

Credential AREA: Illinois Director Credential (Level I)
TOPIC: Legal & Fiscal Management Assessment Example
Policies & Procedures Handbook

I. Assessment Competency & Standard Alignment

Gateways Competencies Assessed
LFM1: Develop policies and procedures and implement best practices in alignment with federal, state, and local mandates
LFM2: Develop fiscal policies and procedures and implement best practices to support sound fiscal operations

Suggested Competency Cross-Alignments
(with a few edits to this assessment task, these additional competencies could also be assessed with this task)
HRD1: Develop and implement written policies in accordance with best practice for hiring, onboarding, and mentoring staff in accordance with legal mandates and professional standards
MPR1: Develop and/or implement strategic marketing and/or public relations strategies to build or sustain a high-quality program
POFM1: Develop plans and procedures that ensure healthy, nutritious, and safe program and facility operations
TEC1: Demonstrate technological literacy

II. Assessment Task Description/ Directions

Overview:

Adherence to legal and fiscal policies is a critical component of the administrative role. In this assessment, you are required to outline legal and fiscal policies and procedures for an early childhood/ school-age organization.

Option 1 (for those wanting to become leaders in the field)	Option 2 (for those who are already leaders in the field at a licensed site)
<ul style="list-style-type: none"> ▪ Develop legal and fiscal policies & procedures handbook for an identified program/ center/ school or a hypothetical one 	<ul style="list-style-type: none"> ▪ Refine and update or develop a legal and fiscal policies & procedures handbook for your program/ school/ center

Specific Steps for Option 1

This task consists of two main parts, including:

Part 1: Legal Policies & Procedures Section

- For Part I of your handbook, you will develop legal policies and procedures for an identified program/ center/ school or a hypothetical one
- You are required to identify the type of early childhood/ school-age organization for which you are developing policies and procedures
- All policies and procedures should represent evidence-based practices, as well as state, federal and local mandates
- Your legal policies and procedures should include but are not limited to, the following:
 - Reporting policies, procedures, and training for staff regarding identification and reporting of child abuse and neglect
 - Policies, procedures, and training for staff regarding the inclusion of children with special needs
 - Policies, procedures, and training for staff regarding the confidentiality of work-related information

Part 2: Fiscal Policies & Procedures Section

- For Part 2 of your handbook, you will identify appropriate fiscal policies and procedures that reflect evidence-based practice in the field and are aligned with state, federal, and local mandates for your hypothetical or target center/ organization/ school
- Your fiscal policies and procedures should also include those related to, but not limited to, the following annual budgetary expenses for your hypothetical or target center/ school/ organization:
 - Salaries & Benefits
 - Equipment upgrades, depreciation, & repair
 - Supplies & Materials
 - Food service
 - Parent training
 - Staff training and professional development
 - Excursions and special activities
 - Ongoing recruitment/ marketing
 - Telephone
 - Postage
 - Printing
 - Uncollected fees
 - Revenue
 - Tuition (including daily, ½ day, hourly rates and sliding scale parameters)
 - Fees (including registration, diaper, late, late payment, vacation etc.)
 - Bookkeeping system and tuition collection policies for assessing, billing and collecting fees and tuition
 - Basic fundraising activities
 - Basic grant solicitation
 - Petty cash use and reimbursement system

Technology Option:
- Online Excel or budgetary program to develop the annual budget

Specific Steps for Option 2

This task consists of two main parts, including:

Part 1: Legal Policies & Procedures Section

- For Part I of your handbook, you will update and refine or develop legal policies and procedures for your program/ school/ center
- You are required to identify the type of early childhood/ school-age organization in which you are employed and for which you are developing policies and procedures
- All policies and procedures should represent evidence-based practices, as well as state, federal and local mandates
- Your legal policies and procedures should include but are not limited to, the following:
 - Reporting policies, procedures, and training for staff regarding identification and reporting of child abuse and neglect
 - Policies, procedures, and training for staff regarding the inclusion of children with special needs
 - Policies, procedures, and training for staff regarding the confidentiality of work-related information

Part 2: Fiscal Policies & Procedures Section

- For Part 2 of your handbook, you will identify appropriate fiscal policies and procedures that reflect evidence-based practice in the field and are aligned with state, federal, and local mandates for your program/ school/ center
- Your fiscal policies and procedures should also include those related to, but not limited to, the following annual budgetary expenses for your program/ school/ center:
 - Salaries & Benefits
 - Equipment upgrades, depreciation, & repair
 - Supplies & Materials
 - Food service
 - Parent training
 - Staff training and professional development
 - Excursions and special activities
 - Ongoing recruitment/ marketing
 - Telephone
 - Postage
 - Printing
 - Uncollected fees
 - Revenue
 - Tuition (including daily, ½ day, hourly rates and sliding scale parameters)
 - Fees (including registration, diaper, late, late payment, vacation etc.)
 - Bookkeeping system and tuition collection policies for assessing, billing and collecting fees and tuition

Technology Option:
- Online Excel or budgetary program to develop the annual budget

- Basic fundraising activities
- Basic grant solicitation
- Petty cash use and reimbursement system

III. Assessment Rubric

IDC Legal & Fiscal Management Master Rubric					
Competency	Distinguished	Competent	Developing	Unacceptable	Unable to Assess
<p>LFM1: Develop policies and procedures and implement best practices in alignment with federal, state, and local mandates</p>	<p>Articulates and models for other ECE professionals, policies and procedures that are examples of best practices and are in alignment with federal, state, and local mandates</p>	<p>Policies comply with federal and state laws related to wages and working conditions, inclusive of mechanisms for recourse and adjustment</p> <p>Identify appropriate legal resources to support effective program administration</p> <p>Develop effective policies, procedures, and training for staff regarding the identification and reporting of child abuse and neglect</p> <p>Develop effective policies, procedures, and training for staff regarding inclusion of children with special needs in accordance with the Americans with Disabilities Act and/or the Individuals with Disability in Education Act and the confidentiality of work-related information</p>	<p>Update/implement policies to comply with federal and state laws related to wages and working conditions</p> <p>Identify legal resources to support program administration</p> <p>Develop policies, procedures, and training for staff regarding the identification and reporting of child abuse and neglect</p> <p>Develop effective policies, procedures, and training for staff regarding inclusion of children with special needs and the confidentiality of work-related information</p>	<p>Update/implement policies without complying with federal and state laws related to wages and working conditions</p> <p>Ineffective legal resources supportive of program administration are identified</p> <p>Policies, procedures, and training for staff are incorrect/incomplete in supporting identification and reporting of child abuse and neglect</p> <p>Policies, procedures, and training for staff are not responsive to inclusion of children with special needs and the confidentiality of work-related information</p>	

Competency	Distinguished	Competent	Developing	Unacceptable	Unable to Assess
LFM2: Develop fiscal policies and procedures and implement best practices to support sound fiscal operations	Articulates and models for other ECE professionals, fiscal policies that are examples of best practices and are in alignment with federal, state, and local mandates	Develop and/or implement an effective operating budget and accounting policy that protects against mismanagement of funds Develop and/or implement appropriate short and long-range fundraising goals and grant proposals that support a program's mission	Formulates center/program fiscal policies and attempts to align with federal, state, and local mandates	Creates center/program fiscal policies that do not reflect best practices or align applicable mandates	

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IV. Data Collection & Analysis Tool

Competencies	Cumulative Assessment Data				
Competency	Distinguished	Proficient	Needs Improvement	Unsatisfactory	Unable to Assess
LFM1: Develop policies and procedures and implement best practices in alignment with federal, state, and local mandates					
LFM2: Develop fiscal policies and procedures and implement best practices to support sound fiscal operations					