

Board Compliance Monitoring Tool

Complete evaluation form and return to Governance Working Group convener

Board Means Policy being monitored: 3.0 Global Governance Policy

Review all sections of the policy listed and evaluate our compliance with policy.

1. Indicate item by item if you believe Yes No Are we are in strict compliance with the policy as stated?

The purpose of the Board, on behalf of the Sources of Authority and Accountability, is to ensure that the Unitarian Universalist Association (a) achieves appropriate results for appropriate persons at an appropriate cost, and (b) avoids unacceptable actions and situations.	<input type="checkbox"/> Yes <input type="checkbox"/> No
The Board will inspire, direct and hold accountable the administration and itself through the careful establishment of broad written policies reflecting Unitarian Universalist values and perspectives.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Our Sources of Authority and Accountability are defined as: 1. Our member congregations 2. Current and future generations of Unitarian Universalists 3. The heritage, traditions, and ideals of Unitarian Universalism 4. The vision of Beloved Community 5. The Spirit of life, love, and the holy	<input type="checkbox"/> Yes <input type="checkbox"/> No

2. If you indicated that the Board is not in strict compliance with the policy as stated, please indicate what you notice that gives evidence that we are *not* in compliance?

3. How do you think we could improve our process to be in full compliance?

4. What do we need to learn or discuss in order to live by our policies more completely?

5. Does this policy remain in compliance with the Policy Governance model in terms of content and format? Do the sub-policies further enlighten language of the broader policy?
Yes No

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Board Means Policy being monitored: 3.1 Governing Style (Part I)

Review all sections of the policy listed and evaluate our compliance with policy.

1. Indicate item by item if you believe Yes No Are we are in strict compliance with the policy as stated?

<p>The Board will govern with an emphasis on (a) outward vision rather than an internal preoccupation, (b) encouragement of diversity in viewpoints, (c) strategic leadership more than administrative detail, (d) clear distinction of Board and chief executive roles, (e) collective rather than individual decisions, (f) future rather than past or present, (g) pro-activity rather than reactivity, and (h) an open rather than a closed process.</p> <p>On any issue, the Board must insure that all divergent views are considered in making decisions, yet must resolve into a single organizational position.</p> <p>Accordingly:</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>1. The Board will cultivate a sense of group responsibility. The Board, not the staff, will be responsible for excellence in governing. The Board will be the initiator of policy, not merely a reactor to staff initiatives. The Board may use the expertise of individual Trustees to enhance the ability of the Board as a body, rather than to substitute the individual judgments for the Board's values.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>2. The Board's major policy focus will be on the intended long term impacts in the Unitarian Universalist Association of Congregations and its external relations and partnerships, not on the administrative or programmatic means of attaining those effects.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>3. The Board will govern with excellence. Discipline will apply to matters such as attendance, preparation for meetings, policy-making principles, and respect of roles. Although the Board can change its governance process policies at any time, it will observe them scrupulously while in force. The Board will address an issue only if the Board determines that the following criteria have been met:</p> <ul style="list-style-type: none"> A. A substantial portion of the Board believes that the issue deserves Board time; B. The issue is the responsibility of the Board; C. If the Board has dealt with the issue before, there is new information that compels reconsideration; D. The focus of the issue is at a systemic level, and is not just a fix for a specific problem. If the issue is below the Board's broad policy threshold, the Board will seek to broaden the issue to include a class of related issues in a proactive style. 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>4. Continual Board development will include orientation of new Trustees in the Board's governance process.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

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3. How do you think we could improve our process to be in full compliance?

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5. Does this policy remain in compliance with the Policy Governance model in terms of content and format? Do the sub-policies further enlighten language of the broader policy?
 Yes No

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Board Means Policy being monitored: 3.1 Governing Style (Part 2)

Review all sections of the policy listed and evaluate our compliance with policy.

1. Indicate item by item if you believe Yes No Are we are in strict compliance with the policy as stated?

5. The Board will allow no officer, individual or committee of the Board to hinder or be an excuse for not fulfilling its commitments.	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. The Board will select, from among ministers serving on the Board, one or more Trustees to serve as chaplains to the Board.	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. The Board will monitor and discuss the Board's process and performance at each meeting. Self-monitoring will include comparison of Board activity and discipline to policies in the Governance Process and Board-President Linkage categories, following the monitoring schedule in Appendix 3.A.	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>8. The work of the Board of Trustees on matters of public witness will be guided by the actions made by the General Assembly. This shall not preclude the Board from choosing to bear witness in a time of extraordinary circumstances. Accordingly, on matters of public witness regarding social concern, the Board will:</p> <ul style="list-style-type: none"> A. Call upon the elected leadership of our congregations to provide and safeguard the sacred space where Unitarian Universalists may discuss, better understand, and explore public policy in the light of our UU principles and the individual's conscience. B. Encourage our congregations to take a responsible role in bearing witness publicly to their faith in matters of social concern. C. Support the work of the UUA President and staff to bear witness publicly, expressing the historic and theological grounding of UU positions on matters of public social concern. D. Encourage the President of the UUA to provide prophetic leadership. E. Encourage congregations to make use of the Social Witness process, which refers issues for study and statements of conscience to the larger Association, through the authority of the congregations meeting at the General Assembly. F. Speak as the Board of Trustees of the UUA on matters of witness in our own work as an Association. 	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>9. To be consistent with our commitment to the right of conscience and the democratic process and achieve a transparent and open process, the Board will:</p> <ul style="list-style-type: none"> A. Provide advance notice of dates and locations of regular business meetings, and making agendas, reports, and the previous meeting minutes available prior to the meeting; B. Provide avenues for comment on issues on the meetings' agendas; 	<input type="checkbox"/> Yes <input type="checkbox"/> No

<p>C. Accommodate observers at regular business meetings.</p> <p>D. Make documents submitted for consideration to the Board of trustees publicly available, with the exception of documents distributed during executive sessions. Staff governance monitoring reports will be posted on UUA.ORG once the Board deems them in compliance with policy.</p> <p>E. Conduct its business in public, except when the Board decides by majority vote to deal with the following kinds of matters in Executive Session:</p> <ul style="list-style-type: none"> • volunteer and staff personnel matters that are of a delicate nature • legal matters of which public discussion could be legally injurious • budget matters that involve such legal or personnel matters • property acquisition or disposition • business of the above nature involving a member society if the society requests an Executive Session. <p>1. Any officer or trustee may initiate a request for an Executive Session. The first item of business in any Executive Session shall be an explanation of the reason for the request, after which the Board shall vote whether or not to remain in Executive Session.</p> <p>2. All meetings in executive session will close with a determination as to whether the material is confidential and needs to be confidential.</p> <p>3. The Executive Session may be ended at any time by majority vote.</p> <p>4. Executive Sessions will be held to the minimum necessary under these guidelines.</p>	
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5. Does this policy remain in compliance with the Policy Governance model in terms of content and format? Do the sub-policies further enlighten language of the broader policy?

Yes No

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Board Means Policy being monitored: 3.2 Board Job Description

Review all sections of the policy listed and evaluate our compliance with policy.

1. Indicate item by item if you believe Yes No Are we are in strict compliance with the policy as stated?

As informed and elected leaders of our Association of member congregations, the UUA Board of Trustees assures organizational performance by creating, communicating, and monitoring organizational systems and performance, in accord with established Board policy. Accordingly, the Board has responsibility to:	<input type="checkbox"/> Yes <input type="checkbox"/> No
1. Create and maintain linkage between the Board and its member congregations.	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Write policies that address organizational decisions and situations at the broadest levels. A. Shared Vision (ENDS): Statements that express values identifying what benefit to whom and at what cost. B. Leadership Covenant and Expectations: Established boundaries around both ethics and prudence within which all executive activity and decisions must take place. C. Governance Process: How the Board conceives, carries out and monitors its own task. D. Board-President Linkage: Promote right relationship between the President and the Board by defining the president’s role, authority, and accountability.	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Assure operational performance through systematic monitoring of systems and performance of the organization in relation to established policy and examining and approving the operating and capital budgets before they are implemented	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Act as faithful stewards of the resources of the UUA.	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Review an annual audit of the Association’s financial reports by a certified public accounting firm with experience conducting audits of organizations of comparable size as overseen by the Audit Committee.	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Promote and actively engage in the work of building an anti racist/antioppressive/ multicultural institution.	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Act in direct relationship with the General Assembly (GA). A. Approve the GA site, participating in GA programs, and responding, as appropriate, to motions adopted by GA. B. Review and affirm adoption of UUA Public Policy Statements, based on actions of previous General Assemblies. C. In consultation with the General Assembly Planning Committee, make decisions about the allocation of excess funds generated from General Assembly activities. (q.v. Policy on GA Reserve Fund)	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Vote to accept into membership or to terminate association membership of a congregation in accordance with UUA By-laws.	<input type="checkbox"/> Yes <input type="checkbox"/> No

9. Appoint and empower Board committees and Board liaisons.	<input type="checkbox"/> Yes <input type="checkbox"/> No
10. Ensure continuity of governance capability.	<input type="checkbox"/> Yes <input type="checkbox"/> No

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Board Means Policy being monitored: 3.3 Board and Board Member Code of Conduct

Review all sections of the policy listed and evaluate our compliance with policy.

1. Indicate item by item if you believe Yes No Are we are in strict compliance with the policy as stated?

The Board commits itself and its members to acting in adherence to the UUA bylaws, as well as ethical, businesslike, and lawful conduct, including respect for others, proper use of authority and appropriate decorum when acting as Trustees.	<input type="checkbox"/> Yes <input type="checkbox"/> No
1. Trustees must act in accordance with our covenant with member congregations (q.v. Bylaws Article 2). As Trustees, our primary purpose is to serve our member congregations regardless of personal relationships with staff, affiliations with other organizations, or any personal interest.	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Committee members must comply with the Association’s Conflict of Interest Policy (Appendix 2.J)	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Committee members must comply with the Association’s Whistleblower Policy (Appendix 2.K)	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Member Trustees covenant with each other to follow a practice of "Speaking with one voice". This requires that each Trustee has had reasonable opportunity to participate in the debate of the issues and opportunities before the committee or Board. The Trustee may have disagreed with the Board’s decision, and consistent with the right of conscience may say so publicly. However, once the Board makes a policy decision, and even if an individual Trustee does not fully support the Board’s position, each Trustee agrees to do their best to act in alignment with that policy in the spirit of moving our organization ahead in accordance with our democratic principles. If a Trustee finds that they cannot in good conscience adhere to this policy and covenant, then that Trustee bears the responsibility to consult with the Moderator or First Vice-Moderator and determine an acceptable course of action.	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Trustees may not attempt to exercise individual authority over all or any part of the organization. A. A Trustee’s interaction with the President or with staff must recognize that an individual Trustee has no authority except when explicitly Board authorized. B. Trustees will not express individual judgments of performance of employees of the President, except during participation in Board deliberation about whether reasonable interpretation of Board policy has been achieved by the President.	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Members will respect the confidentiality appropriate to issues of a sensitive	<input type="checkbox"/> Yes <input type="checkbox"/> No

nature.	
7. Members will be properly prepared for Board deliberation.	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Trustees will model UU values in our lives and in our roles as Trustees.	<input type="checkbox"/> Yes <input type="checkbox"/> No
9. Trustees will provide leadership for UUA's stewardship and development efforts. Each Trustee is encouraged to: A. Support the financial well being of the Association, including: pledges to his or her congregation, an annual contribution to the Friends of the UUA, and participation in capital campaigns. B. Submit names of potential donors to the Stewardship and Development staff group; C. Encourage his or her own congregation to attain the fair share contribution to the Annual Program Fund. D. Promote testamentary giving through legacies and bequests. E. Be knowledgeable about Association funding.	<input type="checkbox"/> Yes <input type="checkbox"/> No
10. Trustees are expected to have completed anti-racism training that includes analysis and systems theory components prior to the January meeting of their first year as a Trustee. Participation in such training will be paid for, or reimbursed by the UUA, with prior approval of the CGO.	<input type="checkbox"/> Yes <input type="checkbox"/> No
11. Individual Trustees will not engage in fundraising or public support of any candidate for national UUA office except within twelve months of the date of the election.	<input type="checkbox"/> Yes <input type="checkbox"/> No
12. Each Trustee will annually certify in writing their knowledge of, and their agreement to honor, the contents of these Governance Process policies.	<input type="checkbox"/> Yes <input type="checkbox"/> No

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Yes No