ORGANIZATION NAME/LOGO

Leadership Transition Plan / Succession Plan
DRAFT TEMPLATE

Overview

In order to ensure continuity and longevity of [ORGANIZATION NAME], the organization is committed to Emergency Succession Planning, a process that is in place in the event the chief executive/executive director suddenly departs either permanently or for an extended period of time (i.e., longer than three months). Succession Planning may be thought of as such:

- Departure-Defined Succession Planning – A process that is in place for a future planned retirement or permanent departure of the executive.
- Strategic Leader Development – A process that promotes ongoing leadership development for talent within the organization.

(Source: Nonprofit Executive Succession-Planning Toolkit)

This is an opportunity to:

- Secure the organization's future by clarifying direction and ensuring strong leadership. A succession plan promotes the availability of a strong executive when needed.
- Understand the complexity and responsibilities of the executive role.
- Leverage board contacts and expertise, especially during periods of leadership transition.

The Board of Directors ("Board") of [ORGANIZATION NAME] ("[ORGANIZATION]") recognizes that this is a plan for contingencies due to the disability, death or departure of the [ORGANIZATION]'s Executive Director. If the organization is faced with an unplanned or planned vacancy, [ORGANIZATION] has in place the following emergency succession plan to ensure the health of the [ORGANIZATION] and to facilitate the transition to both interim and longer-term leadership.

The Board has a clear understanding of the Executive Director's role in organizational visioning and leadership, program development, administration, operations, board member relationships, financial operations, investment management, resource allocation and community presence. The Board has reviewed the job description of the Executive Director (attached). Also attached/available for review: the employment agreement of the Executive Director; Operations Handbook / Manual and Administrative Handbook / Manual which detail the main tasks/procedures to run the [ORGANIZATION]; the Employee Handbook and relevant policies and procedures; Board Communication Calendar; and the annual calendar of work/main tasks are noted in the [ORGANIZATION]'s Outlook Master Calendar by timelines/due dates.

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In the Event of a Temporary, Unplanned Absence: Short-Term

A temporary absence is one of less than three months in which it is expected that the Executive Director will return to his/her position once the events precipitating the absence are resolved. An unplanned absence is one that arises unexpectedly, in contrast to a planned leave, such as a vacation or a sabbatical. The Board is authorized to implement the terms of this Succession Plan in the event of the unplanned absence of the Executive Director.

In the event of an unplanned absence of the Executive Director, the highest ranking staff member is to immediately inform the Board Chair (or highest ranking volunteer board member) of the absence. As soon as it is feasible, the Chair should convene a meeting of the Board to affirm the procedures prescribed in this plan or to make modifications as the Board deems appropriate.

At the time that this plan was approved, the position of Acting Executive Director would be: _____ [Name], _____ [Title]. Should the standing appointee to the position of Acting Executive Director be unable to serve, the first and second back-up appointees for the position of Acting Executive Director will be:
_____ [Name], _____ [Title] and
_____ [Name], _____ [Title].

If this Acting Executive Director is new to his/her position and fairly inexperienced with [ORGANIZATION] (less than 6? months), the Board may decide to appoint one of the back-up appointees to the acting executive position. The Board may also consider the option of splitting executive duties among the designated appointees.

Authority and Compensation of the Acting Executive Director

The person appointed as Acting Executive Director shall have the full authority for decision-making and independent action as the regular Executive Director. The Acting Executive Director may be offered a temporary salary increase to the entry-level salary of the Executive Director position.

Board Oversight

The Board shall designate one Board member responsible for monitoring the work of the Acting Executive Director. This Board member will be sensitive to the special support needs of the Acting Executive Director in this temporary leadership role.

Communications Plan

Immediately upon transferring the responsibilities to the Acting Executive Director, the Board Chair (or highest ranking Board member) will notify staff members, members of

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the Board and key volunteers of the delegation of authority. As soon as possible after the Acting Executive Director has begun covering the unplanned absence, Board members and the Acting Executive Director shall communicate the temporary leadership structure to the key external supporters of [ORGANIZATION]. This may include (but not be limited to) [ORGANIZATION] partners, funders, grantees, colleagues, community leaders, membership networks, and _____.

Completion of Short-Term Emergency Succession Period

The decision about when the absent Executive Director returns to lead the [ORGANIZATION] should be determined by the Executive Director and the Board Chair. They will decide upon a mutually agreed upon schedule and start date. A reduced schedule for a set period of time can be allowed, by approval of the Board Chair, with the intention of working their way back up to a full-time commitment.

Succession Plan in Event of a Temporary, Unplanned Absence: Long-Term

A long-term absence is one that is expected to last more than three months. The procedures and conditions to be followed should be the same as for a short-term absence with one addition:

The Board will give immediate consideration, in consultation with the Acting Executive Director, to temporarily filling the management position left vacant by the Acting Executive Director. This is in recognition of the fact that for a term of more than three months, it may not be reasonable to expect the Acting Executive Director to carry the duties of both positions. The position description of a temporary manager would focus on covering the priority areas in which the Acting Executive Director needs assistance.

Succession Plan in Event of a Permanent Change in Executive Director

A permanent change is one in which it is firmly determined that the Executive Director will not be returning to the position. The procedures and conditions should be the same as for a long-term temporary absence with one addition:

The Board will appoint a Transition and Search Committee within ten days to plan and carry out a transition to a new permanent executive director. The Board will also consider the need for outside consulting assistance depending on the circumstances of the transition and the Board's capacity to plan and manage the transition and search. The Transition and Search Committee will also determine the need for an Interim Executive Director, and plan for the recruitment and selection of an Interim Executive Director and/or permanent Executive Director.

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Checklist for Acceptance of All Types of Emergency Succession Plans

- ❑ Succession Plan Approval. This Succession Plan will be approved by the Board. This plan should be reviewed annually.

- ❑ Organizational Charts. Two organizational charts need to be prepared and attached to this plan. Prepare and attach an organizational chart reflecting staffing positions and lines of authority/reporting throughout the organization. Prepare and attach a second organizational chart that reflects how that structure will change within the context of an emergency/unplanned absence of the Executive Director.

- ❑ Important Organizational Information.
  - Complete and include the attached Information and Contact Inventory.
  - Attach/make available:
    - ❖ Current Board list, including contact information
    - ❖ Operations Handbook / Manual *and* Administrative Handbook / Manual which detail the main tasks/procedures to run the [ORGANIZATION NAME]
    - ❖ Employee Handbook and relevant policies and procedures
    - ❖ Board Communication Calendar
    - ❖ Annual calendar of work; main tasks are noted in the [ORGANIZATION]'s Outlook Master Calendar by timelines/due dates
    - ❖ Executive Director and staff goals and priorities for the coming year(s)

- ❑ Copies. Copies of this Succession Plan along with the corresponding documentation shall be maintained by the Board Chair, the Executive Director, and the Acting Executive Director appointee.

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[ORGANIZATION NAME] Information and Contact Inventory

Detailed below are the locations of all key documents. Most are stored on the [ORGANIZATION]'s server G: drive. Links are provided.

Please also see the [ORGANIZATION] Operations Manual / Handbook and Administrative Manual / Handbook for how to on all major relevant tasks regarding the [ORGANIZATION] day-to-day programming, operational and administrative functions. Manuals also include vendor and important contact and login information. The Outlook Master Calendar also notes key tasks on the appropriate dates that they should be started/handled/completed by.

Important Login Information/Passwords: ….

Key Corporate Documents [G:\[ORGANIZATION]\Important Documents]

- IRS Determination Letter:
- Articles:
- Bylaws:
- State Tax Exempt Certificate:
- State Charitable Registration:
- Federal and/or City docs

Financial Information

- Employer Identification Number (EIN) #:
- Sales Tax Exemption:

- IRS Form 990s:
- State 990s/CHAR 500:
- Audited financial statements:
- Financial Statements:
- Blank Checks:
- Credit Card Account(s): American Express/VISA/other
    - Who has a card?

- QuickBooks:
- Accountants: [COMPANY/STAFF NAMES]

- Funder/Grant/Grantee/Subcontractor Records: in GIFTS/Razors Edge/Blackbaud/Sales Force/other (also see Historical Grants List, Historical Matching Gifts List, and etc…

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Bank(s)

- Checking Account(s):
  - Who are the authorized check signers?
- Key Contacts: [COMPANY/CONTACTS]

Investments

- Advisor: [COMPANY/CONTACTS]
- Schwab:
- Etc.

Human Resources Information

- Employee Manual (including policies, benefits, procedures):
  G:\[ORGANIZATION]\Admin\Employee\Handbooks
  - Code of Ethics
  - Reporting of a Violation of Code of Ethics and Policies ("Whistleblower")
  - Confidentiality (sign)
  - Conflict of Interest (sign)
  - Open Door and Disciplinary (sign)
  - Record Retention
  - Expense & Travel Reimbursement / Expense Form Template
  - Matching Gifts / Matching Gifts Form
  - Vacation Request Sheet / Days Off Chart

- Employee Records: File cabinet in ED office (should be locked)
- Personnel Info*: _____ _____ _____
  (*Names, home addresses, phone numbers, email, emergency contacts, etc.)
- I-9s: _____ _____ _____

- Payroll: Paychex/other
  - Company Name:_____
    Account Number: _____
    Payroll Rep:_____
    Phone Number:_____
    Email: _____

- IRA/401K: held at [COMPANY NAME]; administrator: [COMPANY NAME]
- Insurances (see below)

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Facilities Information

- Office Lease: current copy located ….
- Building Management:
    - Online visitor management/security: Kastle Systems
- Plants:
- Water:
- Fire Extinguisher:
- Furniture:
- Copier(s)/Printer(s):
- IT Provider:
- Web Content / Email Management:
- Other Marketing/Newsletter Management

Insurance Information [G:\[ORGANIZATION]\Admin\Insurance – see chart]

- Insurer:
- Broker:
- Medical/Dental: [COMPANY NAME]
- Life: [COMPANY NAME]
- Directors & Officers Liability: [COMPANY NAME]
- Business Liability (combined property, general liability, auto & umbrella policy: [COMPANY NAME]
- Employee Crimeshield (Fidelity Bond): [COMPANY NAME]
- Workers' Compensation & Employers Liability: [COMPANY NAME]
- Unemployment Insurance: [DOL]
- Accident:

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- Travel:
- Disability Insurance:

Board Member Information [G:\[ORGANIZATION]\Board]

- Contact information
- Board Terms & History
- Governance/Committee Information
- Signed Policies (conflict of interest, confidentiality)
- Board Approved Actions & Policies – summary of historical activities from past meetings/minutes
- Catalog of Events / Programs
- Photos: from board meetings, events, visits, dinners [G:\[ORGANIZATION]\Board\\Photos]

Sector Relationships / Memberships / Networks / Committees:

- Staten Island Community Organizations Active in Disaster (COAD)
    - Medical Ecosystem
    - SI Long Term Recovery Organization (LTRO)
    - NYC Volunteer Organizations Active in Disaster (VOAD)
    - NYC Department of Health & Mental Hygiene (DOHMH) / Health Care Leaders Coalition / Community Resilience Planning Committee
    - NYC Emergency Management (NYCEM) / Community Preparedness Council
    - Waterfront Alliance Resilience Task Force
    - Other Borough Coalitions (COADs/VOADs)
- Staten Island Borough President
- City Council Reps
- Congress Reps
- Staten Island Chamber of Commerce
- Staten Island Economic Development Council (SIEDC)
- Staten Island Advance
- Wagner College Department of Lifelong Learning
- College of Staten Island
- Nonprofit New York
- Candid (Foundation Center / Guidestar)
- Lawyers Alliance for New York
- Community Resources Exchange
- Cause Effective
- Support Center for Nonprofit Management
- Better Business Bureau Foundation of Metropolitan New York (Charity Symposium)
- Young Nonprofit Professionals Network (YNPN)
- Emerging Practitioners in Philanthropy (EPIP)
- Chronicle of Philanthropy
- Association of Fundraising Professionals (AfP)
- Field Surveys / Data we contribute to and use for benchmarking:

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ORGANIZATION LOGO

Executive Director Job Description
Updated December xx,xx,xxxx

Position: Executive Director
Reports to: Board of Directors
Supervises: Program Coordinator/Director and interns/assistants, as hired

Function: Serves as executive director of the [ORGANIZATION] and is subject to the direction and approval of the board of directors. The executive director will provide overall leadership and general supervision for the daily operations of the [ORGANIZATION] including strategic direction, program development, operations, financial management, personnel management, and external/community relations.

Essential duties and responsibilities include the following:

1. **GOVERNANCE, BOARD ADMINISTRATION & SUPPORT:** With the board chair, enables the [ORGANIZATION] to fulfill its governance function and supports the ongoing development of potential leaders from among [ORGANIZATION] board members.

    - Supports the operation and administration of the board by advising and informing board members, interfacing between board and staff, and developing the board's evaluation of the executive director.

    - Responsible for implementing board guidance to the [ORGANIZATION]; in consultation with the [ORGANIZATION]'s legal counsel, advises the chair as required on keeping board activities within the bounds of its bylaws; oversees board secretary and treasurer functions and the keeping of critical corporate records.

    - Interprets and applies laws, rules and regulations applicable to the organization, and in matters where reference to legal counsel is necessary, does so in conjunction with the board.

    - Designs, reviews and maintains operational policies, practices and guidelines of the [ORGANIZATION], periodically presenting to the board for input and approval.

    - Arranges and attends board and committee meetings/activities including preparing facilities and agenda; oversees materials development; implements board directives; communicates with board between meetings; reviews drafts of minutes of board meetings.

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- Leads the board in its strategic planning and establishes objectives based on goals and budget considerations agreed upon by the board. Provides guidance to board in selection of new areas of interest.

- Supports board continuity and development of leadership capacity within the board and its committees. Includes developing/overseeing board engagement activities, specifically among new/prospective board members, and management of other educational and communication vehicles.

- Develops and manages board self-evaluation and performance process.

2. **FINANCIAL/LEGAL RESPONSIBILITIES:** In consultation with the finance and executive committees, communicates actions/decisions made with the investment manager, accountant, legal counsel regarding the investment portfolio, regulatory compliance and governance of the [ORGANIZATION] to ensure the [ORGANIZATION]'s existence and operations under applicable laws and regulations.

    - Prepares and reports on the [ORGANIZATION]'s annual budget and ensures that it and the accounting practices are adequate and cost effective. Organizes quarterly finance committee meetings and ensures appropriate preparation of materials for review including quarterly financial reports on the [ORGANIZATION]'s administrative and program budget.

    - Develops [ORGANIZATION]'s monthly cash requirements and manages banking administration. Signs checks; oversees reconciliation of the monthly bank statements.

    - Consults with the manager of managers on investment strategy and decisions, reviews and updates the investment policy as needed with chair and finance committee, and otherwise keeps abreast of current trends that may affect the portfolio of the [ORGANIZATION].

    - Counsels with [ORGANIZATION]'s accountants on matters affecting the [ORGANIZATION] and oversees materials prepared for the accountant; reviews the yearly Statement of Financial Position and tax returns with finance committee and chair.

    - Seeks advice on and promotes compliance with local, state, and federal laws. Maintains financial records and reports according to generally accepted accounting standards.

3. **PROGRAM DEVELOPMENT & OPERATION:** Responsible for implementing the [ORGANIZATION]'s philosophy/mission and its annual programming goals/objectives within board-approved guidelines.

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- Provides overall direction to program initiatives/strategy. Develops and implements policies and procedures in conjunction with the [ORGANIZATION] board, as appropriate.

- With program staff, administers [ORGANIZATION]'s programs, including preparation of written agendas, content development, and other matters requiring [ORGANIZATION] action.

- Oversees evaluation of funded programs, monitors progress of approved grants and makes periodic reports to the [ORGANIZATION] and committees on funding effectiveness.

- Provides technical assistance to partners, including guidance in fundraising, planning, organizational development, program design and volunteer leadership development.

- Ensures timely payout/receipt of approved grants (including ensuring approved grants are entered in QuickBooks and the [GIFTS] database).

- Develops new programming ideas and initiatives which assist the [ORGANIZATION] in fulfilling its mission.

- Assists board/staff members in the identification and vetting of charitable partnership causes of interest.

4. **ADMINISTRATIVE & HUMAN RESOURCES MANAGEMENT:** Supervises day-to-day operations of the [ORGANIZATION], including managing the human resources of the organization according to personnel policies and procedures that conform to current laws and regulations.

    - Manages and enhances systems that allow for efficiency and smooth functioning of [ORGANIZATION] operations, ensuring compliance with established policies and procedures. Responsible for delegating responsibility for various office functions to see that these run appropriately.

    - Develops and maintains system to employ, train, mentor, supervise, evaluate and compensate all staff positions, interns/volunteers and consultants. Has "hire-fire" responsibility for the [ORGANIZATION]'s staff or consultants, as well as ability to restructure staff's responsibilities and/or to create new positions and fill them as needed. Creates an atmosphere conducive to growth, learning and improved performance.

    - Responsible for ensuring that the [ORGANIZATION] has adequate office space and equipment.

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- Approves personnel policies and procedures in consultation with Counsel, and where necessary, makes recommendations to the executive committee on the need for new or revised policies.

- Reviews, negotiates and works with administrators and agents to execute and comply with employee benefit plans, including 401k and health/medical insurance plans, as well business liability, D&O insurance, etc.

- Conducts annual performance appraisals and presents compensation recommendations to the [ORGANIZATION] board of directors.

- Facilitates relations and communications among/between the staff and the [ORGANIZATION] board.

5. **EXTERNAL/COMMUNITY RELATIONS:** Assures the [ORGANIZATION] and its mission is consistently presented in strong, positive images to relevant stakeholders.

    - Maintains a high professional profile in the field by participating in events, seminars and conferences in the local community and in the national nonprofit/philanthropic sector that are designed to strengthen and promote the field and the [ORGANIZATION].

    - Attends briefings, symposiums, meetings to remain informed and up-to-date about the non-profit and philanthropic sector.

    - Represents the [ORGANIZATION] at community events, funder/partner events, various engagements in metropolitan area and on committees and non-grantee/partner boards.

    - Identifies and accesses philanthropic support resources for board and staff; promotes awareness of and participation in such opportunities by [ORGANIZATION] board/staff members (Nonprofit New York, Candid, Lawyers Alliance, Community Resources Exchange, Cause Effective, Support Center for Nonprofit Management, and others as suitable).

    - Participates in partnerships/collaborative opportunities with other and partners and nonprofit organizations, as appropriate

    - Supervises the preparation of the annual report, content on the website, and other communications and outreach activities.

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Organizational Chart

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