

Important notes about using these monitoring report templates

At first glance, the monitoring process may feel overwhelming for both the person preparing reports and for the board members who receive and assess the report. The good news is that these templates make the monitoring process easier for everyone.

**Executive director as designated operational authority**

This document and templates label the person accountable for the association’s operational functions as the executive director. If this concerns you, please take the time to absorb the rationale and related recommendations in the section on the importance of role clarity found in the Policy Development Guide before you read any further.

**A Template for Each Policy**

For each recommended policy in the Board Manual Template, there is a monitoring report template included in this document. If your board amends or changes a policy, be sure to adjust the corresponding language on your report template. Although combined for simplicity here, you will want each report template in its own document, as each will be submitted to the board at a different time.

**Report writing assistance**

Templates are laid out for each Executive Limitation and Ends policy, complete with suggestions for what to include in a policy interpretation and how compliance might be reasonably measured. It is possible you will be relying on assistance from bookkeepers or others to develop your reports. Their writing assistance is fine as long as everyone knows it is you that is held accountable for the accuracy of the information included in the report.

**Report assessment assistance**

Each template has assessment questions built right in, along with space to record answers. The goal for individual board members is to be prepared for the board meeting in which the whole group engages in formal judgment of the monitoring reports. Do this by downloading a copy of the report to be reviewed prior to the meeting and completing your assessment in the space provided. Participating in the assessment at the meeting without having first completed your individual review violates one of the policies (see 4.4 *Code of Conduct* in the Board Manual Template). Be prepared for group deliberation!

**Document Storage and Sharing**

If you have online document storage and sharing, it is handy to set up electronic folders for each of the six Executive Limitation policies, one folder for your Ends policy, and one folder for the board’s self-assessment.

Place your policy monitoring template(s) in their corresponding folder as well as the completed yearly reports. This creates easy access and a historical reference for everyone. You will also have a way to link the board minutes to the relevant report.

# Monitoring process pointers

Open and read the Board-Management Delegation policy 3.3 *Monitoring Method and Frequency* policy templatein theBoard Manual Templatebefore continuing.

## Guidance for the executive director on submitting reports

**M****ost policies are reviewed only once every 12 months**.

One exception may be Financial Condition and Activities, which the board may choose to monitor more frequently (e.g., quarterly), as several of its provisions relate to the ongoing financial health of the association.

**Non-compliance is common so get comfortable with it!**

There are plenty of reasons for reports to be submitted and found to be out of compliance. The most common reason early in the process is that data isn’t yet available to demonstrate compliance. Sometimes noncompliance happens because of something completely out of the executive director’s control, such as a pandemic forcing the cancellation of an event which may have an impact on financial or educational goals.

**Begin writing all your monitoring reports as soon as the board activates them.**

If a report is due to the board in June and monitoring covers a 12 month window, you need to have figured out how to prove compliance at the beginning of month one, not a few weeks (or days!) before you are to submit the report to the board! This preparation, along with the prompts we’ve built into the report templates, will make your report development much easier to manage *but depends on your proactivity*.

**Begin your report writing project with a fairly straightforward policy.**

Try working with *Emergency Succession* first. Write your Operational Interpretation and Compliance Indicators by customizing the template we have provided here. Within the next seven days, get your backup replacements recruited and a plan for keeping them informed in place. There! You’re done until the board is ready to monitor the policy and you fill out the data section before sending the report.

## Guidance for board members on receiving monitoring reports

**The board sets the monitoring cycle proactively.**

Policies need to be approved and monitoring dates set before anything can be monitored. Make sure policy approval is recorded in your board’s meeting minutes and the monitoring dates have been recorded in the schedule attached to policy 3.3 *Monitoring Method and Frequency*.

**Monitor that the board has complied with its Governance Process Policies.**

Monitoring that the board has complied with its Governance Process policies is just as important as monitoring that the administration has complied with Ends and Executive Limitations policies. These are the values your board members collectively agree to abide by. Some boards set aside time at the end of each meeting and discuss whether they complied with a specific policy, working their way through the entire set over the course of the year. Other boards set aside more time at one meeting annually to review them all at once. No matter your approach, the goal is to answer the following question tree:



**Direct Inspection works best for some types of policies.**

Did you notice that *the Communication and Support to the Board* policy is monitored by direct inspection? That means the executive director does not submit a monitoring report. Instead, we have provided a discussion guide for the board to accomplish that assessment.

# Monitoring templates

What follows are monitoring templates for the internal monitoring reports – the most typical way for the board to monitor compliance. These reports are submitted by the executive director.

Included with the templates are some useful ideas for the executive director’s operational interpretation of the policies (a decision that rests with the executive director, not the board members) and ideas for how to prove the organization complied with that interpretation during the period being monitored. The template refers to this as compliance indicators. These ideas are italicized and should be removed from your final reports.

You may have your own ideas for how to interpret policies and measure compliance that are different from these ideas. Of utmost importance is using relevant and credible data to support how the executive director chooses to put the policies to work.

Monitoring Report

# Policy Name and Type

**2.0 Global Constraint, Executive Limitation**

EXACT PERIOD OF TIME BEING MONITORED

(List the specific starting and ending dates of the 12 months being monitored with this report.)

DATE DUE TO THE BOARD

(List the date this report is due to the board in accordance with 2.4.1.1. and 3.3.)

## Policy

## The executive director shall not cause or allow any association practice, activity, decision or circumstance that is unlawful, imprudent or in violation of commonly accepted business and professional ethics and practices.

## Operational Interpretation

## *Although the board has already further identified specific concerns within this broad (global) policy through the other lower-level Executive Limitation policies, there are some aspects of this overarching limitation that need to be interpreted by the executive director and monitored by the board. For example, specific legal (lawful) obligations to the state vary depending on location, so here is where you will identify them and explain how they are addressed internally.*

## *Regarding prudent operations, ethics and practices, does your state or ASCA have some best practices the board would reasonably expect the association to follow? This is where you identify the specifics and what that means in practice.*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period of time being monitored. Here are some examples to get your thinking started:*

Compliance is demonstrated when:

1. *Compliance with the global policy means finding and applying the appropriate standards for the Association, including, but not limited to:*
2. *Regulatory Awareness. State statutes covering nonprofit corporations are reviewed annually to ensure compliance.*
3. *ASCA Standards. ASCA Division Charter State School Counselor Association Policies and Procedures reviewed annually to ensure compliance.*
4. *Internal Policies. Board policies relevant to Association operational practices are regularly reviewed. Any business practice considered relevant to the Association that is not otherwise covered in explicit board policy is added to this list.*

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| Board Member Assessment Zone |
| Was this Interpretation “reasonable”? *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)*Were the Compliance Indictors “reasonable”? *(Would the generated data based on them give you the proof you would need to see to be convinced the organization was in compliance with the Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*(Now list the same number of Compliance Indicators you listed above and include, attach, or hyperlink to the proof.)*

1.

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| Board Member Assessment Zone |
| Does the demonstrated data prove the organization was in compliance? *Yes/No/In between (Explain your answer)* |

## Executive Director’s Statement of Compliance

Therefore, I submit to the board that I am ***(in? not in?)*** compliance with policy 2.1 Emergency Executive Succession.

*(Executive Director’s signature and date)*

### Noncompliance plan:

*(The executive director uses this space if the report was submitted out of compliance to explain how and when they plan to gain compliance. This is useful to the board’s deliberations about if and when they may need to see another report outside of its regular review cycle.)*

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| Board Member Assessment Zone |
| If it were up to you, what would you move to do with the report? *(The following are just some ideas to consider)** *Accept the report as a reasonable interpretation of the boards policy with data demonstrating compliance.*
* *Accept report as (partially) out of compliance (note why) with no need for the board to see another report until regularly scheduled.*
* *Reject (all or some of) the report (note why). Expect to see a (new or partial) report on (date prior to when the next scheduled report is due).*
* *(Your recommendation:)*

Did reviewing this policy and the monitoring information make you realize something about the board’s policy language needs to change? If so, what would you change?*Yes/No/In between (Explain your answer)***Now you are ready for Board deliberation.** |

Monitoring Report

# Policy Name and Type

**2.1 Emergency Executive Succession, Executive Limitation**

EXACT PERIOD OF TIME BEING MONITORED

*(List the specific starting and ending dates of the 12 months being monitored with this report.)*

DATE DUE TO THE BOARD

*(List the date this report is due to the board in accordance with 2.4.1.1. and 3.3.)*

## Policy

To protect the board from sudden loss of executive director services, the executive director shall not permit the board to be without fewer than two other people or contractors identified and prepared to take over interim operations of the association.

## Operational Interpretation

Write a few paragraphs about what the key aspects of this policy mean within your own, unique setting. What would qualify as a “sudden loss”? What, specifically, would the two people identified need to know or have access to in order to “be prepared”? Don’t forget the possible need for that interim person to prepared to manage emergency communications or crisis planning if the sudden loss of the executive director has public relations implications for the organization. What qualifies as “interim operations”? Until the board’s next meeting? Until a permanent resolution to the sudden loss of executive director services has been found?

## Compliance Indicators

In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period of time being monitored. Here are some examples to get your thinking started:

Compliance is demonstrated when:

1. A signed statement is provided that proves two people were identified and prepared to step in as executive director in an emergency situation during the full period being monitored.
2. A plan outlining what constituted preparation for the individuals and when that preparation was completed during the period being monitored.

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| Board Member Assessment Zone |
| Was this Interpretation “reasonable”? *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)*Were the Compliance Indictors “reasonable”? *(Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*Now list the same number of Compliance Indicators you listed above and include, attached, or hyperlink to the proof.*

1.

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| Board Member Assessment Zone |
| Does the demonstrated data prove the organization was in compliance? *Yes/No/In between (Explain your answer)* |

## Executive Director’s Statement of Compliance

Therefore, I submit to the board that I am **(in? not in?)** compliance with policy 2.1 Emergency Executive Succession.

*(Executive Director’s signature and date)*

### Noncompliance plan:

*The executive director uses this space if the report was submitted out of compliance to explain how and when they plan to gain compliance. This is useful to the board’s deliberations about if and when they may need to see another report outside of its regular review cycle.*

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| Board Member Assessment Zone |
| If it were up to you, what would you move to do with the report? *(The following are just some ideas to consider)** *Accept the report as a reasonable interpretation of the boards policy with data demonstrating compliance.*
* *Accept report as (partially) out of compliance (note why) with no need for the board to see another report until regularly scheduled.*
* *Reject (all or some of) the report (note why). Expect to see a (new or partial) report on (date prior to when the next scheduled report is due).*
* *(Your recommendation:)*

Did reviewing this policy and the monitoring information make you realize something about the board’s policy language needs to change? If so, what would you change?*Yes/No/In between (Explain your answer)***Now you are ready for Board deliberation.** |

Monitoring Report

# Policy Name and Type

**2.2 Protection of Assets, Executive Limitations**

EXACT PERIOD OF TIME BEING MONITORED

*(List the specific starting and ending dates of the 12 months being monitored with this report)*

DATE DUE TO THE BOARD

*(List the date this report is due to the board)*

# Policy

The executive director shall not cause or allow the association’s assets to be unprotected, inadequately maintained or unnecessarily risked.

## Operational Interpretation

*Write a few paragraphs about what the key aspects of this policy mean within your ownunique setting. How might the executive director cause or allow assets to be harmed? What are the organizations assets, anyway? Office equipment? Products? Membership lists? What could reasonably happen if those assets weren’t protected, maintained or were put at risk?*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period of time being monitored. Here are some examples to get your thinking started:*

*Compliance is demonstrated when:*

1. *Proof of coverage is shown for each of the following policies during the period being monitored:*
	1. *Automobile Liability*
	2. *Commercial General Liability*
	3. *Directors and Officers (D&O)*
	4. *Excess Error and Omissions Liability*
	5. *Excess Liability*
	6. *Property Insurance*
	7. *Umbrella Liability*
	8. *Workers Compensation and Employer’s Liability*
2. *Through an audit report showing the executive director did not allow the SCA to be exposed to risk of misappropriation or misuse of funds during the period being monitored.*
3. *Proof of staff completion of security training during the period being monitored.*
4. *Through an audit report demonstrating the executive director did not compromise the independence of the board’s audit.*

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| Board Member Assessment Zone |
| Was this Interpretation “reasonable”? *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)*Were the Compliance Indictors “reasonable”? *(Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*Now list the same number of Compliance Indicators you listed above and include, attached, or hyperlink to the proof.*

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| Board Member Assessment Zone |
| Does the demonstrated data prove the organization was in compliance? Yes/No/In between (Explain your answer) |

## Executive Director’s Statement of Compliance

Therefore, I submit to the board that I am **(in? not in?)** compliance with policy 2.2 Protection of Assets.

*(Executive Director’s signature and date)*

### Noncompliance plan:

*The executive director uses this space if the report was submitted out of compliance to explain how and when they plan to gain compliance. This is useful to the board’s deliberations about if and when they may need to see another report outside of its regular review cycle.*

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| Board Member Assessment Zone |
| If it were up to you, what would you move to do with the report? *(The following are just some ideas to consider)** *Accept the report as a reasonable interpretation of the boards policy with data demonstrating compliance.*
* *Accept report as (partially) out of compliance (note why) with no need for the board to see another report until regularly scheduled.*
* *Reject (all or some of) the report (note why). Expect to see a (new or partial) report on (date prior to when the next scheduled report is due).*
* *(Your recommendation:)*

Did reviewing this policy and the monitoring information make you realize something about the board’s policy language needs to change? If so, what would you change?*Yes/No/In between (Explain your answer)***Now you are ready for Board deliberation.** |

Monitoring Report

# Policy Name and Type

**2.3 Financial Planning, Budgeting and Management, Executive Limitations**

EXACT PERIOD OF TIME BEING MONITORED

*(List the specific starting and ending dates of the 12 months being monitored with this report)*

DATE DUE TO THE BOARD

*(List the date this report is due to the board in accordance with 2.4.1.1. and 3.3.)*

# Global Policy 2.3

The executive director shall not cause or allow planning for any fiscal year to deviate from the board’s Ends priorities or risk financial jeopardy.

## Operational Interpretation

What are the financial resources necessary to ensure the association can meet its Ends as laid out by the board? Will all provisions in the Ends be doable? If so, how are the resources prioritized? Are there any provisions in the Ends that cannot be addressed in this fiscal year? If so, why not, and what is the plan for addressing them in future years? What type of annual operating plans and budgets are in place for the fiscal year? Over time, how will the association remain sustainable? What are the risks (e.g., membership, conference attendance, investments)?

## Compliance Indicators

Compliance is demonstrated when the SCA has the following in place:

1. Annual Operating Plans and Annual Budget (with appropriate breakdowns by month or quarter).
2. List of major budget assumptions for the year being monitored.

## Monitoring Data

1. *Annual operating plans and annual budget submitted to board as evidence (not for approval).*
2. *Budget assumptions submitted to board as evidence (not for approval).*

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| Board Member Assessment Zone |
| **Was this Interpretation “reasonable”?** *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)***Were the Compliance Indictors “reasonable”?** *(Would the data generated give enough evidence to be convinced the organization is compliant with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

# Provision 2.3.1

Expend more funds than have been received in the fiscal year.

## Operational Interpretation

*Does this mean the SCA will have no shortfalls in the annual budget? Does this policy mean projects/programs revenues need to be projected to ensure SCA is consistently in the black? Is it projected that the SCA will be in the red for some period during the year but end up in the black? Discuss here how the annual budget will be conservatively projected to meet this policy’s criteria.*

## Compliance Indicators

1. Compliance will be demonstrated when the annual budget is planned as a breakeven or a surplus.
2. No more money than was allotted in the budget was actually spent.

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| Board Member Assessment Zone |
| **Was this Interpretation “reasonable”?** *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)***Were the Compliance Indictors “reasonable”?** (Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer) |

## Data

1. Annual budget for upcoming year.
2. Year-end financial statement shows that no more money than was allotted in the budget was actually spent.

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| Board Member Assessment Zone |
| **Does the demonstrated data prove the organization was in compliance?** *Yes/No/In between (Explain your answer)* |

# Provision 2.3.2.

Incur short-term debts in an amount greater than can be repaid within 60 days.

## Operational Interpretation

*Here, list the most common types of debt that occur during a year [e.g., state conference materials paid for by association credit card or \_\_\_\_\_\_\_] and the system set up to assure short-term debts are paid within 60 days. Take care to explain how much cash on hand is needed to avoid noncompliance. Note that cash on hand is different from reserves, which are generally restricted.*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period of time being monitored. Here are some examples to get your thinking started:*

*Compliance is demonstrated when:*

1. The quarterly financial statement shows no unfunded shortfalls.
2. An explanation is provided for variances.

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| Board Member Assessment Zone |
| **Was this Interpretation “reasonable”?** *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)***Were the Compliance Indictors “reasonable”?** *(Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*Now list the same number of Compliance Indicators you listed above and include, attach or hyperlink to the proof.*

1. *Quarterly financial statement.*
2. *A table explaining variances as applicable.*

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| Board Member Assessment Zone |
| **Does the demonstrated data prove the organization was in compliance?** *Yes/No/In between (Explain your answer)* |

## Provision 2.3.3.

Use any long-term reserves.

## Operational Interpretation

*Important note: Pay attention to the board’s conversation about this policy when policies are being confirmed to know what the board intends by long-term reserves. If there isn’t a board policy on the purpose or how much money should be in long-term reserve, the executive director has the latitude to create an internal one. Long-term reserves are the balance sheet assets reserved for managing emergencies and long-term risks beyond the current year. These reserves protect the organization’s mission over the life of its purpose and cause. This policy is suggested so the board can have the conversation about whether to have long-term reserves and whether they will be invested for the future (savings, CD).*

*See Policy 2.1. Operating reserves are different. It may be prudent for the executive director to create operating reserves as part of the long-term budgeting and planning. Operating reserves are balance sheet assets reserved for meeting commitments for day-to-day operations. The executive director might determine, for example, the organization needs at least 3-6 months of operating costs in reserve to be fiscally sound. (This avoids issues of shortfalls during unforeseen events such as COVID cancellations). This amount is determined through the annual budgeting process.*

*Striking the right balance between the current operating reserves and long-term reserves is extremely important. It also dictates the amount of acceptable risk the SCA’s balance sheet can handle.*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific time period being monitored. Here are some examples to get your thinking started:*

Compliance is demonstrated when:

1. A bank statement showing no specified long-term reserves have been used during the period being monitored.

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| Board Member Assessment Zone |
| **Was this Interpretation “reasonable”?** *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)***Were the Compliance Indictors “reasonable”?** *(Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*Now list the same number of Compliance Indicators you listed above and include, attach, or hyperlink to the proof.*

1. *Screen shot or hyperlink to bank statement.*

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| Board Member Assessment Zone |
| **Does the demonstrated data prove the organization was in compliance?** *Yes/No/In between (Explain your answer)* |

## Provision 2.3.4.

Allow contract agreements and payroll debts to remain unpaid beyond what was promised in the agreement or policy.

## Operational Interpretation

*A detailed Interpretation here goes a long way toward helping the board understand the SCA’s costs and current financial situation. This includes employees and/or contractors, as well as payment for technology or other professional expenses. What are the liabilities for the conference hotel contract or other venue? What is the plan to ensure these expenses are met and the SCA remains in good standing with vendors?*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period of time being monitored. Here are some examples to get your thinking started:*

*Compliance is demonstrated when:*

1. Bank records demonstrate payment of all contractors (per contract agreement) or staff (payroll).
2. Accounts payables show zero amount outstanding, unless there is documentation of change to a vendor’s terms, or a payment is under dispute.

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| Board Member Assessment Zone |
| **Was this Interpretation “reasonable”?** *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)***Were the Compliance Indictors “reasonable”?** *(Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*Now list the same number of Compliance Indicators you listed above and include, attach, or hyperlink to the proof.*

1. *Bank statement showing payments issued via check or electronic transfer that matches statement of financial position (balance sheet).*
2. *Accounts payable with zero balance for period of monitoring (statement of financial position).*

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| Board Member Assessment Zone |
| **Does the demonstrated data prove the organization was in compliance?** *Yes/No/In between (Explain your answer)* |

## Provision 2.3.5.

Allow tax payments or other government ordered payments or filings to be overdue or inaccurately filed.

## Operational Interpretation

*For this provision, the executive director needs to provide evidence of 990 filings (or any other required filing under Internal Revenue Code) and any state-required filings. Check the IRS’s compliance guide for public charities (501c3) or tax-exempt organizations other than 501c3 for detailed information about what to include. Your state association of nonprofits or the secretary of state can provide information for state documents and deadlines. It’s important for the executive director to say here when these are due and when the board will see them. The board sees them for the sake of fulfilling on duty of care – not for approval.*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period of time being monitored. Here are some examples to get your thinking started:*

*Compliance is demonstrated when:*

1. Evidence of 990 filings and any state-required filings for the period being monitored is provided.

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| Board Member Assessment Zone |
| **Was this Interpretation “reasonable”?** *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)***Were the Compliance Indictors “reasonable”?** *(Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*Now list the same number of Compliance Indicators you listed above and include, attach or hyperlink to the proof.*

1. *Attach proof of filings*

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| Board Member Assessment Zone |
| **Does the demonstrated data prove the organization was in compliance?** *Yes/No/In between (Explain your answer)* |

## Provision 2.3.6.

Make a single purchase or commitment of greater than $\_\_\_\_\_\_. Splitting orders to avoid this limit is not acceptable.

## Operational Interpretation

*Attention executive director: It is important to anticipate when and if purchases or other payments may exceed this amount and its impact on your decision making throughout the year. Help the board understand the amount and timing of significant purchases typical throughout the course of a year. If a dollar amount is in place and board permission must be secured for purchases that exceed that amount, consider planning purchases to coincide with board meetings so the item can be placed on the board’s agenda for approval. If the board has designated authority to the chair or treasurer to sign off on larger purchases, explain this in the Interpretation. As for splitting orders, don’t.*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period of time being monitored. Here are some examples to get your thinking started:*

*Compliance is demonstrated when:*

1. *A list of all purchases over the designated amount with the corresponding date of board approval during the period being monitored is provided.*
2. *Proof of no order splitting.*

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| Board Member Assessment Zone |
| **Was this Interpretation “reasonable”?** *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)***Were the Compliance Indictors “reasonable”?** *(Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*Now list the same number of Compliance Indicators you listed above and include, attach or hyperlink to the proof.*

1. *Insert list of any board-approved expenses.*
2. *Proof of no order splitting.*

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| Board Member Assessment Zone |
| **Does the demonstrated data prove the organization was in compliance?** *Yes/No/In between (Explain your answer)* |

Therefore, I submit to the board that I am **(in? not in? in with 2.3.x but not 2.3.y?)** compliance with policy 2.3.

*(Executive Director’s signature and date)*

### Noncompliance plan:

*The executive director uses this space if the report was submitted out of compliance to explain how and when they plan to gain compliance. This is useful to the board’s deliberations about if and when they may need to see another report.*

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| --- |
| Board Member Assessment Zone |
| **If it were up to you, what would you move to do with the report?** *The following are just some ideas were consider:** *Accept the report as a reasonable interpretation of the boards policy with data demonstrating compliance.*
* *Accept report as (partially) out of compliance (note why) with no need for the board to see another report until regularly scheduled.*
* *Reject (all or some of) the report (note why). Expect to see a (new or partial) report on (date prior to when the next scheduled report is due).*
* *(Your recommendation:)*

**Did reviewing this policy and the monitoring information make you realize something about the board’s policy language needs to change? If so, what would you change?***Yes/No/In between (Explain your answer)***Now you are ready for Board deliberation.** |

Monitoring Report – Direct Inspection

# Policy Name and Type

**2.4 Communication and Support to the Board, Executive Limitations**

EXACT PERIOD OF TIME BEING MONITORED

*(List the specific starting and ending dates of the 12 months being monitored with this report)*

*Including this policy as an Executive Limitation ensures the executive director is aware of this expectation and acts accordingly. Because compliance is determined subjectively (“Did I feel I was adequately informed and supported?”), the executive director is not required to submit a written monitoring report for this policy. Instead, the board uses this Deliberation Guide to determine compliance with the executive director present. Usually, this evolves into a very useful conversation between the board and the executive director about the strengths and challenges of the existing communication and information storage tools used by the board and organization.*

## Policy

The executive director shall not cause or allow the board to be uninformed or unsupported in its work. Accordingly, the executive director will not:

Provision 2.4.1. Neglect to submit Ends and Executive Limitation policy monitoring reports to the board according to the schedule set in Board Management Delegation.

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| Board Member Deliberation Zone |
| **Do the majority of us feel we received monitoring reports according to Policy 3.3 and our annual meeting schedule? Was this Interpretation “reasonable”?** *Yes/No/Partial (Explain your answer)***If No or Partial, are there issues to be discussed or resolved with the executive director?** |

Provision 2.4.2. Present reports or other information to the board that are unnecessarily complex or lengthy.

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| Board Member Deliberation Zone |
| **Do the majority of us feel we received monitoring reports or other information received was too complex or unnecessarily long?** *Yes/No/Partial (Explain your answer)***If No or Partial, are there issues to be discussed or resolved with the executive director?** |

Provision 2.4.3. Let the board be unaware of any information affecting the image or credibility of the association.

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| Board Member Deliberation Zone |
| **Do the majority of us feel we were promptly, regularly and thoroughly informed when the Association’s image or credibility was in question?** *Yes/No/Partial (Explain your answer)***If No or Partial, are there issues to be discussed or resolved with the executive director?** |

Provision 2.4.4. Allow the board to be without a workable communications system and online document accessibility for its official board, officer and committee communications.

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| Board Member Deliberation Zone |
| **Do the majority of us feel we had a communication and information storage system that reasonably supported our needs?** *Yes/No/Partial (Explain your answer)***If No or Partial, are there issues to be discussed or resolved with the executive director?** |

Policy 2.4 The executive director shall not cause or allow the board to be uninformed or unsupported in its work.

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| --- |
| Board Member Deliberation Zone |
| **Looking more globally, do the majority of us feel we were informed and supported in our work (E.g. received information from ASCA, general sense of organization in order for you to get to work), so that we could govern effectively?** *Yes/No/Partial (Explain your answer)***If No or Partial, are there issues to be discussed or resolved with the executive director?** |

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| Board Assessment |
| **Does a majority of the board feel the executive director is in compliance with this policy?** *Yes/No/Partial (Explain your answer)**Record your final decision in your meeting minutes.* |

Monitoring Report

# Policy Name and Type

**2.5 Treatment of Staff, Volunteers, and Contractors**

EXACT PERIOD OF TIME BEING MONITORED

*(List the specific starting and ending dates of the 12 months being monitored with this report)*

DATE DUE TO THE BOARD

*(List the date this report is due to the board)*

# Policy

With respect to the treatment of paid and volunteer staff and contractors, the executive director shall not cause or allow conditions that are unfair, disorganized or exclusionary.

## Operational Interpretation

*Write a few paragraphs about what the key aspects of this policy mean within your own, unique setting. What specific situations would you reasonably work to avoid so as not to be fostering an unfair, disorganized or exclusionary environment [take these on one at a time]. Are there special or different considerations for volunteers than for those getting paid for their work?*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period* *of time being monitored. Here are some examples to get your thinking started:*

*Compliance is demonstrated when:*

1. *Remuneration for those receiving pay for their work is (appropriate? In line with other positions during the period being monitored?)*
2. *Current job descriptions for all paid and unpaid positions exist and are thoroughly reviewed with the person during the period being monitored.*
3. *Evidence of increased diversity year-over-year exists among ranks of paid and volunteer staff.*

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| Board Member Assessment Zone |
| Was this Interpretation “reasonable”? *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)*Were the Compliance Indictors “reasonable”? (Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer) |

## Data

Now list the same number of Compliance Indicators you listed above and include, attach or hyperlink to the proof.

1.
2.
3.

|  |
| --- |
| Board Member Assessment Zone |
| Did the demonstrated data prove the organization was in compliance? Yes/No/In between (Explain your answer) |

## Executive Director’s Statement of Compliance

Therefore, I submit to the board that I am **(in? not in?)** compliance with policy 2.5 Treatment of Staff, Volunteers, and Contractors.

(Executive Director’s signature and date)

### Noncompliance plan:

The executive director uses this space if the report was submitted out of compliance to explain how and when they plan to gain compliance. This is useful to the board’s deliberations about if and when they may need to see another report outside of its regular review cycle.

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| Board Member Assessment Zone |
| If it were up to you, what would you move to do with the report? (The following are just some ideas to consider)* Accept the report as a reasonable interpretation of the boards policy with data demonstrating compliance.
* Accept report as (partially) out of compliance (note why) with no need for the board to see another report until regularly scheduled.
* Reject (all or some of) the report (note why). Expect to see a (new or partial) report on (date prior to when the next scheduled report is due).
* (Your recommendation:)

Did reviewing this policy and the monitoring information make you realize something about the board’s policy language needs to change? If so, what would you change?Yes/No/In between (Explain your answer)**Now you are ready for Board deliberation.** |

Monitoring Report

# Policy Name and Type

**2.6 Treatment of Members**

EXACT PERIOD OF TIME BEING MONITORED

*(List the specific starting and ending dates of the 12 months being monitored with this report)*

DATE DUE TO THE BOARD

*(List the date this report is due to the board in accordance with 2.4.1.1. and 3.3.)*

# Policy

With respect to interactions with members or those applying to be members, the executive director shall not cause or allow conditions, procedures or decisions that are unfair, disorganized, unnecessarily intrusive, or exclusionary.

## Operational Interpretation

*Write a few paragraphs about what the key aspects of this policy mean within your own unique setting. Think back to when you applied for membership to your association. What about that process should be out of bounds? Did you experience a slow or cumbersome application process? Were you asked for personal information that was not absolutely necessary? Thoroughly unpack the “conditions, procedures or decisions” reasonably associated with your relationship with current members. What would it look like if they were “unfair, disorganized, unnecessarily intrusive, or exclusionary? Conversely, you could describe the inverse, what a good, healthy environment would look like. Just try to be consistent.*

## Compliance Indicators

*In a numbered list, write how you will demonstrate that the organization was in compliance during the specific period of time being monitored. Here are some examples to get your thinking started:*

*Compliance is demonstrated when:*

1. *Clear and current member and nonmember benefits are listed on the association’s website.*
2. *A survey of those that applied for membership shows at least a 95% satisfaction rate with the membership application process during the period being monitored.*
3. *An annual member sample survey shows at least 90% satisfaction related to member service specifically regarding association decision making, fair treatment, organization, inclusivity and appropriate requests for information during the period being monitored.*
4. *Association programming targeting new members that represent underrepresented communities results in a minimum X% increase in membership growth during the period being monitored.*

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| Board Member Assessment Zone |
| Was this Interpretation “reasonable”? *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)*Were the Compliance Indictors “reasonable”? *(Would the data that would be generated based on them give you the proof you would need to see to be convinced the organization was in compliance with Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*Now list the same number of Compliance Indicators you listed above and include, attach or hyperlink to the proof.*

1.
2.
3.

|  |
| --- |
| Board Member Assessment Zone |
| Do the demonstrated data that prove the organization was in compliance? *Yes/No/In between (Explain your answer)* |

## Executive Director’s Statement of Compliance

Therefore, I submit to the board that I am ***(in? not in?)*** compliance with policy 2.6 Treatment of Members.

*(Executive Director’s signature and date)*

### Noncompliance plan:

*The executive director uses this space if the report was submitted out of compliance to explain how and when they plan to gain compliance. This is useful to the board’s deliberations about if and when they may need to see another report outside of its regular review cycle.*

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| Board Member Assessment Zone |
| If it were up to you, what would you move to do with the report? *(The following are just some ideas to consider)** *Accept the report as a reasonable interpretation of the boards policy with data demonstrating compliance.*
* *Accept report as (partially) out of compliance (note why) with no need for the board to see another report until regularly scheduled.*
* *Reject (all or some of) the report (note why). Expect to see a (new or partial) report on (date prior to when the next scheduled report is due).*
* *(Your recommendation:)*

Did reviewing this policy and the monitoring information make you realize something about the board’s policy language needs to change? If so, what would you change?*Yes/No/In between (Explain your answer)***Now you are ready for Board deliberation.** |

Monitoring Report

# Policy Name

**1.0 Ends**

EXACT PERIOD OF TIME BEING MONITORED

*(List the specific starting and ending dates of the 12 months being monitored with this report)*

DATE DUE TO THE BOARD

*(List the date this report is due to the board)*

# Policy

*Use the Policy Development Guide to develop your SCA’s Ends policies structuring and numbering them similar to the templates for 2.3 and 2.4. Then set up your monitoring report template accordingly.*

## Operational Interpretation

*Without knowing how your SCA will define its desired Ends, we have included these general prompts for consideration as you begin thinking about your interpretation:*

1. *How do you define professional success?*
2. *What are success criteria?*
3. *What are barriers that prevent your members from achieving success?*
4. *How does public policy affect professional success?*
5. *How do societal roles affect professional success and opportunities for professional growth?*
6. *Are school counselors satisfied with their ability to achieve their professional goals?*
7. *Do members have the confidence, support and access to information, education, role models and mentors to realize their full potential?*
8. *Do members have access to resources that are key to professional development and success? With expanding and multifaceted roles in your state or territory school system, how are you specifically working to help your members achieve success?*

## Compliance Indicators

*Whether you use secondary or primary research, you need credible indicators that answer basic questions:*

1. *What are your members’ professional development needs, preferences and practices?*
2. *What obstacles do your members identify in achieving professional success?*
3. *How does your SCA maximize members’ personal time and expense spent on developing skills and knowledge needed to be successful?*
4. *How do you know your SCA is strategically advancing professional development that contributes to success? Specifically, how is your state or territory SCA meeting school counselors’ real needs in terms of the regulations for licensure, certification or other requirements?*
5. *What level of success is considered achievement of the Ends? For example, how many members (or what percentage) will respond favorably to questions regarding important criteria for success?*

*Compliance is demonstrated when:*

1. *Primary (and sometimes secondary) research provides evidence that members are attaining some level of professional success.*

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| Board Member Assessment Zone |
| Was this Interpretation “reasonable”? *(Did it address all the important parts of the policy? Did it give you a clear understanding of how the organization dealt with the board’s concern? Even if it was not how you, personally, would have interpreted the policy, would most people still consider it to be a reasonable interpretation?) Yes/No/In between (Explain your answer)*Were the Compliance Indictors “reasonable”? *(Would the data that would be generated based on the compliance indicators give you the proof you would need to see to be convinced the organization was in compliance with the Operational Interpretation?) Yes/No/In between (Explain your answer)* |

## Data

*(Now list the same number of Compliance Indicators you listed above and include, attach or hyperlink to the proof.)*

1. *External poll or study*
2. *Internal survey or focus group*

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| Board Member Assessment Zone |
| Does the demonstrated data prove the organization was in compliance? *Yes/No/In between (Explain your answer)* |

## Executive Director’s Statement of Compliance

Therefore, I submit to the board that I am ***(in? not in?)***compliance with policy 1.0 Ends.

*(Executive Director’s signature and date)*

### Noncompliance plan:

*If the evidence shows a violation of one or more components of the Ends, then the executive director needs to provide strategies to address it. The executive director should also indicate how progress will be measured, such as benchmarks, if achievement of the Ends is considered longer term.*

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| Board Member Assessment Zone |
| If it were up to you, what would you move to do with the report? *The following are just some ideas to consider:** *Accept the report as a reasonable interpretation of the board’s policy with data demonstrating compliance.*
* *Accept report as (partially) out of compliance (note why) with no need for the board to see another report until regularly scheduled.*
* *Reject (all or some of) the report (note why). Expect to see a (new or partial) report on (date prior to when the next scheduled report is due).*
* *(Your recommendation:) (Other?)*

Did reviewing this policy and the monitoring information make you realize something about the board’s policy language needs to change? If so, what would you change?*Yes/No/In between (Explain your answer)***Now you are ready for Board deliberation.** |