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Succession Plan

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Checklist for Acceptance and Completion of the _____ Succession Plan:

- Completions or attachments will be made to the plan:
 - Organization charts, before and after
 - Job Descriptions
 - Staff Policies and Procedures
 - Annual Calendar
 - Operating Manuals
 - Leases and Contracts
- Approval: Succession plan is developed and approved by the appropriate Board Leadership, then distributed to the complete board for approval. Review the plan annually as part of the Strategic Plan review.
- Signatures: Appropriate signatures from the Board, Staff and any designated appointees will be recorded.
- Copies of the Succession Plan will be made and given to the Board Chair, current CEO, acting CEO, COO, HR and the organizations' attorney

Succession Plan Objective(s):

Current Staff Contact Information:

Primary:

Secondary:

Unplanned Vacancy/Emergency Plan Process

- Vice President of Finance and/or Vice President of Member Services Programming inform the Board of Directors, Executive Committee and chairs of committees about the circumstances, and that interim management appointments will be announced by the Board. Decide on who, when and how to notify the membership.
- Vice President of Finance and/or Vice President of Member Services Programming immediately inform XXXX's legal counsel and financial auditors (listed below). (They have this succession plan on file.)
- Board designates a senior staff member as "Interim Executive Director. Set salary according to established range (available to officers from XXXX Human Resources Manager).
 - In the event the first appointee be unable to serve, a 2nd and 3rd appointee will be named.
- Instruct Interim Executive Director to promptly report to the Board on:
 - status and outlook (potential problems, delays, etc.) for current projects;
 - plans for change or deferral of scheduled events or activities;
 - assistance or counsel that could be provided by managers and members;
 - need for unbudgeted temporary staff, services, etc.; and,
 - potential for deviations from budget or other unfavorable financial results.
- Board determines how policy will be decided during interim -- by Board, or by Executive Committee with Board ratification. (Unless complex or controversial, these decisions can probably be made by teleconference.)
- Board designates the compensation for the "Interim Executive Director"
- Board will designate the responsibility for monitoring the work of the Interim
- Immediately verify balances in bank accounts of XXXX and groups for which it holds funds. Review bank transactions of preceding two months. If unusual, order a financial inquiry immediately and report results to Board of Directors and to entities to which association is responsible for each fiduciary account.
- If Executive Director must be replaced, assign duty for search, screening and proposal to Board (see Executive Director Search plan listed below).
- Depending on circumstances, XXXX Board officers should consider changing signature authorizations for XXXX bank accounts. Banks require filing a card, signed by two officers, indicating that signature authority has been granted by resolution of the Board. Currently authorized are XXXXXX and XXXXX. Spending authorization limits are written and published in the Financial Policies and Procedures, as well as in an October 8, 1999 memo distributed to the Vice Presidents, the HR administrator, and key accounting staff, as well as with the banking institutions with which the Association does business.
- Inform insurance agents about known and potential losses; changes in management.
NOTE: If the Association has a "keyman" policy on the Executive Director [XXXXX as of August 2005]. Should circumstances be such that this policy can be utilized, the Board should avail itself of its payout to help cover the costs of replacing the Executive Director should he/she die while in the position.
- Inform legal counsel and financial audit firm of management changes and circumstances. Interim CEO should seek their advice as needed.

Delegation in Case of Disability, Death, or Leave of Absence

The following temporary transfer of responsibilities shall occur upon determination of permanent disability, death, or leave of absence:

- Executive authority and executive director search –
 - Board Chair (XXXX President), until such time as an acting executive director has been appointed
- Financial responsibilities –
 - Vice President of Operations, Chair of Finance & Budget Standing Committee and Board's independent financial auditors
- Check signing responsibility –
 - remaining designated personnel
- Investments –
 - Vice President of Operations, Chair of Finance & Budget Standing Committee
- Communications – internal and external
 - Vice President of Marketing, Chair of Marketing and Communications Committee
- Membership/Affiliate/Associated Society relations, office management, and association service contracts –
 - Vice President of Member Services Programming and Vice President of Operations Programming efforts - Vice President of Member Services Programming
- Computer network, Internet and software systems, and word processing –
 - Vice President of Operations

An annual revision of temporary responsibilities shall be conducted.

Planned Vacancy Process

Selecting a New Executive Director

The committee to select a new executive director for _____ shall be comprised of the Board President, who shall serve as the committee chair, the President-elect, and the divisional vice presidents. The chair of the committee shall vote in case of a tie. The committee shall ensure that federal equal opportunity guidelines are followed in the search and selection process.

The committee shall:

- Develop a statement that includes:
 - Description of the duties of the executive director
 - Qualifications, including but not limited to the following:
 - Educational background
 - Successful association management and fund raising experience
 - Skills as administrator/planner/leader
 - People skills
 - Ability to develop a staff to serve the unique needs of _____
 - Ability to work with voluntary membership
 - Written and oral communications
 - Capacity to serve as editor
 - Creativity and imagination
 - Interest in the mission of _____
 - List of candidate materials for review
- Develop salary and benefits guidelines
- Prepare and distribute position announcement and application procedures
- Prepare rating instrument for screening and interviewing candidates
- Develop a packet of information to give to candidates selected for interviewing—the packet should include, but is not limited to, the following:
 - History and background of _____
 - Constitution
 - Policies and procedures, including ends policies, executive means limitations, Board process, Board/staff relations
 - Budget and financial condition
 - Membership statistics
 - Current and projected services and activities
 - Vision, mission, and future planning
 - Employment agreement, including benefits
 - Other considerations, eg., projected decision and employment dates, etc.
- Send copy of all materials to other Board members for their information
- Select a pool of potential executive talent from
 - Recommendations of resigning executive director
 - Within the staff, if feasible
 - Referrals from American Society of Association Executives or other related associations
 - Applications from announcements
 - Referrals from employment agency

- There are search firms that specialize in association executive searches. The American Society of Association Executives is a source for identifying these firms.

Conduct the following selection process:

- Distribute position announcements and request applications, resumes, and references
- Rate candidates and select those to be interviewed
- Inform the Board who will be interviewed and give a brief background of each candidate
- Select site and date and arrange for interviewing
- Prepare an interview schedule to assure equitable treatment of all candidates;
- also include opportunities for additional committee and candidate questions
- Prior to the close of the interview, assure that the candidate is aware of all
- requirements for the position, employment conditions and remuneration, and scope and purpose of _____
- Ascertain that the candidate wants and will accept the position
- Make a determination on first choice and notify Board
- Notify the candidate and secure acceptance
- Prepare employment agreement
- Prepare and submit news releases

Staff Development Plan for Successor Candidate(s)

Staff Member: _____

Critical Behaviors & Goals (in priority order)

- a
- b
- c
- d

Development Activities	Manager's Role	Target Dates

Budget for Transition:

Item	Amount	Timing
Tangible		
Search Firm		
Search Advertising		
Legal		
Relocation		
Travel		
Testing		
Accrued Leave or Severance		
Costs to Update Marketing Materials		
Other		
Intangible		
Missed Deadlines		
Missed Opportunities		
Diminished Productivity		
Other		

Executive Director Job Description and Task List

Job Description

Key Functions of the Executive Director:

- a
- b
- c
- d

Executive Director – Annual Performance Expectations/Reviews

Executive Director Tasks

What	When (weekly, monthly, quarterly, annual)	Where are the needed materials, where is it sent	With/For Who

Current Job Descriptions for Key Staff

- Director of Education/Meetings Mgmt.
- Director of Membership & Public Affairs
- Director of Communications
- Director of Clinical Practice & Regulatory Affairs
- Director of Public Policy
- Operations Coordinator
- Executive Assistant

Current Staff Training Plans

- Who will be trained?
- What position?
- When will it occur?

Who	For What Position or Skills?	When will it occur?

Significant Relationships

Name	Relationship to ____	Who has the relationship?	Phone Numbers	Email
Board Members (attach a list)				
Funders				
Key Volunteers				
Legal Services				
Accountant				
Government & Regulatory Agencies				

Insurance

Company _____ Type: _____

Policy Numbers: _____

Representative Name: _____

Phone Number: _____

Email: _____

Insurance Company _____ Type: _____

Policy Numbers: _____

Representative Name: _____

Phone Number: _____

Email: _____

Insurance Company _____ Type: _____

Policy Numbers: _____

Representative Name: _____

Phone Number: _____

Email: _____

Bank #1

Name(s): _____

Account Numbers: _____

Branch Representative(s): _____

Phone Number: _____

Fax: _____

Email: _____

Bank #2

Name(s): _____

Account Numbers: _____

Branch Representative(s): _____

Phone Number: _____

Fax: _____

Email: _____

Investments

Financial Planner / Broker Company _____

Representative Name: _____

Phone Number: _____

Email: _____

Who is authorized to make transfers? Who is authorized to make wire transfers? Are there alternatives?

Who are the authorized check signers?

Staff Policies and Procedures

Most Recent Annual Report

Current Strategic Plan

Annual Calendar 2011-2012

Update every 6 months

January	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
February	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
March	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
April	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
May	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
June	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What

July	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
August	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
Sept	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
Oct	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
Nov	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What
Dec	Calendar of required and/or recurring activities and events:		Calendar of special events	
	Who	What	Who	What

Where is it?

What	Where	Who has access
Computer passwords		
Keys		
Checkbook		
Board Meeting Minutes		

Information and Contact Inventory for _____

	Onsite Location	Offsite Location	Online URL (where applicable)
<u>Nonprofit Status</u>			
IRS Determination Letter	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
IRS Form 1023	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Bylaws	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Mission Statement	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Board Minutes	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Corporate Seal	<input type="checkbox"/> _____		

Financial Information

Employer Identification Number (EIN) #: _____

	Onsite Location	Offsite Location	Online URL (where applicable)
Current and previous Form 990s	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Current and previous audited financial statements	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Financial Statements (if not part of the computer system and regularly backed-up)	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
State or District Sales-Tax Exemption Certificate	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Blank Checks	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Member Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Vendor Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Volunteer Records*	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

*Names, home addresses, phone numbers, email, emergency contacts, etc.

Auditor

Name: _____

Phone Number/Email: _____

Human Resources Information

	Onsite Location	Offsite Location	Online URL
Employee Records/ Personnel Info*	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

*Names, home addresses, phone numbers, email, emergency contacts, etc. I-9s	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
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Payroll

Company Name: _____

Account Number: _____

Payroll Rep: _____

Phone Number: _____

Email: _____

Facilities Information

Office Lease (for renters) _____ _____

Building Management

Company Name: _____

Contact Name: _____

Phone Number/Email: _____

Office Security System

Company Name: _____

Account Number _____

Representative Phone Number/Email: _____

Broker Phone Number/Email: _____

ADDENDUMS:

Manuals, Leases and Contracts
Bylaws

Agreed to and Accepted for _____
Organization Name

Board Chair

Date

Current CEO

Date

Acting CEO

Date

Director or other Designate

Date