

BOARD AND CEO ROLES DIFFERENT JOBS DIFFERENT TASKS

Introduction

Local boards of trustees and chief executive officers play different roles and have different responsibilities in leading their districts. Boards of trustees exert leadership through governing the college on behalf of the community. Chief executives lead by administering and managing the institution in accordance with board governing policies.

This publication identifies many of the different, yet complementary, roles and tasks of district CEOs and boards. It is designed to help boards and district CEOs define their own roles and expectations of each other and clarify what each contributes to their institutions. The areas addressed include:

- Board and CEO Relationship
- Leading the Organization
- Educational Program
- Fiscal Affairs
- Human Resources
- Community Relations
- Legislative Relations
- Legal Affairs

The board of trustees and the CEO are both responsible for building and maintaining a strong board/CEO partnership. Respect, communication, and honoring the different responsibilities are the basis for the trust that is essential to be an effective governing/leadership team.

Advisory Committee on Education Services

1998-1999 Chairs: Ann Foxworthy, Superintendent/President, Allan Hancock CCD; Jerry Patterson, Trustee, Coast CCD

1999-2000 Chairs: Floyd Hogue, Superintendent/President, Fremont-Newark CCD; Nancy Palmer, Trustee, Sierra Joint CCD

Staff to Committee: Cindra Smith, Director of Education Services

AUTHORITY IN LAW

Education Code Section 70902 authorizes local boards of trustees for the community colleges and defines their powers.

E. C. 70902 authorizes board responsibilities in the following areas:

- college plans
- program approval
- academic standards and graduation requirements
- personnel and employment practices
- budgets
- tax and bond elections
- district property
- local decision-making process
- student conduct
- fees
- grants, gifts, and scholarships
- auxiliary services
- academic calendar
- Board of Governors' consultation

Chief executives gain their authority from boards. E.C. 70902 and 72400 state that boards may delegate authority for the above to the chief executive officer and other college staff and committees. Other sections of the Education Code identify more specific board responsibilities.

Title V of the Administrative Code also defines tasks for the board, CEO and others. The Chancellor's office is responsible for monitoring whether colleges fulfill these conditions.

The Community College League of California's Policy and Procedure Service identifies mandated board policies and administrative procedures (available by subscription in summer, 2000). Please contact the League for more information.

POLICY

Most of the board tasks listed in this document refer to the board's policy role. "Policy" defines the general goals and acceptable practices for an institution. The board is responsible to discuss the general values and priorities that should be reflected in policy. The CEO and staff usually draft policy statements that incorporate these values and present them to the board for discussion and approval. The CEO also alerts the board about external factors that many require policy changes.

STRENGTHENING THE BOARD AND CEO RELATIONSHIP

Governing boards and CEOs are partners in leading the institution. As partners, they have the following tasks:

- goal setting and evaluation
- communication
- board operations

BOARD SUPPORT FOR CEO	CEO SUPPORT FOR BOARD
Goal Setting and Evaluation	
<ul style="list-style-type: none"> • Establish goals and expectations in consultation with the CEO • Periodically evaluate the CEO • Engage in periodic board self-evaluation 	<ul style="list-style-type: none"> • Establish goals and expectations in consultation with the board; regularly report progress • Ensure that there are CEO and board self evaluation processes
Communication	
<ul style="list-style-type: none"> • Maintain open communication • Direct the CEO only as a board, not as individual trustees • Keep the CEO informed of major issues and questions; follow the ‘no surprises’ rule • Establish and follow processes for board and staff communication that honor the CEO’s leadership role; do not direct staff • Call the CEO before board meetings if there are questions about agenda items • Refer complaints and comments to CEO; listen impartially • Always publicly support the CEO and college staff • In multi-campus districts, notify the chancellor before approaching college presidents 	<ul style="list-style-type: none"> • Maintain ongoing communication via e-mail, written, or phone updates • Keep all board members informed of issues and major events; follow the ‘no surprises’ rule • Accommodate different communication styles as feasible • Treat all board members equally and respectfully • Provide the same information to all board members • Contact all board members before each board meeting to address any questions • Follow up when the board refers comments or problems • Always publicly support the board • In multi campus districts, keep college presidents informed of board issues and concerns
Board Operations	
<ul style="list-style-type: none"> • Adopt and follow policies that: <ul style="list-style-type: none"> • Define structure and role of the board and its officers • Establish standards for trustee and board behavior • Define meetings and meeting practices • Define the level of information and support desired from the CEO; study and discuss the information provided • Attend conferences and other events to maintain own knowledge and skills 	<ul style="list-style-type: none"> • Provide adequate support for the board to follow its governing policies • Work with the chair to uphold the standards of practice • Work with the board chair to develop meeting agendas • Prepare meeting agenda items that engage trustees in broad policy-level discussions • Provide sufficient information to empower boards to make wise policy decisions • Support and manage trustee and board development • Invite and accompany trustees to conferences and events

ORGANIZATIONAL LEADERSHIP

Governing boards and CEOs play important and complementary roles in leading the organization. Task areas in organizational leadership include:

- general oversight
- policy making
- planning
- external leadership roles
- organizational structure
- decision making

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
General Oversight	
<ul style="list-style-type: none"> • Lead the institution through effective governing policies • Work in partnership with the CEO • Support the CEO as the institution’s leader • Create a positive climate for effective leadership through supporting institutional leaders and modeling integrity, vision, and ethical behavior 	<ul style="list-style-type: none"> • Lead and administer the institution • Implement and comply with board policy • Work in partnership with the board; support the governing role of the board • Ensure that board policies are up to date and followed • Create a positive climate and provide effective leadership by modeling integrity, vision, and ethical behavior
Policy Making	
<ul style="list-style-type: none"> • Identify and discuss broad policy-level values inherent in issues before the board • Reference and use current policy when making decisions • Provide thoughtful input early in the policy drafting process • Periodically review policies to ensure they are up-to-date 	<ul style="list-style-type: none"> • Identify broad policy implications inherent in issues and agenda items presented for board discussion • Reference current policy when presenting items for board action • Seek general input from the board prior to drafting policy • Establish and manage a system for periodic review of broad policy
Planning	
<ul style="list-style-type: none"> • Adopt policies that require and set parameters for effective planning • Be knowledgeable about future community needs and interests • Contribute to the development of the policy direction (mission, vision, and goals) • Ensure that public and community interests are represented in the mission, vision and policy goals • Ensure that the policy direction meets current and future community needs 	<ul style="list-style-type: none"> • Anticipate and articulate future trends and needs • Lead and manage a visionary and comprehensive planning processes • Articulate the mission, vision, and goals; work in partnership with the board • Ensure that planning responds to current and future community needs • Ensure that all district plans are linked • Ensure that college operations and budgets are aligned with plans • Keep the board informed on progress toward accomplishing plans and goals

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
External Leadership Roles	
<ul style="list-style-type: none"> • Be active in the community • Actively support the college(s) in the community • Participate in state conferences and, as time permits, in state and national community college associations 	<ul style="list-style-type: none"> • Be an active community leader • Participate in state and/or national associations and conferences • As time permits, become involved in state and/or national leadership positions
Organizational Structure	
<ul style="list-style-type: none"> • Establish policies that: <ul style="list-style-type: none"> • Define criteria for the organizational structure • Delegate authority to CEO to determine the organizational structure • Periodically review organization structure to ensure it meets board criteria 	<ul style="list-style-type: none"> • Determine, in consultation with key college personnel, an organizational structure that: <ul style="list-style-type: none"> • Is designed to achieve institutional goals • Meets board standards for effective organization • Report to the board on the effectiveness of the organizational structure in meeting board goals and standards
Decision Making	
<ul style="list-style-type: none"> • Establish and follow policies that define administrative, faculty, student, and classified staff roles in policy development and decision making • Establish and maintain formal processes for open communication with academic senate, classified staff and student leaders 	<ul style="list-style-type: none"> • Develop and administer clear processes for administration, faculty, classified staff and student participation in policy development and decision making • Ensure that information and training is provided to facilitate effective participation by college constituencies in decision-making processes

EDUCATIONAL PROGRAMS AND SERVICES

This area includes teaching and learning and the instructional and student services programs of the district. Academic Senates play a major role in these areas through their responsibility for the “academic and professional matters” specified in Title 5.

Task areas in educational programs and services include:

- general oversight
- treatment of students
- academic programs and services
- institutional effectiveness

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
General Oversight	
<ul style="list-style-type: none"> • Adopt policies that define and delegate clear and appropriate authority and responsibility for educational programs and services to CEO, as well as the Academic Senate • Review and approve significant changes to programs as required by state law and board policy 	<ul style="list-style-type: none"> • Lead and administer the delivery of high quality educational programs and services, including planning, development, program review, and staffing • Inform the board about the major programs and services of the college • Seek approval from the board as required
Treatment of Students	
<ul style="list-style-type: none"> • Adopt policies that define clear criteria for student status and progress • Adopt policies that ensure fair and equitable treatment of students • Determine whether or not the board wishes to be a court of appeal for student grievances 	<ul style="list-style-type: none"> • Ensure that student progress and goal achievement are appropriately recorded and recognized • Ensure that procedures exist and are followed for fair and equitable treatment of students, including discipline, due process, and grievances
Academic Programs and Student Services	
<ul style="list-style-type: none"> • Monitor that programs are aligned with policy direction and plans • Require program review or other processes that address ongoing evaluation and improvement of programs • Be aware of the scope of offerings of the district 	<ul style="list-style-type: none"> • Ensure that the delivery of educational programs, curriculum, and student services are in accordance with district plans • Establish and maintain processes that foster quality, effectiveness, relevancy, and efficiency
Institutional Effectiveness	
<ul style="list-style-type: none"> • Define “student success” • Require the CEO to develop accountability and evaluation programs and processes • Monitor how effective the institution is in achieving its goals and student success 	<ul style="list-style-type: none"> • Ensure a comprehensive program to monitor institutional effectiveness • Keep the board informed on progress toward accomplishing plans and goals • Provide reports to the board that enable it to be accountable to the local community and state and federal agencies

FISCAL AFFAIRS

Boards of trustees and chief executive officers share the responsibility to ensure that the district enjoys fiscal health and stability. Fiscal affairs include:

- budgeting
- financial activity
- asset protection and management
- fundraising and grants
- monitoring fiscal health

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
General	
<ul style="list-style-type: none"> • Establish policies that set standards for fiscal affairs • Approve budgets and expenditures as required by laws and board policy • Monitor the fiscal health of the institution by establishing a monitoring schedule and studying reports • Require long-range projections of the fiscal status 	<ul style="list-style-type: none"> • Establish and enforce administrative procedures that implement board policy and ensure the legal, ethical, and prudent management of college resources • Present clear and informative budgets and reports to the board • Keep the board informed about the financial status of the district
Budgeting	
<ul style="list-style-type: none"> • Adopt policies that require and define standards in the areas of: <ul style="list-style-type: none"> • Budget assumptions • Balanced budgets • Adequate reserve • Long-range revenue projections • Long-range projections for expenditure commitments (e.g. personnel, salaries and benefits, equipment, contracts) • Facility needs and maintenance • Approve the budget using board policy standards as criteria • Require short and long-term fiscal impact information on relevant agenda items such as equipment purchases, loans, and investments 	<ul style="list-style-type: none"> • Develop and use a set of assumptions in budget planning • Develop and implement an inclusive budget planning process • Present and interpret a budget to the board using policy criteria and assumptions • Analyze current financial position and present to the board long-range financial needs and proposals • Alert the board about significant changes in the budget; submit for approval as required by policy • Ensure that budget planning is linked to college and program plans
Financial Activity	
<ul style="list-style-type: none"> • Adopt policies that contain standards for: <ul style="list-style-type: none"> • Fund transfers • Purchase of equipment • Hiring and changes in status of personnel • Contracts 	<ul style="list-style-type: none"> • Develop procedures that ensure that expenditures and accounting processes are prudent, efficient, and adhere to law, board policy and auditing principles • Monitor income, expenditures, and cash flow • Monitor adherence to procedures for expending and accounting for funds

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
<ul style="list-style-type: none"> • Bid proposals and contracts • Paying obligations • Filing financial reports • Adopt policies that define when board approval is required for fiscal actions • Approve contracts and expenditures as required by law and board policy, including real property transactions • Approve TRANS and other major cash management strategies 	<ul style="list-style-type: none"> • Present contracts, expenditures, and other fiscal items to the board for approval as required • Review the need for and propose TRANS and other cash management programs in a timely manner
Asset Protection and Management	
<ul style="list-style-type: none"> • Adopt policies that define and require: <ul style="list-style-type: none"> • Sound investment practices • Sound cash flow management • Adequate protection and security • Adequate liability and insurance coverage • Risk management programs • Monitor that policies are being followed 	<ul style="list-style-type: none"> • Ensure that investment and cash flow management practices meet board criteria • Ensure that college assets and personnel are adequately protected and secured • Ensure that liability and insurance coverage meets board policy standards • Establish an adequate risk management program
Fundraising and Grants	
<ul style="list-style-type: none"> • Determine the need for, approve, and actively support bond elections • Provide leadership to create a foundation and establish links between the district and foundation boards • Support the foundation and fundraising efforts • Adopt policies that set criteria and priorities for grants • Accept or approve grants as required by law • Understand the short and long-range implications of grants 	<ul style="list-style-type: none"> • Prepare information that helps the board determine the need for and approve bond elections • Lead and administer various fundraising efforts, including the foundation and asset management activities • Keep the board informed about grants sought and awarded, including their implications for the college • Present grants for board approval as required;

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
Monitoring Fiscal Health	
<ul style="list-style-type: none"> • Require periodic reports to monitor fiscal control policies and accounting processes • Require regular reports on the fiscal status of the institution • Become educated about financial statements and their implications • Define broad expectations for the independent audit of the district accounts and business procedures • Set criteria for an auditing firm to conduct the annual audit • Review the audit report • Discuss deviations (if any) and give appropriate direction to CEO 	<ul style="list-style-type: none"> • Periodically, report to the board compliance with fiscal control policies • Periodically report the fiscal condition of the institution; provide a summary that clearly shows the relationship of expenditures to budget • Educate the board on how to read financial statements • Assist the board with the selection of an auditing firm • Cooperate with and auditor so the audit is thorough • Assist the board in reviewing the audit report • Correct deviations (if any) found as a result of the audit

HUMAN RESOURCES

The area of human resources includes all personnel and employment issues, and is subject to numerous state and federal laws and regulations. The board and CEO work together to address:

- hiring and other personnel practices
- treatment of personnel
- professional development
- salaries, benefits, and collective bargaining

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
Personnel Hiring	
<ul style="list-style-type: none"> • Establish policies that require: <ul style="list-style-type: none"> • Selection of the best qualified personnel • Administrative, faculty, and staff diversity • Competitive salaries and working conditions, within budget constraints • Set policy regarding which positions require board approval • Compliance with equal employment and affirmative action laws • Ratify hires as required by law (based on compliance with policy) 	<ul style="list-style-type: none"> • Ensure that personnel recruitment and hiring processes are: <ul style="list-style-type: none"> • Fair, legal, comply with laws • Result in good applicant pools • Reflect well on the institution • Seek to achieve that staff diversity reflects college and community populations • Forward personnel actions to the board as required; inform the board about other key personnel changes
Treatment of Personnel	
<ul style="list-style-type: none"> • Establish policies that require: <ul style="list-style-type: none"> • Fair and effective evaluation and supervision processes • Safe and pleasant working environment • Clear grievance procedures • Due process in employee discipline and termination • Academic freedom • Protection of privacy • Adopt policies that guide implementation of ADA and harassment laws • Adopt policies that ensure appropriate consultation with and delegation of authority to employee groups • Establish clear processes for board/staff communication that do not abrogate the board/CEO relationship • Support CEO recommendations on disciplinary action or terminations when cause is demonstrated and procedures have been followed 	<ul style="list-style-type: none"> • Ensure that: <ul style="list-style-type: none"> • Personnel regulations and procedures are fair, legal, and equitable and meet board policy criteria • Personnel manuals and handbooks are current and public • Personnel procedures are implemented and followed • Grievance procedures are clear, equitable, and followed • Discipline and termination are for demonstrable cause and follow procedures • Seek legal counsel when needed; share information with the board • Alert the board early to personnel problems that may become public or reach the board level • Provide adequate information to the board about personnel problems and recommendations

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
Professional Development	
<ul style="list-style-type: none"> • Establish policy expectations for staff orientation and ongoing professional development • Publicly recognize staff achievements • Engage in trustee and board development 	<ul style="list-style-type: none"> • Ensure that resources are allocated for professional and staff development • Encourage professional development and staff recognition programs • Engage in ongoing learning • Support trustee education and development
Salaries, Benefits, and Collective Bargaining	
<ul style="list-style-type: none"> • Delegate clear authority to the CEO or other agent to engage in collective bargaining on behalf of the board • Set criteria for salaries and benefits that establish competitive, fair wages and that protect current and future district resources • Ask the CEO to provide options and analyses on negotiating positions and their implications • Participate in training on positive bargaining practices • Provide clear direction to the CEO, including parameters for negotiations • Set and adhere to positive bargaining practices; stay on the “high road” • Maintain the confidentiality of bargaining positions 	<ul style="list-style-type: none"> • Engage in positive bargaining practices; follow board standards and criteria • Provide the board with an analysis of the implications of various options in the bargaining process • Provide training in collective bargaining approaches for all those involved in the process, as well as the board • Inform the board of union proposals • Maintain good communication with the board regarding the status of the negotiations • Delegate clear authority to the negotiating agents and ensure that they understand board parameters and budget constraints

COMMUNITY RELATIONS

Governing and leading community-based institutions requires boards and CEOs to be active participants in their communities and ensure strong college-community connections. Community relations roles and tasks are in the areas of:

- community involvement
- marketing and media relations
- foundation support

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
General	
<ul style="list-style-type: none"> • Ensure that general interests of the external communities are represented in board decisions • Advocate for and support the colleges in the community • Maintain links with business, government and community leaders • Adopt policies that govern: <ul style="list-style-type: none"> • community relations • marketing and public relations • foundations and fundraising 	<ul style="list-style-type: none"> • Ensure that district programs respond to community needs • Advocate for and support the colleges in the community • Maintain links with business, government and community leaders • Lead and administer programs that <ul style="list-style-type: none"> • Reflect a positive image for the college • Engender community support for the college • Ensure strong college and community connections
Community Involvement	
<ul style="list-style-type: none"> • Seek out various community perspectives • Establish and engage in systematic methods to link with community representatives and policy-makers including: <ul style="list-style-type: none"> • K-12 boards • local governments • community and business policy boards • higher education policy and advisory boards • Adopt policies that: <ul style="list-style-type: none"> • Ensure community input into strategic planning and institutional evaluation • Encourage partnerships and relationships with community organizations • Define community use of college facilities • Set the policy direction for community service 	<ul style="list-style-type: none"> • Establish a culture that fosters responsiveness to community needs and positive relations with the public and community groups. • Actively seek and foster professional relationships with education, government, business, and other community leaders • Participate in community events and service organizations • Encourage partnership programs with K-12 and higher education institutions • Ensure that planning processes assess and respond to community needs • Ensure a comprehensive program of community services and events • Establish and monitor procedures for public use of and participation in college facilities, programs, services, and events

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
Marketing and Media Relations	
<ul style="list-style-type: none"> • Adopt policies that: <ul style="list-style-type: none"> • Set parameters for marketing and public relations programs • Establish standards of good practice (ethics) for trustee relations with the public and media 	<ul style="list-style-type: none"> • Establish and administer comprehensive public relations operations; ensure the accuracy and quality of communication to public • Keep board informed about <ul style="list-style-type: none"> • Issues that may result in media contacts • Public relations and marketing efforts
Foundation Support	
<ul style="list-style-type: none"> • Adopt policies that establish the direction and parameters for a foundation • Support and monitor the foundation • Establish links with the foundation board of directors 	<ul style="list-style-type: none"> • Establish a foundation and ensure that it is effective • Actively support foundation activities through personal involvement

LEGISLATIVE RELATIONS

Legislative support is important for institutional success. The board and CEO play key roles in working with legislators and garnering support. The area of legislative relations includes:

- understanding policy trends and issues
- establishing and communicating priorities and needs
- advocating on behalf of the institution

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
Policy Trends and Issues	
<ul style="list-style-type: none"> • Engage in ongoing study of policy issues and trends through reading and conference attendance • Allocate time at board meetings and hold study sessions to discuss policy issues, trends, and system priorities • Understand the impact of state and national policy on local mission and goals 	<ul style="list-style-type: none"> • Establish processes to stay up-to-date on policy issues and trends • Monitor and gather relevant information • Ensure the board is aware of policy issues and trends: <ul style="list-style-type: none"> • Provide summaries of key points • Forward legislative alerts and other relevant information to the board • Design board agendas to allow time to discuss issues • Provide background and analysis of key initiatives to enable the board to take a position
Local Priorities	
<ul style="list-style-type: none"> • Allocate time to study and understand local community needs and priorities • Adopt positions that further the ability of the district to achieve its goals • Discuss local priorities and issues with the CCCT board of directors and the Community College League staff 	<ul style="list-style-type: none"> • Provide information and analysis to the board of local trends and issues that may require legislative response • Inform the board of the impact of state and national legislative initiatives on local priorities • Forward positions to state associations and the Chancellor’s Office
Legislative Advocacy	
<ul style="list-style-type: none"> • Identify and make key contacts with legislators • Ensure that the CEO and all board members are introduced to key contacts • Study issues to ensure effective communication with legislators • Maintain ongoing and appropriate communication with legislators • Advocate on behalf of the college and its contributions to the community • Support board positions, as well as state system and association positions where not in conflict 	<ul style="list-style-type: none"> • Manage the board’s legislative advocacy activities • Identify and make key contacts with legislators; ensure board members are introduced to key contacts • Identify a legislative liaison on the staff • Arrange for legislators to visit the district; include board members in these visits • Provide information to the board for advocacy purposes • Inform the board of Chancellor’s Office, state and national association positions

LEGAL AFFAIRS

Governing boards and CEOs share the responsibility to ensure that the district:

- abides by local, state, and federal laws and legal intent
- uses legal counsel prudently

BOARD ROLE AND TASKS	CEO ROLE AND TASKS
Laws and Regulations	
<ul style="list-style-type: none"> • Adopt policies specifically required by law and regulation • Delegate authority to the CEO and require that procedures exist that comply with local, state and national laws and regulations • Monitor compliance • Follow laws related to board practices, including conflicts of interest, open and public meetings, confidentiality of closed sessions, and political practices 	<ul style="list-style-type: none"> • Be aware of laws and regulations that affect the institution • Inform the board and new trustees about major laws and regulations • Ensure that administrative procedures exist and are followed to comply with law and regulation • Monitor compliance and report to the board • Advise the board about laws and regulations that affect the board
Legal Actions and Counsel	
<ul style="list-style-type: none"> • Request legal counsel only as a board; work through the CEO • Request legal advice well in advance of potential problems • Accept and expect realistic assessments of the board's legal position • Establish policies that guide the CEO's response to lawsuits and threats of legal action • Adopt policies that insure and protect the assets and personnel of the district, as well as the board 	<ul style="list-style-type: none"> • Recommend appropriate legal counsel to advise the board • Inform the board of legal counsel used to advise the college • Inform the board of threats of legal action and lawsuits • Keep the board informed of progress on and outcomes of legal matters • Prepare summaries and analyses that review all options for the board when board action is required on legal issues • Ensure that the district has adequate liability protection