



*Board of Trustees’  
Retreat  
Materials*

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February 18, 2008  
The Rouse Company Foundation Student  
Services Hall  
RCF-401 – 8:00 a.m.

# GROUND RULES

1. Board members practice respectful dialogue that serves the best interests of the college.
2. Each board member works to integrate servant-leadership into the board culture.
3. Each board member has the opportunity to speak uninterrupted.
4. Board members come prepared – board chair needs to understand what is required and set time and material appropriately.
5. Board chair acts as caretaker for the board – acts as filter, evaluates agenda for time well spent.
6. Board chair speaks for the board to the media.
7. Consent materials are available 10 days in advance; remaining board materials are available seven days in advance.
8. Board members should route any requests for additional information to the board chair or the president at least two business days prior to the board meeting.

**Board of Trustees' Retreat Agenda**  
**February 18, 2008**  
**The Rouse Company Foundation Student Services Hall**

The purpose of the board retreat is to help the board continually improve its performance through a review and discussion of the Carver policy governance model and servant leadership.

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| <b>Continental breakfast</b>   | <b>8:00 am</b>       |
| <b>A. Review and Discussion of the Carver Model and Servant Leadership</b> |                      |
| • Summary of the pure Carver Governance Model                              | <b>8:30 – 9:30</b>   |
| ○ Commentary on the pure Carver Governance Model                           |                      |
| ○ Comparison with Howard Community College's governance model              |                      |
| • Servant Leadership   | <b>9:30 – 10:00</b>  |
| <b>Break</b>   | <b>10:00 – 10:15</b> |
| <b>B. Discussion of Case Studies</b>                                       |                      |
| • Tillamook Community College  |                      |
| • Balance Between Fiduciary Responsibility and Financial Oversight         |                      |
| <b>C. Lunch and Continued Discussion</b>                                   |                      |
| • Where to from here? Next steps   | <b>Noon – 1:30</b>   |
| • Evaluation of the retreat  |                      |

## **A – Review and Discussion of the Carver Model and Servant Leadership**

### **Background:**

In preparation for the retreat, Dr. James Tschechtelin, recommended advanced reading for the trustees. Three books were given to board members to read so they would be fully prepared for this discussion. The books the board members received were:

- *Boards That Make a Difference* by John Carver
- *Reinventing Your Board* by John Carver
- *The Servant as Leader* by Robert K. Greenleaf

The “cheat sheet” following this item was provided by Dr. Tschechtelin to help focus the discussion on the Carver Model.

Also included with this packet are the board policies referenced in the cheat sheet, and the policy and procedure for Howard Community College’s current governance model, for comparison purposes.

## Howard Community College – Board of Trustees’ Retreat

### “Cheat Sheet” on the Carver Policy Governance Model <sup>1</sup>

Why does the board exist? The board exists (usually on someone else’s behalf) to be accountable that its organization works.

What does it mean that its organization works? We mean that the organization:

(1) accomplishes the intended results for the intended people at the intended cost or priority – expressed in the board’s Ends policies; and that it (2) avoids unacceptable methods, conduct, activities, and circumstances – unacceptable means expressed in the board’s Executive Limitations policies

What are Ends? The Policy Governance model posits that board decisions can be classified as those that define organizational purpose, and those that don’t. *Ends are concerned with what human needs are to be satisfied, for whom, and at what cost.*

What are Means? Any decision that is not an ends decision is a “means” decision.

Three deliverables. Policy Governance boards must produce three deliverables:

1. The first deliverable is a systematic linkage between the organization and the ownership. This is not public relations. The board connects with the ownership in order to ascertain the range of ownership values about the purpose of the organization. If the board is to make Ends decisions on behalf of the owners, it must know what the owners in all their diversity think.
2. The second deliverable is written governing policies in four areas:
  - Ends policies. The category of board policy that sets forth the fundamental reason for an organization’s existence in terms of the expected results for specified populations at some efficiency, cost, or priority among other results. (See HCC Board Policies, Core Ends, pages 26-28.)
  - Governance process policies.<sup>2</sup> The category of board policy in which the board deals with most of its own means, including the board’s relationship with owners, its own process, its internal workings, and to the discipline to which it is committed. (See HCC Board Policies, Governance Process, pages 2-11.)
  - Board-staff linkage policies.<sup>2</sup> The category of board policy in which the board states the nature and mechanics of the relationship between governance and management. This includes the methods of delegation and of evaluating performance. (See HCC Board Policies, Board-Staff Relationship, pages 12-17.)
  - Executive limitation policies. The board’s proscriptions on the CEO’s means that establish boundaries within which executive decision-making can operate freely. (See HCC Board Policies, Presidential Boundaries, pages 18-25.)
3. The third deliverable is the assurance of organizational performance, that is, performance which can be shown to be a reasonable interpretation of the board’s Ends and Executive Limitations policies.

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<sup>1</sup> Carver, J. *Boards That Make a Difference*, and *Carver’s Policy Governance® Model in Nonprofit Organizations*.

<sup>2</sup> These are about means, but are about means of the board, not the staff.



**HOWARD**

COMMUNITY COLLEGE

*You Can Get There From Here.*

# **BOARD OF TRUSTEES POLICIES**

**OFFICE OF THE PRESIDENT**  
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**Howard Community College  
Board of Trustees' Policies**

**TABLE OF CONTENTS**

<b>POLICY TYPE: GOVERNANCE PROCESS .....</b>	<b>2</b>
<b>POLICY TITLE: Governance Commitment.....</b>	<b>2</b>
<b>POLICY TITLE: Board's Role .....</b>	<b>3</b>
<b>POLICY TITLE: The Board of Trustees and the Commission on the Future ..</b>	<b>5</b>
<b>POLICY TITLE: Board's Role in Fundraising .....</b>	<b>7</b>
<b>POLICY TITLE: The Political Process and the Board of Trustees.....</b>	<b>8</b>
<b>POLICY TITLE: International Education .....</b>	<b>10</b>
<b>POLICY TITLE: Dedication/Naming of College Facilities .....</b>	<b>11</b>
<b>POLICY TYPE: BOARD-STAFF RELATIONSHIP .....</b>	<b>12</b>
<b>POLICY TITLE: Delegation to the President.....</b>	<b>12</b>
<b>POLICY TITLE: President's Role and Constraints.....</b>	<b>13</b>
<b>POLICY TITLE: Monitoring Organizational Performance.....</b>	<b>15</b>
<b>POLICY TITLE: Monitoring Presidential Performance .....</b>	<b>16</b>
<b>POLICY TITLE: Trustee Expectations of the President.....</b>	<b>17</b>
<b>BOARD POLICY TYPE: PRESIDENTIAL BOUNDARIES .....</b>	<b>18</b>
<b>POLICY TITLE: Human Relationships .....</b>	<b>18</b>
<b>POLICY TITLE: Fiscal Condition .....</b>	<b>19</b>
<b>POLICY TITLE: Compensation .....</b>	<b>21</b>
<b>POLICY TITLE: Asset Protection.....</b>	<b>22</b>
<b>POLICY TITLE: Budgeting/Forecasting .....</b>	<b>24</b>
<b>POLICY TITLE: Communication and Counsel to the Board.....</b>	<b>25</b>
<b>POLICY TYPE: CORE ENDS .....</b>	<b>26</b>
<b>POLICY TITLE: Core Ends .....</b>	<b>26</b>
<b>1. Leadership.....</b>	<b>26</b>
<b>2. Strategic Planning .....</b>	<b>26</b>
<b>3. Student and Stakeholder Focus .....</b>	<b>27</b>
<b>4. Information and Analysis .....</b>	<b>28</b>
<b>5. Faculty and Staff Focus .....</b>	<b>28</b>
<b>6. Educational and Support Process Management.....</b>	<b>28</b>

**POLICY TYPE: GOVERNANCE PROCESS**

**POLICY TITLE: Governance Commitment**

The board of trustees is the legal repository of authority for operation of Howard Community College.

The purpose of governance is that the board, on behalf of the citizens of Howard County and the State of Maryland, guarantees the accountability of Howard Community College by assuring that the board: 1) achieves appropriate results for the appropriate persons at an appropriate cost; and 2) avoids unacceptable activities, conditions, and decisions.

In fulfillment of this charge, the board is committed to rigorous and continuous improvement of the college. Continuous improvement shall include:

1. A self-evaluation of the board, which is conducted on an annual basis as a means of continually improving trustee performance.
2. An effective performance evaluation system for all employees shall be maintained as a means of continually improving employee performance.
3. An institutional effectiveness system, which includes financial, student, program, and human resources information, shall be maintained as a means of improving organizational performance.
4. Benchmarking data from inside and outside the college and the academic community will be a component to measure effective performance and responsiveness to stakeholders.
5. The institutional effectiveness system shall also be used to support the college's strategic planning and evaluation systems, which include the vision, mission, and strategic initiatives.
6. The board shall routinely monitor college achievement against board ends as set forth in the board policy manual.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98, 9/22/99, 2/23/00  
Approved: 4/26/00  
Revised: 12/11/00  
Approved: 3/21/01

As delineated in § 16-103 *Powers of board of trustees* of the Annotated Code of Maryland, subject to the authority of the Maryland Higher Education Commission, each board of community college trustees has the powers and duties set forth in this section. The board of trustees:

1. May establish and operate a community college with the approval of the Maryland Higher Education Commission.
2. Shall exercise general control over the community college, keep separate records and minutes, and adopt reasonable rules, regulations, or bylaws to carry out the provisions of this subtitle.
3. May fix the salaries and tenure of the president, faculty, and other employees of the community college.
4. May purchase, lease, condemn, or otherwise acquire any property it considers necessary for the operation of the community college.
5. May sell, lease, or otherwise dispose of community college assets or property.
6. May, with the President, execute a conveyance or other legal document under an appropriate resolution of the board.
7. With the approval of the Commission, permit the county board of education to use the lands, buildings, or other facilities of the community college; and with the approval of the county board of education, use any land, buildings, assets, or other facilities of the county board of education.
8. May apply for and accept any gift or grant from the federal government or any other person.
9. May determine, subject to the minimum standards of the Commission, entrance requirements and approve offerings that consist of: Transfer programs offering the equivalent of the first two years of a bachelor's degree program; Career programs offering technical, vocational, and semiprofessional education; and Continuing education programs.
10. May charge students reasonable tuition and fees set by it with a view of making college education available to all qualified individuals at low cost.

11. May sue and be sued.
12. May make agreements with the federal government or any other person, including agreements between counties to support a regional community college, if the board considers the agreement advisable for the establishment or operation of the community college.
13. May adopt a corporate seal.

Additionally, the board of trustees:

14. Shall govern the college through written policies, which address ends and presidential limitations.
15. Shall approve changes in by-laws and policies.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98  
Approved: 1/26/00

**POLICY TYPE: GOVERNANCE PROCESS**

**POLICY TITLE: The Board of Trustees and the Commission on the Future**

**Purpose:**

The Commission's purpose is to identify innovative ideas, emerging issues, and alternatives for the future of Howard Community College (HCC). Objectives for the Commission include:

- Identifying innovative ideas and alternatives to be considered in preparing HCC for the future.
- Increasing HCC's responsiveness to the emerging learning needs of Howard County.
- Establishing a process that will serve as a model for continued citizen participation in helping the college prepare for the future.
- Creating a widely understood and shared vision for the future of HCC.
- Promoting an understanding of the mission of HCC.

**Selection of Members:**

The Commission is comprised of approximately 15-20 citizens with interests in the economic, cultural, and educational development of Howard County. Members are appointed to five-year terms by the president in consultation with the board of trustees. The president may request a member to serve a second or third five-year term.

**Meetings:**

Every fifth year, the Commission shall go through an intensive examination of the college, during which it shall meet on a monthly basis during the college's fall semester.

During the intermediate years, the Commission shall meet on an annual basis each fall to receive an update on the status of recommendations and consider a particular topic suggested by the college or the board of trustees.

**Officers:**

The chair of the Commission on the Future, appointed by the president in consultation with the board of trustees, will serve a five-year term. The chair of the Commission will give a report to the board and the college community at the conclusion of its five-year review.

**POLICY TITLE: The Board of Trustees and the Commission on the Future**

**Task Forces:**

To facilitate its functions during the extensive review, the Commission will develop task forces on various topics of study and appoint Howard County citizens chosen for their expertise and interest in task force topics. The Chair will appoint Commission members to serve as chairs or members of the task forces. Each task force will meet at will. Recommendations for participants will be made by the college and the board.

The task forces will conduct their inquiry through interviews of key individuals and open forums. They will be encouraged to invite experts to address the issues before the task force, to identify and discuss appropriate readings, and to use web resources, national reports, and local perspectives to ensure a wide range of viewpoints on how the community college should be preparing for the future.

Drafted: 6/13/03  
Adopted: 8/27/03

**POLICY TYPE: GOVERNANCE PROCESS**

**POLICY TITLE: Board's Role in Fundraising**

The Howard Community College (HCC) board of trustees recognizes that the Howard Community College Educational Foundation board's primary responsibility is to build an endowment and raise funds for HCC. The foundation operates as a separate entity and the board of trustees can choose to have no relationship with the foundation board.

However, there are some areas that the trustees should keep in mind because their actions can facilitate the ability of the foundation board to raise funds:

1. Good professional relations should be maintained between the two boards.
2. The HCC board liaison should report semi-annually on the work of the foundation. Additionally, the board of trustees should periodically recognize the work of the foundation board.
3. The board of trustees may be able to identify potential prospects or have direct access to prospective donors. In such a case, a trustee may be willing to ask for money on behalf of the college. This should be done in cooperation with the foundation board.
4. The trustees need to recognize their "public persona." While not involved in direct fundraising, the trustees need to recognize that people give to people they like and trust. The trustees must show spirit and enthusiasm for the college that inevitably attracts enthusiastic advocates, who often remain committed to the college for years to come.
5. The trustees should add their thanks to donors, both formally and informally. The board chair should write a thank-you note on behalf of the board upon the foundation's receipt of a major gift. Other individuals on the board of trustees who know a donor personally should write a personal note or thank the individual in social settings. The president should regularly inform the board of such gifts.
6. The trustees, as part of their overall stewardship of the college, should make every effort to insure the integrity of the gifts given by the foundation to the college.
7. The trustees should recognize and support the president's role in friend-raising and fundraising, including an adequately staffed development office, overseen by the president.
8. The HCC board is expected to participate in the foundation's fundraisers to demonstrate commitment and support.

Adopted: 4/21/99

**POLICY TYPE: GOVERNANCE PROCESS**

**POLICY TITLE: The Political Process and the Board of Trustees**

The college has an obligation to inform trustees, employees and students about local, state, and federal issues. This must be conducted in a fair, open, non-partisan manner, offering diverse views. As citizens of Howard County, Maryland, all members of the college community are encouraged to register to vote and to encourage students to register to vote.

As such, the board of trustees is especially encouraged to be informed about local and state government and is encouraged to participate in forums and read material about candidates and issues. Trustees may even become more actively involved in the political process as candidates or supporters of candidates. However, they must also be careful to maintain the professionalism of their primary obligation to the college. Therefore:

1. No board member shall engage in political activity using the resources of the college (e.g., copying materials, borrowing or lending technology, etc.). Any involvement in political activity should be as an individual, not as a member of the Howard Community College board of trustees.
2. No board member may use any Howard Community College property or symbol (e.g., logo, signage, electronic images) in any political campaign materials or activities.
3. No board member may solicit funds for political purposes on campus. Additionally, no retribution can be taken against any employee or student who does not accept an invitation to a political event or contribute money to a candidate.
4. The board prohibits the president and the vice-presidents from expending any funds (state law) for any political fundraising activity.
5. The board prohibits the president and the vice-presidents from attending any political fundraisers by candidates.
6. The board prohibits the president and vice-presidents from running for political office while employed full-time at the college.
7. Board members who run for public office must take a leave of absence from the board.
  - a. Any board member who takes a leave of absence in excess of twelve months shall be deemed to have resigned from the board.
  - b. Board members on a leave of absence may receive all publicly available board documents but will not have access to confidential materials.

**POLICY TITLE: The Political Process and the Board of Trustees**

8. If elected to public office, a trustee must resign from the board of trustees.

Drafted: 6/13/03  
Adopted: 8/27/03  
Revised: 11/30/05

**POLICY TYPE: GOVERNANCE PROCESS****POLICY TITLE: International Education**

The United States must remain a leader in the global community of the 21st century to maintain its educational and economic vitality. The citizenry must be prepared to engage in worldwide activities related to education, business, industry, and social interaction. To ensure the survival and well-being of our communities, it is imperative that community colleges develop a globally and multi-culturally competent citizenry. Howard Community College is strategically positioned and experienced to respond to this educational and economic development imperative by educating and training individuals to function successfully in a multicultural and advanced technological environment that crosses all boundaries of education, communications, language, and business. To meet this challenge, Howard Community Colleges provides:

- internationalized curricula;
- multicultural activities and programs;
- foreign language programs;
- cultural and ethnic studies;
- study abroad programs;
- faculty and student exchange programs;
- professional development;
- technical assistance to other countries and their businesses/industries;
- local/state/national and international forums;
- international student enrollment;
- and other appropriate education and training programs to ensure a well-trained and technically literate workforce, functioning collaboratively with other countries of the world.

Howard Community College is in a strong position to meet these international challenges with a widely dispersed national network committed to accessibility and service to the local community. The Board of Trustees will actively advocate this international role for Howard Community College and will articulate this mission to the many external publics that Howard Community College serves.

Adopted: 4/26/00

(The Board of Trustees formally endorsed the American Association of Community Colleges' (AACC) Policy Statement on International Education at the its November 17, 1999, meeting. That statement was reformatted as Howard Community College board policy and approved on April 26, 2000.)

**POLICY TYPE: GOVERNANCE PROCESS**

**POLICY TITLE: Dedication/Naming of College Facilities**

The board of trustees may name buildings, rooms, outdoor spaces, etc. after individuals or organizations based on the following criteria:

1. contributed significantly to the founding or advancement of the college;
2. contributed financially to the college; the type of space named commensurate with the gift; or
3. contributed significantly to the community over an extended period of time.

No person currently holding elected or appointed office is eligible for naming rights.

The board of trustees shall vote on the naming of facilities at one of its regular board meetings.

Drafted: 03/10/2005  
Adopted: 04/27/2005

**POLICY TYPE: BOARD-STAFF RELATIONSHIP**

**POLICY TITLE: Delegation to the President**

All board authority, which is delegated to staff, is delegated through the president, 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 president.

1. The board directs the president to achieve certain results, for certain recipients, at a certain cost or priority through the establishment of ends. The board limits the latitude the president may exercise in practices, methods, conduct, and other means to the ends through establishment of means limitations and presidential limitations.
  - a. Decisions or instructions of individual board members, officers, or committees are not binding on the president except when the board has specifically authorized such exercise of authority.
  - b. In the case of board members requesting information or assistance without board authorization, the president may refuse such requests that require a material amount of staff time or funds or that are disruptive.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised & Approved: 4/23/98

**POLICY TYPE: BOARD-STAFF RELATIONSHIP**

**POLICY TITLE: President's Role and Constraints**

The president is the chief administrative officer of the college. The president is the board's single official link with the college as an organization. The president is accountable to the board acting as a collective body. The board will instruct the president through written policies delegating implementation to the president.

The president's responsibilities are:

1. Satisfactory accomplishment of the board ends.
2. College operation within the boundaries established in board policies and according to accepted professional ethics and good business practice.
3. Accomplishment of other annual goals and objectives established by the board.
4. Performance of the duties specified by state law.

The evaluation of the president shall be based primarily upon the accomplishment of the board's ends and meeting the board's presidential expectations.

Additionally, the president may not:

1. Deal with students, staff, or persons from the community in an inhumane, unfair or undignified manner.
2. Make decisions except by a process where openness and fairness is maintained.
3. Permit financial conditions that risk fiscal jeopardy or compromise board ends.
4. Allow assets to be unprotected, inadequately maintained, or unnecessarily risked.
5. Cause or allow financial planning for any fiscal period to deviate materially from board ends, risk fiscal jeopardy, or fail to show a generally acceptable level of foresight.
6. Provide information to the community, board or college constituencies, which is knowingly untimely, inaccurate, or misleading or omits information that would be perceived by the board as relevant.
7. Fail to develop and publish an institutional code of conduct that is consistent with the board of trustees' code of conduct and the State of Maryland's Code of Ethics.

**POLICY TITLE: President's Role and Constraints**

8. Manage the college without written administrative policies and procedures in accordance with the board policies.
9. Fail to report variances in board and administrative policies to the board. Neither alteration of variance reporting nor discouraging of variance reporting is allowed.
10. Fail to take prompt and appropriate action when the president becomes aware of any violation of any laws, regulations, administrative policies or board policies.
11. Have fewer than two other senior staff familiar with board and presidential issues, plans, problems, processes, and written succession plan; fail to inform the board at such time as there are changes to the succession plan.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98  
Revised & Approved: 12/15/99

**POLICY TYPE: BOARD-STAFF RELATIONSHIP**

**POLICY TITLE: Monitoring Organizational Performance**

Monitoring presidential performance is synonymous with monitoring organizational performance against board policies on ends, within boundaries set by the board can be accomplished as follows:

1. A given policy may be monitored in one or more ways:
  - a. Internal Report: disclosure of compliance information to the board from the president.
  - b. External Report: disclosure of compliance information by a disinterested, external auditor, inspector, or judge who is selected by and reports directly to the board. This reporting includes direct inspection of documents, activities or circumstances directed by the board.
2. Upon the choice of the board, any policy can be monitored by any method at any time.
3. The board will monitor those duties that it cannot legally delegate continuously.
4. The audit and finance committee reviews the Request for Proposals (RFP) for an independent certified public accountant to audit the college's financial records, as required by state code and makes recommendations to the board. The auditor shall be engaged by and report to the board.

Drafted: 11/9/96  
Approved: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98  
Revised & Approved: 12/15/99

**POLICY TYPE: BOARD-STAFF RELATIONSHIP**

**POLICY TITLE: Monitoring Presidential Performance**

Monitoring presidential performance is synonymous with monitoring organizational performance against board ends, within boundaries set by the board.

1. Annual reports on board ends shall be issued to the board by the president. The board considers college employees, students, and the community important constituents in the evaluation of board ends. Input from all constituents will be gathered as part of the evaluation of the board ends
2. The president shall prepare a self-evaluation for the board annually by March 1. The board will evaluate the president prior to April 1 each year.
3. The president shall formulate written administrative policies and procedures for the operation of the college in accordance with the adopted board policies.

Drafted: 11/9/96  
Approved: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98  
Revised & Approved: 12/15/99

**POLICY TYPE: BOARD-STAFF RELATIONSHIP**

**POLICY TITLE: Trustee Expectations of the President**

The trustees have three primary expectations of the president:

1. The president will administer the college to meet the ends within the limitations and disclosure requirements of the trustees. The president will have wide discretion to implement the programs consistent with her/his administrative style.
2. The president will provide the trustees with accurate information with respect to the role and scope of current and proposed programs and services. As the primary advisor to the board, the president will provide guidance, advice, and recommendations on the integrated strategic plan and budget presented annually to the board.
3. The president will provide leadership at ceremonial functions that will further the college's mission both in the community and within the college.
4. Other trustee expectations may be delineated separately to the president by the board.

Drafted: 6/27/98  
Adopted: 8/26/98  
Revised & Approved: 12/15/99

The president shall create and sustain an environment for living, working, and teaching that supports the development and realization of human potential and promotes the college's values. Treatment of and dealing with students, staff, and persons from the community shall be humane, fair and dignified.

The president may not:

1. Operate without written policies and/or procedures that set forth staff and student rules, provide for effective handling or grievances, ensure due process, and protect against wrongful conditions.
2. Fail to comply with all laws, rules, and regulations pertaining to employees and students including those pertaining to:
  - Discrimination
  - Equal Opportunity
  - Sexual Harassment
  - Rights of Privacy
3. Prevent students and staff from using grievance procedures.
4. Fail to acquaint students and staff with their rights and responsibilities.
5. Use application or registration forms or procedures that elicit information for which there is no clear need.
6. Use methods of collecting, reviewing, or storing client information that fail to protect against improper access to the information elicited.
7. Hire anyone where conflict of interest or perceived conflict of interest may exist, without full board disclosure.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98  
Revised & Approved: 12/15/99

**POLICY TYPE: PRESIDENTIAL BOUNDARIES****POLICY TITLE: Fiscal Condition**

With respect to actual, ongoing condition of the organization's financial health, the president may not cause or allow the development of fiscal jeopardy or a deviation of actual expenditures from board priorities established in the board adopted budget without approval or disclosure to the board.

The president may not:

1. Authorize purchases for greater than board approved purchasing authorization amounts.
2. Execute non-purchasing agreements exceeding \$24,999.99 or renew ongoing agreements, which are extended as renewed on the same terms that exceed \$50,000.00 without disclosure to the board.
3. Allow the awarding of a single sole source contract of greater than \$24,999. Cumulative sole source contracts over \$24,999.99 will be disclosed to the board. All sole source contracts must meet board approved sole source requirements.
4. Fail to establish and provide to the board, at the time of recommending a construction contract or service contract over \$50,000 to the board, a schedule of progress reports to include if the contract is on time and is within the amount the board authorized.
5. Fail to obtain authorization from the board should additional funds be anticipated or be needed for a contract in excess of \$24,999.99.
6. Fail to disclose the name, position control position, work unit, salary scale, and wage of every "budgeted" (position control) employee at the time of appointment or fail to disclose the name and earnings of temporary and hourly employees.
7. Allow an employee wage recommended to be outside of the board approved salary scale.
8. Charge tuition or consolidated fees not approved by the board.
9. Fail to maintain a cost accounting system sufficient for program cost comparisons and comparison of college practices to best practices.
10. Fail to insure that there be a separation of duties, such that no person, originates, controls, and approves a cost center budget or funds, and that no person, who requests or approves a purchase, verifies the receipt of that purchase.

11. Fail to disclose Howard Community College matching dollars for grants during the budget process. The administration shall disclose all grants received.

Drafted: 11/9/96  
Adopted: 2/26/97  
Revised: 4/23/98  
Revised: 8/25/99  
Revised & Approved: 12/15/99

The president may not cause or allow compensation and benefits to employees, consultants, contract workers, or volunteers to jeopardize fiscal integrity or public image.

The president may not:

1. Change his or her own compensation and benefits.
2. Promise or imply employment to faculty for longer than two years, or other employees or contract workers for more than one year, and no employment shall be guaranteed.
3. Establish current compensation and benefits, which create obligations over a longer term than revenues can be safely projected.
4. Fail to disclose, to the board, any permanent change in any employee's compensation, other than the annual salary increase approved by the board.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98  
Revised: 8/25/99  
Revised & Approved: 12/15/99

**POLICY TYPE: PRESIDENTIAL BOUNDARIES****POLICY TITLE: Asset Protection**

The board, cognizant of its fiduciary responsibility to ensure that all college property and assets are used to achieve the college's educational mission, authorizes the use of college property in ways strictly limited by the agreements and partnerships entered by the board in accordance with applicable law. Federal and state laws restrict the manner in which personal property and improvements acquired through tax-exempt bonds, leases, and similar governmental financing transactions may be used. The use of college equipment and employee services will be strictly limited to achieve the college's public purposes and not misdirected to support private interests without fair and reasonable remuneration and board authorization.

The president may not allow assets to be unprotected, inadequately maintained, unnecessarily risked, or deviate from means limitations or presidential limitations.

The president may not:

1. Fail to insure against theft and casualty losses, including extra expenses and loss of tuition and fees, in amounts consistent with replacement values or against liability losses to board members, staff, or the college itself in amounts consistent with limits of coverage obtained by comparable organizations.
2. Allow unbonded personnel access to material amounts of funds.
3. Allow facilities and equipment to be improperly used or maintained.
4. Unnecessarily expose the organization, its board or staff to claims of liability.
5. Make any purchase or commit the organization to a purchase greater than \$24,999.99 without disclosure to the board.
6. Recommend or make any purchase of new goods or services: a) which is not in accordance with state law and board policy; and b) wherein a conflict of interest or appearance of conflict of interest has not been fully disclosed to the board.
7. Receive, process or disburse funds under controls which are insufficient to meet board or board-appointed auditor standards.
8. Invest or hold operating capital in violation of approved investment policy.
9. Acquire, encumber, lease, or dispose of real property without board disclosure and authorization.

**POLICY TITLE: Asset Protection**

10. Make any purchase or award any contract where a conflict of interest exists.
11. Fail to maintain an inventory of real properties and capital equipment of value greater than \$1,000 owned by the organization.
12. Fail to protect the college's trademarks, copyrights, intellectual property, critical information, and files from loss or damage.
13. Fail to annually review, with each cost administrator, measures to prevent fraud, waste, and misuse of college assets.
14. Allow facilities and equipment to be subjected to improper use or for personal benefit.
15. Allow the services of college employees to be used for private gain without fair and reasonable remuneration and disclosure to the board.
16. Acquire, encumber, lease, or dispose of real property without achieving fair compensation for the same and board authorization.
17. Fail to protect college assets from diminishing in value outside of reasonable depreciation and normal wear and tear.
18. Endanger the college's public image or credibility, particularly in ways that would hinder the accomplishment of its mission.
19. Enter into self-dealing or self-serving agreements or agreements that appear to be self-dealing or self-serving.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98  
Revised: 8/25/99  
Revised & Approved: 12/15/99

**POLICY TYPE: PRESIDENTIAL BOUNDARIES**

**POLICY TITLE: Budgeting/Forecasting**

The president may not cause or allow financial planning for any fiscal period to deviate from board ends, risk fiscal jeopardy, nor fail to show a generally acceptable level of foresight.

The president may not cause or allow budgeting which:

1. Contains insufficient information to enable the board to: a) accurately project revenues and expenditures; b) separate capital and operational items; c) project cash flow; and d) understand planning assumptions.
2. Is not based upon the board-approved planning goals.
3. Is not at the fund level (e.g., fund 10, 11, 12...) and function level.
4. Does not present program budget information, comparison data, and best practices.
5. Fails to provide the annual funds for board operations.
6. Proposes a capital and operating budget that deviates from board ends and board budget guidelines.
7. Proposes a budget that does not have a broad base of input.
8. Endangers the fiscal soundness of future years or ignores the building of organizational capability sufficient to achieve ends in future years.
9. Does not properly classify revenues and expenditures and that budgeted amounts reflect expected revenues and expenditures.
10. Fails to control expenditures based upon the board-adopted budget.
11. Fails to disclose amendments to funds and functional budget categories.
12. Fails to provide the board detailed financial information that the board, their auditors or their consultants require.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98

Revised: 9/22/99  
Revised & Approved: 12/15/99

**POLICY TYPE: PRESIDENTIAL BOUNDARIES**

**POLICY TITLE: Communication and Counsel to the Board**

With respect to providing information and counsel to the board, the president may not permit the board to be uninformed regarding the organization and its interests.

The president may not:

1. Neglect to submit monitoring data required by the board 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, significant external and internal changes, particularly changes in the assumptions upon which any board policy has previously been established.
3. Fail to maintain the latest version of the bylaws, board policies, administrative policies, and administrative procedures on the college's web page.
4. Present information in unnecessarily complex or lengthy form or allow the information and advice to the board to have significant gaps in timelines, completeness, accuracy, or omits information that would be perceived by the board as relevant.
5. Fail to provide mechanisms for official board, board officer, or board committee communications.
6. Fail to deal with the board as a whole or respond to officers or committees duly charged by the board.
7. Fail to report in a timely manner an actual or anticipated noncompliance with any policy of the board, administrative policy or procedure.
8. Fail to supply to the board diversity of opinions, perspectives, and options, from the staff and from elsewhere, when such significant diversity exists, in order that the board can make fully informed board-realm decisions.
9. Obscure resources expended or allocated.
10. Fail to disclose any amendment to the administrative policies or procedures.

Drafted: 11/9/96  
Adopted: 2/26/97  
Reviewed: 3/21/98  
Revised: 4/23/98

Revised & Approved: 12/15/99

**POLICY TYPE: CORE ENDS****POLICY TITLE: Core Ends**

Howard Community College's key indicator system (core ends) will be aligned to the Malcolm Baldrige educational excellence criteria categories 1-6 (note: Baldrige category 7 - *Results* - are reported with the pertinent section). The core ends will include the mandated Maryland Higher Education Commission (MHEC) state indicators. It is acknowledged that some of the chart specifics may shift as both the Baldrige criteria and MHEC indicators are subject to periodic revision. The administration will denote any such modifications as the reporting cycle progresses and will conduct appropriate research to provide data for these measures.

<b>Category</b>	<b>Measures</b>
<b>1. Leadership</b>	HCC score v. external quality award evaluation for this Baldrige category
<ul style="list-style-type: none"> <li>Organizational leadership</li> <li>Social responsibility</li> </ul>	HCC - rating of board, president, vice presidents HCC - Selected internal survey questions such as know HCC mission, leadership encourages learning, freedom to express viewpoints, etc. MHEC 5. Tuition and fees as a % of tuition and fees at Maryland public 4-year institutions MHEC 26. Percentage of expenditures on instruction MHEC 27. Percentage of expenditures on instruction and selected academic support
<b>2. Strategic Planning</b>	HCC score v. external quality award evaluation for this Baldrige category
<ul style="list-style-type: none"> <li>Strategy development</li> <li>Strategy deployment</li> </ul>	HCC - Selected internal survey questions such as satisfaction with strategic planning process MHEC 1. Number of credit and noncredit students enrolled MHEC 2. Market share of service area of undergraduates MHEC 3. Market share of recent public high school graduates in service area

**POLICY TITLE: Core Ends**

<b>Category</b>	<b>Measures</b>
<b>3. Student and Stakeholder Focus</b>	HCC score v. external quality award evaluation for this Baldrige category
<ul style="list-style-type: none"> <li>• Student, stakeholder and market knowledge</li> <li>• Student and stakeholder relationships and satisfaction</li> </ul>	IDEA (Kansas State University) survey report – student evaluation of instruction-course level HCC - Comments card report HCC - Selected internal survey questions such as satisfaction with instruction MHEC 9. Graduate satisfaction with educational goal achievement MHEC 10. Non-returning student satisfaction with educational goal achievement MHEC 11. Student satisfaction with quality of transfer preparation MHEC 12. Academic performance at institutions of transfer: GPA after first year MHEC 13. Minority student enrollment as % of service area population MHEC 16. Four-year transfer/graduation rate of full-time minority students MHEC 17. Six-year transfer/graduation rate of all minority students MHEC 19. Employer / organization satisfaction with community college contract training MHEC 20. Student satisfaction with job preparation MHEC 21. Number of contract training courses offered MHEC 22. Number of businesses and organizations served in contract training MHEC 23. Number of participants in contract training MHEC 24. Percent of career program graduates employed full-time in related area MHEC 28. Enrollment in workforce development courses MHEC 29. Senior adult enrollment in non-credit courses

**POLICY TITLE: Core Ends**

<b>Category</b>	<b>Measures</b>
<b>4. Information and Analysis</b>	HCC score v. external quality award evaluation for this Baldrige category
<ul style="list-style-type: none"> <li>• Measurement and analysis of organizational performance</li> <li>• Information and knowledge management</li> </ul>	MHEC 4. Percent of students transferring to Maryland public 4-year institutions MHEC 6. Second year retention rate MHEC 7. Four-year transfer/graduation rate of full-time students MHEC 8. Six-year transfer/graduation rate
<b>5. Faculty and Staff Focus</b>	HCC score v. external quality award evaluation for this Baldrige category
<ul style="list-style-type: none"> <li>• Work systems</li> <li>• Faculty and staff learning and motivation</li> <li>• Faculty and staff well being and satisfaction</li> </ul>	HCC - Job satisfaction HCC - Selected internal survey questions such as people work with cooperate as a team, supervisors encourage me to advance my career, safe workplace, employee appraisal process, etc. MHEC 14. Percent minorities of full-time faculty MHEC 15. Percent minorities of full-time administrative / professional staff
<b>6. Educational and Support Process Management</b>	HCC score v. external quality award evaluation for this Baldrige category
<ul style="list-style-type: none"> <li>• Learning-centered processes</li> <li>• Support processes</li> </ul>	HCC - Update on learning outcomes assessment projects HCC - Selected internal survey questions such as conditions of building and grounds, personal work space, provide items needed to do your job, etc. MHEC 25. Licensure exam passing rate - NCLEX RN / NCLEX PN, EMT-B, Paramedic, CVT, CNA

Adopted: 5/26/04

# College Policy

## **Title: 61.02      Internal Governance**

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Governance is the process of involving employees in defining and benchmarking the organization's core work, in developing the strategic goals and objectives, and in formulating administrative policies and procedures, which align with board ends. Employees also have a responsibility for continuous improvement and responsiveness to the community or stakeholders the college serves. The college will have a governance procedure in place that provides structure and opportunity for members of the faculty and staff to be effectively and appropriately in the college decision-making processes.

Policy Manual Review/Revision: 7/1/01

President's Office Review: 2/28/06

# College Procedure

**Title: 61.02.01 Internal Governance**

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## **GOVERNANCE AT HOWARD COMMUNITY COLLEGE**

- I. Governance
- II. Principles of Governance
- III. Description of Groups Involved in Governance
- IV. Key Decisions of the Organization
- V. Organizational Chart

# I. Governance

Governance is the process of involving employees in defining and benchmarking the organization's core work, in developing the strategic goals and objectives, and in formulating administrative policies and procedures, which align with board ends. Employees also have a responsibility for continuous improvement and responsiveness to the community or stakeholders the college serves.

The board of trustees supports internal governance by stating in board policy that the president may not "make decisions except by a process where openness and fairness are maintained." Each spring the college submits the mission, vision, values and beliefs, strategic initiatives and goals for board approval. The following winter, the college presents the integrated strategic plan and budget for board approval. The board has the ultimate decision-making authority for the college, but values the input of the college through a defined process of governance.

Additionally, the board formed the Commission on the Future in 1998, which gave advice on "creating a world class learning organization." The commission envisioned Howard Community College (HCC) as a college that *"embraces a culture of experimentation, communication, and commitment to bold change and accountability for the enhancement of lifelong learning for all constituents and for the College's own faculty, staff, and trustees."*

The report continues:

"HCC is an agile organization that anticipates the needs of students and stakeholders. It continuously reexamines traditional roles, and makes changes in organizational structures and values to meet new opportunities. HCC recognizes that the College is, and will be increasingly asked, to serve functions beyond its traditional degree programs, and that these emerging functions will require new skills, competencies, resources, and new organizational goals and structures."

Internal governance at HCC includes several avenues to encourage the investment of employees in the day-to-day and the long-term decision-making of the college. They are as follows:

1. Each employee is a member of a **core work** unit (team) within one of the functional units (Academic Affairs, Student Services, Administration and Finance, Information Technology, President's Area). This team has the responsibility of defining the core work of the unit, setting performance measures, establishing benchmarks, and devising strategies and tactics to achieve these benchmarks. **The team leader or administrator has the responsibility to engage the group in this process.**

The input of the core work unit travels through the regular reporting channels.

2. Each employee is also a member of one of four **constituency groups** who elect representatives. These groups are support staff, professional/technical, administrators, and faculty. For example, all faculty can participate in the *faculty forum*, which has a broad role in reviewing academic standards, curriculum, and other factors that impact the learning climate for students and faculty.

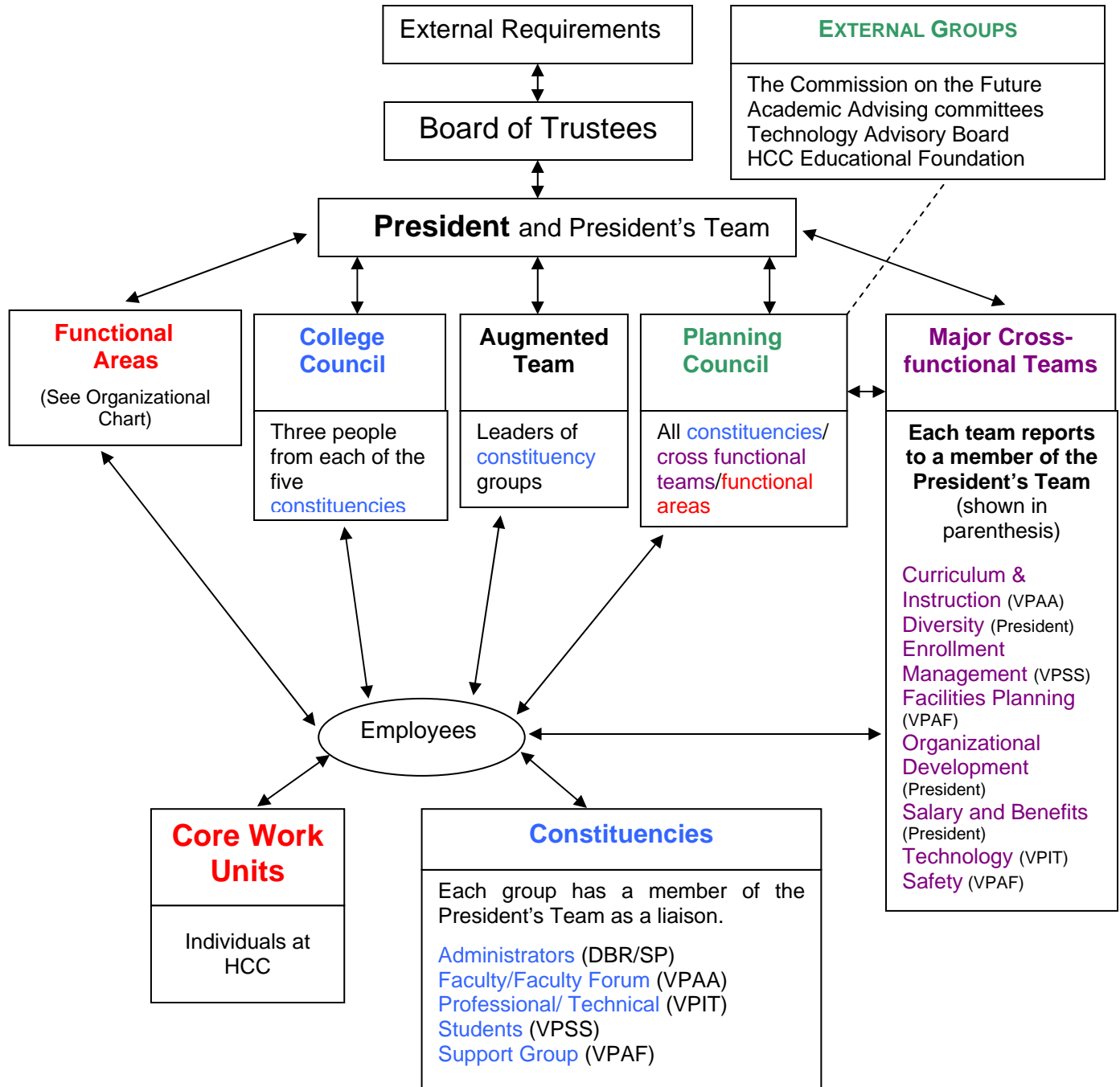
Each one of the five constituency groups has a liaison on the president's team. Input from these groups can be forwarded via their liaison to the president's team or through their leadership to the **augmented team**.

In addition to the employee constituency groups, we have a representative student group – the student government association.

Each constituency elects three members to the **college council**. This group reviews and recommends changes in administrative policy and procedures as it addresses those issues affecting more than a single constituency.

3. Each employee/student (via his own role on campus or his/her constituency representative) is also connected to the **major cross-functional teams**. Each of the cross-functional teams has a liaison that is a member of the president's team. Input of these teams can be addressed via their liaison to the president's team.
4. Each employee/student (via his own role on campus or his/her constituency representative) is connected to the **planning council**. It is the largest representative group on campus. The council is expected to engage in continuous environmental scanning to assist in determining the college's strategic direction and to help the college determine priorities for the expenditure of human and financial resources.
5. The college also gathers input from **external groups**. The Commission on the Future (COF) is one of several groups of representatives of the community who advise the college and help the college to be a responsive community college. Other groups include academic advising committees, the Information Technology committee, and the Howard Community College Educational Foundation, Inc.

## HCC Governance Partners



**Key:**  
 DBR/SP: Director of Board Relations/Special Projects  
 VPAA: Vice President of Academic Affairs  
 VPAF: Vice President of Administration & Finance  
 VPIT: Vice President of Information Technology  
 VPSS: Vice President of Student Services

## **II. PRINCIPLES OF GOVERNANCE**

1. The board of trustees is the college's legal governing body. The seven trustees are appointed by the Governor for six-year terms. They establish board policy and govern through board ends. The board is committed to the participation of employees in the planning and decision-making of the organization.
2. Employees are directly involved in their core work which reflects the daily operational needs of the college to serve its students and clients – the day-in, day-out work that delivers services to students.
3. Employees and students who are representatives of constituent groups should communicate with the constituents they represent.
4. The development of curriculum content is the primary role of faculty. The administration has the responsibility to be sure that new programs are developed as needed by the community. The faculty should be responsive to employers, transfer institutions, and students in the development of curricula.
5. Employees are involved in the development of the college's strategic and operating plan and budget through their core work groups, and representatives on the planning council.
6. The president and the president's team are responsible for distilling all the input from the functional units, constituency groups, and the planning council into one plan and budget which is submitted to the board for approval.
7. Students are to be represented in as many venues as possible throughout the college, including the cross-functional teams, the planning and college councils. SGA officers should make appointments to these groups. Students, however, are not represented on the salary and benefits committee. Non-credit students should also be asked to serve in various roles. The salary and benefits committee is one team that is composed solely of employee representatives.

### III. DESCRIPTION OF GROUPS INVOLVED IN GOVERNANCE

<b>Group Name</b>	<b>Description</b>
<b>Administrative Group (Constituency Group)</b>	The administrative group is a constituency group representing the interests of administrators. The group elects officers and members of cross-functional teams.
<b>Augmented Team</b>	The augmented team is an advisory group to the president's team, which meets monthly during the academic year. This group consists of the heads of constituency groups and invited representatives of cross-functional or functional groups for the purpose of dealing with issues of importance to the college.
<b>College Council</b>	The college council is an official channel of communication and deliberation within the college. It reviews and recommends changes in administrative policy and procedure. The council contains three members from each of the five major constituencies at the college (administrators, professional/technical, faculty, support staff, students).
<b>Core Work Units</b>	The organization is divided into work groups who form each functional area; the organizational chart shows this. Each core work unit annually reviews the mission of that unit, defines or updates the core work, sets and reports on benchmarks, and develops strategies and tactics to achieve those benchmarks. Each core work unit also makes requests for resources for that unit. The team leaders – mid-managers across the organization – have the responsibility of involving people in planning. Mid-managers are also responsible for communication about what happens to requests and recommendations. The core work team has to find the most effective ways to perform work and use limited resources effectively. This is the most fundamental aspect of college governance.
<b>Curriculum and Instruction Committee</b>	The curriculum and instruction committee is responsible for reviewing and approving recommended programs, transfer patterns, course changes and new programs. New programs must be approved by the board of trustees. The committee's membership includes an appointed faculty chair, a representative from each academic division including continuing education, the assistant director of advising/transfer, an additional representative from admissions and advising, a support staff representative, and a student government association representative. In addition, the vice president of academic affairs, the primary catalog editor

Group Name	Description
	for the academic affairs area, the registrar, and an information technology representative and a support staff representative are ex-officio members of the committee. The committee meets once each month from September through May. Additional meetings may be scheduled as needed. The chair of the curriculum and instruction committee also chairs a subcommittee that reviews courses that are being proposed for the general education core. The subcommittee meets several times a year depending on the number of general education core submissions.
<b>Diversity Committee</b>	The diversity committee reviews and plans annual college-wide diversity activities, participates in employment search committees, provides input on important college policies, develops (facilitates, and recommends) appropriate management and staff diversity training, performs diversity related fact-finding activities as needed, periodically reviews and revises HCC diversity plan and responds to current diversity issues affecting the college community. (See administrative procedure 63.01.02 for membership.)
<b>Enrollment Management Team</b>	The enrollment management team is comprised of the representatives from the key areas involved in the enrollment process, including admissions and advising, marketing, financial aid, registration, information technology, continuing education, welcome center, research and planning, academic support and career services, academic affairs, administration and finance, faculty and students. Selection of the membership is done by the co-chairs of the enrollment management team and the vice presidents. The enrollment management team is a college-wide effort to better manage enrollment processes and provide opportunity for future growth. To support this effort, the enrollment management team was formed in November 1999 to develop strategies and implement programs that will provide optimal opportunities to enhance recruitment, retention, and graduation rates.
<b>Facilities Planning Committee</b>	The facilities planning committee is responsible for making recommendations for the college's capital projects. The committee is representative of college constituents who are responsible for gathering input from their areas. Based on feedback from the college, the needs are prioritized and incorporated into the capital budget.

<b>Group Name</b>	<b>Description</b>
<b>Faculty Forum (Constituency Group)</b>	The faculty forum is the constituency group of the faculty. This group has by-laws, which describes its purpose and process for electing representatives.
<b>Organizational Development Team</b>	The organizational development team representing college constituents develops both general and job specific knowledge and competencies that employees should possess and outlines training possibilities that are relevant, convenient, and effective. Individual areas such as human resources, information technology, faculty development, and continuing education/workforce development will continue to offer the training; however, the organizational development team will be responsible for recommending to the president's team priorities for the limited training resources.
<b>Planning Council</b>	The planning council is a working group established in fall 1998, representing all constituencies and the main cross-functional teams, whose purpose is to develop a strategic plan by distilling ideas from its members and by scanning the environment. The plan should be directed to the accomplishment of board ends. In time for the fall budget development process, the planning council creates and recommends a strategic plan to the president's team. Along with the core work unit requests, this plan forms the basis for the integrated strategic plan and budget presented to the board in January of each year.
<b>President's Team</b>	The president's team, consisting of the president, vice-presidents, executive director of planning, research, and organizational development, and the director of board relations/special projects manages the operations of the college and receives the recommendations of the functional units, planning council, college council, etc. The president's team is responsible for reviewing the work of various constituencies and developing an "integrated strategic and operating plan and budget" to submit to the board every January. This plan and budget will be reviewed with the planning council for input before submission to the board.
<b>Professional/Technical Group (Constituency Group)</b>	The professional/technical group is a constituency group representing the interests of the professional/technical staff. Representatives are elected to be officers and members of cross-functional teams.

<b>Group Name</b>	<b>Description</b>
<b>Safety Committee</b>	The safety committee is a cross-functional team responsible for making recommendations to the college community on issues of security emergency management, risk management, ADA compliance, and life safety. The team recommends purchases or improvements to maintain a safe campus environment as well as makes suggestions for college policy and procedures on safety issues.
<b>Salary and Benefits Committee</b>	The salary and benefits committee is a cross-functional team whose responsibility is to represent the college's employees in matters of salary and benefits. Constituency groups are represented on this committee. Recommendations are considered for incorporation into the integrated strategic and operating plan.
<b>Students (Constituency Group)</b>	Students elect Student Government Association (SGA) representatives according to the SGA Constitution. Officers appoint members to cross-functional teams.
<b>Support Group (Constituency Group)</b>	The support group is a constituency group representing the interests of support group employees. Representatives are elected to be officers and members of cross-functional teams as described by their by-laws.
<b>Technology Team</b>	The technology cross-functional team will assist with keeping the college's technology infrastructure and applications current and robust to meet the educational and business needs of the college community. The team will assist with technology planning, advancements, applications, policies, standardization, end-user competencies, and funding. This new cross-functional team will be composed of campus technology leaders and staff from all constituency groups.

**Other Committees**

Many other committees function on the campus. They will be encouraged to post their mission, membership, and anticipated outcomes as well. They are already linked to one of the major groups listed in this document.

## **IV. KEY DECISIONS OF THE ORGANIZATION**

### **Integrated Strategic Plan and Budget**

This plan combines the strategic plan, along with the operating plan and budget. Each January the board approves this plan and budget, which is submitted to the county government for approval. The planning council develops the strategic plan and the functional units create the operating plan. They are integrated by the president's team and reviewed again by the planning council before submission to the board of trustees. *All other plans are aligned with and contribute to this integrated strategic plan and budget.*

### **Academic Plan**

The academic plan outlines the major directions in academic program development, distance learning, instructional technology integration, program and outcomes assessment, faculty professional development, and learning resources deployment. The vice president of academic affairs oversees a process to revise the formal academic plan every three years. The academic plan is reviewed by the Planning Council for inclusion in the strategic plan.

### **Core Work Unit Plans**

Each core work unit develops its work plan, setting benchmarks and performance measures.

### **Enrollment Management Plan**

The enrollment management team develops its action plan for the upcoming year to meet the established enrollment goals. The plan is linked to core work and the strategic plan and is reviewed by the planning council.

### **Diversity Plan**

The diversity committee will submit strategic priorities, outside of their core work, for inclusion in the strategic plan.

### **Facilities Master Plan**

The facilities master plan establishes a framework for the physical growth and infrastructure on the campus for the foreseeable future. Based on projected enrollment growth and space needs it is the foundation for recommendations on improvements to current buildings, proposed site locations for future buildings and land use plans for the next 20 years. The vice president of administration oversees a process to update the formal facilities master plan every five years. The plan is the basis for the capital budget submissions each year, which are reviewed by the facilities planning committee and included in the strategic plan.

### **Operating Plan**

The college's operating plan is the day-to-day activity described in core work and determined by core work units in functional area (see organizational plan).

**Strategic Plan**

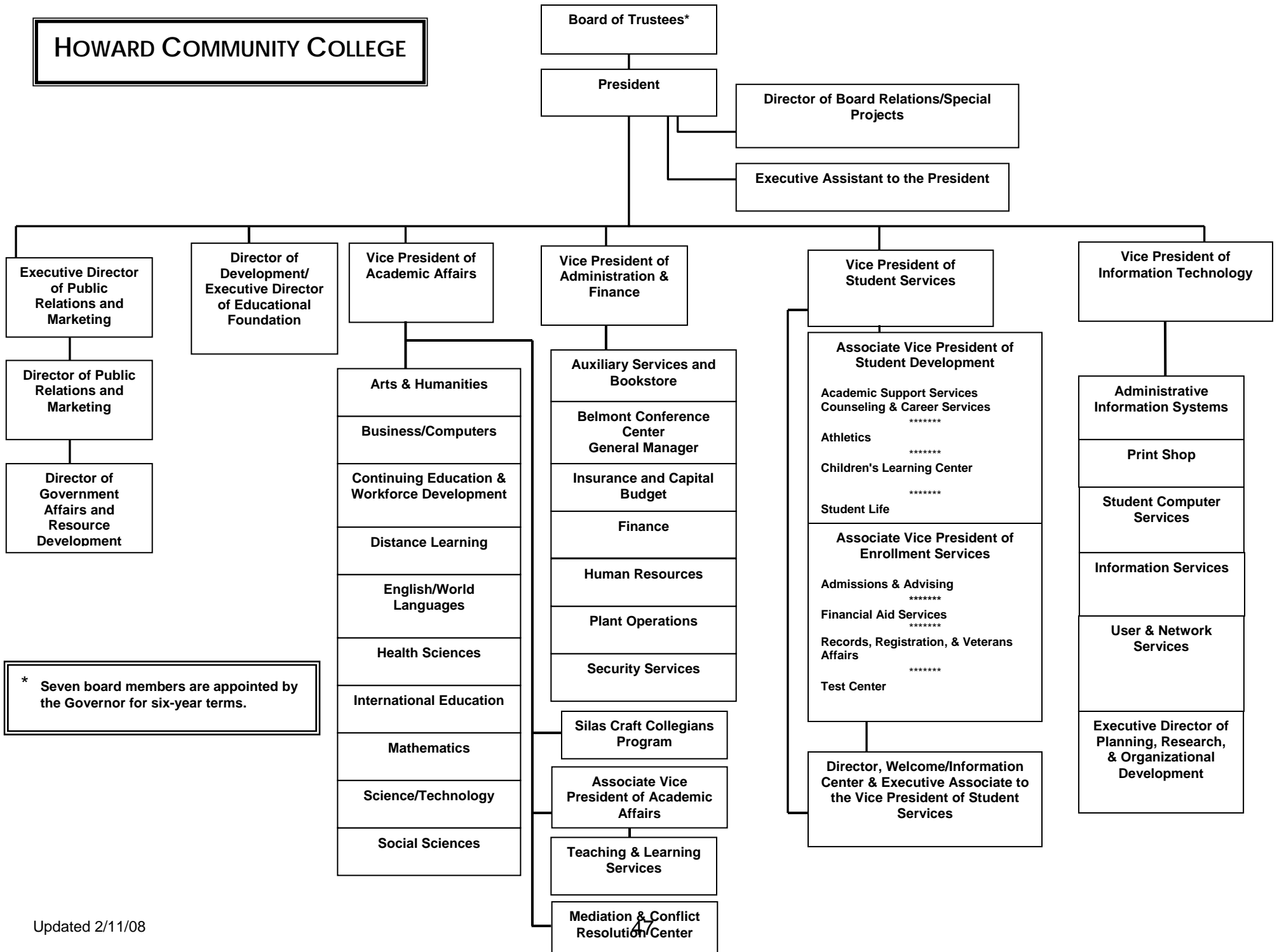
Each year, the planning council reviews or develops the mission, vision, values, beliefs, strategic initiatives, goals, and objectives for the college. The strategic plan moves the college as a whole in new or expanded directions.

**Technology Plan**

The technology plan will be reviewed by the planning council for inclusion in the strategic plan.

Policy Manual Review/Revision: 10/7/05

# HOWARD COMMUNITY COLLEGE



\* Seven board members are appointed by the Governor for six-year terms.

## **B – Discussion of Case Studies**

### **Background:**

Two case studies and accompanying questions are included in these materials for the board's review and discussion.

- Tillamook Community College
- "Striking the Right Balance Between Fiduciary Responsibility and Financial Oversight"

## Case Study: Tillamook Community College

Tillamook Community College is a small community college located near the Pacific Ocean. Tillamook, Oregon is known for its famous cheese, and the college is known for its excellent responsiveness to the local need for higher education. The Board of Trustees of Tillamook Community College is an 11-member body, with six members appointed by the governor and five members appointed by the county executive. There has been relatively low turnover on the board in the past few years, and the relationships among the board members have been generally congenial and collegial.

Recently, the *Tillamook Times* newspaper ran a picture taken at one of the Governor's fundraisers. One of the four people in the picture was Bob Bowersox, a member of the Tillamook Community College Board of Trustees. Bob has been a member of the Board of Trustees for the past eight years, and has been a very active member. In addition, he has given a considerable amount (in six figures) to the college's foundation over the years. He has also been a prominent donor to the political campaign fund of the governor.

At the board's closed meeting on the day that the photograph appeared in the newspaper, one member of the board, Tom Truskin, said that the picture troubled him. He said that, by having such a high profile in his support of the governor, Bob could lead the public to regard the college in a highly political light, and he urged Bob to be more aware of a possible perception of the college being seen as partisan.

Bob explained that he has held a long-time interest in the progress and direction of Tillamook County, and after a great deal of thought, he has decided that it's in the best interest of Tillamook County to support the governor, who is running for re-election. A few years ago, the governor had funded a \$10 million academic center for the college, and the governor attended its ribbon-cutting celebration.

The college president, Mike McGriff, said that he felt quite torn by the matter. Mike had developed a close relationship with Bob over the years, and on several occasions, traveled to national community college meetings with Bob, and worked together on presentations.

The board's vice chair, who is supporting a woman who is challenging the governor in the next election, spoke up to say that he plans to speak with the college president about reserving space for a fund-raiser on the college campus next month for the challenger.

Several board members complained about how they felt that they have been put in a bind by the publication of Bob's picture with the governor at a fundraising event, and with a growing sense of politicization of the college. Voices were raised, and as the meeting drew to a close, there was a great deal of tension in the room.

Sample questions for discussion:

1. Does this situation relate to Carver's concept of ends? How?
2. Does this situation relate to Carver's concept of means? How?
3. What would the Carver model suggest that the board do in response to this situation?
4. How should the board chair handle the situation?
5. What options does the president have? Should he be involved in the discussion?
6. What options do individual board members have?
7. Does the situation relate to Greenleaf's servant-leader concept? How?

# Case Study

## COLLEGE GOVERNANCE

### Striking the Right Balance Between Fiduciary Responsibility and Financial Oversight

*This case is provided as a tool to foster discussion of important governance issues.*

One of Jane's proudest moments was when the governor requested she serve on the board of trustees for SHD Community College. A proud graduate of the college, she often cited her experience at SHD as a significant turning point for her and her family. Inspired by faculty members from the college, she went on to earn an MBA at a prestigious university and become the first woman to head a major bank in the state.

The board is composed of the most prominent citizens in the community, and all the members have served from 15 to 20 years. So, as the newest member of the board, Jane was honored by the trust and faith that her fellow board members bestowed on her when they elected her as chair.

The college has a stellar academic reputation, is considered a powerhouse in various sports, and is the third largest college in the state, contributing significantly to the local economy. SHD has always embodied an entrepreneurial spirit of "yes we can," encouraging administrators and faculty to seek alternate sources of funding. The college receives millions of dollars from federal and state grants.

Before becoming board chair, Jane served as head of the college's finance committee. After seeing articles in the national media about alleged questionable practices related to student aid, athletics departments and study-abroad programs, Jane had suggested that the finance committee require an auditing firm to conduct a more in-depth audit. Everyone knows that four-year universities heavily recruit SHD athletes. And it is not unusual for a home game to attract more than 40,000 fans. SHD also has the largest enrollment of foreign students in the state.

Jane believed the audit was an appropriate and prudent request. The rest of the finance committee agreed to the preparation of a supplemental review, but made it clear that they were very comfortable with the financial oversight provided by the administration and did not want to overstep their authority.

*Who should trustees talk to first when they suspect wrongdoing: the president, the former board chair, or the auditing firm?*

A year later, the finance committee reviewed the audit report and presented it to the board during Jane's first meeting as chair. In an effort to be prepared, she asked for an early copy of the audit and the supplemental report prepared by the auditors. There were no surprises in the audit report. However, the supplemental report was a different story. The auditors cited questionable practices that left the college open to potential criticism because of improprieties by administrators.

Specifically, the auditors cited questionable links between the college's administrators and companies providing outsourced campus services. The report even questioned the possibility that vendors provided administrators certain benefits in exchange for preferential treatment. Jane wondered if individuals had put their own personal gains ahead of the interest of students.

After serving on the finance committee for five years, Jane realized that she had no idea what the disclosure and approval processes were at the college. She always assumed that the proper checks and balances were in place. She always felt comfortable with the governing board having a clear understanding of its fiduciary responsibility. She now asked herself, "What is the right balance between carrying out the fiduciary responsibility of the board and understanding the fundamentals in oversight of the board?"

Jane noted that the supplemental report was not included in the posted agenda for the board meeting. The cover page read: *Confidential Supplemental Report Prepared at the Request of the Chair of the Finance Committee, not for distribution or discussion.*

What could she do? Where should she start? What are the right questions to ask?

#### DISCUSSION QUESTIONS

1. How can a trustee find out if vendors have provided perks to campus administrators in exchange for favorable treatment in obtaining contracts? Should an investigation be put in place to monitor behavior?
2. Should the first step be to evaluate existing policies, determine if there are conflict-of-interest policies, procedures and standards for approval by the president and/or vice president — or should this be approved by the Board?
3. Are there state ethics rules that apply to the college and board?
4. Should the board voluntarily adopt Sarbanes-Oxley type standards, as many corporations and institutions have done?
5. Who should trustees talk to first when they suspect wrongdoing: the president, the former board chair, or the auditing firm?

## Case Study

### Balance Between Fiduciary Responsibility and Financial Oversight<sup>1</sup>

Please read the case study, and prepare to discuss these questions, as well as the five questions at the end of the case study itself:

1. What would you do if you were a board member in this situation? Why?
2. What would you do if you were the board chair in this situation? Why?
3. Does this case relate to Carver's concept of ends? How?
4. Does this case relate to Carver's concept of means? How?
5. Which of the following policy documents prescribed by Carver would be most related to this situation?
  - a. Ends policies
  - b. Governance process policies
  - c. Board-staff linkage policies
  - d. Executive limitation policies
6. Are there policies at Howard Community College that are related to this case? Which ones?

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<sup>1</sup> This is a case study on college governance, "Striking the Right Balance Between Fiduciary Responsibility and Financial Oversight," from the Association of Community College's *Trustee Quarterly*, Fall 2007.

## **C – Continued Discussion**

- **Where does Howard Community College go from here?**

- **What are the next steps?**

- **Evaluation**