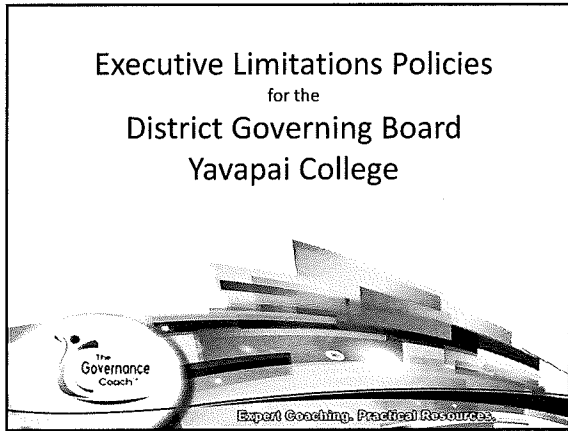


# Executive Limitations Policies for the District Governing Board of Yavapai College



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### Policy Governance Principles

1. Ownership	7. Policy Sizes
2. Position of the Board	8. Clarity and Coherence of Delegation
3. Board Holism	9. Any Reasonable Interpretation
4. Ends Policies	10. Monitoring
5. Board Means Policies	
6. Executive Limitations	

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### Content

- The policy in Policy Governance®
- Delegating Achievement of Ends
- Tips for Better Executive Limitations Policies
- Executive Limitations policies Review



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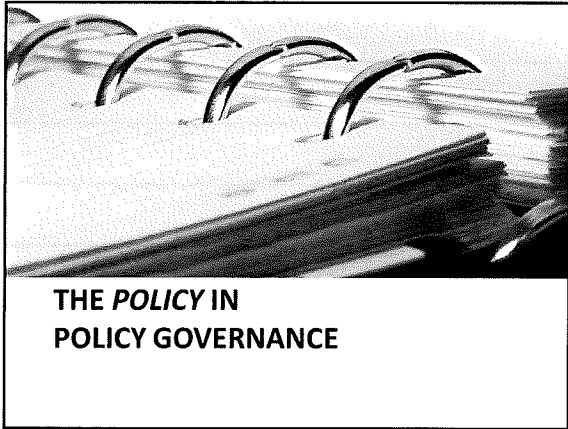
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# Executive Limitations Policies for the District Governing Board of Yavapai College




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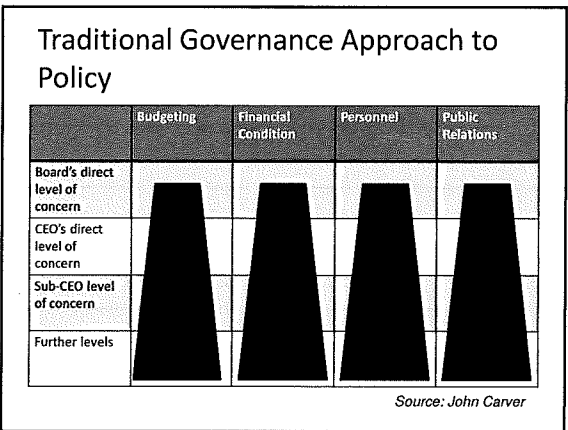
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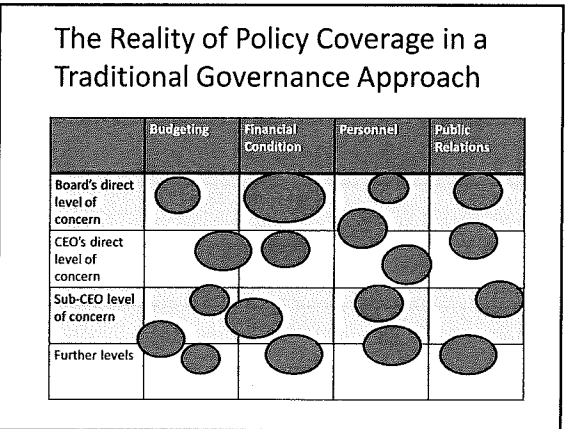
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# Executive Limitations Policies for the District Governing Board of Yavapai College

## Policy Governance Approach

	Budgeting	Financial Condition	Personnel	Public Relations
Board's direct level of concern				
CEO's direct level of concern				
Sub-CEO level of concern				
Further levels				

Source: John Carver

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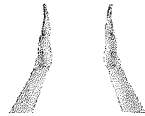
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## 2 Key Policy Development Principles



**Principle 7:  
Policy Sizes**



**Principle 9:  
Any Reasonable Interpretation**

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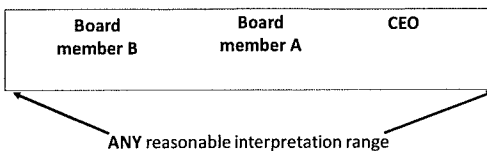
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## Any Reasonable Interpretation




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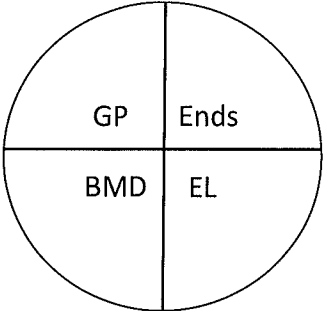


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# Executive Limitations Policies for the District Governing Board of Yavapai College

**4 Policy Categories**

- Ends
- Executive Limitations
- Governance Process
- Board-Management Delegation




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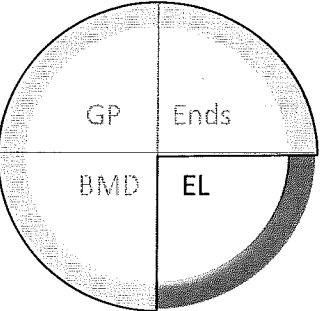
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**Sample Highest Level Executive Limitations Policy**

"The President shall not cause or allow any practice, activity, decision or organizational circumstance which is either unlawful, imprudent or in violation of commonly accepted business and professional ethics."




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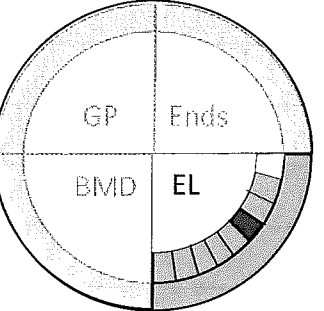
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**Second level statement**

"The President shall not cause or allow conditions, procedures or decisions related to the treatment of students that are unsafe, unfair, disrespectful, or unnecessarily intrusive."




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# Executive Limitations Policies for the District Governing Board of Yavapai College

**Third level Policies**  
 [The President shall not:]  
 2. Deliver programs in a manner that is insensitive to students' culture.

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**EL Policy Map**  
 Each smaller, more specific policy is interpreted within the context of the larger, containing policy.

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**"Mind the Gap!"**

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# Executive Limitations Policies for the District Governing Board of Yavapai College

## Benefits of the Policy Structure

- Comprehensive coverage
- Manageable level of policies:
  - Regular content review
  - Regular compliance monitoring
- Any reasonable interpretation enables the delegate flexibility for efficient and effective action

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## Sample EL Monitoring Report

### Board Policy:

- *[...the CEO shall not;]* Permit staff to be unaware of the performance standards by which they will be assessed.

### Report:

- I have received no complaints that staff are unaware of their expected performance standards.

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## Components of a Monitoring Report

- The CEO's interpretation
- Evidence of achievement/compliance with the CEO's reasonable interpretation

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# Executive Limitations Policies for the District Governing Board of Yavapai College

## What is an interpretation?

- “Operational definition” which explains how the concept in the policy will be measured and the standard (e.g., benchmark) for acceptable achievement/compliance
- Rationale for why the operational definition and standard are reasonable –unless self-evident

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## Why Operational Definitions are Important

- When collecting data, it is essential that everyone in the system has the same understanding and collects data in the same way
- Anyone should be able to repeat the measurement independently – if an external auditor or the board itself did the measurement, it should get the same result as the CEO

**Replicability**

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## Interpretation – Rationale

- Statement of why the operational definition is defensible
- May include:
  - Opinion of external, unbiased, expertise
  - Comparisons to similar organizations or situations

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# Executive Limitations Policies for the District Governing Board of Yavapai College

## Methods of Monitoring

- Internal Report – direct written report from CEO indicating compliance with the policy
- External report, e.g., Auditor
- Direct inspection of documents or activities by board or board committee) to assess compliance with policy criteria



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## Summary:

### Any Reasonable Interpretation

- An operational definition
- May be different than board members would provide
- Delegatee's interpretation must have rationale
- Assessed by a majority of the board as falling within the range of reasonable interpretation

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## Summary:

### Policy Writing Principles

- Begin with the broadest policy for the category
- Move to more detailed policies, in sequence
- Subsets are contained by "parents"
- Do not skip levels
- **Stop** when any *reasonable interpretation* by the delegate is acceptable

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# Executive Limitations Policies for the District Governing Board of Yavapai College

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## DELEGATING ACHIEVEMENT OF ENDS

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## Means...

- Anything that is not an Ends statement
- Includes:
  - Services
  - Programs
  - Projects
  - Budgets
  - Plans
  - Etc.



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# Executive Limitations Policies for the District Governing Board of Yavapai College

## Types of Means

- Board Means
- Operational Means

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## Delegating to the CEO with Policy Governance:

- *Prescribe Ends* to achieve
- *Proscribe unacceptable means*
- Empower CEO to use any *means* to achieve a reasonable interpretation of Ends while complying with a reasonable interpretation of Executive Limitations policies



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## Unacceptable Means

Means that would be unacceptable *even if they were successful at achieving the Ends*



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# Executive Limitations Policies for the District Governing Board of Yavapai College

## Negative Language

- Clarifies the boundaries
- Reinforces board's message "everything is permitted unless it is forbidden"
- Encourages discipline not to prescribe preferred means

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## TIPS FOR BETTER EXECUTIVE LIMITATIONS POLICIES

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## Avoid "Backdoor" Prescriptions

- Prescriptions in negative language
- Often stated as: "... the President *shall not fail to...*"
- Test: Would it be unacceptable even if it worked to achieve Ends?

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# Executive Limitations Policies for the District Governing Board of Yavapai College

## Policy Sizes

- A criterion stated at a higher level, need not be repeated at a lower level.



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## Any Reasonable Interpretation

- The President's interpretation need not stay the same
- Test the policy against various reasonable interpretations



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## Condition versus Process

- Instead of stating limitations as processes, identify the unacceptable condition.



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