Financial Disclosure
- GP-10 – Board Committee Principles and Board Committee Member Expectations
- GP-11 – Board Committee Structure
- GP-12 – Monitoring Board-Superintendent Relationship and Governance Process Policies, Board Assessment Processes, and Policy Adoption/Revision/Rescission Processes

Board-Superintendent Relationships (BSR's) Empower the Superintendent and Define the Playing Field Superintendent

These are about how the board relates to management.

"The manner in which authority is passed to the (superintendent) and the way in which performance using that authority is reported and assessed."

(From John Carver. *Boards That Make A Difference, p. 52*)

Board- Superintendent Relationships (BSR's) Empower the Superintendent and Define the Playing Field Superintendent

"These policies deal with the methods and practices (means) of the board that describe not only the nature of the delegation but the way in which proper use of delegated authority is ascertained (monitoring)."

(From Carver, John and Miriam. *Reinventing Your Board, p. 103)*

Summit School Board's Board-Superintendent Relationship Policies

- BSR-1 – Governance-Superintendent Connection
- BSR-2 – Unity of Control
- BSR-3 – Accountability of the Superintendent
- BSR-4 – Delegation of the Superintendent
- BSR-5 – Monitoring the Ends and Executive Limitations Policies and Superintendent Performance Evaluation Processes

Responsibilities of the Superintendent
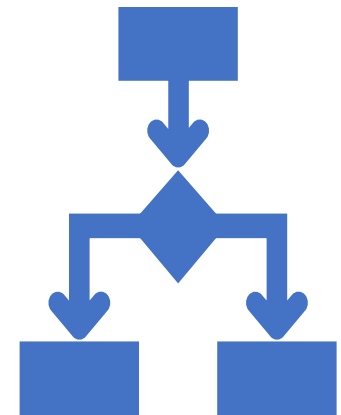
What is the job of the Superintendent?

- Stay within the guardrails of Executive Limitation policies

- Marshal people, time, and money to achieve the Ends

- Create transparency and public progress reports on Ends, EL's, and BSR's.

- Supervise all staff

The Responsibilities of Leadership: Demonstrating Compliance with Policy

"In Policy Governance, the word *monitoring* always means a comparison of reality to policy."

"Monitoring information is used to gauge whether previous board directions found in Ends and Executive Limitations policies have been satisfied. It is judgmental. It is retrospective and always looks to the past. Good monitoring is a systematic survey of performance against criteria."

(From John Carver. *Boards That Make A Difference, p. 163-164)*

Monitoring Purpose

- The superintendent must "demonstrate to the board that he or she has used a reasonable interpretation of the board's policies."

- The superintendent must "provide evidence that the interpretation has been fulfilled."

(From John Carver. *Boards That Make A Difference, p. 166)*

What Should the Board Expect From Monitoring Policy Compliance?

How Does a Monitoring Report Look?

1. Repeats the relevant portion of the board policy being monitored

2. Provides interpretation along with why the board should find it reasonable

3. Cites data to verify that the interpretation has been fulfilled. The only judgment will be about actual performance as it matches reasonable interpretation.

(From John Carver. *Boards That Make A Difference, p. 166)*

Monitoring Report Evaluation

Section 2- Evaluation of the Current Monitoring Report

A. Is the superintendent's interpretation of the policy reasonable? (Ends & EL's ONLY)

B. Is there sufficient evidence to determine compliance for each section? If not, list section number with specific information needed to determine compliance.

C. Are all sections in compliance? If not, list section number(s), specify reason(s), and when compliance shall be demonstrated.

D. Recognition of Exemplary Performance:

E. Concerns Regarding Performance:

Monitoring Report Evaluation (Cont.)

<u>Section 3 - Preparation for the Next Report Cycle</u>

A. Would you like to see additional/different evidence or formatting changes in the next monitoring report cycle? If so, please explain.
B. Do you see evidence which is extraneous or no longer necessary? If so, please explain.
C. Are there any areas you would like to learn more about prior to presentation of the next monitoring report cycle? If so, please describe.

<u>Section 4 - Advancement of Board Vision</u>

A. Are there linkage needs the board should address? If so, please describe.

B. Do you see the need for any part of this policy to be changed? If so, please explain.

In Summary …

"A PG board establishes its expectations about organizational performance by formulating Ends and Executive Limitation policies. Since these are the only board expectations of the organization, the provisions of these policies are the criteria it will then use to measure whether a *reasonable interpretation of its expectations has been met.*"

(From Carver, John and Miriam. *Reinventing Your Board, p. 31)*

"…your board's model of governance can only be found in its (GP's and BSR's). In other words, these two categories of board means policies are the governance model for you."

(From Carver, John and Miriam. *Reinventing Your Board, p. 105)*

Linkage:
How Board Members Engage With Their Community

- "The board should continually struggle to define and link with its ownership. It should do so with the same vigor that it would if the owners were organized and looking over the board's shoulder."

- "Elected boards seem particularly vulnerable to the error of listening to segments as if they were the whole."

- "Linkage to the ownership requires a more affirmative outreach than holding open meetings, and entertaining spokespeople from the floor."

(From John Carver. *Boards That Make A Difference, p. 204 - 205)*

Reflecting on the PG so Far …

WHAT'S GOING WELL?

WHAT NEEDS WORK?

WHAT DO YOU WONDER ABOUT?