LEADERSHIP TRANSITION

Tools to assist with succession planning

JUNE 2019

NCA CHAPTER COLLABORATIVE WORK GORUP

Leadership Transition, THINGS TO CONSIDER

Preparing for Posting the Position:

- Ensure full Board of Directors has reached **consensus about candidate priorities** (characteristics, skill sets, experience, etc.) *Be sure to ask what the organization needs in its leader NOW and in the years ahead—which might be different than what the organization needed during its prior hire.*
- Establish a **budget** for the search and hire process.
    - Will you accept out-of-state candidates and if so, are there funds available for candidate travel to participate in the interview process?
    - Are there resources to assist a candidate with relocation costs if that is necessary?
    - What about costs for the Search Committee to travel (if needed) to a central location to conduct interviews?
    - What about any costs associated with posting/advertising the position?
    - Are there funds available to allow for any overlap between the current executive director and the new hire for purposes of orientation and training?
- **Review/revise job description** to ensure it is current and reflects the expectations of the position from this point forward (not what it may have been in the past).
- **Explore potential impacts** this change may have on other staff positions and on current staff members.
- Identify vehicles for **posting the position** as well as process and **timeline** for accepting résumés.
- Encourage all Board members to **actively participate** in the search process by proactively "spreading the word" within their individual circles of influence about the opening (and encouraging those individuals they speak with to spread the word further…). Remember that the best candidates often come not in response to a posted advertisement of the job but by word of mouth. This is a unique position and some ideal candidates might not be out there looking or might not think they would be potential candidates for the position unless someone approaches them about it.
- Develop and alert the full Board to the **process and timeline** for:
    - Résumé acceptance and review.
    - Initial contacts with potential candidates.
    - Follow up contacts/interviews.
- Make sure the Search Committee and the Board leadership are all **in alignment and in support** of the process and the assignment of responsibilities for résumé review, candidate contacts, development of interview questions, participating in the interview process, etc.
- **Keep staff advised** of all activities and plans throughout the process so there is not a lot of speculation. Ensuring they are in the loop about what the Board is doing and when will help ease the natural anxiety that comes with a significant transition like this.
- **Keep the membership and funders advised** of the Board's plan for the transition so they, too, can have confidence that the process is being handled responsibly, thoughtfully, and strategically.

<u>Interviewing/Assessing Candidates</u>:

- **Consider a two (or possibly three) tier approach to the candidate review process**. Perhaps first interviews with candidates that make it through the résumé review process can be conducted by phone; then the top three to five candidates from this group might be interviewed in person on a preliminary basis and the final one to three candidates might be invited back for a final round of interviews.
- **The final interview process**—once candidates have been narrowed down to the final group of one to three people—might include an *informal* meeting with the full Board (and perhaps Chapter staff as well) in conjunction with the actual interview process that would be conducted by the committee. While the final recommendation is the authority of the Search or Executive Committee, this can provide others on the Board with greater confidence in the eventual decision because they have now met the individuals being seriously considered and been invited to provide feedback/input about their observations, concerns, etc. Also, the committee can gain valuable insights into a candidate by observing how the individual interacts with the Board and staff.
- Consider including some questions in the interview process about the individual candidates' prior **experience with organizational change and transition** or personal experience they have had with change and transition. For example, "*What was challenging about the experience for them? What strategies did they employ or see employed that were successful?*" etc. Their response might provide insight into whether the individual's approach to transition aligns with the plan the organization has in place for the Chapter.
- If applicable, be prepared to discuss the **overlap** time that the planned transition will offer the new executive director with your outgoing director of the Chapter and ask for their thoughts, concerns, etc. about this game plan. What might they see as the benefits of the arrangement? What might they see as the challenges?

<u>Transition Period Following Hire</u>:

- Develop a list of **key stakeholders** that the new hire will need to be introduced to and a timeline for when and how those introductions should be made and by whom.
- Consider **developing a calendar** that reflects what routinely happens/activities the Chapter is engaged in on a month-by-month basis over the course of the year (i.e., membership and Board meetings, Board elections, staff evaluations, grant reports due, grant applications due, conferences, legislative activity, etc.). This often serves as a nice outline for initial orientation with a new hire and a great reference tool for after the retiring director is gone.
- The Board president should remain very **accessible and available** to meet regularly with the new hire to assess how the transition is going, if any adjustments need to be made, etc.
- Membership and Chapter staff should also be **advised about the transition plan and timeline** as well so they know who to go to for what.

Succession “To Do” List

Organized for Records or Binders/Labeled:

1.) Deed to building
2.) Keys plus how to access voicemail and mailbox
    a. Who currently has access
3.) All banking information
    a. Banks used
        i. Checkbooks
    b. New signature cards, current executive director name removed, stop automatic transfers
    c. Credit card information changed
        i. Determine who has cards
    d. Who can sign checks—utilities, mileage, bills, etc.
        i. Put online as many as possible
    e. Safety deposit box keys—inventory of what is kept in box
    f. Budgets from all years—audits as well
4.) By-laws, policies and procedures binder
    a. Electronic and paper copy
    b. Board of Directors binder—center copy?
5.) Payroll and taxes
    a. Has 990 been filed?
6.) 501(c)(3) documents and information
    a. Tax exempt—list of all the places that have all of that info on file
    b. Incorporation papers
7.) Return property/keys for everything with labels on them—center, banks, filing cabinet keys, etc.
    a. Laptops, surface pros, tablets, etc.
    b. Anything left at home or in storage?

Contacts and Information:

Process of how service people get paid

1.) Alarm service
    a. Contact information changed for emergencies or after-hours
    b. Change alarm code and communicate it to cleaning service
    c. Alarm system upgrade at some point
2.) Lawn care
3.) Snow removal
4.) Pest control
5.) HVAC

    a. New system needed?
6.) Janitor
7.) Accountants
8.) Auditor
9.) Insurance
    a. Building, board insurance, malpractice
    b. The CAC maintains, at a minimum, current general commercial liability, professional liability, and directors and officers (D&O) liability as appropriate for its organization.
10.) County
    a. Council & commissioner contacts
    b. Community foundations
    c. Schedules, processes, etc.
11.) Electrician
12.) List of all the in-store and online accounts and corresponding passwords
    a. Staples, Walmart, Best Buy, Amazon, etc.
13.) Mailing address lists
    b. Past donors, governmental contacts, community-based, kings/queens, etc.—Excel spreadsheet, software program?

Miscellaneous:

1.) Tech/computer
    a. Access to email software
    b. Website updated
    c. Facebook/social media updated
    d. Electronic versions or files for business cards, pamphlets
        i. Will need to update pamphlets
    e. Put all documents on a network drive (or) organized by USBs
2.) Building and office security
    a. List of who has keys
    b. How to change code on back door?
    c. Policy question—with a staff change should we also change locks and passwords?
    d. Google/shared calendar
3.) Who can authorize or buy office supplies, snacks/drinks?
    a. If any unfinished building maintenance, process of finishing them, payment in process?
4.) All of the organizations and committees the center belongs to
    a. INCAC
    b. Affiliate Member of NCA
    c. Rotary
    d. Chamber of Commerce
    e. Other
5.) Center satellite

   a. Process update, contacts, funding progress

6.) During the interim, what will staff be "allowed" to do on their own, make certain levels of decisions, purchase, etc. vs. what do we have to run past a board member? Bring interim director on board?
   a. Put it in writing?

Other Pertinent Information:

1.) Utility bills
   a. Electric
   b. Phone, cable, internet
   c. Water
   d. Natural gas
   e. Trash
   f. Wireless phone account—still a CAC account? If so, is there a password?
2.) Magazine subscriptions
3.) Data/IT contract?
   a. Anything we need IT to do before current executive director departs?
4.) Attorney on retainer?

Grants, Funding, and Reporting Information:

*Copies of all the center has applied for, copies of all awarded and reporting process for each one plus contact information … paper and/or electronic (USB) copies in an organized fashion (by year or by county)

1.) Current budget
   a. Organized binders of past years' budgets and financial statements
2.) VOCA grant—need to understand everything
   a. Grant contact/administrator contact information?
3.) Other state grant contracts and information?
4.) National Children's Alliance
   a. NCAtrak—Remove executive director name and change password(s) ncatrakhelpdesk@nca-online.org
   b. Username, password, funding, reporting (membership@nca-online.org)
   c. OMS username, password (OMSCoordinator@nca-online.org)
   d. Member profile, username, password (membership@nca-online.org)
5.) Center fundraiser—organized binder of plans, contact information, invoices, budgets, sponsors and their contact information from past events, plus current status of planning for coming year

Information and Contact Inventory

NONPROFIT STATUS	**Onsite Location**	**Online URL**
IRS determination letter	☐	☐
IRS Form 1023	☐	☐
Bylaws	☐	☐
Mission statement	☐	☐
Board minutes	☐	☐
Property and franchise tax exemption certificates	☐	
Trademark certificate	☐	
State certificate of incorporation	☐	
Endowment agreement	☐	
Corporate seal	☐	

FINANCIAL INFORMATION

Employer Identification Number (EIN) #:

Current and previous Form 990s	☐	☐
Current and previous audited financial statements	☐	☐
Financial statements (if not part of the computer system and regularly backed-up)	☐	☐
State or district sales-tax exemption certificate	☐	☐
DUNNS and merchant info.	☐	
1099MISC tax forms	☐	
Blank Checks	☐	☐

Computer Information

Computer located in:

Network server	☐	☐
Backups	☐	☐
Staff desktop passwords	☐	☐
Password-network administrator	☐	☐
Case tracking system administration	☐	☐
Donor software access	☐	☐

FINANCIAL INFORMATION	Onsite Location	Online URL
Donor records	☐	☐
Member center records	☐	☐
Vendor records	☐	☐
Volunteer records	☐	☐

Auditor

Name: ______________________________

Phone: ______________________________

Email: ______________________________

Banking Information

Name: ______________________________

Account #: ______________________________

Branch representative ______________________________

Phone: ______________________________

Fax: ______________________________

Email: ______________________________

Banking Information

Name: ______________________________

Account #: ______________________________

Branch representative ______________________________

Phone: ______________________________

Fax: ______________________________

Email: ______________________________

Banking Information

Name: ______________________________

Account: ______________________________

Branch representative ______________________________

Phone: ______________________________

Fax: ______________________________

Email: ______________________________

Investments

Financial planner/
broker company: ______________________________
Representative name: ______________________________
Phone: ______________________________
Fax: ______________________________
Email: ______________________________

		Name	**Title**
Who is authorized to make banking and/or investment transfers?	1		
	2		
	3		
Who are the authorized check signers?	1		
	2		
	3		

Is there an office safe? ______________________________
Who has the combination/keys? ______________________________

Attorney

Company name: ______________________________
Counsel name: ______________________________
Phone: ______________________________
Email: ______________________________

HUMAN RESOURCES INFORMATION

	Onsite Location	**Online URL**
Employee records/personnel information*	☐	☐
**Names, home addresses, phone numbers, email, emergency contacts, etc.*		
I-9s	☐	☐ .

Professional Employee Organization (PEO)

Company name: ______________________________
Account #: ______________________________
Representative: ______________________________
Phone: ______________________________
Fax: ______________________________
Email: ______________________________

INSURANCE INFORMATION

General Liability/Commercial Umbrella

Company/underwriter: ____________________

Policy #: ____________________

Rep. phone: ____________________

Rep. email: ____________________

Broker phone: ____________________

Broker email: ____________________

Disability Insurance (Short-Term)

Company/underwriter: ____________________

Policy #: ____________________

Rep. phone #: ____________________

Rep. email: ____________________

Broker phone: ____________________

Broker email: ____________________

Directors & Officers Liability

Company/underwriter: ____________________

Policy #: ____________________

Rep. phone: ____________________

Rep. email: ____________________

Broker phone: ____________________

Broker email: ____________________

Disability Insurance (Long-Term)

Company/underwriter: ____________________

Policy #: ____________________

Rep. phone: ____________________

Rep. email: ____________________

Broker phone: ____________________

Broker email: ____________________

Unemployment Insurance

Company/underwriter: ____________________

Policy #: ____________________

Rep. phone: ____________________

Rep. email: ____________________

Broker phone: ____________________

Broker email: ____________________

Life Insurance

Company/underwriter: ____________________

Policy #: ____________________

Rep. phone: ____________________

Rep. email: ____________________

Broker phone: ____________________

Broker email: ____________________

Workers' Compensation

Company/underwriter: ____________________

Policy #: ____________________

Rep. phone: ____________________

Rep. email: ____________________

Broker phone: ____________________

Broker email: ____________________

Retirement Plan (401K)

Company/underwriter: ____________________

Policy #: ____________________

Rep. phone: ____________________

Rep. email: ____________________

Broker phone: ____________________

Broker email: ____________________

FACILITIES INFORMATION | **Onsite Location** | **Online URL**

Building deed or lease ☐ ____________________ ☐ ____________________

Building Management

Company name: ____________________
Contact name: ____________________
Office phone: ____________________
Cell phone: ____________________
Email: ____________________

Office Security System

Company name: ____________________
Account #: ____________________
Contact name: ____________________
Rep. phone: ____________________
Rep. email: ____________________
Broker phone: ____________________
Broker email: ____________________

VENDOR INFORMATION

IT Support ____________________

Company name: ____________________
Account #: ____________________
Contact name: ____________________
Phone #: ____________________
Email: ____________________

Website Consultants ____________________

Company name: ____________________
Account #: ____________________
Contact name: ____________________
Phone: ____________________
Email: ____________________

Case Tracking System

Contractor

Company name: ____________________

Account #: ____________________

Contact name: ____________________

Phone: ____________________

Email: ____________________

Other Key Vendors

Company name: ____________________

Account #: ____________________

Contact name: ____________________

Phone: ____________________

Email: ____________________

Company name: ____________________

Account #: ____________________

Contact name: ____________________

Phone: ____________________

Email: ____________________

Company name: ____________________

Account #: ____________________

Contact name: ____________________

Phone: ____________________

Email: ____________________

Company name: ____________________

Account #: ____________________

Contact name: ____________________

Phone: ____________________

Email: ____________________

____________________	____________________	____________________
Name of Person Completing Document	**Title**	**Date of Completion**

This information and contact inventory should be reviewed and updated annually.

Community Contacts

Name	Address	Phone Numbers	Email Addresses

Inventory Log

Item	Inventory Number	Location	Purchase Date	Cost	Date Retired

Insurance Information Form

Coverage Evaluation

Insurance Agent:
Address:
Phone:
Email:

Policy Information

Type of Insurance	Policy No.	Deductibles	Policy Limits	Coverage (General Description)

Questions to ask agent:	**Yes**	**No**
Do you need flood insurance?		
Do you need earthquake insurance?		
Do you need professional malpractice/liability insurance?		
Other disaster-related insurance questions:		