Independent Living Council of Wisconsin, Inc.

Succession Plan

# PLANNING AND PREPARATION

The Board of Directors and Management of the Independent Living Council of Wisconsin, Inc. (ILCW) recognize that a realistic Succession Plan is critical to the future of a strong organization. ILCW has grown in complexity recently becoming a 501(c)(3) organization and with this growth requires a talented and stable management structure. To insure that committed, capable and experienced management continues to occupy leadership positions, ILCW is adopting this specific process in order to:

1. Ensure continuous service;
2. Anticipate future positions needs;
3. Identify and prepare interested, capable employees for advancement opportunities;
4. Hire and groom future leadership.

This Succession Plan assumes that:

* Qualified candidates will be sought for the position
* The primary role of the Board of Directors is to set the general direction, and ensure the stability and soundness of ILCW. They pledge to protect the interest of the consumers by establishment of policy and maintenance of financial strength.
* The primary role of the Executive Director is to direct the agency in a way that considers both the long and short-term interests of the consumers, directors and staff.
* The Executive Director determines the role of each staff member and each report directly to the Director.
* Each staff member is responsible for the day-to-day operations of their assigned area.
* Each staff member will establish goals and objectives that have been approved by the Executive Director to assure that their responsibilities are on course and have been met. These will be reviewed with the Executive Director.
* Each staff member is responsible for their own functional duties and the coordination of duties with their supervisor. They have responsibility for providing the Executive Director with timely information that would have impact on the well being of the agency.
* ILCW provides each position with backup and support where appropriate, thus insuring uninterrupted service to the team and the consumers.
* ILCW will provide education and training appropriate to the advancement of the individual and the organization.

# EXECUTIVE DIRECTOR

The Executive Director is accountable to the Board of Directors for the efficient and effective operation of ILCW, the safeguarding of personnel, funds, records and property, carrying out the policies as contained in the bylaws, government regulations and promoting good consumers, employee and public relations. A controlled notification of intent to vacate Executive Director position allows for an orderly preparation. This plan addresses both Emergency Succession and Planned Succession.

# GENERAL GUIDELINES

1. The Board of Directors/Executive Committee is responsible for appointing an appropriate interim Executive Director whenever necessary.
2. The Board of Directors shall have the authority to engage and compensate external expertise for the search and/or hire process. This may include, but not be limited to: attorneys, search consultants or relocation consultants.
3. The Board of Directors shall be responsible for all internal and external communications related to the departure of the current Executive Director, conduct of an executive search, and the announcement of the successor.
4. Executive Director candidates may request privileged, confidential and/or publicly distributed information relating to the business and financial affairs of ILCW. The Board of Directors shall have the right to determine what information may be provided to the short list of qualified candidates. This information may include: financial, business, legal, regulatory, active or pending litigation, contractual and other. In some circumstances, the disclosure of, or failure to disclose, pertinent information to candidates may constitute a basis for subsequent legal recourse, and the Board of Directors may want their decision to be guided by legal counsel. Candidates prior to release of information will sign a Confidentiality Agreement Form. See attachment A.
5. A change of Executive Director audit will be performed at the appropriate time by an experienced auditing firm to protect both the outgoing and incoming Executive Director. The Department of Financial Institutions will be contacted regarding auditing firms.
6. The Executive Director will keep an up to date password list with the Board President.

# PLANNED EMERGENCY SUCCESSION

In the event of the emergency absence of the Executive Director, the Board of Directors will take the necessary steps to provide for the duties and responsibilities of the Executive Director until such time as the Executive Director returns or a new Executive Director is named. The Board will call a special meeting as soon as possible for the purpose of naming an Acting Executive Director. This person should be a current active member of the management team. It is expected that his person, with assistance from other management team members will continue to manage the agency operations until a permanent successor is found or the Executive Director returns to work.

If a permanent replacement is necessary, the board will as quickly as possible select and implement a process to be used in hiring a new Executive Director.

### THE FIRST 24 HOURS

| **Activity** | **Responsibility** |
| --- | --- |
| * 1. The Board/Executive Committee of ILCW will be responsible for the agency until and unless the Board of Directors make the appointment of an interim Executive Director.
 | Board President |
| * 1. The following will be contacted and informed of the vacancy:

Wisconsin Coalition of Independent Living Centers, Maureen Ryan, Exec. Director, (608) 444-3842National Council of Independent Living (202) 207.0334State of Wisconsin – DVR, State of Wisconsin DHFS /DDES 608-266-0554 | Board President |
| * 1. A meeting of the Board of Directors/Executive Committee will be convened as soon as possible by the Board President preferably not more than 24 hours after notification.
 | Board President |
| * 1. A meeting of the full employee team/staff will be held to explain the situation and the anticipated actions. The team will be reminded that the Board of Directors is responsible for any communication related to the situation. Explanations of how they are allowed to relate the situation to members, etc. will be provided.

Considerations for discussion include:1. Fact that former Executive Director is no longer responsible for ILCW.
2. Reason for departure-if it can be shared.
3. Response that team members are allowed to give to members, vendors and others who ask.
4. Person or persons responsible for providing information to the media, members, vendors and others.
5. Person named as Interim Executive Director.
6. Projected process for replacement of Executive Director with anticipated time frames.
7. When and how additional information will be provided.
 | Board President or Interim Executive Director |
| * 1. Direct the Accountant to notify the following:To be provided by the Accountant from Quickbooks.
 | Board President or Interim Executive  |
| Agency | Contact | Phone # | Director |
| *List:*AccountantPayrollInsurance CarriersBanks – Checking, etc.AuditorVendorsPension Admin |  |  |  |
| 1. Determine need to:

1. Secure records2. Cash, checks, money orders and traveler’s checks | Board President |
| Employee files* + 1. Change combinations and locks if deemed necessary
1. Door locks at all facilities
2. Security codes at all facilities
3. Vault and safe combinations at all facilities
 | Board President or Interim Executive Director |
| * + 1. Secure personal property of departing Executive Director
 | ? |
| * + 1. Change authorization cards, as appropriate
	1. Credit card
	2. Phone card
 | Accountant |
| * + 1. Enact necessary Board Resolutions, as appropriate
 | Board |

### THE FIRST WEEK (within 5 business days)

| **Activity** | **Responsibility** |
| --- | --- |
| 1. Board of Directors/Executive Committee will:
2. Determine course of action
3. Establish time frames
 | Board |
| 1. Board President to consider morale, organizational climate and interim management styles.
 | Board President |
| 1. Interim Executive Director will provide support and leadership to the Board.
 | Interim Executive Director |
| 1. Determine appropriate compensation for Interim Executive Director.
 | Executive/Finance Committee |
| 1. Executive/Search Committee to begin replacement process.
 | Executive/Search Committee |

### THE FIRST MONTH

| **Activity** | **Responsibility** |
| --- | --- |
| 1. The Board of Directors will proceed with processes toward hiring of new Executive Director. Follow guidelines as indicated under Planning & Preparation and General Guidelines.
 | Executive/Search Committee |
| 1. Board will maintain strong communications with both the Staff and the Board members as to the progress of events. It is critical that they feel informed and assured.
 | Board President |
| 1. Attempt to fill the Executive Director position within 90 days or less.
 | Executive/Search Committee |
| 1. Consider necessity of more frequent board meetings.
 | Board President |

### PLANNED EXECUTIVE DIRECTOR REPLACEMENT

| **Activity** | **Responsibility** |
| --- | --- |
| 1. Normally a planned, timed replacement of the Executive Director allows appropriate preparation and transition of change. The Board of Directors would hope for 60 – 180 days of announcement of intent to leave in order to have an orderly transition.
 | Board President |
| 1. The successor hired by the Board could be an existing member of the staff, or a person selected from applicants from outside the agency.
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### INTERNAL PROCESS

The following are the administrative guidelines on which ILCW will proceed to fill a proposed Executive Director vacancy.

| **Activity** | **Responsibility** |
| --- | --- |
| 1. The Board of Directors will follow the sequences below for the orderly replacement of Executive Director. The final schedule of these steps will be determined by the Board/Executive Director.
 |  |
| ● Assign Executive/Search Committee as needed | Board |
| ● Determine if Consultant will be used | Board |
| ● Establish budget requirements | Board |
| ● Refine Attributes and Expertise desired | Board |
| ● Refine Job Description | Board and Executive Director |
| ● Refine Compensation Package | Board |
| ● Compile potential Consultant Firms | Executive/Search Committee |
| ● Notify all staff of vacancy | Board |
| 1. Securing applicants for the position:
 |  |
| ● Prepare Advertisement | Executive/Search Committee |
| ● Publish Advertisement | Executive/Search Committee |
| ● Begin Interviews | Executive/Search Committee |
| ● Select short-list of candidates | Executive/Search Committee |
| ● Conduct second interviews | Executive/Search Committee |
| ● Conduct testing, credential search and references | Executive/Search Committee |
| 1. Once new Executive Director is hired:
 |  |
| ● Confirm new Executive Director | Board |
| ● New Executive Director begins position | Executive Director |
| ● Introduce new Executive Director at | Board |
| ● Acknowledge current Executive Director retiring or leaving | Board |
| ● A transition time may be determined by the Board | Board |
| ● Publish articles in appropriate publications | Board |

The following are the functions, activities that may apply to the guidelines for filling Executive Director vacancy:

| **Activity** | **Responsibility** |
| --- | --- |
| 1. **Executive/Search Committee -** may be appointed by the Board of Director with the responsibility of monitoring the plan, the timeliness of the process and to recommend the final candidates to the Board of Directors. Members of the Board of Directors will make up the Executive/Search Committee in part or in total. Committee will consider the involvement of Independent Living Center’s management as part of interview team. It is recommended that the Committee consists of at least three individuals and one director from another state Independent Living Center. The current Executive Director will be involved with the search as the Board sees fit.

The Board of Directors will determine if the Executive/Search Committee will act on the full responsibilities of the search process, or if an outside consulting firm will be used for the bulk of the processes. If an outside firm is hired, it is important to determine their responsibilities and cost and to solidify details in a signed, written contract. Assistance in determining a consulting firm may be obtained from recommendations from other Independent Living Partners. It will be important to use a firm who is familiar with the needs and philosophy of Independent Living Centers. | Executive/Search Committee |
| 1. **Update Job Description** – The Board of Directors, with assistanceof the interim Executive Director will update the Job Description and other appropriate information for the position and provide this data to the Executive/Search Committee or Consulting firm.
 | Board and Interim ExecutiveDirector |
| 1. **Advertisement of Position – t**hrough appropriate publications for the Executive Director position.
 | Executive/Search Committee |
| 1. **Screening** – qualifying candidates may be the most time-consuming element in recruiting for the Executive Director position. The Committee may want to review the means of conducting a comprehensive screening process. Normally all resumes will be reviewed for basic qualities and experience and reduced to a workable number. Final interview candidates will normally be limited to 3 – 5 candidates. Final presentation to the Board should be the person determined to be the best candidate by the Executive/Search Committee and/or consulting firm. If this selection is not accepted by the Board of Directors, the Committee and/or consulting firm should then present their second choice option.
 | Executive/Search Committee |
| 1. **Verification –** of candidate credentials and employability may include, but not limited to:

A. Educational transcriptsB. Reference checksC. Credit Bureau reports | Executive/Search Committee |

During the search for a new Executive Director, the Board will be open to input from the staff, as it deems necessary to continuing the management of the agency and the selection of the new Executive Director.

# CHANGE OF EXECUTIVE DIRECTOR AUDIT

A. Change of Executive Director Audit review should include, but not be limited to the following:

 1. Secure keys to all agency locks.

1. Change all locks and combinations, if deemed necessary.
2. Inventory agency safe deposit box, if applicable. Review latest entries and entrance card.
3. Review supply of blank checks, money orders, traveler’s checks, etc.
4. Remove Executive Director’s name from records authorizing them to perform business on behalf of the agency.
	* Bank account to include signature facsimile on all check endorsers
	* Safe Deposit Box
	* Pension administrator
	* Insurance companies
	* Vendors
5. Request cut-off ILCW bank statements and reconcile.
6. Review Executive Director related accounts at agency.
7. Review all loan documentation associated with accounts in item #10 for completeness.
8. Secure any credit cards issued to Executive Director in the agency name.
9. Supervise the removal of personal possessions.
10. Normal employee exit process will apply.
11. Inform staff of change and prepare a response for them for consumer/agency questions. A person designated by the Board of Directors should handle specific questions, particularly from third parties.

# First 24-Hour Contact List:

Board of Directors:

LIST BOARD

Staff:

**LIST STAFF**

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CONFIDENTIALITY AGREEMENT FOR
EXECUTIVE DIRECTOR APPLICANTS

I understand, as an applicant for a position with Independent Living Council of Wisconsin, Inc. (ILCW), that I may obtain certain confidential information (including but not limited to financial data; strategic planning and marketing plans; other proprietary information; etc.) that belong to ILCW.

I agree to only use or disclose any such confidential information in the evaluation of employment opportunities with ILCW. I understand that any improper use or disclosure of such information may cause termination of my involvement with ILCW, and could also cause legal action to be taken against me.

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| --- | --- |
|  |  |
| Applicant Signature  | Date |
| Witness Signature  | Date |