



## Executive Director Evaluation/Recruitment Meeting

Monday, May 2, 2016

5:00 pm until close of business

1002 E. Palm Avenue, Conference Room

Tampa, FL 33614

Call-in: 1 (872) 240-3212

Access Code: 463-426-357

### Early Learning Coalition of Hillsborough County Mission Statement

The mission of the Early Learning Coalition of Hillsborough County is to promote school and life success for all young children and their families through quality school readiness services and supports.

#### MEETING AGENDA

##### I. CALL TO ORDER

A. Quorum Verification

A. Patel, Chair

##### II. OLD BUSINESS

##### III. ACTION ITEMS

##### IV. DISCUSSION

A. Executive Director Performance Review (p. 2)

B. Executive Director Recruitment Process (p. 17)

##### V. INFORMATION ITEMS

##### VI. PUBLIC COMMENT

*Individuals wishing to address the Early Learning Coalition Board of Directors must complete a Public Comment Request Card and submit it to the official recorder prior to the noticed start time of the meeting. Said comments will be limited to three (3) minutes per individual on first come, first serve basis, and only at such time as is identified on the official meeting agenda for public comment.*

##### VII. ADJOURNMENT

#### UPCOMING MEETINGS

Budget Workshop- Monday, May 9, 2016 @ 4:00 pm

Board of Directors Meeting – Monday, May 9, 2016 @ 5:30 pm

Governance Committee Meeting – Tuesday, May 31, 2016 @ 4:30 pm



---

## Executive Director Evaluation

### How to Complete the Questionnaire

This questionnaire is designed to assess the ELCHC Executive Director's performance. Responses will be summarized and the Executive Committee will convene to facilitate the evaluation with the Executive Director.

Each section begins with a brief description of an important area of responsibility. Please read the areas of responsibility and answer the questions that follow. The questions measure the level of satisfaction with how the Executive Director is carrying out various aspects of each responsibility. Indicate the number representing the degree to which there is satisfaction carrying out each responsibility. Ratings are from 1.0 through 5, with 1.0 representing "Unsatisfactory" and 5 representing "Very Satisfactory". An increment of the rating number can be indicated up to one decimal (i.e. 3.3, 4.6, etc.). An option of answering Not Sure (NS) is also available if it is felt a particular question is not applicable, is not clear, or is not understood. There are also open-ended questions after each section.

#### **Important Notes:**

If a score or any increment of 1, 2, or 3 was given please assist the Executive Director in improving performance by providing a reason for the rating in the space provided at the bottom of the section.

Per the Executive Committee's recommendation at the meeting on \_\_\_\_\_ the section on Operations Management dealing with day to day operations of the ELCHC will be completed by the upper administrative staff. Results for this section will be tallied separately. This section has been included in your packet as an informational item only (blue page).

The evaluation is excerpted from:

*Boardroom Dancing: A practical Handbook for Nonprofit Boards*  
National Center for Nonprofit Boards

## I. Agency Wide: Program Development and Delivery

The Executive Director's role has both strategic and operational components. Working with the ELCHC Board, the Executive Director must develop a shared vision for the future of the organization, build understanding around the current mission, and develop appropriate goals and strategies to advance that mission.

Please rate the following:

		Unsatisfactory		Satisfactory		Very Satisfactory	Not Sure
		1.0 to 1.9	2.0 to 2.9	3.0 to 3.9	4.0 to 4.9	5	NS
1-1	Ensures that the agency has a long-range strategy which achieves its mission, and toward which it makes consistent and timely progress.						
1-2	Provides leadership in developing program and organizational plans with the Board of Directors and staff.						
1-3	Meets or exceeds program goals in quantity and quality (reference budget reports, ED reports, etc.).						
1-4	Evaluates how well goals and objectives have been met (reference ELCHC plan and board reports).						
1-5	Demonstrates quality of analysis and judgment in program planning, implementation, and evaluation.						
1-6	Maintains and utilizes a working knowledge of significant developments and trends in the field of early care and education (i.e. developmentally appropriate child care environments for 0-5 years, support for children with special needs, DCF child care provider regulations).						

What are major strengths of the Executive Director in this area?

How can the Executive Director do better in this area?

Provide a reason for any rating within a 1, 2, or 3. If NS was indicated, please explain.

Additional comments:

## II. A. Community Relations

The Executive Director is a key player in establishing and maintaining positive relationships with many groups in the community that support the work of the ELCHC.

Please rate the following:

		Unsatisfactory		Satisfactory		Very Satisfactory	Not Sure
		1.0 to 1.9	2.0 to 2.9	3.0 to 3.9	4.0 to 4.9	5	NS
2-1	Serves as an effective spokesperson for the agency; represents the programs and point of view of the organization to agencies, organizations, and the general public.						
2-2	Establishes sound working relationships and cooperative arrangements with community groups and organizations						

## II. B. Community Relations: Partner Agency Evaluation

		Unsatisfactory		Satisfactory		Very Satisfactory	Not Sure
		1.0 to 1.9	2.0 to 2.9	3.0 to 3.9	4.0 to 4.9	5	NS
2-1a	Serves as an effective spokesperson for the agency; represents the programs and point of view of the organization to agencies, organizations, and the general public.						
2-2b	Establishes sound working relationships and cooperative arrangements with community groups and organizations						

What are major strengths of the Executive Director in this area?

How can the Executive Director do better in this area?

Provide a reason for any rating within a 1, 2, or 3. If NS was indicated, please explain.

Additional comments:

### III. Financial Management and Legal Compliance

It is the role of the Executive Director to see that solid planning and budgeting systems are in place and that the organization’s goals and strategic plan serve as the basis for sound financial planning. In addition, it is the Executive Director’s responsibility to ensure that qualified staff is hired to accurately monitor, assess, and manage the financial health of the ELCHC.

Please rate the following:

		Unsatisfactory		Satisfactory		Very Satisfactory	Not Sure
		1.0 to 1.9	2.0 to 2.9	3.0 to 3.9	4.0 to 4.9	5	NS
3-1	Assures adequate control and accounting of all funds, including developing and maintaining sound financial practices (reference audit reports and fiscal monitors).						
3-2	Works with staff, Finance Committee, and the Board in preparing a budget; submits an annual budget for Board review, revision, and approval; sees that the organization operates within budget guidelines						
3-3	Maintains official records and documents, and ensures compliance with federal, state and local regulations and reporting requirements (such as annual returns; payroll withholding and reporting, etc.)						
3-4	Executes legal documents appropriately (reference audit reports, internal controls, etc.)						
3-5	Assures that funds are disbursed in accordance with contract requirements and donor designations (reference disbursement of matching funds)						

What are major strengths of the Executive Director in this area?

How can the Executive Director do better in this area?

Provide a reason for any rating within a 1, 2, or 3. If NS was indicated, please explain.

Additional comments:

## IV. Agency Funding (6% Match)

The Executive Director, in partnership with the Board and appropriate staff, is responsible for grant development strategies to secure 6% in matching funds. The Board may develop and implement appropriate fundraising strategies for the benefit of the agency. The Executive Director and Board use their combined strengths, knowledge, and relationships to help the organization achieve its objectives.

Please rate the following:

		Unsatisfactory		Satisfactory		Very Satisfactory	Not Sure
		1.0 to 1.9	2.0 to 2.9	3.0 to 3.9	4.0 to 4.9	5	NS
4-1	Develops realistic, ambitious grant development plans						
4-2	Meets or exceeds revenue goals, ensuring that adequate funds are available to permit the organization to carry out its work						
4-3	Successfully involves others in local grants						
4-4	Establishes positive relationships with government, foundation, and corporate funders						
4-5	Establishes positive relationships with individual donors						

What are major strengths of the Executive Director in this area?

How can the Executive Director do better in this area?

Provide a reason for any rating within a 1, 2, or 3. If NS was indicated, please explain.

Additional comments:

## V. Executive Director /Board Partnership

The Executive Director and the ELCHC Board must work together as partners. The Executive Director and the Board have joint responsibility for developing and maintaining a strong working relationship and a system for sharing information. The Board is responsible for creating a written job description for the chief executive that is clear and agreed to by all parties.

Please rate the following:

		Unsatisfactory		Satisfactory		Very Satisfactory	Not Sure
		1.0 to 1.9	2.0 to 2.9	3.0 to 3.9	4.0 to 4.9	5	NS
5-1	Works well with Board officers						
5-2	Provides appropriate, adequate, and timely information to the Board						
5-3	Provides support to Board committees						
5-4	Sees that the Board is kept informed on the condition of the organization and all factors influencing it (transparency)						
5-5	Works effectively with the Board as a whole						

What are major strengths of the Executive Director in this area?

How can the Executive Director do better in this area?

Provide a reason for any rating within a 1, 2, or 3. If NS was indicated, please explain.

Additional comments:

Are there specific performance objectives, either for the Executive Director or for the agency as a whole, which you would suggest we add for the coming year?

Are there any other comments you would like to make?

**Board Member Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

or

**Upper Admin Signature** \_\_\_\_\_ **Date** \_\_\_\_\_



## VI. Operations Management

The Executive Director is responsible for the day-to-day management of the ELCHC. The Executive Director works with staff to develop, maintain, and use the systems and resources that facilitate the effective operation of the organization.

Please rate the following:

		Unsatisfactory		Satisfactory		Very Satisfactory	Not Sure
		1.0 to 1.9	2.0 to 2.9	3.0 to 3.9	4.0 to 4.9	5	NS
6-1	Divides and assigns work effectively, delegating appropriate levels of freedom and authority						
6-2	Establishes and makes use of an effective management team						
6-3	Maintains appropriate balance between administration and programs						
6-4	Ensures that job descriptions are developed, and that mid-year performance evaluations are held and documented with an evaluation completed annually.						
6-5	Ensures compliance with personnel policies and state and federal regulations on workplace and employment						
6-6	Ensures that employees have required credentials, and that appropriate background checks are conducted						
6-7	Recruits and retains diverse staff						
6-8	Encourages staff development and education, and assists program staff in relating their specialized work to the total program of the organization						
6-9	Maintains a climate which attracts, keeps, and motivates a diverse staff of top quality people						

What are major strengths of the Executive Director in this area?

How can the Executive Director do better in this area?

Provide a reason for any rating within a 1, 2, or 3. If NS was indicated, please explain.

Additional comments:

**Upper Administrator Signature** \_\_\_\_\_ **Date** \_\_\_\_\_



## EXECUTIVE DIRECTOR EMPLOYMENT AGREEMENT

THIS AGREEMENT is made and entered into as of \_\_\_\_\_ by and between the Hillsborough County School Readiness Coalition, Inc., D/B/A Early Learning Coalition of Hillsborough County, Inc., a nonprofit corporation operating in the State of Florida (hereafter "Coalition" or "ELCHC") and Dave McGerald (hereafter "Executive" or "Executive Director"). The Coalition hereby employs the Executive, and the Executive hereby accepts employment on the terms and conditions hereinafter set forth.

### 1. Term of Employment

The initial term of this Agreement shall commence on the date that both parties sign it and end on June 30, 2015. Thereafter the Agreement shall automatically renew for periods of one year each unless either party provides written notice on or before the first day of April that the Agreement will not be automatically renewed. This Agreement is subject to earlier termination as provided in Section 9 hereof.

### 2. Duties

The Executive shall perform the usual and customary duties associated with the position of Executive Director of an Early Learning Coalition as defined in the Coalition's job description of this position. These duties include, but are not limited to: oversight and staffing of all employment positions of the Coalition, facilitating and assisting the Board of Directors of the Coalition (hereafter "Board") in their policy making, planning and oversight of the Coalition, planning and governance of the day to day activities of the Coalition, oversee and be responsible for Coalition marketing and public relations and serve as the spokesperson for the Coalition to promote early learning issues to the public, and such other duties as may be prescribed for the Executive Director by the Board or the Executive Committee. The Executive Director will devote his full working time and best efforts to advance the interests of the Coalition in furtherance of policies established by the Board. The Executive reports to the Board or to the Executive Committee when either is in session; otherwise the Executive reports to the appointed Chair of the Board. The Executive is the employed Executive Director of the Coalition with full authority for the management of its affairs subject only to the duties specified by the bylaws, state laws, other governing documents and this agreement. The Executive has sole and exclusive authority for the engagement and discharge of all other employees of the Coalition.

### 3. Compensation

During the term of this Agreement, the Coalition shall pay the Executive Director a base salary of \_\_\_\_\_ per year, payable bi-weekly and subject to payroll deductions as may be necessary or customary for the Coalition's salaried employees. Any increase in base salary must be approved by the Board. This compensation constitutes the entire payment by the Coalition for the services of the Executive. Except as provided for by this Agreement, no other or additional compensation in any form will be considered or paid for the period of this Agreement unless voted upon by the Board specifically for the Executive or generally for all employees of the Coalition. Nothing in this Agreement shall preclude the Executive from

receiving stipends from third parties for consulting, conducting workshops, retreats or lectures if performed during paid time off and at his own expense, so long as such activities do not interfere or conflict with the duties as Executive Director.

#### **4. ELCHC Policies**

Nothing in this Agreement shall be construed to modify, alter or conflict with the ELCHC Bylaws. In the event of a conflict between the ELCHC Personnel Policies and the terms of this agreement, the terms of this agreement shall prevail. The intent of the parties is that the relationship between the Executive Director and the Coalition will be governed by the Bylaws, the terms of this agreement and, except to the extent of a conflict, ELCHC's Personnel Policies.

#### **5. Benefits**

The Coalition shall provide the Executive Director with health insurance or compensation for health insurance and the other benefits available to all salaried employees of the Coalition. The Coalition reserves the right to modify, amend or terminate employee benefits, but with recommendations as to budgetary objectives from the Executive Director.

#### **6. Paid Time Off (PTO)**

The Executive Director shall be entitled to annual paid time off of \_\_\_\_\_ hours. This time will accrue at the rate of \_\_\_\_\_% per pay period. Upon termination of this Agreement the Executive Director will be eligible for payout of accrued PTO up to a maximum of 300 hours.

#### **7. Performance Evaluation**

The Executive Committee of the Coalition shall review the Executive Director's performance every six (6) months and may consider whether an increase in base salary is appropriate. The Executive Director acknowledges his receipt and review of the documents containing the Coalition's performance review process and criteria.

#### **8. Expenses**

The Coalition shall underwrite or reimburse the Executive Director for all reasonable expenses incurred in connection with the Coalition's activities as allowed by Coalition policy, Office of Early Learning Policy or State Statute.

Subject to budget constraints, the Coalition shall provide a reasonable allowance for the Executive's attendance at continuing education conferences.

#### **9. Termination of Employment**

The term of employment under this Agreement is subject to early termination in accordance with this Section. All accrued PTO will be paid in full to the Executive Director upon the last day of employment regardless of reason or rationale for termination (voluntary or involuntary).

a. By Coalition for Cause. The Coalition may terminate the employment of the Executive Director for cause at any time. "Cause" shall mean conviction of a felony or entry of a plea of no contest to criminal proceedings, regardless of whether there is an adjudication of guilt, gross neglect of duties, substance abuse, or material violation of this Agreement by the Executive Director. In the event of any such termination, the Executive Director shall have no claim for further compensation or severance pay, other than pay-out for all accrued PTO, beyond the date of termination.

b. Death or Disability. Employment shall terminate upon the Executive Director's death or permanent disability in which event the Executive Director, personal representative or estate shall receive such benefits as may be provided to all deceased employees under such employment policies as may be in effect at the time.

c. Resignation. The Executive Director may, at any time, resign upon not less than thirty (30) days prior written notice to the Coalition. The Executive will receive full compensation during that notice period. At its sole discretion, the Coalition will determine whether to require that the Executive perform the Executive's duties for the Coalition during that notice period. The Coalition and the Executive will mutually agree upon any communications within the Coalition or to the public regarding the resignation.

d. By Coalition for Convenience. At the Coalition's discretion, the Coalition may terminate this Agreement for any or no reason upon thirty (30) days written notice. The parties may agree to an earlier separation. In the event of a termination for convenience, the Executive Director shall be entitled to be paid for the actual time worked plus sixty (60) days severance pay. In the event that a termination for cause is later determined to be invalid for any reason by a court or administrative proceeding, the termination shall automatically be converted to a termination for convenience.

e. Discontinuation of Services. The Coalition receives funding from the State through discretionary programs administered by the State of Florida. In the event State funding is terminated then the Executive Director's employment may terminate if there is not sufficient funding from other sources for the Coalition to continue operating.

## **10. Intellectual Property, Confidentiality, and Investments**

The Executive recognizes and agrees that all copyrights, trademarks, or other intellectual property rights to created works arising in any way from the Executive Director's employment by the Coalition are the sole and exclusive property of the Coalition. The Executive agrees to not assert any such rights against the Coalition or any third parties. Upon termination of this Agreement by either party for any reason, the Executive will relinquish to the Coalition all documents, books, manuals, lists, records, publications or other writings, keys, credit cards, equipment, or other articles that came into the Executive's possession in connection with the Executive's employment by the Coalition. The Executive will maintain in confidence during and subsequent to the Executive's employment any information about the Coalition or its members which is confidential information or which might reasonably be expected by the Executive to be regarded by the Coalition as confidential.

## **11. Indemnification**

The Coalition indemnifies, holds harmless, and will defend the Executive against claims arising against the Executive in connection with the Executive's performance of the duties of the Executive's employment by the Coalition to the full extent permitted by law, but not with respect to claims successfully resolved against the Executive that the Executive engaged in fraudulent, grossly negligent, or criminal acts.

## **12. Alternative Dispute Resolution**

Any controversy or dispute arising in connection with or relating to this Employment Agreement of the Executive Director's employment with the Coalition shall be submitted to mediation or other mutually agreeable alternative dispute resolution prior to the commencement of any action under this Agreement. The parties agree to negotiate in good faith toward a resolution of such controversy or dispute. If after completion of such mediation or other dispute resolution, the parties have failed to reach resolution, venue shall lie in Hillsborough County, Florida, on any court action brought under this Agreement.

## **13. Entire Agreement and Notices**

This document contains the entire agreement of the Coalition and the Executive. It may not be changed orally but only by an agreement in writing signed by the Coalition and the Executive. This Agreement supersedes and cancels all previous agreements between the Coalition and the

Executive. Any notices or other communications required or permitted to be given under this Agreement shall be deemed to have been duly given if in writing and delivered personally, or sent by registered or certified mail, return receipt requested, to the party at the address of the Executive Director on file at the office of the Coalition and to the Coalition at 6800 N. Dale Mabry Highway, Suite 158, Tampa, Florida 33614.

**14. Successors**

This Agreement is binding upon the Coalition and the Executive, their heirs, executors, administrators, successors, and assigns. The Executive will not assign or delegate any part of the Executive's rights or responsibilities under this Agreement unless the Executive Committee of the Coalition agrees in writing to the assignment or delegation. In the event dissolution of the Coalition, this Agreement will continue in force through the then-current period of employment. In the event of any merger, consolidation or reorganization involving the Coalition, this Agreement becomes an obligation of any legal successor or successors to the Coalition.

**15. Choice of Law**

This Agreement shall be governed by and construed in accordance with the laws of the State of Florida.

This Agreement is effective as of the date the last party signs below.

BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
Board Chair

\_\_\_\_\_  
Executive Director

DATE: \_\_\_\_\_

## MEMORANDUM

TO: ELCHC Committee Members (Executive Director Evaluation)

FROM: Stephen P. Lee

DATE: February 12, 2015

RE: Draft Employment Agreement

---

This is provided in conjunction with a draft employment agreement for the Executive Director. As you are aware, the Committee decided to state a limit of 300 hours of personal time off (PTO) payable upon separation. As you also know, the Executive Director's personnel file contains an evaluation dated in 2007 (hereafter the "2007 evaluation") which purports to authorize the accrual and payment of up to 26 weeks of such time upon separation. This variance caused a legal concern regarding whether the Coalition could make such a change. Accordingly, I did some factual and legal research and now provide you with the results.

Factually, I determined that Coalition personnel have, at all pertinent times, been leased employees. Until 2012, they were leased through a contract with the Children's Board. Currently they are leased through a contract with Employers Alliance, LLC d/b/a Fortune Business Solutions. I looked at each contract and found no provisions dealing with how much sick and vacation leave could be accrued or paid out upon separation. Discussions with Coalition staff revealed that when the Children's Board contract was terminated all employees were forced to resign from the Children's Board and no accrued vacation or sick leave was paid at that time. Staff indicated that accrued leave balances were carried forward on the Coalition records, however, the new leasing contract does not make any provision for same, one way or the other. The pertinent ELCHC Board minutes do not reflect any discussion of accrued leave balances or the terms and conditions of the Fortune Business Solutions contract.

While employed by the Children's Board employees were subject to the County's Civil Service Board ("CSB") rules and Children's Board policies. The CSB rules apparently provided for accrual and payment on separation of a maximum of 480 hours of sick leave and 320 hours of annual leave, however, the Children's Board policy did not allow payment of accrued sick leave upon separation. I understand that Mr. McGerald currently has a balance of approximately 1100 hours of accrued leave time, the bulk of which was accrued during the Children's Board years. Current ELCHC personnel policies limit the payout of accrued leave to 300 hours, unless a different arrangement is negotiated. Finally, a review of Board and Executive Committee minutes during the pertinent time of late 2007 and early 2008 do not indicate any discussion or approval of the 26 weeks accrual and payment provisions contained in the 2007 evaluation. I did not review the minutes from the Children's Board from that time period since it is apparent that, upon termination of the ELCHC leasing contract, the Children's Board did not make payment of any amount for accrued leave.

Legally, I cannot find any statutory requirement for private employers to provide for vacations or sick leave or pay any accrued balances upon separation. As best as I can determine, Florida does not provide any such protection to non-governmental employees and employers are free to change their vacation and leave policies at will. Of course, contractual provisions may be enforced and existing policies may be the basis for claims. Further, I am not aware of any provisions in the grant agreement or OEL rules addressing the subject. Accordingly, in my opinion ELCHC may contractually limit the hours of PTO payable upon separation, regardless of the number of hours accrued. However, since the Personnel Policies do not limit the number of hours that may be accrued, I am of the opinion that Mr. McGerald may use his accrued leave time in accordance with current policies and practices.

I feel compelled to point out that this is a draft contract and is subject to change if the parties agree to different terms. Please advise if there are any questions regarding this matter.



## MEMORANDUM

TO: Aakash Patel, Chairman, Board of Directors

FROM: Stephen P. Lee

DATE: February 19, 2015

RE: Draft Employment Agreement

---

This responds to your request for clarification regarding the severance pay provisions of the draft employment agreement. The committee concluded that sixty (60) days is an appropriate amount of severance pay should the agreement be terminated for the convenience of the Coalition. You asked if that number is reasonable or comparable to other such agreements. Whether it is reasonable is a matter of policy and subject to negotiation between the parties.

Legally, F.S. §215.425 limits such severance to twenty (20) weeks, however, by its terms the statute does not apply to private employers such as the Coalition. I suspect that OEL would look to the statute should they be asked to opine on the subject.

As far as such provisions in other agreements, I have seen a variety of them, ranging from as little as thirty (30) days (such as in my arrangement with the Coalition) to one (1) year. Accordingly, I cannot say that sixty (60) days is unreasonable, however, the ultimate conclusion is a matter of policy for the Board to decide.

Additionally, you asked about the limitation of payment for three hundred (300) hours of accrued leave upon separation. Again, this number was included in the draft agreement because the committee deemed it reasonable. It is the number contained in the Coalition's Personnel Rules applicable to all employees, however, the Rules do allow for negotiation of a different number. As stated in my earlier memo, I believe that the Coalition may legally reduce the number of hours since Florida law does not provide otherwise and I could not find any documentation that the Coalition Board approved payment of more than the amount provided by the Rules. While I feel confident that the Coalition has a legally viable position, I cannot assure the Board that it would prevail in the event of litigation.



## Position Description

**TITLE:** Executive Director (Exempt)

**POSITION:**

The Executive Director for the Early Learning Coalition of Hillsborough County (ELCHC) is responsible for overall leadership and operational management of the ELCHC. Reporting directly to the Board of Directors of the Coalition, the Executive Director has overall responsibility for making recommendations to the Coalition Board regarding funding for subsidized child care and voluntary pre-kindergarten in the county of Hillsborough and how funds should be most effectively distributed to meet the child care and early learning needs of children. The Executive Director is responsible for establishing systems for evaluation of provider programs, for evaluating provider programs, and for ensuring continuous quality improvement in child care services in the county represented by the ELCHC.

**STATUS:**

Full time position in Hillsborough County.

**SUPERVISION EXERCISED:**

Reports directly to the ELCHC Board.

**GENERAL STATEMENT OF DUTIES:**

Oversees all operations functions of the ELCHC.

**PRINCIPAL DUTIES AND RESPONSIBILITIES:**

**(Responsibilities include but are not limited to the following)**

**Organizational Leadership**

- Develop, coordinate, and facilitate implementation of a comprehensive strategic plan.
- Develop and implement an action plan directly related to the goals of the ELCHC strategic plan to be presented and approved by the Board annually in conjunction with the annual budget process.
- Make recommendations and presentations to the ELCHC regarding funding, monitoring, quality improvement, and all other ELCHC business.
- Analyze a comprehensive body of social, economic, legal, and environmental information related to the School Readiness and Voluntary Pre-K legislation and mandates in order to direct the ELCHC in the most effective way.
- Develop and implement administrative policies, procedures, and guidelines to ensure operational efficiency and effective administration of appointed personnel.
- Coordinate with all strategic collaborators in the ELCHC and serves as liaison with partners in early education and care at the local, state, and national level.

- Establish a system to handle the evaluation and monitoring of funded programs with quarterly fiscal reports to the Board.
- Identify and pursue additional funding sources.
- Develop proposals to public and private funding sources.
- Oversee all Quality Improvement processes for the Coalition.
- Ensure compliance with Federal, State, and Local laws and regulations, including OEL policies and procedures, grant requirements, security regulations, emergency procedures, personnel laws and regulations, audit and financial management, labor relations, budgeting, and legislative affairs.

### **Developmental Leadership**

- Educate, train, and communicate with the ELCHC Board, staff, providers, and partners.
- Identify key coalition members as mandated by law or recommended by community input and coordinates the development of the local coalition.
- Work with providers to ensure high quality delivery of child care, voluntary pre-kindergarten, quality enhancement, and other services to all children in the four counties represented by the ELCHC.
- Handle public information and communication for the ELCHC Board of Directors.

### **EDUCATION/EXPERIENCE:**

#### **Essential Qualifications**

- Minimum of a bachelor's degree (in business, finance, public administration, organizational management, social services, educational administration or a related field).
- 10 years of experience, with at least 5 years at an executive level, leading a business enterprise that operates several branches or area offices, **or** a non-profit public service agency, **or** a comprehensive early childhood services program.
- Documented experience in finance – developing, implementing, monitoring and preparing complex budget reports for funds from state and federal sources (responsible for, at a minimum, \$10-million).
- Proven experience as a consensus builder, skilled in collaboration and negotiation.
- Able to articulate and sell the story of the ELCHC.
- Public relations and marketing skills.
- Networking skills: Ability to network statewide with other ELC's, other county agencies, legislative bodies, and state offices.

#### **Desirable Qualifications**

- Master's degree (in business, finance, public administration, organizational management, social services, educational administration or a related field).
- Experience managing OEL program.
- Positive experience in working with and providing support for local and regional boards, committees, and/or coalitions.
- Proven communication skills, both written and oral.
- Program development experience.
- Experience and background in child care eligibility and an understanding of the issues pertaining to early childhood education.

**SALARY RANGE**

Determined by ELCHC Board.

**PERFORMANCE REQUIREMENTS: (Knowledge, Skills, and Abilities)**

- Ability to establish and maintain effective working relationships with the general public, co-workers, and members of diverse cultural and linguistic backgrounds regardless of race, religion, age, gender or disability.
- Knowledge of Microsoft Word, Excel and general accounting programs.
- Must have a valid Florida Driver's License, documentation of current/active automobile insurance, and reliable transportation.
- Must meet ELCHC employment requirements including clearance of background screening.

**PERSONAL QUALITIES:**

- Willingness to carry out the mission of the ELCHC.
- Able to work as a team member and leader.
- Able to work with a diverse group of people.
- Possess a conviction about the capacity of people to grow and change.
- Ability to forge mutually respectful partnerships with persons served.
- Professional appearance and behavior.
- Able to prioritize and meet deadlines.
- Able to research and analyze.
- Able to maintain confidentiality.
- Positive attitude.
- Adhere to drug free workplace policy.

**LANGUAGE SKILLS:**

Ability to read, analyze, and interpret periodicals, professional journals, or governmental regulations; write reports, business correspondence, effectively present information and respond to questions from groups of managers, clients and the general public.

**TYPICAL PHYSICAL DEMANDS:**

Requires individual to perform a broad range of activities. While performing the duties of this job, the employee is regularly required to sit, talk, and hear. Requires corrected vision, speech and hearing to normal range, or special accommodations made of sufficient nature for completion of assigned tasks. Requires seated work at a desk, including use of a computer. Requires frequent automobile travel.

Requires working in both indoor and outdoor settings. Occasionally requires working under stressful conditions or working irregular hours.

**TYPICAL WORKING CONDITIONS:**

Primarily office atmosphere.

I hereby acknowledge I have read, understand and accept the above position description as a condition of my employment.

---

Employee Signature

---

Date

---

ELCHC Board Chair

---

Date

---

# CEO Succession Planning

Presentation by: David Larcker, Professor, Stanford University Graduate School of Business and Director of the Rock Center for Corporate Governance

Stephen Miles, Vice Chairman, Heidrick & Struggles

---



---

# CEO Succession Planning

*A Dose of Reality...*

---

# Overview

---

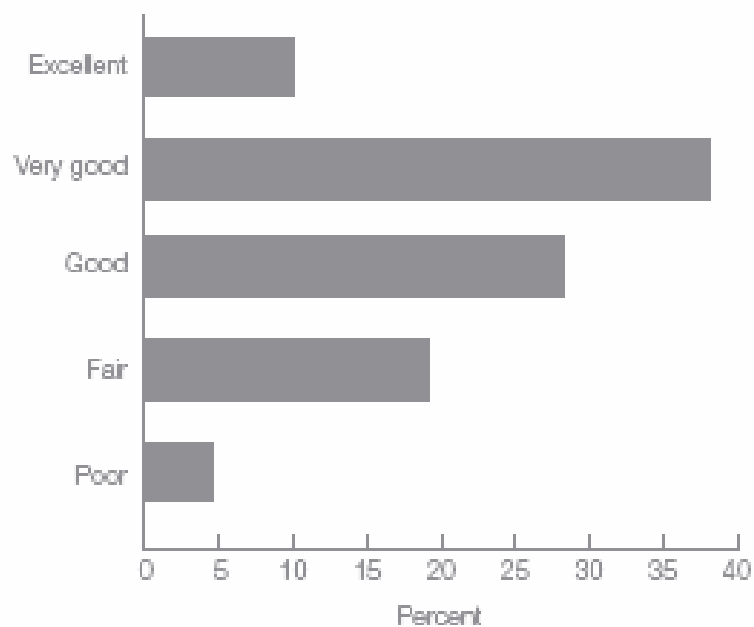
- ▶ Risk management has become an especially critical (perhaps new) focus for firms
- ▶ Succession planning and internal talent development is a fundamental component of risk management
- ▶ Investors, rating agencies and governmental entities are starting to request (proprietary) information about succession planning
- ▶ Succession planning and internal talent development translates directly into future shareholder/stakeholder value



# Assessment of Succession Planning

43. How would you rate the overall succession planning at your company?

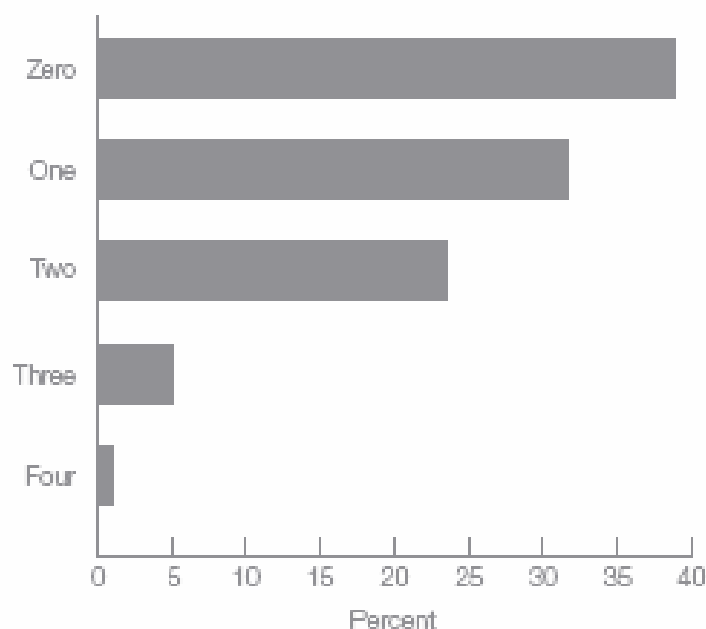
Descriptive	%
Excellent	10.0
Very good	38.2
Good	28.2
Fair	19.1
Poor	4.5
<b>Total</b>	<b>100.0</b>



# Internal Talent Pool for CEO

(IF YES) How many candidates from the internal talent pool are "ready now" to immediately assume the CEO position (you could name them tomorrow if required)?

# Candidates	%
0	38.8
1	31.6
2	23.5
3	5.1
4	1.0
<b>Total</b>	<b>100.0</b>



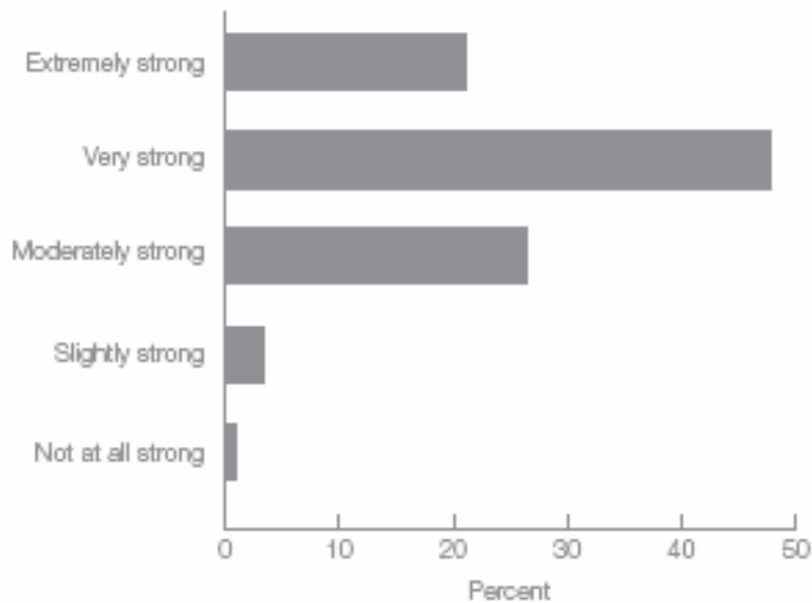
(IF YES) If you had to choose a CEO successor within the next 12 months, how viable are internal candidates for the CEO position? (A viable CEO candidate is an individual the board could confidently promote).

Descriptive	%
Extremely viable	14.4
Very viable	22.5
Moderately viable	30.6
Slightly viable	22.5
Not at all viable	10.0
<b>Total</b>	<b>100.0</b>

# Internal Talent Pool for C-Level Executives

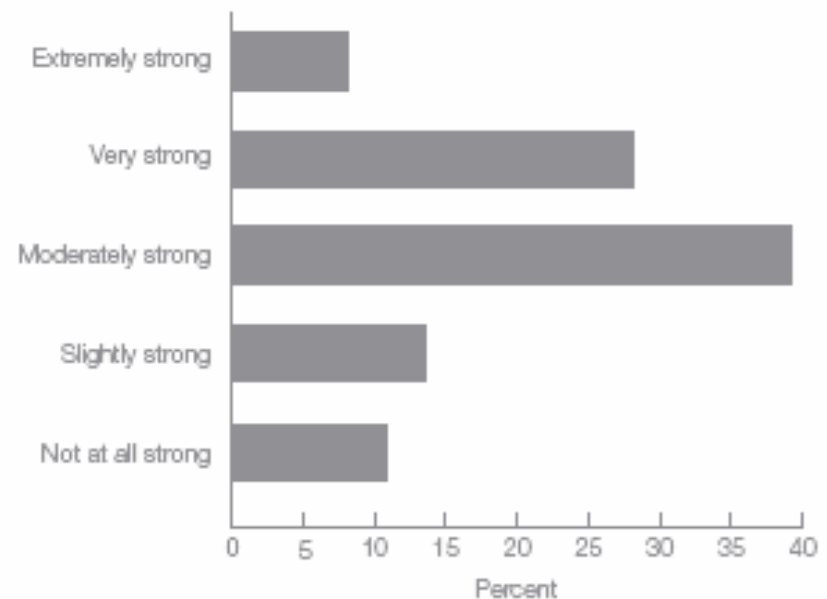
**32. How strong is your understanding of the strengths and capabilities of your present C-level executives?**

Descriptive	%
Extremely strong	21.2
Very strong	47.8
Moderately strong	26.5
Slightly strong	3.5
Not at all strong	1.0
<b>Total</b>	<b>100.0</b>



**34. How strong is your understanding of the strengths and capabilities of the executives one or two levels below the C-level?**

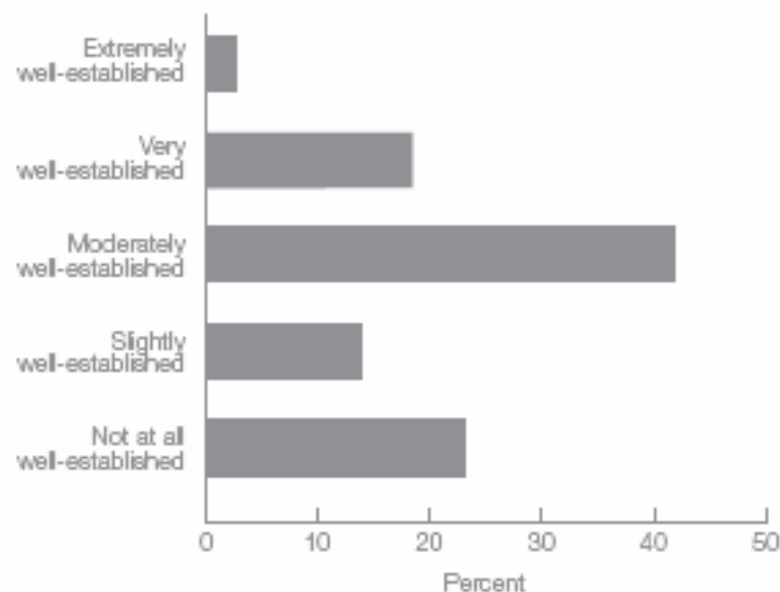
Descriptive	%
Extremely strong	8.2
Very strong	28.2
Moderately strong	39.1
Slightly strong	13.6
Not at all strong	10.9
<b>Total</b>	<b>100.0</b>



# Benchmarking the Internal Talent Pool

**33. How established is your company's external benchmark of the CEO successor candidates (i.e., assess the talent of internal candidates relative to the talent in the external marketplace)?**

Descriptive	%
Extremely well-established	2.8
Very well-established	18.5
Moderately well-established	41.7
Slightly well-established	13.9
Not at all well-established	23.1



# What Should the Next CEO Look Like?

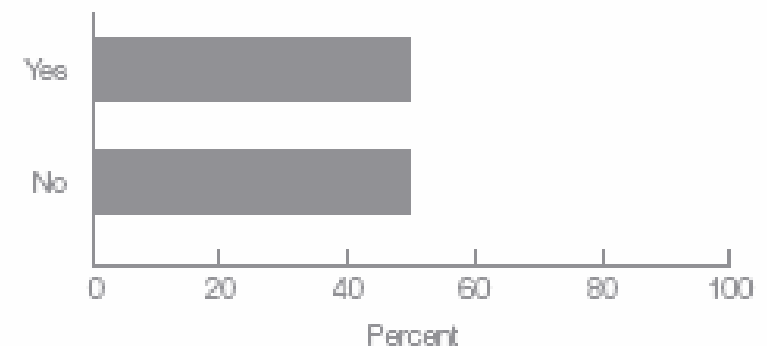
Find another just like  
the one we have?

OR

Find someone that is  
completely different  
from what we have!

26. Does your company have a written document that outlines the skills, competencies and experiences required for the next CEO?

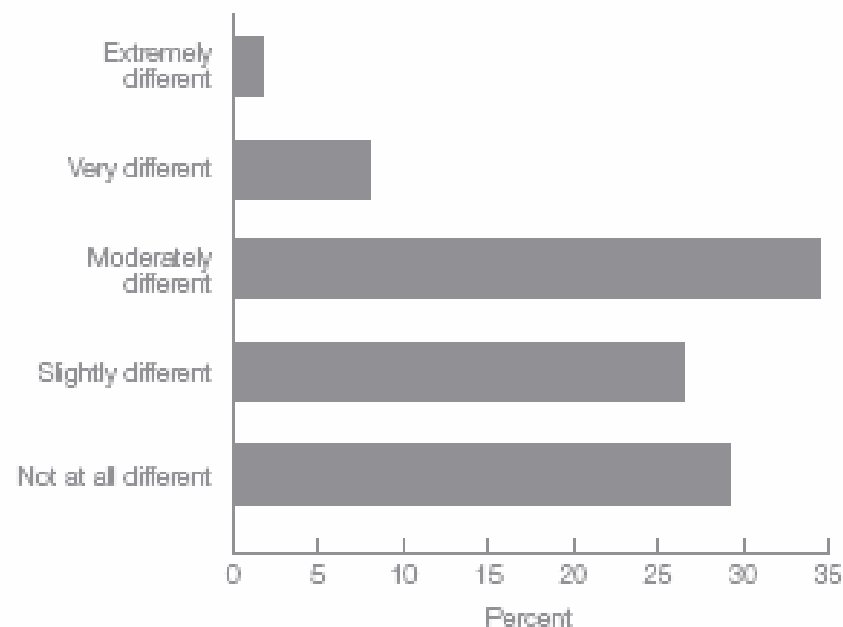
Response	%
Yes	50.0
No	50.0
<b>Total</b>	<b>100.0</b>



# What Should the Next CEO Look Like?

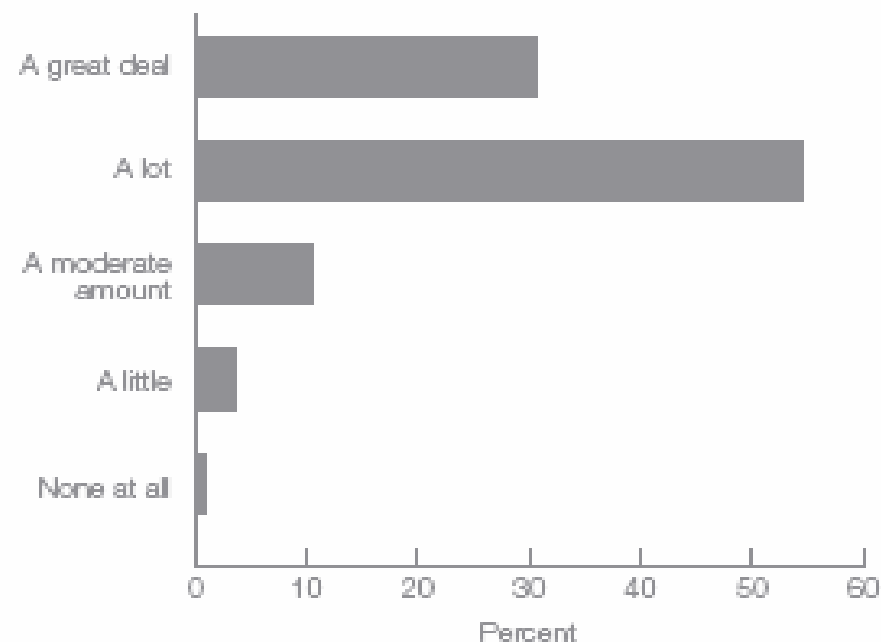
**27. How different is the skills and experiences profile for the next CEO from the skills and experience profile for the present CEO?**

Descriptive	%
Extremely different	1.8
Very different	8.0
Moderately different	34.5
Slightly different	26.5
Not at all different	29.2
<b>Total</b>	<b>100.0</b>



**29. How much does the skills and experience profile for the next CEO take into consideration the future needs of the company?**

Descriptive	%
A great deal	30.7
A lot	54.4
A moderate amount	10.5
A little	3.5
None at all	0.9
<b>Total</b>	<b>100.0</b>



---

# **CEO Succession Planning**

## ***Compliance-Based versus Operational***

---

# Dangerous Myths Surrounding Succession Planning



- ▶ **External candidates are more exciting and promising**
  - Boards prefer the devil they don't know to the devil they do
  - Internal successors are often lower risk than outsiders
- ▶ **The successor has to be ready now**
  - The only way to know if someone is "ready now" is after the fact
  - The board must evaluate the context of the leadership situation
- ▶ **CEO succession planning is a single-person event**
  - Boards focus on the CEO role in succession planning to the exclusion of other positions
- ▶ **What worked in the past will work in the future**
  - What a company needs in the future may be drastically different from what was needed in the past
    - *Examples:* Jamie Dimon and Bill Harrison at JPMorgan Chase; Marius Kloppers and Charles Goodyear at BHP Billiton
- ▶ **"We have a great internal candidate – we don't need to look outside"**
  - A company cannot be myopically focused on its own people



# What is Compliance-Based Succession Planning?

## “Names in a Box”

- ▶ The most rudimentary form of succession planning that meets the minimum criteria and creates a false sense of security (that ultimately leaves companies unprepared to deliver viable candidates when the company requires them)
- ▶ If you had to name someone immediately (not just on an interim or emergency basis), could you?

## Examples

YAHOO!



Bank of America



Merrill Lynch

citigroup 

# Core Components of Operational Succession Planning



# Steps in an Operational Succession Plan

---

- ▶ **Add succession expertise to the board**
  - Make sure that the director chosen to chair the nominating and governance committee has previous succession experience (either as a candidate or someone who has run the process)
- ▶ **Think of succession planning as a multi-person event**
  - Remember that the executives that are not promoted to CEO are also crucial to success and the creation of shareholder value
- ▶ **Develop a robust succession architecture**
  - Must encompass everything from an emergency plan through a more gradual, 5-years out succession; revisit this architecture regularly
- ▶ **Develop a Skills & Experience Profile**
  - Must take into account the future needs of the company and be continually revisited
- ▶ **Engage the board in the development of candidates**
  - Use external advisors to assess and benchmark candidates, as well as provide ongoing coaching and support, providing updates to the board in the process to establish “viability”
- ▶ **Identify “blockers”**
  - Prepare to move people off of the senior team to further develop potential successors
- ▶ **Expose candidates to the board**
  - Fireside chats, attending executive’s offsite session, one-on-ones, etc.
- ▶ **Engage in a confidential external search**
  - Ensure that the board can compare internal candidates against the best-in-class talent in the marketplace
- ▶ **On-board the successor and provide senior team with ongoing support**
  - Prepare for what happens *after* the successor is named by providing crucial support (a good team, wise and accessible mentors, executive coaching and a feedback-rich environment)

---

# The Succession Planning Process and its Constituents

---

# Roles of Each Constituent in the Process

**Ensuring a smooth succession is the most critical responsibility for the Board of Directors and the CEO. Best practice succession planning gives the Board, management team, employees and shareholders confidence in the long-term future of the Company by reducing succession risk.**



# What Can Go Wrong (or Right)?

## Outgoing CEO Behaviors

The Aggressor	The Passive Aggressive	The Capitulator	The Hopeful Savior	The Active Advisor	The Power Blocker
					
<ul style="list-style-type: none"> <li>▶ Where the sitting CEO 'plays nice' for most of the process then steps in at a key decision moment and tries to steer the process to their handpicked candidate, undermining the other candidates in the process</li> <li>▶ They will often take an aggressive, position-based approach with the board, trying to force and outcome to the candidate they favor</li> </ul>	<ul style="list-style-type: none"> <li>▶ Where the sitting CEO subtly undermines candidates (in the way they position them in front of the board, their description of how they are doing in their business, etc.)</li> <li>▶ Can come across as advising the board on the candidates, yet once it is revealed it erodes trust between the sitting CEO and their Board, which can have even broader consequences</li> </ul>	<ul style="list-style-type: none"> <li>▶ Where the sitting CEO has advised and partnered well with their board, helping lead what could easily be seen as a best practice process but when it is very close to making the decision on a candidate, they capitulate and decide that they actually are enjoying their role and want to stay on for another few years</li> </ul>	<ul style="list-style-type: none"> <li>▶ These sitting CEOs do not want to leave the job and actively promote successors in their likeness (when the company often needs something very different to take it to the next place), or they promote someone less capable, secretly hoping they will fail so they can be swept back in to "save" the company</li> </ul>	<ul style="list-style-type: none"> <li>▶ These sitting CEOs are ready to leave the company and realize that it is time. They provide great input on the selection process, but do not overstep in their role. They provide thoughtful input when asked, but do not impose their "will" on the board. They serve more as an advisor, with full acceptance that the board will make the final decision</li> </ul>	<ul style="list-style-type: none"> <li>▶ These sitting CEOs cannot separate themselves from the firm. They define themselves in terms of their position and their career, and have no idea what they will do after leaving the job. As such, they will tend to block the process, throwing up obstacles (some subtle, some not-so-subtle) to slow things down, or even derail the process</li> </ul>





# Nonprofit Executive Succession-Planning Toolkit

FEDERAL RESERVE BANK *of* KANSAS CITY  
DENVER • OKLAHOMA CITY • OMAHA



## Foreword



The Federal Reserve Bank of Kansas City has a broad range of responsibilities. As a regional headquarters of the central bank of the United States, it participates in setting national monetary policy, supervises and regulates financial institutions, maintains stability of the payment system, and provides financial services to banks and other depository institutions.

To succeed in each of these mission areas, the Federal Reserve relies on numerous resources, ranging from the most current economic and banking data to the analysis and expertise of its staff. One of the Federal Reserve's most important resources is its Community Development function, created in the 1980s following Congress' approval of the Community Reinvestment Act.

Community Development professionals take policymakers to the front lines of community issues through a range of initiatives, including forums, conferences, directed research and advisory councils. These initiatives position the central bank to respond effectively to emerging economic developments, long term needs and new challenges confronting rural and urban low- and moderate-income (LMI) communities.

The Kansas City Fed understands the vital role nonprofit organizations play in providing services and resources that strengthen the well being and economic stability of LMI families and communities. In 2009, the Kansas City Fed, which serves a seven-state region including Colorado, Kansas, western Missouri, Nebraska, northern New Mexico, Oklahoma and Wyoming, conducted a districtwide assessment of nonprofit organizations. Findings revealed common concerns among 89 organizations that serve District constituents, which include the ability to:

- nurture strong and sustainable executive leadership;
- create long-term viability to serve clients;
- build and maintain committed boards; and,
- increase staff knowledge.

Organizations also commented that high costs and travel requirements are the primary barriers to accessing capacity training for leadership and staff. In response, the Kansas City Fed partnered with a nonprofit organizational development expert to develop this inclusive executive succession-planning toolkit with strategies, guidelines and templates that can be modified and applied by users.

A strong nonprofit leader is critical to the success of organizations, its ability to continue providing uninterrupted services to the community, and for long term sustainability. Yet the assessment revealed that 68 percent of organizations lack a succession plan to get them through a leadership transition.

Nonprofit organizations are encouraged to adopt this toolkit and use it as a guide for completing the executive succession planning process. An organization that is prepared for the departure of an executive is better positioned for future success and its ability to provide ongoing services to LMI families and communities.



# Table of Contents

2	Foreword	_____
4	Toolkit Introduction	_____
5	Executive Succession Planning Defined	_____
6	Succession Planning Roles	_____
7	Succession Planning Readiness Questions	_____
8	Case Study: Why Succession Planning?	_____
9	Emergency Succession Planning	_____
10	Steps to Address Emergency Succession With No Formal Plan	_____
11	Departure-Defined Succession Planning	_____
12	Strategic Leader Development Planning	_____
15	Barriers to Successful Succession Planning and Implementation	_____
17	Before You Start Succession Planning	_____
18	Next Steps	_____
19	List of Additional Resources	_____
20	About the Author/About the Federal Reserve Bank of Kansas City	_____
21	Succession Planning Templates	_____
22	Emergency Succession Planning Timeline	_____
23	Emergency Succession Planning Template	_____
28	Departure-Defined Succession Planning Timeline	_____
29	Departure-Defined Succession Planning Template	_____
35	Executive Self Reflection Questions	_____
36	Executive Sample Job Description	_____
38	Important Competencies	_____
40	Board Membership Matrix	_____

## Toolkit Introduction



Executive succession planning is a critical step for nonprofit organizations. The statistics related to executive departures are startling, with an estimated 65 to 70 percent planning to retire in the next five years.

This toolkit is a resource for nonprofit board of directors and executive leaders. It provides tools to effectively implement succession planning and overcome barriers.

This resource is intended for organizations who have no plan in place as well as those that wish to update their current succession plans. The tools may be applied differently between organizations based on the board and executive's expertise, talent, resources and strategic plans.

The toolkit includes an outline of key planning roles, readiness questions, overview of the succession-planning process, and templates for succession plans and complementary documents that organizations may tailor to fit their specific needs. The toolkit contains numerous links that easily direct users to related and pertinent templates and sections.

*A national study conducted in 2006 by CompassPoint and the Meyer Foundation identified that between 60 and 75 percent of nonprofit executive directors plan to leave their positions in the next five years. Furthermore, 10 to 15 percent of nonprofits hire a new executive every year.*

The departure of an executive leader almost always has an effect on the organization. However, organizations that have not planned for a departure often face additional difficulties and challenges to their sustainability that could be averted if the board had undertaken succession planning prior to the departure. Boards, executives and staff play a key role in succession planning and should schedule time to discuss and plan for executive leader departures.

# Executive Succession Planning Defined



Executive succession planning is a structured process to ensure leadership continuity in key positions and to retain and develop knowledge capital and relationships for the future. The process ranges *from*-identify and develop specific candidates to fill the executive position, *to*-develop a talent pool with capacity to be effective leaders in any number of key positions in an organization, including board and staff.

Succession planning can take on different forms and be completed for various situations. Three scenarios, in particular, are recommended for all organizations, and are defined in this toolkit:

- *Emergency Succession Planning* – A process that is in place in the event the executive suddenly departs – either permanently or for an extended period of time (i.e., longer than three months).
- *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.

---

## Chief Executive Succession Planning....

*Is not only about determining your organization's next leader, it is a continuous process that assesses organizational needs, and creates a climate for an executive to succeed. An effective succession plan is linked to the organization's strategic plan, mission and vision...*

— NANCY R. AXELROD, CHIEF EXECUTIVE SUCCESSION PLANNING: THE BOARD'S ROLE IN SECURING YOUR ORGANIZATION'S FUTURE

---

Effective succession planning increases the likelihood that a non-profit will have the strong leadership required to increase an organization's service capacity, program effectiveness, and long-term stability and sustainability.

# Succession Planning Roles

An effective succession-planning process requires collaboration between board members, the incumbent executive and key staff members. The planning should be completed and a plan adopted in advance of any departures. This will help create a strong foundation and conditions for a successful executive leadership transition. Furthermore, success depends on defined responsibilities among board, the executive and staff. Properly outlining responsibilities and communicating them prior to the planning process will help alleviate concerns among those involved.

## *Board Members*

- 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. Select, support and evaluate the executive on a regular basis.
- Leverage board contacts and expertise, especially during periods of leadership transition.
- Play a lead role in working with the executive to develop and approve succession plans for various scenarios.
- Appoint a board committee to address transitional issues in the unexpected departure of the executive.

## *Executive*

- Provide a process for regularly reviewing and stretching the board's effectiveness.
- Ensure legacy and succession occur. Draft an emergency succession plan and submit to the board for approval.
- Implement process to develop key staff members and promote a culture that encourages professional development.
- Work with the board chair to schedule board meetings dedicated to the succession-planning process.
- Evaluate their role in the organization, promote and encourage the executive succession-planning process.
- Implement, upon board approval, and communicate the succession plan with affected staff.

## *Key Staff*

- Support successful transition of new executive and provide program and organizational information as requested.
- Continue to provide services to clients in absence of executive and during transition.
- Ensure they are aware of the defined internal and external communication plan so they can address public inquiries.

## Succession-Planning Readiness Questions



A nonprofit organization's board of directors is responsible for overseeing the transition of an executive leader and ensuring that the organization is well positioned to successfully continue its operations during a change in leadership. Poorly managed executive transitions can reduce organizational sustainability and program effectiveness. In worst case situations, poor transitions also can put an organization out of business. The following questions should act as the first step in measuring your organization's readiness for succession planning.

1. Is your organization in a position to implement a succession plan that was previously adopted and approved?
2. If your executive is suddenly unable to serve, or retires, have you identified candidates for the job?
  - If the answer is yes, is that talent prepared? Do they have the required leadership style, financial knowledge, contacts and necessary experience to take charge of the organization and continue to provide clients and funders with uninterrupted services?
3. Would your organization be able to sustain a decline in income or fundraising activities without the executive? Is the executive the primary fundraiser? Do board and staff work with the executive to maintain relationships with funders?
4. Do funders trust that the organization can succeed without the current executive?
5. Does the board have the right mix of talent to effectively hire a new executive for your organization? How committed and supportive is the board to the success of the executive?
6. Will the organization lose institutional knowledge and contacts if your executive were to suddenly leave?
7. Is the executive's current level of responsibility realistic, or has the executive, in good faith, taken on too much responsibility at the expense of staff development? What skills need to be replicated in the new executive versus those that could be developed among staff or board members?
8. Does your current executive understand and possess skills and expertise necessary to lead your organization in today's resource constrained-world?
9. Are there other positions besides the executive that would leave the organization vulnerable should they depart? If so, what plans are in place to address their departure?

## Case Study: Why Succession Planning?

There are many examples of organizations that experienced a departure and unsuccessful transition of an executive leader. To further aid organizations in understanding the importance of succession planning and preparing them to undertake the process, the following case study should be reviewed and discussed by the current executive, board of directors and key staff.

### *Case Study*

Two days before the call, I had assumed the role of board president of a highly successful nonprofit organization. As a board member for four years, I felt the agency was positioned well for a successful year. The nonprofit had numerous strengths that positioned it for continued success, including: A senior executive with more than 20 years experience who had a great reputation in the community; highly satisfied clients; experienced and high-performing staff; diverse board membership with experience; a solid financial position with dedicated funders; and, a recently approved three-year strategic plan. The organization's strategic plan called for the immediate launching of an approved capital campaign for a new facility to expand their services.

The call I received was from the senior executive submitting her resignation. She had accepted an offer with another organization. She felt confident that she was leaving the agency in a good position and that it could continue operations without any problems. I was very disappointed to see her leave but wished her the best.

I called a board meeting to make the announcement and discuss our next steps. What I anticipated being a relatively simple process turned out to be anything but simple.

The organization recently had updated and approved various human resources policies and procedures, but an executive

succession plan had not been drafted or approved. The lack of preparation generated many questions that the board and I had to consider:

1. Do we fill the senior executive position from the outside or promote from within—i.e., the “unofficial successor” who has worked alongside the executive during the past several years?
2. What are we really looking for in a new executive? Should we consider new requirements from those possessed by the departing leader?
3. How do we address concerns by the current leadership staff who may be nervous about a new executive joining the organization?
4. How long should we plan for the process to take?
5. What do we do in the interim? Do we need an acting executive? If so, what does that look like in terms of compensation, authority and decision-making responsibilities?
6. Who will serve as the organization's main contact?
7. What action do we need to take to ensure that current funders do not get nervous about the executive's departure?

These and many more questions had to be answered and agreed upon while still ensuring the organization continued its day-to-day operations. Over the next several months, there were many long discussions, meetings and conversations with the staff and phone calls/personal visits with funders as I and the succession planning committee worked to manage the emotion and differing agendas of key stakeholders.

Eventually a new executive was successfully appointed. However, this experience taught me that an organization should not have to spend this amount of time and effort in replacing their executive. It is preferable for boards and staff to spend time developing and approving an executive succession plan that they can implement should a departure occur.



# Emergency Succession Planning



Emergency succession planning is a process that is implemented in the event the executive suddenly departs—either permanently or for an extended period of time (i.e., longer than three months). It is a good idea to also have emergency succession plans in place for other senior and staff within the organization.

In many organizations the executive, with input from key board and staff members, drafts the emergency succession plan and presents it to the board for discussion and approval. Completing the plan prior to an emergency departure reduces the emotional component involved in the transition and promotes candid input from the executive and board.

The emergency succession-planning process provides organizations and executives with a unique opportunity to examine the current leadership structure and job responsibilities. Many organizations do not complete evaluations on a regular basis so they are often not fully informed of all key responsibilities placed on the executive and other senior staff. By evaluating current job duties and reporting structures, the executive and board can better plan and prepare an emergency succession plan.

It is also a good opportunity to outline and examine the organization's communication plan with funders and stakeholders. Ensuring that relationships are cultivated by key staff and board members and not solely the responsibility of the executive can help create a smoother transition and uninterrupted services in the event of an unexpected departure.

An outside succession-planning consultant is sometimes used to facilitate the planning process and meetings necessary to complete this plan and to ensure appropriate customization. A primary objective is for the board and executive to collaborate and approve this plan prior to an emergency leadership situation occurring. The *Emergency Succession Plan* template provides a step-by-step planning guide for executives and boards to complete the process. Modifications should be made to reflect the organization's unique situation, size, structure and current resources.

## Steps to Address Emergency Succession with No Formal Plan



Should the organization unexpectedly (with no plan in place) be faced with the need to immediately replace the senior executive, the following steps are recommended:

1. The board's executive committee convenes to address the following and make a recommendation to the board:
  - a. *Identify the key spokesperson* for the organization until the new executive is hired.
  - b. *Draft communication plan*, refer to step three of the *Emergency Succession Plan*.
  - c. *Agree on process to hire new executive*. Decide whether or not to conduct an outside search or promote from within without considering external candidates. The recommendation should be to conduct an outside search, unless an internal successor has been identified and previously approved by the board. An external search or previous identification of an internal successor demonstrates the board's commitment to find a qualified replacement and facilitates a smooth transition for the new executive. Expectations of potential internal successors and candidates should be managed in order to avoid turnover during the hiring process.
  - d. *Identify interim executive and recommend additional temporary compensation*. In a small organization this could be a board member or qualified volunteer.
  - e. *Define the interim executive's responsibilities, authority and decision making limitations*. Also define any additional functions that should be handled by a second manager (e.g., director of clinical programs could also be the contact for healthcare funders.)
- f. *Identify board support and supervision of the interim executive*. Determine who will be the primary contact for support and supervision. Schedule regular meetings to discuss organizational issues. The board chair is often the primary point of contact for the executive.
- g. *Identify executive search task force committee* to facilitate the hiring process and present final candidate(s) to the board for approval. In smaller organizations this may be the executive committee along with one or two select staff members.
2. Executive search task force committee facilitates the recruiting and hiring process by completing the following steps:
  - a. *Update the executive job description* to ensure the right person is identified to lead the organization into the future. Refer to *step one of the Emergency Succession Plan*.
  - b. *Outline and implement process to recruit and select new executive*. This will include identifying candidate sources, selection criteria, interview steps and team, reference/background checks, compensation range, hiring package, communication of new executive and transition plan. Agencies should leverage board and volunteer expertise when possible.



## Departure–Defined Succession Planning

Departure-defined succession planning is a process that is in place for a future planned retirement or permanent exit of the executive. Planning under these circumstances allows an organization to position itself for sustainability and continued success upon the executive's departure and includes input from the current executive. However, this can also be a difficult situation when retiring executives, particularly founders, find they are not ready to turn over the reins to their successor and continue to influence decisions after they depart.

2. How committed and supportive is the board to a new successor? Is the board open to new ideas from the successor and are they willing to explore new alternatives?
3. Has the departing executive fully addressed personal and professional barriers in a manner that allows them to embrace the departure and fully support the transition?
4. Has the successor been prepared to assume the executive role or has the successor been more of an administrative support for the outgoing executive? Has the successor developed credibility and trust with key stakeholders, including funders and staff?

---

*“The departing executive’s final two leadership tasks are ‘leadership of letting go’ and ‘leadership of preparing the way.’”*

— EMILY REDINGTON AND DONN VICKERS, FOLLOWING THE LEADER: A GUIDE FOR PLANNING FOUNDING DIRECTOR TRANSITIONS

---

The departing executive's willingness to support the succession-planning process and their ability to deal with personal issues will impact the success of the transition by making it extremely painful and messy or smooth and successful. The transition can be more challenging when an organization founder is planning to depart.

There are numerous key challenges that differentiate the departure-defined succession-planning process from the emergency and strategic leadership succession-planning process. In order to prepare for a successful departure-defined succession-planning process the following questions should be considered:

1. Is the organization ready for a change in leadership style, if required, to ensure sustainability, capacity effectiveness and achievement of the strategic plan?

The success of a transition may be unintentionally sabotaged if the answer to any of these questions is no. In a high percentage of founder transitions the succeeding executive does not last longer than one year. In some instances, agencies plan for this challenging period by hiring an interim executive for a short period of time until the organization can move beyond the current culture and way of thinking and is ready to embrace a new executive.

The *Departure-Defined Succession Plan* template provides a step-by-step planning guide to be used by board and the current executive in the planning process. Modifications should be made to reflect the organization's unique situation, size, structure and resources.

## Strategic Leader Development Planning



The strategic leader development succession management process is a proactive approach to ensure ongoing leadership talent is available, in key roles, at various levels, when needed to drive organizational sustainability. It creates a culture that promotes ongoing leadership development for talent within the agency.

Another way to look at this is creating a “capacity-building plan” to be ready should a vacancy occur. Developed internal talent helps ensure continuous execution of necessary operational, programmatic and administrative responsibilities that promote sustainability. This also helps create a positive culture of development, which is a proven tool in retaining and attracting talent. This is particularly important for organizations with large staffs. The following elements should be in place to optimize the strategic leadership development process:

The leadership talent development requirements should be reviewed and updated when there is a major strategic directional shift and minimally during the strategic planning process. Refer to the *Emergency Succession Plan* template for examples of how to translate the strategic plan into leadership requirements.

2. *The board conducts an annual executive performance evaluation including, rating performance against strategic objectives.*

Boards play a critical role in nurturing strong and sustainable leadership along with oversight of the executive. A responsibility of the board is to implement and conduct a performance feedback and evaluation process. This should be completed on a regular basis regardless of the executive’s high performance. A structured process creates opportunities to address any performance issues in a timely manner and not only when there are concerns.

---

*“The old adage ‘People are your most important asset’ is wrong.*

*People are not your most important asset. The right people are.  
Good to great depends on having the right people on the right bus at the right time.”*

—JIM COLLINS, GOOD TO GREAT

1. *Create and approve a three-year strategic plan that includes objectives for leadership talent development.* The strategic plan should include a definition of the leadership requirements necessary to lead and achieve organizational goals. These also can apply to board, key staff and fundraising leaders. An emerging critical leadership skill is the ability to keep the organization’s business model current and effective.

3. *The board conducts an annual self-assessment to measure performance of major governance responsibilities.* Committed boards play a key role in the success of the executive and the organization’s sustainability. The board should periodically assess its effectiveness and commitment to supporting the organization and leadership.

*Continued on next page*

# Strategic Leader Development Planning *Continued*

- a. The executive, working with the board chair, should ensure that a board self-assessment occurs.
  - b. The board should assess its ability to understand the organization's mission and purpose; provide sound financial oversight; ensure legal compliance with federal, state and local regulations; understand the organization's programs and methods to measure success; and, ability to provide feedback to the executive.
4. *The executive and senior management conduct annual evaluations of staff to ensure they are performing in their positions and have the necessary skills needed for success.* All staff should be provided periodic feedback and have formal development plans that promote professional and personal growth.
- a. The senior executive should identify direct reports and staff who have the potential to assume additional leadership responsibilities. The organization's limited development resources should be focused on key staff. These resources can include board member mentoring or job shadowing. One method is to link the development plans to strategic initiatives so that the organization can benefit from high-performance staff. This helps build an internal supply of leadership talent.
  - b. A fundamental development need for many staff is the understanding of how to measure program effectiveness, by focusing more on impact and outcomes versus the number of activities conducted and other outputs.
5. *Develop the organization senior management into a high-performing team.* The executive should promote the leadership team's ability to work together. If possible, the executive should conduct an effectiveness assessment and then work with the
- group to identify improvement strategies. The assessment should explore what is working well and how your peer group can work better to achieve objectives. Components of a high-performing team include:
- a. Clear goals understood by all.
  - b. Trusting and respectful working relationships.
  - c. Information is communicated across the organization.
  - d. Conflict is regarded as helpful and focused on problems not people.
  - e. Decision making is effective and promotes a climate that is conducive to involving people.
6. *Staff, board members and the executive cultivate relationships with external stakeholders.* It is important that there be more than a single relationship with external stakeholders. An organization is in a vulnerable position when critical external relationships are maintained by only the executive or business development manager. Identify external relationships and target internal staff to create contacts as a way to promote continuous exchange and trust in the event of a departure. In a very small organization the board or long-term volunteer(s) can be responsible for this.
7. *Create financial reserves to cover a minimum of six months' worth of operating capital.* All leadership talent needs to understand the funding sources and how they impact the financial stability of the organization. This should be a developmental objective for all leadership to ensure adequate funding knowledge and ability to maximize funding resources.

*Continued on next page*

## Strategic Leader Development Planning *Continued*

8. *Develop awareness of financial management systems that meet industry standards.* Conduct regular financial system audits to ensure the organization meets industry standards and use this as a developmental opportunity for staff. Knowledge of the financial management system should be a core competency of top leadership and high-performing staff who are being developed for future opportunities.
  
9. *Develop operational manuals for administrative systems and ensure they are accessible and current.* This step helps to minimize confusion during staff transitions. Key activities should be documented and a backup person identified to carry on duties in case of an emergency or unexpected departure. This is a common goal but often not completed due to time and limited resources; however, organizations should consider using a volunteer or borrowing from another organization that has completed the process. Examples of key manuals include records retention policy, information technology and computer usage policy, volunteer recruitment process, performance management process, recruiting process, code of conduct, whistle blower policy and fund raising process.

## Barriers *to* Successful Succession Planning *and* Implementation



Below are additional common barriers to, and recommendations for, successful implementation of a succession plan in a nonprofit organization.

- 1. Lack of time to dedicate to a planning process.* Recommendation: Schedule time to develop and approve a succession plan. The executive and/or executive committee should schedule two meetings specifically to draft a succession plan. Then the complete board should schedule one to two meetings to discuss and approve the succession plan.
- 2. The board understands neither the implications of not having a succession plan nor the potential of going out of business without a competent leader.* Recommendation: The board president and executive committee (or ideally the complete board) should read and discuss their answers to the case study in *Why Succession Planning?* The outcome of that discussion will most likely be to schedule time to develop and approve an emergency succession plan.
- 3. The executive may be apprehensive about starting a process in which they could be easily replaced.* Recommendation: Ensure that the executive receives ongoing performance feedback as well as defined development objectives (*refer to Strategic Leader Development step number two*). This increases their sense of feeling valued and secure. Include them in the discussion about *Why Succession Planning?*, to help them see the critical importance of developing at minimum an emergency succession plan.
- 4. Concern that identifying internal successors may alienate staff not selected who could become unhappy and leave.* Recommendation: Similar to the executive, make sure staff receive ongoing performance feedback and opportunities for development so they feel valued. Ensure that the required leadership specifications are clear (*refer to Strategic Leader Development step one*). If possible, link employee development plans to important requirements.
- 5. Weak-to-nonexistent development efforts.* Recommendation: Involve staff and board members in the implementation of the succession development plans. Ensure that the plans are linked to the achievement of strategic and operational objectives. This helps talent easily identify their contribution while focusing on development. For additional items to consider refer, to *Departure Defined Succession step number two* and *Strategic Leader Development steps four and six*.
- 6. Focusing on short-term talent rather than long-term. Placements fill current needs rather than positions that can positively impact the longer-term needs of the organization.* Recommendation: Identify current and future leadership positions and desired/required leadership competencies. Then identify any potential internal candidates who may be able to fill future gaps. Use the gap analysis information for development plans and hiring criteria. Refer to *Strategic Leader Development steps one, three, four and five* for additional information.

*Continued on next page*

## Barriers *to* Successful Succession Planning *and* Implementation *Continued*

7. *The succession plan is not customized to meet the organization's cultural norms.* It is not integrated into the rest of the organization's human resource and business processes (e.g., hiring, development, strategic planning, placement, etc.) Recommendation: Add the succession plan action steps into processes. Include the missing leadership competencies and updated job requirements; review promotional decisions as they relate to the succession plan; and update the performance management and budget processes with feedback and development plans. Ensure the board and staff development plans are integrated into the strategic-planning process.
  
8. *The succession plan is too rigid to meet changing needs.* Recommendation: Keep the plan as simple as possible for maximum flexibility. Verify that the plan is updated at each strategic planning session and, at minimum, review the succession plan every two years so it remains current. Refer to *Strategic Leader Development step one* for further suggestions.
  
9. *There is no follow-through on the plan, no one is accountable for implementation.* Recommendation: The board or executive committee should have a standing quarterly agenda item to review progress against succession plan action steps. The executive should be held accountable for implementation of action steps because this impacts the long-term sustainability of the organization.

## Before You Start Succession Planning



1. *Determine your objective.* Do you have an emergency succession plan in the event you should need one? Are you currently in an emergency situation-your executive is no longer in the senior leadership role? Is there an upcoming need for replacement of the executive? Is the organization's growth creating a need for internal staff to take on leadership roles? Based on the objective(s) you will determine which of the three succession-planning processes to begin with.
2. *Identify any succession-planning/development planning process that already exists in the organization.* Look at what is working well and what isn't. Keep what is working and build on that using this toolkit.
3. *It is recommended that the strategic-planning process include updating the executive's job description each time the plan is completed.* That will reduce time to update the job description and provide development direction for the current executive.
4. *For true commitment the plan should be reviewed and discussed with the entire board and key staff.* If the plan has been approved, then they can better support it publicly when it is implemented.
5. *Keep it simple where possible.*

## Next Steps

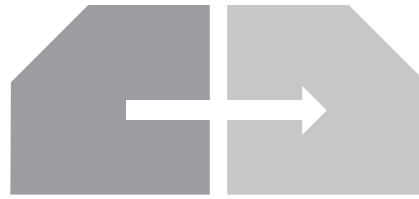
If you have a succession plan in place, it is hoped that this toolkit has given you additional actions to consider in assessing the effectiveness of your plan. The key items to incorporate in your planning process are clarity, linkage to strategic direction, executive skills and competencies needed, a process to replace the executive, and defined communication and transition plans. Review your current plan and make the appropriate modifications.

A critical variable in successful succession planning is whether or not there is commitment and support for executing the plan. Implementing an incomplete process with strong commitment is a better start than having a perfect plan but no one using it.

If you do not have a succession plan in place, the goal is that you take the appropriate action and set a goal to have one completed within the next three months.



## Additional Resources



Adams, Tom. "Founder Transitions: Creating Good Endings and New Beginnings." Baltimore, MD: Annie E. Casey Foundation, 2005. Subject File: 610.

Axelrod, Nancy R. *Chief Executive Succession Planning: The Board's Role in Securing Your Organization's Future*. Washington, D.C.: BoardSource, 2002. Call Number: 610 AXE CHI.

Bridges, William, *Managing Transitions: Making the most of Change*. Perseus Publishing, 1991.

*Capturing the Power of Leadership Change: Using Executive Transition Management to Strengthen Organizational Capacity*. Baltimore, MD: Annie E. Casey Foundation, 2004. Subject File: 602.

Furry, Deb. "Building Organizational Capacity." *Association Management*, vol. 56 (January 2004): p. 64-8. Subject File: 610.

Lakey, Berit M. *The Board Building Cycle: Nine Steps to Finding, Recruiting, and Engaging Nonprofit Board Members* (2nd ed.). Washington, DC: BoardSource, 2007. Call Number: 610 LAK BOA.

*Look Here! Attracting and Developing the Next Generation of Nonprofit Leaders*. Pittsburg, PA: Forbes Funds, 2004. Subject File: 633.

Williams, Ken. *Mentoring the Next Generation of Nonprofit Leaders: A Practical Guide for Managers*. Washington, D.C.: Academy for Educational Development, 2005. Subject File: 636.

Wolfred, Tim. *Interim Executive Directors: The Power in the Middle*. San Francisco, CA: Evelyn & Walter Haas, Jr. Fund, 2005. Subject File: 602.

Wolfred, Tim. "Building Leaderful Organizations: Succession Planning for Nonprofits." Baltimore, MD: Annie E. Casey Foundation, 2008. Vol 6.

## About the Author

Arlene Alvarez Quick has more than 20 years of experience in the field of talent management with extensive organizational and leadership development, and human resources experience in both for profit and nonprofit organizations. Her focus is on helping organizations achieve missions in changing environments, through increasing employee and organizational capacity and sustainability. Arlene has served on corporate and nonprofit boards and has been directly involved in assisting several nonprofits with their succession-planning efforts—in both emergency and departure-defined succession management situations. She was raised in South America and uses her international and cultural experience to successfully partner with management to respect and leverage differences in the workplace.

## About the Federal Reserve Bank of Kansas City

The Federal Reserve Bank of Kansas City, along with its Branch offices in Denver, Oklahoma City and Omaha, serves the Tenth Federal Reserve District, which covers all or parts of seven states: Colorado, Kansas, western Missouri, Nebraska, northern New Mexico, Oklahoma and Wyoming.

The Federal Reserve Bank of Kansas City's Community Development professionals are uniquely positioned to provide financial institutions, nonprofit organizations and others with information and technical assistance on issues related to community and economic development, and access to capital and credit for low- and moderate-income communities. To keep informed about LMI conditions, subscribe to the Kansas City Fed's *LMI Survey*.

To see a full listing of Community Development programs or to subscribe to the latest research, information and activities in the Tenth District, visit us at [www.KansasCityFed.org](http://www.KansasCityFed.org).

### *Senior Vice President and Public Information Officer:*

Diane M. Raley

### *Vice President, Public and Community Affairs:*

Krissy Young

### *Assistant Vice President and Community Affairs Officer:*

Tammy Edwards

### *Senior Economist:*

Kelly Edmiston

### *Community Development Advisors (by Region):*

Ariel Cisneros, Senior Advisor – Colorado,  
New Mexico and Wyoming

Dell Gines, Advisor – Nebraska

Erika Ramirez, Senior Advisor and Toolkit  
Co-Author – Kansas and Missouri

Paul Wenske, Senior Advisor – Kansas and Missouri

Steve Shepelwich, Senior Advisor - Oklahoma



FEDERAL RESERVE BANK of KANSAS CITY



## Succession- Planning Templates



## Emergency Succession- Planning Timeline



Organizations that face the prospect of implementing and completing an emergency succession plan or use succession-planning may feel overwhelmed and may not be clear about where to begin the process, particularly if they are facing an immediate need. The following timeline is recommended to help organizations prepare for the emergency succession-planning process. It should be used to complement and drive the completion of the emergency succession-planning template on the following page.

### *Week 1:*

1. Review and discuss the *succession planning readiness questions*.
2. Review and complete the *Case Study: Why Succession Planning?*
3. Current executive, board chair and selected staff meet to discuss succession-planning process and assign roles and responsibilities.

### *Week 2 – 6:*

1. Update job description and identify the top three to five strategic objectives that fall under the executive's core responsibilities.
2. Select interim executive and recommend additional temporary compensation.
3. Define the interim executive's responsibilities, authority and decision making limitations.
4. Identify required board support and supervision process of the interim executive.
5. Determine backup appointees.
6. Establish development plan for backup appointees.

### *Week 6 – 7:*

1. Identify the key spokesperson for the organization until the new executive is hired.
2. Define internal and external communication plan.

### *Week 8 – 9:*

1. Outline process to recruit and select permanent new executive.
2. Appoint executive search task force committee.
3. Develop transition plan for new executive.

### *Week 10 – 12:*

1. Current executive shares completed succession-planning template with board executive committee.
2. Board executive committee submits completed emergency succession-planning template to complete board for approval.

Note: The planning process can be expedited depending on the organization's immediate needs and meeting frequency.

# Emergency Succession- Planning Template



*Organization Name:*

---

*Purpose:*

The purpose of this emergency succession plan is to ensure continuous coverage of executive duties, critical to the ongoing operations and organization's sustainability, in the event of an emergency departure of the executive.

Ideally the senior executive's input along with board involvement will make this an effective plan to ensure continuity in external relationships and operational effectiveness.

This plan addresses issues related to both permanent (executive will not return) and temporary (executive will return after unplanned absence such as illness, etc.) replacement. Issues specific to temporary absence are denoted in the plan.

*Steps to Develop Emergency Succession Plan:*

1. Update job description to ensure executive responsibilities and hiring requirements promote the organization's sustainability. Matching organizational needs with leadership competencies desired in the next executive is one of the most important features of the executive search phase. This planning process provides a unique opportunity to update the executive requirements and responsibilities.

- a. Attach current executive position description. Position should be updated as needed, preferably during the organization's strategic planning sessions and should consider numerous questions. 05/02/16 Executive Director Review/ Recruitment Committee

- b. What are the top three to five objectives and/or challenges outlined in the strategic plan that fall under the executive's core responsibilities?

(1) \_\_\_\_\_

(2) \_\_\_\_\_

(3) \_\_\_\_\_

(4) \_\_\_\_\_

(5) \_\_\_\_\_

- c. Based on these objectives and/or challenges, is there an impact on the executive's job description?

- (1) Key competencies (e.g., skills—core leadership and management, strategic thinking, board oversight, staff management, agility skills, etc.)

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

d. \_\_\_\_\_

- (2) Expertise and experience (e.g., fundraising, financial, building new facilities, etc.)

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

d. \_\_\_\_\_

*Continued on next page*

# Emergency Succession- Planning Template *Continued*

- (3) Required leadership style (e.g., high control or participatory?).
    - a. \_\_\_\_\_
    - b. \_\_\_\_\_
    - c. \_\_\_\_\_
    - d. \_\_\_\_\_
  - (4) Leadership traits not desired (e.g., poor relationship building, poor board management, etc. These are common derailers in nonprofit organizations).
    - a. \_\_\_\_\_
    - b. \_\_\_\_\_
    - c. \_\_\_\_\_
    - d. \_\_\_\_\_
2. Define interim executive key responsibilities. The interim executive is a staff or board member who is appointed by the board to fulfill executive duties until the position is filled or until the executive returns, if the vacancy is temporary.
- a. Outline the key interim responsibilities below. Examples of key activities are outlined. You can edit, update or add responsibilities as necessary.
    - (1) Serve, with integrity and strength, as the organization's primary leader, representative and spokesperson to the greater community.
    - (2) Support the board of directors, including preparing executive reports and attending board committee meetings.
    - (3) Lead the management team.
    - (4) Participate in the recruitment and selection for directly supervised staff.
  - b. Outline authority and restrictions of appointed interim executive. The person appointed as interim executive shall have the full authority for decision making and independent action outlined above, except for the following which must be approved by the board:
    - (1) All financial decisions over (\$X).
    - (2) Termination of staff.
    - (3) Issues that may negatively impact the organization's reputation in community.
    - (4) \_\_\_\_\_
    - (5) \_\_\_\_\_
  - c. Compensation for the interim executive. Interim shall receive a temporary salary increase to the entry level salary of the executive position or up to (X%) above their current salary, whichever is greater.
    - (5) Manage initiatives related to organizational capacity, sustainability and strategic plan.
      - (a) Maintain accountability for current year operating budget and financial performance.
      - (b) Establish, maintain and cultivate relations with donors, foundations and other stakeholders/volunteers.
      - (c) Execute resource development goals and fund-raising plan.
    - (6) \_\_\_\_\_
    - (7) \_\_\_\_\_
    - (8) \_\_\_\_\_

*Continued on next page*

## Emergency Succession- Planning Template *Continued*

3. Define internal and external communication plan. Communication is a key function of a healthy organization and is integral to the success of a transition. Conversations between staff and board members can significantly impact, negatively or positively, the interim executive and transition's success. It also helps alleviate concerns about the organization's direction and sustainability, particularly with key funders. Donors have a vested interest in the organization's ability to continue to serve its clients and should be kept informed about the transition process.

a. Immediately upon departure, the board should communicate the following internal information:

- (1) Effective departure date (or pending departure date);
- (2) Implementation of the approved succession plan and process to address transition and replacement issues;
- (3) Temporary leadership structure and any changes in key contact points—including appointment of key spokesperson during the transition period.

(4) \_\_\_\_\_

(5) \_\_\_\_\_

(6) \_\_\_\_\_

b. External communication with stakeholders, including but not limited to funders, government contract officers, foundation program officers, civic leaders, major donors, volunteers, past board members and the community at large should be a coordinated process. The interim spokesperson to address external communication during the transition shall be (insert name and job title). A detailed and current key stakeholder contact list is

maintained by (insert name and job title). (Hint: Fund development function often has the best updated contact list.)

4. Process to appoint interim executive. In the event of an unplanned departure or long-term absence of the executive, the board of directors authorizes the executive committee to implement the terms of this emergency succession plan. As quickly as possible the board president shall meet with the executive committee to confirm the procedures outlined in this document and/or to make any modifications the executive committee deems appropriate.

The appointed interim executive will assume responsibilities outlined above in step two. Should the interim assignment be longer than three months or if extenuating circumstances exist, it may be necessary to identify a secondary backup for the interim executive position. This will allow the focus to be on fulfilling the interim responsibilities. The executive committee (or designated approver) may also consider the option of splitting executive duties among the designated appointees.

a. Approved appointee to the position of interim executive  
*(Insert name and job title)*

\_\_\_\_\_

b. Approved appointee as the primary backup for the interim executive: *(Insert name and job title)*

\_\_\_\_\_

*Continued on next page*



## Emergency Succession- Planning Template *Continued*

- c. Approved appointee as the secondary backup for the interim executive (*Insert name and job title*)  
\_\_\_\_\_
5. Cross-training plan for interim appointees. The executive shall develop and execute a plan for training the three potential appointees in each priority function. The director of Human Resources, executive committee, or \_\_\_\_\_ is responsible for implementing the training plan and ensuring that it is completed.
6. Board oversight and support of interim executive. Establish an information system that enables the board chair to gain access to all critical information pertaining to the organization in an event of an emergency. The board's executive committee will have responsibility for monitoring and supporting the work of the interim executive. Regular meetings should be established with designated board representative(s) and the interim executive to discuss key issues and support needed by the acting director. These meetings will occur every (*insert timeframe*) \_\_\_\_\_
7. Process to select permanent new executive. An outside search will be conducted unless there is a designated internal successor approved by the board within the six months prior to the executive's departure. The board chair shall appoint an executive search task force to identify and recommend candidates to board for approval. The task force should include board and staff members, as appropriate. The interim executive should not be included on the search task force if they are a potential candidate. (NOTE: If board members are assuming additional roles due to their expertise such as coach, recruiter, etc., they need to define when they are operating in board role versus "expert resource" role.)  
Appointed search task force members:  
a. \_\_\_\_\_  
b. \_\_\_\_\_  
c. \_\_\_\_\_  
d. \_\_\_\_\_  
e. \_\_\_\_\_
8. Process to transition and assimilate new executive. Within the first two weeks of the executive's employment, the board president and/or designated coach will work with the new executive to develop and implement an initial 90-day plan to ensure the new executive has the resources and information for a successful transition.
9. Approval of Emergency Succession Plan. This succession plan will be approved by the executive committee and presented to the full board of directors for review and approval.

*Continued on next page*



# Emergency Succession- Planning Template *Continued*

Signatures AND copies kept of this document by:

- Board President \_\_\_\_\_  
Date: \_\_\_\_\_
- Executive \_\_\_\_\_  
Date: \_\_\_\_\_
- Appointees and backup appointees
- \_\_\_\_\_ Date: \_\_\_\_\_
- \_\_\_\_\_ Date: \_\_\_\_\_
- \_\_\_\_\_ Date: \_\_\_\_\_
  
- Human Resources \_\_\_\_\_  
Date: \_\_\_\_\_

NOTE: Corporate attorney has copy but signature not required.

# Departure-Defined Succession-Planning Timeline

The future planned departure of the current executive may create anxiety and a fear of the future if the process is not properly handled. To help alleviate anxiety and create a shared understanding of the process among all those involved, the following timeline is recommended to help organizations prepare for the departure-defined planning process. It should be used to complement and drive the completion of the departure-defined succession-planning template on the following page.

## *Week 1:*

1. Current executive meets with board chair to discuss their intent for a future departure.

## *Week 2:*

1. Review and discuss the *succession-planning readiness questions*.
2. Review and complete the *Case Study: Why Succession Planning?*
3. Current executive and board executive committee meet to discuss departure-defined succession planning process and assign roles and responsibilities.

## *Week 3:*

1. Current executive reviews and completes the *self-reflection questions*.
2. Address personal and professional barriers for the departing executive.

## *Week 4 - 5:*

1. Identify the top three to five strategic objectives that fall under the executive's core responsibilities.
2. Identify leadership skills desired and leadership traits not desired for new executive.

3. Update job description for successor.

## *Week 6 - 7:*

1. Identify the key spokesperson for the organization until the new executive is hired.
2. Define internal and external communication plan.

## *Week 8 - 9:*

1. Form a succession planning committee and define roles and responsibilities, including departing executive.
2. Develop a timeline for the executive search strategy.

## *Week 10 - 16*

1. Define internal and external communication plan to be used during the recruiting, hiring and transition process.
2. Conduct sustainability audit of the organization and develop strategies to address organizational and leadership vulnerabilities.

## *Week 17 - TBD:*

1. Conduct executive search for the successor.
2. Provide regular updates to the board and staff about the selection and hiring process.
3. Identify successor and officially hire them.

## *Upon Hiring Successor:*

1. Search committee drafts and board implements the successor development and transition plans.
2. Successor is officially placed in executive role and works with the board to implement the 90-day transition period.
3. Board chair works with departing executive to make sure they understand the emeritus role, as agreed upon.

Note: The sequence of steps above is more important than the estimated time frames, which depend on the length of time before the departure and length of the search process.

# Departure-Defined Succession-Planning Template



*Organization Name:*

---

*Purpose:*

The purpose of this departure-defined succession plan is to ensure continuous coverage of executive duties, critical to the ongoing operations and organization's sustainability, when a long-term executive or founder plan a future retirement or departure date. The objective for this process is to share the expertise of the departing executive with the successor while simultaneously preparing the organization, and departing executive, to fully support the successor.

Ideally the departing executive's input, along with involvement from the board and successor, will make this an effective plan to ensure continuity in external relationships and with staff, while promoting an environment of operational effectiveness under new leadership.

*Steps to develop a departure-defined succession plan:*

1. *Address the personal and professional barriers for the departing executive.* The departing executive should review and consider the *self-reflection questions*.
  - a. *Facilitate personal planning for departing executive* by providing *self-reflection questions* and/or access to a life coach.
  - b. *Understand and address founder syndrome, if applicable.* Communicate to the board and staff the potential

challenges associated with the founder's departure. Increasing the key stakeholder's awareness of their role in addressing the challenges in a founder transition is very helpful. William Bridges, in *Managing Transitions*, says that for a group to fully embrace the style and ways of a new leader they must first let go of the old.

- c. *Agree on parameters of the executive's emeritus role.* In collaboration with the founder, the board should identify strategies and boundaries to facilitate a successful transition. If there is an essential need for the outgoing founder to remain directly involved in the organization, then clearly define his/her role in supporting the successor's decision/direction even if different than the founder's. The founder's prior mentor role should change to a resource role.
2. *Update job description to ensure executive responsibilities and hiring requirements promote the organization's sustainability.* Matching organizational needs with leadership competencies desired in the next executive is one of the most important features of the executive search phase. This planning process provides a unique opportunity to update the executive requirements and responsibilities.
  - a. Attach current executive position description. Position should be updated as needed, preferably during the organization's strategic-planning sessions and should consider numerous questions.

*Continued on next page*

## Departure-Defined Succession-Planning Template *Continued*

b. What are the top three to five objectives and/or challenges outlined in the strategic plan that fall under the executive's core responsibilities?

(1) \_\_\_\_\_

(2) \_\_\_\_\_

(3) \_\_\_\_\_

(4) \_\_\_\_\_

(5) \_\_\_\_\_

c. Based on these objectives and/or challenges, is there an impact on the executive's job description?

(1) Key competencies (e.g., skills—core leadership and management, strategic thinking, board oversight, staff management, agility skills, etc.)

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

d. \_\_\_\_\_

(2) Expertise and experience (e.g., fundraising, financial, building new facilities, etc.)

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

d. \_\_\_\_\_

(3) Required leadership style (e.g., high control or participatory?).

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

d. \_\_\_\_\_

(4) Leadership traits not desired (e.g., poor relationship building, poor board management, etc. These are common derailers in nonprofit organizations).

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

d. \_\_\_\_\_

3. *Form a succession-planning committee with clear roles and accountability.* The committee will be accountable for developing, seeking commitment and implementing the departure-defined succession management plan. The committee will facilitate, manage and obtain board and executive approval of this critical leadership transition. The key difference for this committee from a standard executive search committee is the focus and time commitment to developing the successor and preparing the organization for a successful transition. The committee should consist primarily of board members and a few staff members; community volunteers, funders and other stakeholders can serve as ad hoc resources. The committee will also oversee the following steps:

a. *Determine the executive search strategy.* The committee should decide whether to use an executive recruiter or to conduct the search using board members, staff and other resources, such as social media tools and community contacts.

*Continued on next page*

## Departure-Defined Succession- Planning Template *Continued*

b. *Update job description.* Matching organizational needs with leadership competencies desired in the next executive is one of the most important features of the executive search phase. This planning process provides a unique opportunity to update the executive requirements and responsibilities. It is critical to distinguish any job differences between the departing executive and the replacement executive and to clearly communicate the rationale for any differences. Refer to *sample job description*.

c. *Create and implement the successor development plan.* An effective plan will link the successor's development to key initiatives in the strategic plan, build effective relationships with stakeholders, and ensure an understanding of how the organization achieves its operational objectives and remains financially sustainable. A detailed development plan with stated outcomes can help measure the successor's development and avoid having him or her become the departing executive's aid. The successor will be better prepared to step into the leadership role. A plan left solely to the departing executive's discretion and oversight may inhibit the successor's opportunity to build credible relationships with stakeholders and to understand and address important operational initiatives and challenges.

4. *Define internal and external communication plan.* Conversation is a key function of a healthy organization and is integral to the success of a transition. The communication plan for departure-defined succession planning can span several years as the successor is identified, hired and developed to assume the departing executive's role. It may help

alleviate concerns about the organization's future direction and sustainability, particularly when the departing executive is a founder.

a. The plan should address communication with stakeholders, including but not limited to staff, funders, government contract officers, foundation program officers, civic leaders, major donors, key volunteers, past board members, and the community at large. The communication should be a coordinated process.

b. A well-prepared plan is helpful in a successful transition from a departing long-term executive to a successor. The plan should include: rationale for change, steps to achieve success and commitment to the successor, and a plan for the organization's continued future success. Communicate detailed information about the departure and transition to key stakeholders, including information such as strategic direction of the organization; why the executive is leaving; why the successor was selected; the successor's grooming process; and, how board, staff and other stakeholders are supporting the transition. Implementing a communication plan, which outlines contacts, during the transition helps avoid confusion and promote trust and credibility with the successor.

*Continued on next page*

## Departure-Defined Succession- Planning Template *Continued*

- c. The communication plan should also outline procedures that promote two-way communication. Creating an environment that allows for input from stakeholders, particularly staff, can help identify transition issues, as well as comment on successes. An ideal time to solicit stakeholder input regarding the successor's progress is during the mid-year performance review. Input provides an opportunity for feedback and adjustments to the development plan.
5. *Position the organization for future success by conducting a sustainability audit.* This is an ideal time to assess the organization's alignment with the strategic plan, operating performance, and capacity to meet future client needs to ensure sustainability. Conduct a sustainability audit by completing the following steps:
- a. Gather input electronically or by phone from stakeholders such as the departing executive, board members, key staff, funders and volunteers. Use good survey practices to ensure confidentiality and trust for those who provide data. Soliciting feedback is valuable in determining organization performance and recommending adjustments. Standard questions that may help you gauge your current performance include:
- (1) As you look at the organization's mission what are the organization's greatest strengths and areas for improvement?
  - (2) What major upcoming issues may impact the organization's ability to successfully provide services?
  - (3) What changes might be needed to address those issues?
- b. Additional items to explore during the sustainability audit process will help you gather data about effectiveness, financial position, community engagement and leadership.
- (1) Operational effectiveness of administrative and program functions: How effective are the human resources and financial functions? Are there organization programs/services that are not fully utilized by clients?
  - (2) Resource relationships: Are the key external relationships held by more than one key staff member? How well does the organization collaborate with other agencies in the community?
  - (3) Financial oversight: The organization's finances should be extensively reviewed with a goal to ensure a strong financial position prior to a leadership transition. Does the organization have financial reserves (unrestricted funding, if possible) sufficient to cover at least six months' worth of operating expenses? Has multi-year program funding been secured?
  - (4) Leadership and staff effectiveness: Is there an opportunity to share leadership responsibilities throughout the organization and reduce dependency (and workload) on the executive? Where are the opportunities to develop future leaders?

*Continued on next page*

## Departure-Defined Succession- Planning Template *Continued*

- (5) Board effectiveness: Is the current board role still appropriate for the senior executive that is taking over? Does the board membership need to be modified to better compliment the new executive's skills and competencies? This is particularly critical when a long-term executive is departing and the board was built to reflect their strengths and preferences. Complete the *Board Membership Matrix* to identify the current board composition and determine if changes should be adopted.
- c. Design and implement strategies to address organizational and leadership vulnerabilities. It is important that the sustainability audit results be communicated, developed into an action plan and addressed. Gaining commitment and following through on implementing the plans are critical.
- d. The results from the sustainability audit can also be translated into a desired set of personal and professional competencies that match the organization's core needs. This list can also be used to update the senior executive's job description for their developmental purposes.
6. *Promote successful transition of new executive.* The board president and successor should agree on and implement a transition plan. Although the successor has been working with the organization for a period of time and has completed a development plan, the first 90 days in the new executive role brings challenges. An effective 90-day transition plan includes:
- a. The board's written goals and expectations of the successor for the first 90 days and 12 months.
- b. Participation in a formal orientation program as well as meetings with board members, staff, funders and volunteers.
- c. A structured feedback mechanism with pre-identified key stakeholders to assess progress and potential barriers to a successful transition.

*Continued on next page*

*An organization had completed a thorough sustainability audit and identified a plan of action but never implemented the action plan. Three years later, the founder departed and the "developed" successor took over the leadership reins. The successor failed and was removed. Some of the key issues that contributed to the successor's failure were identified in the audit but never addressed. An example was the reluctance of the founder to focus the organization's efforts on key programs. Instead the organization continued to be "all things to all people" finally resulting in a critical financial shortage that was, in part, blamed on the successor when he tried to narrow the scope of services.*

## Departure-Defined Succession- Planning Template *Continued*

- d. Access to development resources for the new executive, such as reading materials and/or leadership training programs to help them better understand the challenges of leading a prior peer group and succeeding as long-term executive.
- e. Depending on the complexity of the challenges, a transition coach may be retained to facilitate a successful executive transition and help manage obstacles.

7. *Approval of Departure-Defined Succession Plan.* This succession plan will be approved by the executive committee and presented to the full board of directors for review and approval.

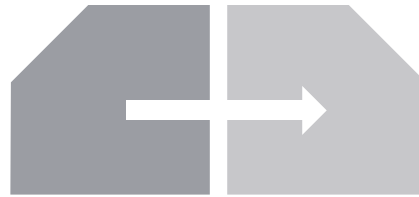
Signatures AND copies kept of this document by:

- Board President \_\_\_\_\_  
Date: \_\_\_\_\_
- Executive \_\_\_\_\_  
Date: \_\_\_\_\_
- Human Resources \_\_\_\_\_  
Date: \_\_\_\_\_

NOTE: Corporate attorney has copy but signature not required.



## Executive Self-Reflection Questions



When an executive has made the decision to depart, the following questions are important for them to think through. The questions and answers will help the executive understand the scope of change and be better prepared for the ups and downs of this major life transition. A life coach, reading William Bridges' *Managing Transitions* and/or talking with someone who has successfully gone through this process can help promote a successful transition for the departing executive and organization.

### *Professionally*

1. Why do I want to make this move?
2. What are the benefits for me in making this move? For the organization? For the community?
3. What are the downsides for me in making this move? For the organization? For the community?
4. What can I do to address the downsides so they don't become barriers to the organization's future sustainability and success?
5. How do I see my connection with the organization and successor? What do I need? Is it realistic? How can I get it?
6. How can I help the new executive be successful? How can I help the board and other key stakeholders?

### *Personally*

1. What do I plan to do when I leave this executive role at (organization)?
2. How is my identity defined by this role as an executive (and founder) of this organization?
3. How do I envision the next phase of my life? What goals do I have in these areas? What barriers might exist that I need to be prepared for?
  - a. Social \_\_\_\_\_
  - b. Relationships \_\_\_\_\_
  - c. Use of leisure time \_\_\_\_\_
  - d. Health \_\_\_\_\_
  - e. Travel \_\_\_\_\_
  - f. Living location \_\_\_\_\_
  - g. Spiritual \_\_\_\_\_
  - h. Financially \_\_\_\_\_
  - i. Community involvement \_\_\_\_\_

# Executive Sample Job Description



Updated: \_\_\_\_\_

**Job Title:**

*Senior executive*

**Department:**

*Executive*

**Date:**

*November 2010*

**Reports to:**

*Board President*

## *Job Summary*

The executive is the *leader and chief spokesperson for the organization*. The senior executive reports to and is accountable to the president of the board and the board of directors. The executive's primary responsibilities include strategic planning and implementation of the strategic initiatives through tactical actions. The responsibilities should be carried out in accordance with the directions provided by the board of directors and within established guidelines so that organizational, fundraising, budgetary, community relations and volunteer objectives are achieved.

## *Time Responsibilities*

**20%** Serves as the principal professional resource to the board of directors and key committees, assisting them in matters of policy formulation and interpretation. Communicates regularly and openly with the board. Creates a culture of partnership between board and staff based on genuine trust and respect for each others' contributions of time, talent and resources. Implements the policies established by the board of directors through the administration of the organization and its activities. Participates in board meetings, (i.e., providing input, information and feedback as the organization's liaison).

**20%** Manages the operation of the organization, including staff, programs and physical plant. Directs professional staff by delegating responsibilities as necessary to effectively serve the organization's clients and accomplish its goals. Charged with hiring, evaluating, administering employee benefits, and handling other personnel matters. Develops, establishes and utilizes organizational performance measurement standards; reports results to board and staff; and, makes necessary changes based upon results.

**15%** Provides oversight for the financial affairs of the organization. This includes, but is not limited to, preparation of the budget, statements of financial position, and profit and loss statements. Ensures financial policies and procedures are followed. Serves as primary support to the finance committee. Ensures ongoing financial growth of the organization.

**15%** Leads the development and implementation of strategic plans into tactical actions/activities. Presents balanced score card on quarterly basis to board.

*Continued on next page*

# Executive Sample Job Description *Continued*

- 20%** Oversees development and implementation of fundraising plans to secure adequate funding, including preparing and supervising foundation grants and corporate proposals.
- 10%** Chief spokesperson for the organization. Represents the organization to the community and fosters a good relationship and image among the organization, its clients, and the general and philanthropic community in Kansas City.

### *Internal Contacts - Purpose*

Staff– day-to-day communication  
 Board of Directors– partner, inform and recommend

### *External Contacts - Purpose*

Donors, media, service providers, etc.

### *Leadership*

<i>Title of Immediate Subordinates</i>	<i>Number in Position</i>
Clinical Director	1
Director of Quality & Compliance	1
Director of Business & Operations	1
Director of Development	1
Director of Organization Relations	1

### *Total number of employees supervised:*

Directly:	5
Indirectly:	35

### *Minimum Requirements*

Master’s degree (?) in Public Administration, Social Work Administration or Business. Five to seven years demonstrated successful management and supervisory experience. Knowledge of financial statements, budgeting process and accounting procedures. Experience in strategic planning. Strong organizational and analytical abilities.

---

**Board President’s Signature**

**Date**

---

**Executive’s Signature**

**Date**

*The above information is intended to describe the most important aspects of the job. It is not intended to be construed as an exhaustive list of all responsibilities, duties and skills required in order to perform the work.*

## Important Competencies



Updated: \_\_\_\_\_

- *Visioning* – Visualizes the organization’s future state (structure, culture, leadership, target markets, etc.) and criteria for long-term, sustained business success.
- *Leading and managing change* – Continuously challenges the status quo and leads the necessary changes. Provides information and gathers feedback about changes that allow others to create organizational agility.
- *Passion for mission* – Demonstrates and communicates passion for the organization’s core purpose; identifies with the organization’s mission and inspires others about the mission.
- *Credibility* – Demonstrates honesty, sincerity, humility and respect for individuals while modeling organizational values. Inspires trust in and from others.
- *Achieves results* – Improves and sustains superior business performance, develops and follows through on priorities, delegates appropriately, holds people accountable, makes financially-sound decisions, optimizes resources and initiates efficient work processes.
- *Intelligence and judgment* – Demonstrates capacity to analyze, synthesize and integrate information to effectively identify and solve problems. Makes informed decisions, and successfully addresses complex organizational challenges.
- *Strategic thinking* – Provides focus and long-term direction for constant stream of organizational and individual action.
- *Inspirational leadership* – Develops commitment in others by setting a personal example, demonstrates enthusiasm, empowers workforce and appeals to what motivates them.
- *Customer focus* – Responds to the needs and expectations of clients and donors. Uses an understanding of client and donor needs as the basis for organizational action.
- *Fundraising* – Provides direction and serves as primary contact for foundations, government and donors.
- *Community development* – Develops strong external loyalty to the mission and values of organization, and brings strong community and civic leader relationships to leverage good will and financial support for organization.
- *Financial development/acumen* – Ensures innovative fund development strategies are developed, cultivated and implemented that provide the necessary financial resources to sustain and grow the organization. Ensures generally accepted accounting principles are continually adhered to and related to all budget and financial matters. Understands and can manage operations within budget constraints.
- *Talent management* – Demonstrates the ability to attract, align, develop and retain the diverse talent pool needed to meet and exceed organizational goals.

*Continued on next page*

## Important Competencies *Continued*

- *Interpersonal savvy* – Builds appropriate rapport and constructive, effective relations both internally and externally. Relates well to people of diverse backgrounds and exhibits genuinely warm and approachable behavior. Listens attentively to understand the needs, intentions and values of others.

# Board Membership Matrix



The purpose is to identify the gap between the desired and current board membership mix. The results can be used in the board recruiting process.

Board Members Name	Board Term Ends	Board Experience	Government Experience	Funding Experience	HR Experience	Leadership Experience	Financial Experience	Capital Campaign Experience	Race	Gender

## Succession Planning Template

### *Purpose:*

The purpose of this succession plan is to ensure continuous coverage of executive duties, critical to the ongoing operations and to ELC's sustainability during a time of leadership transition. The objective for this process is to share the expertise of the CEO with the successor while simultaneously preparing ELC and the departing CEO to fully support the successor.

*(Ideally my input, along with involvement from the board and successor, will make this an effective plan to ensure continuity in external relationships and with staff while promoting an environment of operational effectiveness under new leadership.)*

### **Steps to develop a succession plan:**

#### 1. Address professional barriers for the departing executive.

a. *Understand and address founder syndrome.* Communicate to the board and staff the potential challenges associated with the founder's departure. Increasing the key stakeholder's awareness of their role in addressing the challenges in a founder transition is helpful. William Bridges, in Managing Transitions, says that for a group to fully embrace the style and ways of a new leader they must first let go of the old. Some organizations select an interim executive to smooth the transition to a new leader.

b. *Agree on parameters of the executive's emeritus role.* In collaboration with the CEO (founder in this case), the board should identify strategies and boundaries to facilitate a successful transition. If there is an essential need for the outgoing CEO to remain directly involved in the organization, then clearly define her role in supporting the successor's decision/direction.

2. **Update job description to ensure executive responsibilities and hiring requirements promote ELC's sustainability.** Matching ELC needs with leadership competencies desired in the next executive is one of the most important features of the executive search phase. This planning process provides a unique opportunity to update the executive requirements and responsibilities. Both the board and senior staff should provide input to desired competencies.

a. Update current executive director job description. Consider questions below.

b. What are the top three to five objectives and/or challenges outlined in the strategic plan that fall under the executive's core responsibilities?

- (1) \_\_\_\_\_
- (2) \_\_\_\_\_
- (3) \_\_\_\_\_
- (4) \_\_\_\_\_
- (5) \_\_\_\_\_

c. Based on these objectives and/or challenges, is there an impact on the executive's job description?

(1) Key competencies (e.g., skills—core leadership and management, strategic thinking, board oversight, staff management, agility skills, etc.) See page 6 for possible competencies.

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_
- d. \_\_\_\_\_

(2) Expertise and experience (e.g., fundraising, financial, establishing new offices, etc.)

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_
- d. \_\_\_\_\_

(3) Required leadership style (e.g., high control or participatory?).

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_
- d. \_\_\_\_\_

**3. Actions for current CEO to take to facilitate a smooth transition to a new leader.**

Examine ELC’s people practices and benefits package. Are there changes that need to be made in order to best position ELC for the future? If employees will see these changes as negative, make them now with the current CEO.

When a founder leaves, sometimes key staff also decides to make a career change or retire. Have each senior staff member document the key responsibilities/ processes/contacts for their role. This information will also help the new CEO.

**4. Form a succession-planning committee with clear roles and accountability.** The key difference for this committee from a standard executive search committee is the focus and time commitment to developing the successor and preparing the organization for a successful transition. The committee will be accountable for developing, seeking commitment, and implementing the succession management plan. The committee should consist of board members. A few staff members, funders and other stakeholders can serve as ad hoc resources. The committee will oversee the following steps:

**a. Determine the executive search strategy.**

**Recruiting sources include:**

- the Nonprofit Center of NE Florida
- Indeed.com
- other Early Learning Coalitions
- ELC of Duval website and Facebook



- Association of Fundraising Professionals 1<sup>st</sup> Coast chapter  
<http://afpflfirstcoast.afpnet.org/>
- NE Florida individuals who have a substantial community networks.

#### *Interview process*

- Who will interview? Interview process should be consistent with all candidates.
- Who will develop interview questions and/or resume checklist?
- Do you want the candidate to make a presentation?
- Do you want to require any assessments, psychological assessment with area psychologist?
- Drug test, background check.

**5. Define internal and external communication plan.** Conversation is a key function of a healthy organization and is integral to the success of a transition. The communication plan for succession planning can span several months as the successor is identified, hired and developed to assume the departing executive's role. Communication will help alleviate concerns about ELC's future direction and sustainability, particularly when the departing executive is a founder.

**a.** The plan should address communication with stakeholders, including but not limited to staff, community providers, funders, government contract officers, foundation program officers, civic leaders, major donors, key volunteers, past board members, and the community at large. The communication should be a coordinated process.

**b.** A well-prepared plan is helpful in a successful transition from a departing long-term executive to a successor. The plan should include: rationale for change, steps to achieve success and commitment to the successor, and a plan for the organization's continued future success. Communicate detailed information about the departure and transition to key stakeholders, including information such as strategic direction of the organization; why the executive is leaving; why the successor was selected; the successor's grooming process; and, how board, staff and other stakeholders are supporting the transition. Implementing a communication plan, which outlines contacts, during the transition helps avoid confusion and promote trust and credibility with the successor.

**6. Promote successful transition of new executive.** The board chair and successor should agree on and implement a transition plan. Even if the successor has been working with the organization for a period of time, the first 90 days in the new executive role brings challenges. An effective 90-day transition plan includes:

**a.** The board's written goals and expectations of the successor for the first 90 days and 12 months.

**b.** Participation in a formal orientation program as well as meetings with the Association of Early Learning Coalitions, the Office of Early Learning, board members, staff, and funders.

c. A structured feedback mechanism with pre-identified key stakeholders to assess progress and potential barriers to a successful transition.

d. Access to development resources for the new executive, such as reading materials and/or leadership training programs to help them succeed as a long-term executive.

e. Depending on the complexity of the challenges, a transition coach may be retained to facilitate a successful executive transition and help manage obstacles.

**8. Approval of Succession Plan.** This succession plan will be approved by the executive committee and presented to the full board of directors for review and approval.

### **Succession – Planning Timeline**

To create a shared understanding of the process among all those involved, the following timeline is recommended for the planned departure of the CEO of ELC of Duval.

Week 1:

1. CEO and board executive committee meet to discuss succession planning process and assign roles and responsibilities.

Week 2- 3:

1. Identify the top three to five strategic objectives that fall under the executive's core responsibilities. 2. Identify leadership skills desired and leadership traits not desired for new executive. Consider any competencies/education/experience desired in the successful candidate.

3. Review current CEO Job description and update as needed for successor.

Week 4 – 5:

1. Identify the key spokesperson for the organization until the new executive is hired.

2. Define internal and external communication plan;

- current CEO lists all funders/partners that need to be notified in priority order
- draft press release/website communication/media partners notification
- identify appropriate website/publication/etc. to advertise
- CEO ensures all Senior Staff create a document listing their job functions including key contacts ...what does the interim or successor need to know. This type of documentation will be helpful in the event someone does leave and will be helpful to a new leader learning about the roles.

Week 6 –7:

1. Appoint a succession planning committee and define roles and responsibilities.

*(The Chairperson of the Board will appoint the succession planning committee and will chair the committee. If chair cannot fulfill this responsibility, vice-chair will serve as search committee chair.)*

2. Determine if an Interim Director will be selected. If using an interim will they be from outside or inside the organization.
3. Develop a timeline for the executive search.

Week 8 – 14

1. Define internal and external communication plan to be used during the recruiting, hiring, and transition process.
2. Determine if search will be local, state and/or national, or all three.
3. Identify where/how candidates will submit resumes.
4. Identify review process/develop interview questions.

Week 15 – TBD:

1. Conduct search for the Interim Director or successor.
2. Provide regular updates to the board and staff about the selection and hiring process.
3. Determine salary recommendation to the Executive Committee.
4. Identify successor and officially hire them.

Upon Hiring Successor:

1. Identify how the Chair and outgoing CEO will train new CEO and how long is the overlap process.
2. Determine if the outgoing CEO will need to be offered a consulting contract or not.
3. Search committee drafts and board implements the successor development and transition plans.
4. Successor is officially placed in executive role and works with the board to implement the 90-day transition period.
5. Board chair works with departing executive to make sure they understand the emeritus role, as agreed upon.

## Important Competencies

- **Visioning** – Visualizes ELC’s future state (structure, culture, leadership, target markets, etc.) and criteria for long- term, sustained business success.
- **Leading and managing change** – Continuously challenges the status quo and leads the necessary changes. Provides information and gathers feedback about changes that allow others to create organizational agility.
- **Passion for mission** – Demonstrates and communicates passion for ELC’s core purpose; identifies with the organization’s mission and inspires others about the mission.
- **Credibility** – Demonstrates honesty, sincerity, humility and respect for individuals while modeling organizational values. Inspires trust in and from others.
- **Achieves results** – Improves and sustains superior business performance, develops and follows through on priorities, delegates appropriately, holds people accountable, makes financially-sound decisions, optimizes resources and initiates efficient work processes.
- **Intelligence and judgment** – Demonstrates capacity to analyze, synthesize and integrate information to effectively identify and solve problems. Makes informed decisions, and successfully addresses complex organizational challenges.
- **Strategic thinking** – Provides focus and long-term direction for organizational and individual action.
- **Inspirational leadership** – Develops commitment in others by setting a personal example, demonstrates enthusiasm, empowers workforce and appeals to what motivates them.
- **Customer focus** – Responds to the needs and expectations of clients and donors. Uses an understanding of client and donor needs as the basis for organizational action.
- **Fundraising** – Provides direction and serves as primary contact for donor groups.
- **Community development** – Develops strong external loyalty to the mission and values of organization, and brings strong community and civic leader relationships to leverage good will and financial support for organization.
- **Financial development/acumen** – Ensures innovative fund development strategies are developed, cultivated and implemented that provide the necessary financial resources to sustain and grow the organization. Ensures generally accepted accounting principles are continually adhered to and related to all budget and financial matters. Understands and can manage operations within budget constraints.

- **Talent management** – Demonstrates the ability to attract, align, develop and retain the diverse talent pool needed to meet and exceed organizational goals.
- **Interpersonal savvy** – Builds appropriate rapport and constructive, effective relations both internally and externally. Relates well to people of diverse backgrounds and exhibits genuinely warm and approachable behavior. Listens attentively to understand the needs, intentions and values of others.

DRAFT



---

## Performance Evaluation Process – Chief Executive Officer

Per the ELC’s by-laws: *“The Executive Committee will be responsible for personnel issues related to the Chief Executive Officer (CEO), including but not limited to: recruitment, salary and benefit package, yearly evaluation, and compliance with any needed improvement plan. Authority to hire and terminate the Chief Executive Officer is retained by the Coalition Board.”*

At a minimum, the CEO’s performance will be evaluated on an annual basis. Such evaluations will be in writing, will occur in June each year and will be discussed with the CEO by the Board Chair or by the Executive Committee’s appointed designee.

During the evaluation process, the Board’s expectations and the CEO’s performance in relation to those expectations will be identified along with any area of the CEO’s performance where the Board desires improved performance. The CEO’s performance will be evaluated on the criteria identifies in the CEO’s Job Description as well as the annual corporate objectives as agreed upon between the CEO and the Board each fiscal year.

At a minimum, the CEO will be evaluated upon the following criteria:

- a. Effectiveness in providing direction, leadership and oversight to the Coalition in support of its mission, strategic plan and annual goals and objectives.
- b. Effectiveness in managing the daily operations of the organization, including oversight of financial management, human resources, fund development, program quality and delivery and public relations.
- c. Other key components as described in the CEO’s Job Description.
- d. Objectives established by the Board.

The evaluation process will include the following steps: *(Reasonable timeline will be determined based on the Board and Executive Meeting schedules. The process below is presented if the meetings are held on a monthly basis)*

1. The ELC’s Human Resources Director will prepare evaluation packets for each Executive Committee Member to be distributed by the Board Chair at the May Executive Committee Meeting each year. The evaluation packet will include the CEO performance evaluation Form & Instructions and a list of the objectives approved by the Board at the beginning of the fiscal year.
2. Each member of the Executive Committee will provide input regarding the CEO’s performance by completing the approved Performance Evaluation Form.
3. The Board Chair will provide the CEO with the same Performance Evaluation Form to complete a self-assessment. The CEO should include proposed objectives for the upcoming fiscal year in the self-assessment.

4. At the discretion of the Executive Committee, feedback from the CEO's direct reports, the full Board and other individuals may be solicited. Note: Direct reports and other individuals will complete a brief questionnaire regarding the CEO's performance rather than completing the CEO Performance Evaluation Form.
5. All evaluations and feedback should be returned to the Board Chair within two weeks to allow adequate time to prepare the formal evaluation prior to the June Executive Committee Meeting.
6. The Board Chair will review the evaluations, the CEO's self-assessment and the feedback from direct reports (if applicable) and prepare the final evaluation for review and discussion with the Executive Committee at the June meeting.
7. The Board Chair will present any recommendations for salary adjustments to the Executive Committee at this time and secure Committee approval.
8. Prior to the June Board Meeting, the Board Chair will discuss the evaluation and objectives with the CEO. The Board Chair and the CEO will sign the evaluation form.
9. The Board Chair will forward the signed evaluation for the ELC's Human Resources Director for inclusion in the CEO's personnel file. If a salary adjustment is warranted, the Board Chair will forward a Payroll Change Notice to the Human Resources Director for processing.
10. At the June Board Meeting, the Board Chair will report the outcome of the evaluations, including any salary adjustment. The CEO will present objectives for the coming year for approval, incorporating recommendations from evaluation.

The CEO will be expected to take appropriate measures to correct any performance deficiencies identified during the evaluation. If major areas of concern are identified, the following steps should be taken:

1. The Board Chair will meet with the CEO on an ongoing basis to provide regular feedback and coaching on performance issues for a period of 30 to 90 days.
2. By the end of the designated period, the Board Chair will re-evaluate the CEO's performance to ensure that steps have been taken to improve performance in relevant areas.
3. If performance issues identified in the annual evaluation are not corrected within the given time period, the CEO may be placed on a Performance Improvement Plan (PIP).
4. The Board Chair will ensure that the appropriate documentation is forwarded to the Human Resources Director for inclusion in the CEO's personnel file.

Forms used during the process include:

1. CEO Performance Evaluation Form & Instructions
2. Direct Reports Questionnaire
3. Job Description- Chief Executive Officer
4. Same Performance Improvement Plan (PIP)
5. Payroll Change Notice



**Early Learning Coalition of the Big Bend Region, Inc.  
CEO Direct Report Performance Survey**

Name of Person Survey is being completed on: \_\_\_\_\_

Date: \_\_\_\_\_ Evaluation Period: \_\_\_\_\_  Annual  Other

**Instructions:** Evaluate the individual named below based on the following 30 statements on a scale of 5 to 1.

5 = Strongly Agree, 4 = I Agree, 3 = Neutral, 2 = I Do Not Agree, 1 = Strongly Disagree

Once you have completed this evaluation, please forward it in an envelope to Human Resources. This survey will be submitted to Chairman of the Board to assist in the evaluation process. Do not sign or in any way indicate your identity, as this is a confidential evaluation designed so that everyone participating will feel free to provide honest feedback.

Sets an example in demonstrating outstanding service. 5    4    3    2    1  
Comments:

Initiates and promotes the best solutions to problems. 5    4    3    2    1  
Comments:

Is a positive example with his/her work ethic. 5    4    3    2    1  
Comments:

Regularly provides others feedback on how well others are doing. 5    4    3    2    1  
Comments:

Shares feedback from providers, children/families and ELC supporters both positive and negative. 5    4    3    2    1  
Comments:

Is willing to listen to my concerns and suggestions. 5    4    3    2    1  
Comments:

Offers constructive criticism to help improve and develop my skills. 5    4    3    2    1  
Comments:

Acts decisively when circumstances require it. 5    4    3    2    1  
Comments:

Encourages everyone to provide input to solve problems or improve work processes. 5    4    3    2    1  
Comments:

Leadership skills have earned my respect and my staff. 5    4    3    2    1  
Comments:



Strives to treat children, families, providers, employees and others fairly. Comments:	5	4	3	2	1
Is able to think “outside the box” to improve the effectiveness of the Coalition. Comments:	5	4	3	2	1
Explains his/her expectations to me. Comments:	5	4	3	2	1
Solicits and accepts feedback from me about his/her performance. Comments:	5	4	3	2	1
Plans projects and assignments so that work proceeds smoothly. Comments:	5	4	3	2	1
Demonstrates sound judgment. Comments:	5	4	3	2	1
Continually looks to improve work processes and eliminate non-value added steps. Comments:	5	4	3	2	1
Boosts my self-esteem. Comments:	5	4	3	2	1
Demonstrates respect and courtesy toward others. Comments:	5	4	3	2	1
Ensures that I have the tools and training to do my job. Comments:	5	4	3	2	1
Accepts responsibility for his/her own failures and mistakes. Comments:	5	4	3	2	1
Delegates authority/responsibility according to staff knowledge and skills. Comments:	5	4	3	2	1
Effectively addresses employee performance problems. Comments:	5	4	3	2	1
Fosters a work environment conducive to cooperation and high performance. Comments:	5	4	3	2	1

Can be depended upon to get the job done. 5 4 3 2 1  
Comments:

Willingly commits the time and resources necessary to ensure the Coalition's goals can be achieved. 5 4 3 2 1  
Comments:

Can be trusted. 5 4 3 2 1  
Comments:

Assists in understanding how my role fits into the Coalition's mission. 5 4 3 2 1  
Comments:

I feel free to discuss work-related problems with this person 5 4 3 2 1  
Comments:

Additional Statements (optional):



**Early Learning Coalition of the Big Bend Region, Inc.  
CEO Performance Evaluation**

Name: \_\_\_\_\_ Date: \_\_\_\_\_

Evaluation Period: \_\_\_\_\_  Annual  Other

Type of Evaluation:  Self-Assessment  Board Evaluation

**Position Summary:** The **Chief Executive Officer (CEO)** is responsible for providing direction, leadership and oversight to the Coalition in support of its mission, strategic plan and annual goals and objectives. The CEO must effectively work with board members, volunteers, government officials, community leaders, business leaders and the clients and families that ELC serves. The CEO provides leadership to internal staff and is responsible for daily operations of the business, including oversight of financial management, human resources, fund development, program quality and delivery and public relations.

Evaluate the CEO’s performance in the areas below using the following ratings:

3 = Consistently meets expectations

2 = Needs improvement

1 = Does not meet expectations

Comments must be included for each factor with a rating below 3. Additional comments may be attached to this form.

**Board Administration and Support** – Supports operations and administration of the Board by advising and informing Board Members, as well as interfacing between Board and staff.

	Appropriately engages the Board in establishing the ELC’s policy direction.
	Provides accurate and sufficient information regarding Board policy and operations.
	Offers professional advice to the Board on items requiring Board action with recommendations based on sound business principles.
	Interprets and executes the intent of Board policy; Supports Board policy and actions to the public and staff.
	Communicates with the President and other members of the Board in a timely manner.
	Fosters a harmonious working relationship with the Board.
	Provides support for Board teamwork and effectiveness as ELC advocates in the community.
	Promotes and supports Board education and development.

Examples of positive performance in this area of responsibility:

Concerns regarding the incumbent’s performance in this area of responsibility:

**Program and Service Delivery** – Oversees development, implementation and quality assurance of all Coalition programs and services.

	Effectively articulates and communicates ELC’s vision and goals to staff, community and others; Builds commitment to mission and priorities of ELC.
	Provides direction and defines priorities assure that the ELC’s programs and services respond to the needs of our families, children and providers.
	Identifies problems and issues confronting the ELC and recommends/implements appropriate changes and directions.
	Encourages and promotes comprehensive and long-range planning process and the implementation of plans.
	Understands trends and decisions and keeps others informed of their impact on the ELC.
	Provides leadership for/assures that there is an effective system for monitoring institutional effectiveness

Examples of positive performance in this area of responsibility:

Concerns regarding the incumbent’s performance in this area of responsibility:

**Fiscal Planning and Oversight** – Recommends yearly budget for Board approval and prudently manage the Coalition’s resources within budget guidelines according to authorized policies and procedures that fully conform to current laws and regulations.

	Provides leadership for sound fiscal management practices and procedures.
	Provides leadership to assure the budget supports the ELC’s mission, goals and long-range planning.
	Supervises and evaluates fiscal and administrative operations; Expects quality performance.
	Possesses a good understanding of the ELC’s financial needs and communicates them clearly.
	Provides leadership for and supports appropriate strategies for attracting funds to the ELC.
	Promotes internal understanding of fiscal issues as they affect the ELC.
	Provides leadership for the development and implementation of a plan for short and long-term facilities needs.

Examples of positive performance in this area of responsibility:

Concerns regarding the incumbent’s performance in this area of responsibility:

**Human Resources Management, Staff and Administrative Relations** – Effectively manages the human resources of the organization according to authorized policies and procedures that fully conform to current laws and regulations.

	Provides leadership for developing and executing sound personnel procedures and practices.
	Involves staff in planning and decision-making; Encourages teamwork and development of ideas and open communication within the ELC workforce.
	Sets clear expectations with staff; Delegates authority to staff members appropriate to the position each holds.
	Treats all personnel fairly, without favoritism or discrimination.
	Handles interpersonal conflicts constructively; Exercises good judgment in dealing with sensitive issues between people and groups.
	Gives feedback in a respectful, constructive way; Uses effective coaching skills to improve staff performance.
	Conducts effective and timely performance reviews of direct reports; Ensures that effective and timely performance reviews are conducted for all staff.
	Regularly recognizes staff accomplishments.
	Supports and fosters appreciation for diversity; Demonstrates ability to work with diverse groups and individuals; Shows sensitivity to and respect for others.
	Provides leadership for the professional development of staff; Encourages staff to engage in learning and development opportunities.

Examples of positive performance in this area of responsibility:

Concerns regarding the incumbent’s performance in this area of responsibility:

**Community, State and Public Relations** – Directs and coordinates public relations and community awareness efforts. Assures that the Coalition and its mission, programs and services are consistently presented in a strong, positive image to the relevant stakeholders.

	Maintains positive relationships with community, business and civic leaders; Encourages community involvement and contribution to the ELC.
	Represents and promotes the ELC through regular attendance and involvement in meetings, conferences, interagency and community activities dealing with early childhood education and family issues; Lobbies to community and governmental leaders on behalf of the ELC.
	Provides leadership in the community through participation on Boards, community groups, and other appropriate venues.
	Works effectively with local public and private agencies and the media to promote the ELC.
	Provides leadership on behalf of the ELC at the state level; Advocates the needs of the ELC to appropriate federal and state officials and agencies.

Examples of positive performance in this area of responsibility:

Concerns regarding the incumbent's performance in this area of responsibility:

**Fund Development** – Oversees the planning and implementation of fund-raising activities, including establishing resource requirements, identifying funding sources and establishing strategies to approach potential donors.

	Provides leadership for and supports appropriate strategies for attracting funds to the ELC.
	Coordinates the development of annual fund-raising goals.
	Actively solicits funding for current and new programs and services.
	Directs or delegates the planning and organizing of fund-raising events.

Examples of positive performance in this area of responsibility:

Concerns regarding the incumbent's performance in this area of responsibility:

**Personal Skills and Abilities**

	Maintains high standards of ethics, honesty and integrity in all personal and professional matters.
	Is well organized and efficient in the accomplishment of objectives.
	Makes sound, logical decisions, even under stress.
	Skillful at analyzing and addressing problems, challenges and conflicts.
	Is tolerant and flexible; Comfortable with ambiguity and complexity.
	Effectively communicates verbally and in written form.
	Actively engages in continuous professional development.

Examples of positive performance in this area of responsibility:

Concerns regarding the incumbent's performance in this area of responsibility:

**Areas of Improvement (may be added here or attached as an addendum)**

**Personal Goals for the Next Evaluation Period**

- 1.
- 2.
- 3.
- 4.
- 5.

**Professional Objectives for the Upcoming Period**

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.

[ ] I have been given the opportunity to have my comments included as a part of this Performance Evaluation and have chosen not to do so. \_\_\_\_\_ (*initial*)

**Signatures:** *Note to Employee - Your signature certifies that you have had the opportunity to read and discuss this evaluation with your evaluator. Your signature does not imply that you agree or disagree with the evaluation. You may make your disagreement, if any, known by submitting a written statement to the Board Chair.*

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Board Chair (or designee): \_\_\_\_\_ Date: \_\_\_\_\_

The original (with signatures) should be returned to the Human Resources Department.



---

## CEO Interview Questions

### Position: CEO

1. Tell us what you know about the Early Learning Coalition and the services offered.
2. If you were to get this position, what do you plan to accomplish in your first three months?
3. Tell us about a time in which you brought productive change to a company. How did you implement this change?
4. Describe your experience reading and interpreting financial reports and managing multi-million dollar budgets.
5. A leader must be equipped with a set of competencies necessary to perform his/her role. Which one would you say is the most important ability a leader should have and why?
6. How do you ensure positive employee moral? How do you approach internal conflict resolution?

## Application Evaluation Criteria's

### Position: CEO

**Criteria 1: Industry:** An understanding of child care programs, early child education, social service issues, community action programs and serving rural communities.

**Criteria 2: Education:** Bachelors' degree in business administration, social work, management or related field (MBA preferred).

**Criteria 3: Years of Experience:** Business Operations, Financial Management, Human Resources, Fund Development, Program Quality, or Public Relations.

**Criteria 4: Management Skills:** Ten (10) years of progressive experience in supervising or managing in a non-profit, private or public sector social/human services program.

**Criteria 5: Career Progression:** A steady progression of responsibilities.

**Criteria 6: Written Communication Skills:** Resume is clear and well written.

**Criteria 7: Turnover:** Candidate has demonstrated stable employment with minimal turnover.



## Employee Performance Evaluation Form

Employee Name: Susan Main					Hire Date: October, 2000					
Position Title: Executive Director										
Rating Period: 2014-15					Location:					
<b>OVERALL PERFORMANCE SELF EVALUATION</b>										
<b>5</b> Outstanding	<b>4</b> Exceeds Expectations	<b>3</b> Meets Expectations	<b>2</b> Needs Improvement	<b>1</b> Below Expectations						
<b>Core Expectations/Standards/Competencies:</b>			<b>Appraisal Rating</b>			<b>Comments required for ratings 5 or 1 (SOME RELEVANT COMMENTS ON SEPARATE DOCUMENT)</b>				
			5	4	3					2
<b>Coalition Priorities</b>										
<b>Implement a Quality Rating Improvement System – Guiding Stars of Duval</b>		x								Successfully advocated for a GSOD State pilot to be funded in legislative proviso and piloted in the surrounding counties. Evaluated and supported the States pilot for coaching certification program w/UF/Lastinger Center to ensure quality coaching in GSOD sites. GSOD remains a model QRIS for other local Coalitions. Presented GSOD at Clinton Foundation’s Blueprint and the Mayor’s Education Summit.
<b>Quality Initiatives – Child Screenings</b>		x								Completed 10,241 developmental screenings during 2014-15. Contracted w/Hope Haven to provide support for children scoring significantly above cut off. Completed our System of Care Initiative Mental Health grant responsibilities and performed social/emotional screenings for 591 children using the Early Childhood Screening Assessment – Social Emotional Screenings at 62 different centers and homes. Received a JCC grant to do additional Social/Emotional Screenings at former Jax Journey sites which continues through the end of September. Combined our Provider Services program monitoring using a technical assistance approach based on findings by coordinating with our Professional Development department.
<b>Provide quality provider training and support -</b>		x								Successfully completed the Early Learning Florida Pilot training as one of 3 coalitions. Developed our own on-line course “ <i>Aligning the Florida Early learning Standards with Curriculum and Lesson Planning.</i> ” Continued Wage Incentive program for GSOD centers/FCCH. Distributed wage incentives to over 850 teachers who work in GSOD sites and who completed the requirements for the incentive. ELC hosted Family Child Care Mini Conference. Exceeded our funding for CDA/AA/BA

						<p>scholarships to teachers who work in sites with an SR contract.</p> <p>Developed an online training registration process for providers and revised the ELC training calendar as part of our new website. Continue to support DELDN and secured funding for staff to DELDN.</p>
<b>Measure Outcomes –</b>	X					<p>Coordinated w/FIE to evaluate the SR children and the CoachJax Lastinger coaching pilot.</p> <p>FIE child outcome data will be released in October.</p> <p>VPK readiness rate not available, however FIE analyzed the VPK data from the AP1-AP3 as part of their evaluation for this year to be determined.</p> <p>Used the CLASS scores as a measuring teacher/child interactions as a program quality measure.</p>
<b>Child Care Resource and Referral –</b>	X					<p>CCRR had a significant increase in calls w/the addition of on-line referrals for families. Increase in number of families served through CCRR.</p> <p>Again applied for NACCRRRA Respite Care grant and increased the grant funding to serve more families. Continued to partner with Tijuana Flats, to provide a Holiday party and dinner for Respite care families.</p> <p>Awarded the DCF Refugee Grant to ensure refugees looking for work have child care. Developed partnership w/Dignity U Wear this year and CCRR had distribution days for families. CCRR participated in over 20 community events.</p>
<b>VPK Program Management –</b>		X				<p>Implemented on-line VPK sign-up successfully at all 3 offices.</p> <p>Assessments were recorded online as required. 95% of VPK teachers successfully met online data entry requirements.</p> <p>Quality Assurance in-house review maintained a 98.1% compliance w/child/provider files. OEL quarterly desk audits had no findings. Did not meet VPK projected number of children served. Head Start numbers were down from previous years.</p>
<b>Coalition Management</b>						
<b>Management of Third Party Providers –</b>	X					<p>Contract w/SAMSHA grant met the deliverables. We contracted w/Hope Haven and they met their deliverables. We audited their financials and there were no issues.</p>
<b>Management of School Readiness Program –</b>		X				<p>Slot budget projection realized a deficit due to bigger than anticipated number of mandatory referrals but we successfully covered the deficit. Were able to get higher percentage return on SR Packets. Set up online referral process w/DCF/FSS to ensure at-risk children</p>

						were served in accordance w/statute and in a timely manner.
<b>Management of Child Care Resource and Referral – CFR (Child and Family Resources)</b>	X					CCRR transformed to be Child and Family Resources to better reflect what we do. The department’s redesign reflects our agency’s focus on serving the families holistically when they need our assistance. Staff Leadership focused on hiring, training, developing processes to better serve our customers. CFR works w/Players Center at Wolfson’s Children’s Hospital to refer families eligible for Kid Care Insurance. Staff worked w/OEL on new CCRR rule development. Staff has streamlined processes for eligibility and referral and we have implemented referral portals that have been duplicated by 7 other coalitions.
<b>Management of VPK Program -</b>	X					Provider outreach and support to ensure quality programs. Worked w/DCPS to implement additional school year VPK programs and w/LSF to enroll Head Start children into VPK.
<b>Financial Management -</b>	X					Maintains appropriate budgetary controls, monitors activities, initiates timely and effective corrective actions, stays within budget, and makes appropriate budgetary recommendations. Ensured that all dollars are expended by fiscal year end. OEL fiscal monitoring had no significant findings. No significant findings by OEL in Financial area or the Performance Review and quarterly desk reviews. Independent audit by LBA had no findings.
<b>Coordination and Communication</b>						
<b>Office of Early Learning–</b>	X					Maintained strong communication w/ OEL. Chaired Legislative Advocacy Committee for Association of ELC’s. Currently serve on the REL Southeast Research Alliance committee. Effective in advocating for strong health and safety Early Learning legislation however the bill died again this session. Empowered DELDN to address Legislators in Tallahassee to advocate for quality and change in the VPK assessment. Provided Advocacy training for Providers with former legislator as guest speaker.
<b>Parents -</b>		X				Continued to provide Born Learning (BL) United Way Workshops. Partnered w/Family Foundations on Financial Literacy Week and w/their 1000 in 1000 program to provider BL training to their participants and an additional course focused on choosing quality child care. Partnered with DCPS by providing Born Learning training as part of their Parent Academy. Received a grant from FSS to provide BL trainings to the parents who were court ordered to attend training. Successfully designed and implemented our robust parent resources website. Awarded a grant for a

						Grass Roots family engagement program.
<b>Community Partnerships -</b>	X					<p>I am involved in many community partnerships and take an active leadership role. I was an active participant in the JCCI Children 1-2-3 Implementation Workgroup. I am the chair of the Regional Committee of the Children’s Movement. My involvement w/our community includes: United Way Success by Six Partnership Council; Kid’s Coalition Steering Committee; FSS Child Welfare Early Education Program; System’s of Care Initiative Board of Directors; Non Profit Center Legislative initiatives; On the Board of the Downtown Rotary and the Neighborhood Alliance Development Corporation in New Town area. Serve on Wolfson Children’s Family Birth &amp; Newborn Center Advisory Council. Chair of the early literacy subcommittee for DCPS <i>Read it Forward Jax</i> initiative.</p> <p>Serve as ex-officio member of JCC Board and serve on the JCC governance committee. I serve on the REL Southeast School Readiness Research Alliance. I serve on many OEL workgroups as needed.</p>
<b>Board of Directors -</b>	X					<p>Shared information with members and meetings are well attended and generate good policy discussions. Recruited valuable new active members this year.</p>

**Notable Accomplishments 2014-15:**

- Successfully implemented Guiding Stars of Duval’s 2.0 version and due to a strong advocacy effort a pilot was put into legislation.
- Increased funding for the Navy Respite Care Grant.
- Planned and implemented lease expansion at our Northside office. Received Deerwood Rotary Grant to support toys and furnishings.
- Launched the new parent friendly community website: [www.earlylearningjax.org](http://www.earlylearningjax.org). Added funding by securing additional website sponsors: Blue Foundation; UW; FSS and Nemours Bright Start
- Successful first ever fundraiser: Birth to 5K walk/run and secured sponsors for event.
- Developed strong partnership w/PNC bank. Received \$12,000 in grant funding from PNC and expanded our partnership w/the opening of our Dignity U Wear Closet on the Northside.
- Successful development and implementation of the new Board strategic plan for ELC.
- Revised and submitted the required State School Readiness Plan.
- Partnered w/Lutheran Services Florida and we were awarded an Early Head Start/Child Care Partnership grant to serve an additional 100 children in high need zip codes.
- Asked to serve on a panel entitled “Voices from the Field” at an Early Head Start/Child Care Partnership training in Washington, D.C.
- Received a grant for \$173,000 from the Rice Foundation for a 3-year Family Engagement program.
- Received an FSS grant to support court-ordered trainings for families.
- Held a 10 year anniversary celebration for Guiding Star of Duval. Mayor attended and spoke.
- Represented ELC at an invitation only dinner at the Governor’s Mansion.

**2014-15 Goals:**

**1. Establish an active Parent Advisory Council from school readiness and VPK parents.**

**Accomplished:**

**Held numerous family focus groups at child care centers across the community. Had a group of families interested in being involved in the Parent Advisory Council and we held several meetings. The Rice Foundation wanted to fund a more “grass roots’ program implementing Parent Advisory Councils at individual child care centers. Program is getting started and we continue to communicate w/our families and we have a family newsletter that goes out quarterly.**

**2. Complete Strategic Plan activities as set forth in the Plan time line. Submit and get approval for our new State Plan required by OEL.**

**Accomplished.**

**3. Secure funding for Parent Council and other quality initiatives from Businesses and/or Grants.**

**Accomplished:**

- **Rice Family Foundation 3 year Grant for Family Engagement - \$173,000**
- **PNC – Grow up Great Volunteer hours – Grant for \$12,000**
- **Funding for Community Website in addition to Community Foundations, \$135,000 3 year grant: Blue Foundation, Nemours, UW, FSS, totaling an additional \$20,000.**
- **Deerwood Rotary funding for Northside - \$7,000**

**2015-16 Goals:**

- 1. Successful implementation of the Provider Portal and any new OEL Family Portal. Continue to implement technology strategies when available to streamline administrative and staffing costs.**
- 2. Meet the deliverables in the Board Strategic Plan and revise Plan as necessary to keep it current and viable.**
- 3. Raise necessary funding to continue the updating and maintenance for the community website.**
- 4. Take the leadership role in developing a community partnership effort around quality early learning and the importance of school readiness.**

# The Early Learning Coalition of Duval, Inc.

**POSITION:** Executive Director

**REPORTS TO:** Chairman of the Early Learning Coalition of Duval

**SALARY RANGE:** Beginning salary commiserate with experience

**MAJOR FUNCTION:** Responsible for the overall leadership and operational management of the Early Learning Coalition. Responsible for establishing systems for evaluation and for ensuring continuous quality improvement in early learning in Duval County. Support efforts to move forward the vision, mission and goals of the Early Learning Coalition of Duval.

**DUTIES AND RESPONSIBILITIES:**

- Develops and implements work plan based on the approved Coalition Plan.
- Supervises, develops and appraises staff.
- Oversees communication for the organization.
- Educating, training, and communicating with the Coalition Board, staff, providers and partners.
- Works with the providers to ensure high quality delivery of child care, voluntary pre-kindergarten, quality enhancement and other services to all children.
- Oversees the preparation of requests for proposals or invitations to negotiate.
- Identify and develop collaborative opportunities.
- Assist the Coalition in the identification and recruitment of new board members.
- Prepares policy recommendations for the coalition.
- Participates with communities, agencies and organizations to build partnerships that impact the early education and care system.
- Provides direction and technical assistance to the Coalition.
- Oversee system design and evaluation of Coalition and contracted programs.
- Staying knowledgeable about legislative issues.

**Requirements:**

- Masters degree in early education, non-profit administration, health, education or human services related field.
- Three years proven successful experience in Human Services organization and delivery.
- Proven supervisory and leadership abilities.
- Training and or experience in early education preferred.
- Demonstrated ability to interact effectively with community groups, state agencies, governmental representatives and community leaders.
- Knowledge and experience in budget development and financial management.
- Knowledge and ability to use computer applications and hardware.
- Effective verbal and written communications skills.
- Ability to work flexible hours.

Other duties as assigned.

1. Tell me what you know about the Coalition and how you think your past experience will fit in with our work here.
2. Which parts of our work here do you think are most suited to your skill set?
3. Which parts might prove most challenging?
4. Can you share with me some ways that the organization (or organizations) you were previously affiliated with changed in some positive ways as a result of your leadership?
5. This Coalition has a reputation for excellence due to the high level of competence and motivation on the part of staff. What do you think are some of the ingredients for maintaining positive work climate and motivating staff to high levels of performance?
6. Can you give me some examples of how you put those ingredients into practice in some specific situations?

These are some general questions related to work availability:

7. When would you be available to start working at the Coalition?
8. Would it be necessary for you to relocate if you were to be appointed to this position?
9. The Coalition covers four counties in Florida and requires a good deal of driving to visit various locations. In addition, there are many state meetings that the CEO must attend across the state, and this, also, requires extensive travel. Would this level of driving and travel pose any challenges for you?
- 10. The vetting process requires some background screening and checking on past work experience as well as on prior education. Are you agreeable to these reviews? If so, Nga Cotter, our CFO will be confirming that with by email. What is the best email address to reach you?**

Thank you for your time; we will be in touch with you shortly.



## MEMORANDUM

**TO:** Mary Ellen, Tom Bamrick, Gayla Thompson, Nga Cotter

**FROM:** Kathleen Reynolds

**DATE:** 7/25/12

**SUBJECT:** Interview Schedule for CEO Semi-finalists\

Nga – bringing you up to date on what happened Friday afternoon.

On Friday we did a review of 22 candidate applications and agreed to interview eight semi-finalists who were identified by a minimum of two recommendations from the internal review committee.

Members of the review committee will contact each of two semi-finalists, introduce themselves, ask when is a good time for a fifteen minute or so conversation, and proceed. The questions attached are the questions to be used in this process. We will reconvene next week at a mutually convenient time to share results and codify recommendations for the Search Committee.

**IMPORTANT** – if an ELC application is not on file in the packet you received from the candidate, in your conversation, please ask that they access the website and complete the application included under Career Opportunities.

Gayla and Nga have received copies of the candidates they are to contact. Mary Ellen and Tom are receiving them electronically.

Thank you, as ever, for your support with this.

K:k



# AGENDA

Early Learning Coalition of Southwest Florida

Search Committee

CEO Applicant Interviews

- Welcome
- Introductions: Name, affiliations, role / involvement with the Early Learning Coalition
- Core Questions and Responses
- Open Questions from Members of the Search Committee
- Candidate's Questions
- Adjournment



## The Early Learning Coalition of Southwest Florida

Criteria	Interviewee, date, time	Interviewee, date, time
Education		
Leadership Experience		
Finance Experience		
Experience as Consensus Builder		
Experience working with Boards/Legislators		
Communication Skills		
Knowledge of Education/Early Learning Programs		
Fundraising/Public Relations Experience		

Core Interview Questions:

1. Please give us a brief summary of your background and explain how that experience might fit with the work of the Early Learning Coalition.
2. Please explain how some previous organization that you were affiliated with changed as a result of your initiatives.
3. Can you elaborate on some really significant obstacle that you encountered in your previous work life and how you addressed it?
4. What would some of the components be in your entry plan to the CEO role of the Early Learning Coalition?
5. What are some of the crucial elements in supporting high levels of staff performance? Can you provide some examples of how you have put these into practice?
6. This position requires visibility and interaction with a wide range of stakeholders, including state and local elected officials, media representatives, and child care providers from varying backgrounds and cultures. Please explain to the Committee how your past experience and skill set prepares you to effectively work with all of these groups.
7. Can you give us a summary statement about why we should choose you for this position, and please include in that statement the issues that you think initially might prove the most challenging if you were selected.

Candidate:

Criteria:

Commitment to Mission and Knowledge of Human Development

(ability to commit to organizational mission and clients served)

Leadership Potential at Local and State Levels

(ability to confidently guide organization and to enroll people into action; ability to effectively represent organizational goals and accomplishments to various stakeholders, including legislators)

Entrepreneurship

(ability to understand organization's responsibilities to clients and to develop a vision, strategies, and directions to serve those customers and deliver on mission)

Fundraising

(ability to provide leadership in fundraising issues required by the state)

General Management & Internal Operations / Systems

(ability to guide development of overall structure, methods, and controls – organize the whole, plan the action / follow the plan, develop methods/systems and exercise control)