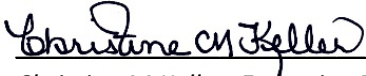


Monitoring Report IX: Communication and Support to the Board

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I certify that the information contained in this report is true.



Christine M Keller, Executive Director & CEO

May 20, 2023

Date

The information and data contained in this report correspond to the period of June 2022 to May 2023 for the 2022-23 Board.

Global Policy Language

The Executive Director will not permit the Board to be uninformed or unsupported in its work.

Interpretation

- a) Attainment of the Global Policy - that the Executive Director does not permit the Board to be uninformed or unsupported in its work - is reasonably demonstrated through compliance with Policies A to E.
- b) The results of a survey distributed to the 2022-23 Board members will provide evidence of the degree to which the Board is informed and supported in its work¹.

Evidence

- a) The evidence provided for Policies A to E in this report demonstrates that the Board was not uninformed or unsupported in its work.
- b) All respondents to the Board survey agreed with the statements that “the Board was informed in its work” and “the Board was supported in its work.” One respondent commented, “I believe we had all the information and support we need to operate effectively. When additional information was requested, it was provided immediately or in a timely fashion.”

¹ An anonymous survey was sent to Board members on 5/2/2023 asking for their evaluation of how well the ED complied with the policies within EL IX during the reporting period. The response rate was 73% (8 of 11).

A. Policy Language

The Executive Director will not ... Withhold, impede, or confound information relevant to the Board's informed accomplishment of its job.

Interpretation

- a) Attainment of Executive Limitations Policy A - that the Executive Director does not withhold, impede, or confound information relevant to the Board's informed accomplishment of its job - will be demonstrated by the interpretations and evidence for Policies A1 to A7.
- b) The results of a survey distributed to the Board members will provide evidence of whether Board members agree the Board had the information needed to accomplish its job.

Evidence

- a) Evidence is provided within Policies A1 to A7 later in this report.
- b) All the respondents to the Board survey agreed they had access to the information relevant to the Board's informed accomplishment of its job.

A-1. Policy Language

The Executive Director will not ... Neglect to submit monitoring data required by the Board in Board Relationship to Executive Director policy "Monitoring Executive Director Performance" in a timely, accurate and understandable fashion, directly addressing provisions of Board policies being monitored, and including interpretations consistent with Board Relationship to Executive Director policy "Delegation to the Executive Director," as well as relevant data.

Interpretation

- a) All monitoring reports will be posted to the Board portal on the date due, or earlier, as established the deadlines set in BRE III - *Monitoring Executive Director Performance Policy*.
- b) All monitoring reports will provide policy wording, explanation, rationale (as needed for clarity), and evidence relevant to the Executive Director's interpretations.

Evidence

- a) All monitoring reports were submitted on or before the due dates during the period of June 2022 to April 2023 as documented in the approved Board meeting minutes for each month.
- b) All monitoring reports submitted during the period of June 2022 to April 2023 conformed to the format recommended by policy governance standards and/or preferences articulated by the Board. Based on Board feedback during policy governance training in October 2019, the monitoring reports only include the rationale section if needed to clarify an interpretation.

On respondent commented, "I was fully satisfied with all aspects of communication and support. The monitoring reports continue to be the most important and direct form of communication from the EO."

A-2. Policy Language

The Executive Director will not ... Allow the Board to be unaware of any actual or anticipated noncompliance with any Ends or Executive Limitations policy, regardless of the Board's monitoring schedule.

Interpretation

A majority of Board members responding to the Board survey will report they were aware of any actual or anticipated noncompliance with any executive limitation policy.

Evidence

All Board members responding to the survey agreed that they were aware of actual or anticipated noncompliance with any executive limitation or ends policy or indicated the question was not applicable.

A-3. Policy Language

The Executive Director will not ... Allow the Board to be without decision information required periodically by the Board or let the Board be unaware of relevant trends.

Interpretation

All Board members responding to the Board survey will report they had the decision information required and they were aware of relevant trends

Evidence

All Board members responding to the survey agreed they had the decision information they required, and they were aware of relevant trends.

A-4. Policy Language

The Executive Director will not ... Present information in unnecessarily complex or lengthy form or in a form that fails to differentiate among information of three types: monitoring, decision preparation, and other.

Interpretation

- a) A majority of Board members responding to the Board survey will agree that information was presented in a way that was not unnecessarily complex or lengthy.
- b) A majority of Board members responding to the Board survey will agree that information was presented in a way that differentiated among different types of information.

Evidence

- a) All Board members responding to the survey agreed that information was presented in a way that was not unnecessarily complex or lengthy.

- b) All Board members responding to the survey agreed that information was presented in a way that differentiated among different types of information.

A-5. Policy Language

The Executive Director will not ... Fail to inform the Board of any incidental information it requires including, but not limited to, threatened or pending litigation, grant awards, new programs that have been (or are about to be) implemented, anticipated media coverage, and material internal changes.

Interpretation

- a) The Board will be informed of the incidental information required by A-5 at least monthly.
- b) A majority of Board members responding to the Board survey will report they received the incidental information required.

Evidence

- a) Information and updates within the required categories of incidental information listed in A-5 are provided to the Board monthly through a standard [incidental report](#). Additional incidental information is communicated via email or other means, as necessary.
- b) All of the respondents to the Board survey agreed they were provided with the incidental information required by A-5.

A-6. Policy Language

The Executive Director will not ...Fail to inform the Board if, in the Executive Director's opinion, the Board is not in compliance with its own policies on Governance Process and Board-Executive Director Linkage, particularly in the case of Board behavior that is detrimental to the work relationship between the Board and the Executive Director.

Interpretation

The Executive Director will proactively discuss incidences when it appears the Board or individual Board members are not in compliance with its own policies, particularly when the actions could undermine the working relationship between the Board and the Executive Director or impact achievement of the Ends.

Evidence

No material violations occurred during the reporting period. Open and clarifying discussions about the responsibilities and roles of the Board, the Executive Director, and operational means occurred when needed to ensure an appropriate and positive working relationship between the Board and the Executive Director for the good of the Association. Examples of topics discussed included nominations/elections process, staff capacity, professional development topics, organizational membership, and the difference between incidental and monitoring information, among others. One respondent to the survey noted that the Executive Director “I was fully satisfied with all aspects of communication and support. The monitoring reports continue to be the most important and direct form of communication from the EO, and standard email and in person conversations work effectively as well.”

A-7. Policy Language

The Executive Director will not ... Fail to inform the Board of Executive Office advisory groups in which members and/or non-members participate.

Interpretation

The Board will be provided with a list of the advisory groups, the group members and their organizations at least twice per year.

Evidence

A list of Executive Office advisory group members and their organizations was included as an appendix to the [incidental reports](#) in September 2022 and in March 2023. The list is also posted to the AIR website - <https://www.airweb.org/about-air/membership/volunteer-get-involved/volunteers>

B. Policy Language

The Executive Director will not ... Withhold from the Board and its processes logistical and clerical assistance.

Interpretation

A majority of Board members responding to the Board survey will report that appropriate logistical and clerical assistance was provided.

Evidence

All respondents reported that they were provided with appropriate logistical and clerical assistance.

B-1. Policy Language

The Executive Director will not ... Allow the Board to be deprived of a workable, user-friendly mechanism for official Board, officer, or committee communications.

Interpretation 1

- a) The Executive Office will provide Board members and Board committee members access to a business communication platform that includes document storage and retrieval.
- b) The Executive Office will provide all Board members, committee members, and officers a video conference platform for official Board and Board committee business.

Evidence 1

- a) Board members, Nominations and Elections committee members, and other ad hoc Board committees are provided with access to a designated Microsoft Team or Team channel to share, edit, and disseminate Board and Executive Office documents such as meeting agendas, meeting minutes, and monitoring reports.

- b) Zoom is typically used for conducting Board meetings, Board officer meeting, and Board committee meetings. Microsoft Teams is also available for meetings and for asynchronous communication.

Interpretation 2

- a) A majority of Board members responding to the Board survey will report that a workable mechanism was provided for communications.
- b) A majority of Board members responding to the Board survey will report that a user-friendly mechanism was provided for communications.

Evidence 2

- a) All respondents to the Board survey agreed that the mechanisms provided were workable.
- b) All respondents to the Board survey agreed that the mechanisms provided were user-friendly.

B-2. Policy Language

The Executive Director will not ... Allow the Board to be deprived of pleasant and efficient settings and arrangements for Board and committee meetings in locations selected by the Board.

Interpretation 1

A majority of Board members responding to the Board survey will report that the Board was provided with efficient and pleasant arrangements for Board meetings and committee meetings.

Evidence 1

All respondents to the Board survey agreed that the Board was provided with efficient and pleasant arrangements for Board meetings. A majority of the respondents agreed that the Board was provided with efficient and pleasant arrangements for Board committee meetings; two respondents selected “not applicable.”

Interpretation 2

A majority of Board members responding to the Board survey will report that the Board was offered adequate input on the selection of meeting locations.

Evidence 2

All respondents to the Board survey agreed that the Board was offered adequate input in the selection of meeting locations.

C. Policy Language

The Executive Director will not ... Impede the Board's holism, misrepresent its processes and role, or impede its lawful obligations.

Interpretation 1

The Executive Office will provide material support and information to the firm chosen by the Board to conduct the annual financial audit as part of the Board's fiduciary responsibility.

Evidence 1

As part of the report to Board of Directors on May 8, 2023, Allison Harrell from the Board-selected auditors of Thomas Howell Ferguson PA indicated they "encountered no significant difficulties in dealing with management during the audit and received full cooperation." Allison noted they appreciated the assistance provided by the Association's financial and accounting personnel.

Interpretation 2

A majority of Board members responding to the Board survey will agree that the Executive Director did not impede the Board's holism, misrepresent its processes and role, or impede its lawful obligations.

Evidence 2

All Board members responding to the Board survey agreed the Executive Director did not impede the Board's holism, misrepresent its processes and role, or impede its lawful obligations.

C-1. Policy Language

The Executive Director will not ... Deal with the Board in a way that favors or privileges certain Board members over others except when (a) fulfilling individual requests for information or (b) responding to officers or committees with respect to duties charged to them by the Board.

Interpretation

A majority of Board members responding to the Board survey will agree that the Executive Director interacted with the Board in a way that did not favor or privilege certain Board members over others.

Evidence

All Board members responding to the Board survey agreed that the Executive Director interacted with the Board in a way that did not favor or privilege certain Board members over others except when (a) fulfilling individual requests for information or (b) responding to officers or committees with respect to duties charged to them by the Board.

C-2. Policy Language

The Executive Director will not ... Allow the Board to do its work without the necessary items on its Required Approvals agenda. Necessary items are those decisions delegated to the Executive Director yet required by law, regulation, or contract to be Board-approved, along with applicable monitoring information.

Interpretation

All transactions that require a governance officer's signature or approval will be presented to the President for appropriate Board action or approval. The need for the President's signature is a rare occurrence.

Evidence

It was not necessary to place any items on the required approvals agenda during the reporting period.

D. Policy Language

The Executive Director will not ... Fail to carry out the Nominations and Elections process, as directed by the Nominations and Elections Committee, within the limitations set by the Board.

Interpretation

The annual certification of a successful election by the Nominations and Elections Committee (NEC) will demonstrate the Executive Director carried out the process as directed by the NEC within the Board limitations.

Evidence

The election results for the 2023-24 Board of Directors and NEC were certified by the NEC committee and chair (Junelyn Pangan Peeples) on March 7, 2023. The Board accepted the results during their meeting on March 16, 2023. Both actions demonstrate that the election process was appropriately carried out by the Executive Director.

E. Policy Language

The Executive Director will not ... Communicate with the Board in a manner unbecoming to the Board's relationship with the Executive Director.

Interpretation

A majority of Board members responding to the Board survey will agree that the Executive Director communicated in a manner appropriate to the Board's relationship with the Executive Director.

Evidence

All Board members responding to the Board survey agreed that the Executive Director communicated in a manner appropriate to the Board's relationship with the Executive Director. One respondent commented "Honestly, I think we are so well supported. I never hesitate to reach out to the ED or staff with questions and I know they will always get back to me with honest answers."