

DREAM, Inc. Executive Limitations Policy

EL Global - Executive Constraint

Approved 06/04

The Executive Director (ED) shall not cause nor allow any practice, activity, decision, or organizational circumstance that is

- unlawful,
- imprudent,
- in violation of commonly accepted business or professional ethics, or
- disruptive to DREAM's survival as an ongoing organization that exemplifies and builds DREAM's Core Values.

EL 1 - Treatment of Mentees and their Families

Approved 06/04

With respect to interactions with mentees and their families, the ED shall not cause or allow conditions, procedures, or decisions that are unsafe, undignified, unnecessarily intrusive, or that fail to provide appropriate confidentiality or privacy. The intention of this policy is to maintain the safety of mentees and their families and to ensure their awareness of services offered, with regards to the execution of this policy. The ED shall consider mentee families' opinions and engage in a culture of shared decision making. Accordingly,

EL 1.1: The ED shall not fail to provide all families a voice in DREAM's program design and program direction.

EL 1.2 The ED shall not distribute personal information pertaining to mentees or their families, except with written personal consent from the mentee's family.

EL 1.3: The ED shall not fail to establish a clear understanding with mentees and their families of what may be expected and what may not be expected from the services offered.

EL 1.4 The ED shall not fail to run state criminal background checks on all volunteers and staff who will work with mentees and their families, and national driver register tests on all volunteers and staff who transport mentees.

EL 1.5: The ED shall not fail to inform mentees' families of this policy, and to provide a grievance process to those who believe that they have not been accorded a reasonable interpretation of their rights under this policy.

EL 1.6: The ED shall not use application forms that elicit information for which there is no clear necessity.

EL 1.7: The ED shall not use methods of collecting, reviewing, transmitting, or storing mentee information that fail to protect against improper access to the material gathered.

- The ED shall not make any individual mentee information available outside of DREAM, except for the purposes of law enforcement and fraud prevention, and only with appropriate confidentiality measures.

EL 2 - Treatment of Staff

Approved 1/05

The ED shall not fail to maintain conditions which are humane, fair, and dignified for all paid and volunteer staff. Volunteer staff is defined as persons who give regularly scheduled hours and/or more than 5 hours a week to DREAM. Accordingly,

EL 2.1: The ED will not discriminate among or terminate employees on any basis other than individual performance and qualifications.

- The ED shall not fail to consider seniority as a valuable qualification, which includes experience as a mentee, mentor, or as a volunteer in another capacity with DREAM.

EL 2.2: The ED shall not fail to protect staff from unsafe, unhealthy, or illegal conditions. Unhealthy conditions are defined as significant decrease in the mental and physical well being of staff.

EL 2.3: The ED shall not fail to establish job descriptions for all jobs.

EL 2.4: The ED shall not fail to provide job training as needed for staff (which includes the Executive Director), and offer opportunities for professional development.

EL 2.5: The ED shall not fail to ensure that each paid staff person is evaluated at least annually based upon pre-established criteria.

EL 2.6: The ED shall not fail to post all job openings internally as well as in ways that comply with state and federal employment laws.

EL 2.7: The ED shall not discriminate in hiring based on race, creed, color, religious preference, age, or sexual orientation.

EL 2.8: The ED shall not fail to provide for a fair and thorough review of any staff grievance by means of a known procedure which will be used without bias, and shall not fail to provide the staff member involved with an explanation of a management decision of any grievance upon proper request.

EL 2.9: The ED shall not fail to provide adequate tools, training, and support for the appropriate information needs of the management team and staff using priorities consistent with the overall goals of the organization (see EL 7.7 for a definition of Management Team).

EL 2.10: The ED shall not fail to create a work environment that encourages the staff to embody DREAM's core values.

EL 2.11. The ED shall not fail to encourage staff to reach their full potential in and beyond the organization.

EL 3 – Treatment of Mentors

Approved 01/05

The ED shall not fail to maintain conditions which are humane, fair, and dignified for all mentors. Mentors are defined as the volunteers who hold mentoring relationships with children at participating housing communities. Accordingly,

EL 3.1: The ED shall not discriminate among or terminate mentors on any basis other than individual performance and qualifications.

EL 3.2: The ED shall not discriminate in hiring based upon race, creed, color, religious preference, age, or sexual orientation.

EL 3.3: The ED shall not fail to protect mentors from unsafe, unhealthy, or illegal conditions.

EL 3.4: The ED shall not fail to ensure that expectations are established for all mentors positions, including Program Leaders, while respecting programs' ownership as outlined in DREAM's Core Values.

EL 3.5: The ED shall not fail to provide adequate tools, training, and support for the appropriate information needs of mentors on an annual basis. This includes training in the values of DREAM, the management of a DREAM program, and the core components of mentorship.

EL 3.6: The ED shall not fail to provide a feedback system to all programs at least annually.

EL 3.7: The ED shall not fail to post all volunteer positions publicly.

EL 3.8: The ED shall not fail to provide for a fair and thorough review of any mentor grievance by means of a known procedure which will be used without bias, and shall not fail to provide the volunteer involved with an explanation of a management decision of any grievance upon proper request.

EL 3.9 The ED shall not fail to treat mentors as the owners of their program.

- The ED shall not fail to allow mentors decision-making rights in running their program
- The ED shall not fail to work with mentors to find solutions to program-related problems together
- The ED shall not undermine mentors' relationships with parents or children unless there is apparent risk to either party

EL 3.10 The ED shall not fail to convey and maintain DREAM energy in the mentors.

EL 3.11: The ED shall not use application forms that elicit information for which there is no clear necessity.

EL 3.12: The ED shall not use methods of collecting, reviewing, transmitting, or storing mentor information that fail to protect against improper access to the material gathered.

- The ED shall not make any individual mentor information available outside of DREAM, except for the purposes of law enforcement and fraud prevention, and only with appropriate confidentiality measures.

EL 4 - Compensation and Benefits

Approved 06/04

The ED shall not cause inexplicable discrimination with respect to employment, compensation, and benefits to employees, consultants, contract workers, and volunteers, or allow jeopardy to fiscal integrity or public image. Accordingly,

EL 4.1: The ED shall not fail to establish a current compensation and benefits schedule which:

- Represents the geographic and/or professional market for the skills employed, to the best of the organization's ability.
- Is based on revenues that can be safely projected.
- Represents internal equity.
- Adheres to policies adopted by the Board and distributed to the staff.

EL 4.2: The ED shall not fail to inform staff that employment is at will, i.e. it is neither permanent nor guaranteed.

EL 4.3: The ED shall not allow compensation and benefits significantly beyond the limits established by the pay schedule.

EL 5 - Financial Planning, Budgeting, and Sustainability

Approved 01/05

With respect to budgeting for all or any part of a fiscal period, the ED may not jeopardize the operations, fiscal integrity, or long-term health of the organization. Accordingly,

EL 5.1: The ED shall not fail to ensure budgeting that contains sufficient detail to enable reasonably accurate projection of revenues, cash flow, and expense, while separating capital and operation items, allowing subsequent audit trails, and disclosing planning assumptions.

EL 5.2: The ED shall not fail to ensure budgeting that projects income conservatively and constrains budgeted operating expenses within projected income levels.

EL 5.3: The ED shall not fail to ensure budgeting that conforms to the Board's stated priorities when making allocations among competing budgetary needs.

EL 5.4: The ED shall not fail to use restricted funds only within the limits required by the restriction.

EL 5.5: The ED shall not fail to settle payroll and debts in a timely manner.

EL 5.6: The ED shall not allow expenditures to deviate materially from the Board's stated priorities.

EL 5.7: The ED shall not fail to disclose fiscal activity and concerns to the Board.

EL 5.8: The ED shall not fail to review the financial standing of the organization using an outside, certified public accountant, until the budget reaches a level that can financially sustain an independent audit.

EL 5.9: The ED shall not fail to discuss and receive board approval for any sustained capital campaign fundraising projects outside of DREAM's Annual Appeal.

EL 5.10: The ED shall not fail to conduct a financial audit once every three years (starting with 2006).

EL 5.11: The ED shall not fail to balance investment of extra funds between DREAM's short-term needs and long-term growth.

EL 6 - Asset Protection

Approved 01/05

The ED should actively prevent disrepair, excessive risk, untraceable transactions, or conflict of interest in the management of DREAM's resources. Accordingly,

EL 6.1: The ED shall not fail to maintain insurance coverage of at least 100% of the replacement value on building, equipment, land, vehicles, and cash on hand.

EL 6.2: The ED shall not fail to ensure appropriate safeguards for handling cash.

EL 6.3: The ED shall not fail to receive, process, or disburse funds under controls sufficient to meet an outside certified public accountant's standards.

EL 6.4: The ED shall not fail to properly maintain building and equipment.

EL 6.5: The ED shall not fail to protect DREAM's assets from abuse or misuse. The ED will not fail to ensure that a security system is in place to ensure adequate safeguards against theft, loss, or damage of property.

EL 6.6: The ED shall not fail to deposit DREAM's funds in institutions where they are fully protected and receive adequate returns.

EL 6.7: The ED shall not fail to inform and gain approval from the Board *prior* to the final decision regarding:

- All single financial decisions/purchases amounting to more than \$5,000,
- Any single budgeted items greater than \$5000 that exceed budgeted specifications by 20 percent, and
- The ED shall notify the Board in a timely fashion of budgeted expenses that exceed expectations by 20 percent.

EL 6.8: The ED shall not fail to invest in accordance with DREAM's ends.

EL 7 – Long Term Sustainability

Approved 06/04

Sound management of informational systems, monetary items, data, and collective technology and a well-planned emergency succession plan are critical to the long term sustainability of the organization. With respect to operating DREAM in a sound and prudent manner, the ED will not fail to insure timely access to appropriate information by the management team and staff (see EL 7.7 for a definition of Management Team). In the case of planned or emergency absence of the ED, the management team will be in charge. Accordingly,

EL 7.1: The ED shall not fail to build and maintain a knowledge management system that preserves documents and internal information vital to the operation of DREAM, is transparent, and is easily understood by individuals outside of DREAM.

EL 7.2: The ED shall not fail to plan for the short- and long-term information needs of the organization.

EL 7.3: The ED and the Board shall not fail to provide a strategic plan for the future that includes information systems requirements, project needs, monetary needs, staffing goals of the organization.

- The ED shall not fail to recruit staff in a manner consistent with both the short and long term needs of the organization.
- The ED shall not fail to provide equipment and systems and staff training required to successfully accomplish DREAM projects.

EL 7.4: The ED shall not fail to educate the organization about industry best practices.

EL 7.5: The ED shall not fail to ensure on-going system maintenance for a reasonable level of data availability.

EL 7.6: The ED shall not fail to ensure adequate cross-training of the management team (see EL 7.7 for a definition of Management Team) or staff to avoid critical dependency on any one person regarding information systems.

EL 7.7: The ED shall not fail to designate a “management team” that is trained and fully apprised of factors affecting DREAM. The management team is defined as the replacement team for the Executive Director in the event of his/her inability to act as Executive Director:

- The ED should not fail to include a Board member as a member of the management team.
- The management team is defined as one board member and up to two staff members (including the Programs Director).

EL 7.8 The ED shall not fail to ensure DREAM’s legal soundness.

- Using an outside auditor, the ED shall not fail to conduct a legal audit of all corporate, insurance, financial, board, and mentor policies and forms every four years (starting with 2005).
- Based on the legal audit, the ED shall not fail to present recommendations for action to the Board for review and approval.

EL 8 - Communication and Counsel to the Board

Approved 06/04

The ED shall not fail to keep the Board informed of information relevant to the Board's responsibilities. Accordingly,

EL 8.1: The ED shall not fail to inform the Board of relevant trends, public events of the organization, or internal and external changes which affect the previous assumptions of the Board.

EL 8.2: The ED shall not fail to provide to the Board timely, accurate, and understandable monitoring data required by Board policy.

EL 8.3: The ED shall not fail to inform the Board of significant problems that require the ED's attention with respect to members, services, staff, and the community.

EL 8.4: The ED shall not keep from the Board any violation of Board policy. If the ED deems it necessary to violate Board policy, s/he will inform the President immediately and the Board no later than the next meeting.

EL 8.5: The ED shall not fail to assist the Board in all reasonable links to the ownership.

EL 9 - Capability Development and Maintaining DREAM Values

Approved 06/04

DREAM must constantly prepare to meet the challenges of the future. The ED will not fail to develop those capabilities which will most reward investment and to revisit the values unique and crucial to DREAM.

Definitions for EL 9:

Stakeholders: Those entities around which DREAM has developed Ends policies (children, mentors, parents, alumni, and community).

Membership: Those who have a vested interest in DREAM.

Program performance: The performance of individual local programs (not referring to the mentors and children).

EL 9.1: The ED shall not fail to develop DREAM's capability to:

- finance its operations,
- increase and/or strengthen membership,
- improve financial ability,
- build ownership among all its stakeholders, and
- remain energetic and innovative.

EL 9.2: The ED shall not fail to develop DREAM's capability for research and evaluation. Research and evaluation is defined to

- include qualitative and quantitative techniques,
- apply across all stakeholders, and
- include research gathering and analysis of similar and potential partner organizations

EL 9.3 The ED shall not fail to share best practices with other service organizations to all reasonable extents.

EL 9.4 The ED shall not fail to evaluate why stakeholders become involved with DREAM, stay involved with DREAM, and give up involvement in DREAM.

EL 9.5 The ED shall not fail to ensure that DREAM creates clearly measurable and defined objectives for its program performance (programs as in individual local program), staff performance, and stakeholder satisfaction to serve as a basis for evaluation.

EL 9.6 . The ED shall not fail to evaluate its program performance and staff performance (including mentors in leadership positions) on an annual basis, based on established yearly objectives, and respectful of DREAM's Core Values.

EL 9.7: The ED shall not fail to consider the core values inherent to DREAM in decision-making, including the ED's personal decisions for the organization. These values are listed below:

- Transparency
- Empowerment through ownership
- Contagious Energy
- Supportive Community
- Safety
- Encourage Dreaming

EL 9.8: The ED shall not fail to take financially-secure risks on behalf of the beneficiaries of its programs (mentees, families, mentors, staff, the general community), in order to continue innovation, idea generation, and creative energy.

EL 9.9 The ED shall not fail to ensure that central office staff and volunteers embody these values in their work with DREAM and have fun!

EL 9.10 The ED and staff shall not fail to revisit and redefine these core values of DREAM on an annual basis, or under special request of the staff or Board.

EL 9.11 The ED shall not fail to provide adequate tools, training resources, and support for the appropriate information needs of the Board, including appropriate training in the Carver Model.

EL 9.12 The ED shall not fail to notify parties discussed in a policy report of the content of that report. This notification should be held enough in advance of the policy discussion to allow comment by all affected parties before the report is discussed by the Board. If desired, people affected by the policy should make their opinions about the policy known to the Board Chair prior to the Board meeting. Comment does not mean that changes will be made to reflect comments, just that comments will be heard and noted.

EL 10 – Ends-Focused Grants and Contracts (*On hold*)

Approved 11/04

It is the ED's responsibility to ensure that funding results in specific results for specific recipients at the cost being granted. The ED may not enter into any grant or contract arrangements that fail to emphasize primarily the production of Ends and, secondarily, the avoidance of unacceptable means. Accordingly,

10.1 The ED shall not fail to prohibit particular methods and activities to preclude grant funds from being used in imprudent, unlawful, or unethical ways.

10.2 The ED shall not fail to review which grants are under application and give final approval for all requests for funding.

EL 11 – Treatment of Alumni

Approved 10/06

The ED shall not fail to support the growth of the alumni organization (alumni defined as both former mentors and adult mentees).

11.1 The ED shall not fail to ensure the successful transition of graduating seniors into the alumni organization.

11.2 The ED shall not fail to provide opportunities for alumni to have meaningful engagement in the organization and with their old partners.

11.3 The ED shall not fail to develop the alumni donor base.

11.4 The ED shall not fail to ensure that alumni mentors serve as a potential resource for current mentors.

EL 12 – Camp

Approved 10/06

The ED shall not fail to develop recreational property at the highest standards in programming and land management. Accordingly,

EL 12.1 The Ed shall not fail to bring creativity to site development and programming that addresses DREAM's Theory of Change for Children

EL 12.2 The ED shall not fail to certify recreational land by the highest accreditation standards whenever applicable.

EL 12.3 The ED shall not fail to obtain proper permitting and advisory boards for the property and follow all other requirements as specified in the town permit.

EL 12.4. The ED shall not fail to build neighbor relations, including keeping immediate neighbors abreast of DREAM programming and site developments.

EL 12.5 The ED shall not fail to provide strategic, long range planning for the property's physical development and all programming.

EL 12.6 The ED shall not fail to incorporate environmental stewardship into DREAM into strategic planning.

EL 12.7 The ED shall not fail to conduct an annual site and facility safety audit.

EL 12.8 The ED shall not fail have and train staff in a current emergency plan.

EL 12.9 The ED shall not fail to adequately maintain property assets, including tools, facilities, gear, and site.

EL 12.10 The ED shall not fail to develop a contingency plan and budgeting in the event of unforeseen disasters occurring on DREAM recreational property (natural and human).