

YALSA Executive Director Succession Planning Policy and Procedures

(adopted by the Board of Directors, June 29, 2015 and adapted from the Nonprofit Risk Management Center's ED Succession Plan)

Background

There are a variety of circumstances in which YALSA would require an Executive Director (ED) succession plan, some of which provide time to think through next steps in a careful, methodical way (e.g. the ED decides to take another position and provides notice to the board, or the board provides notice to the ED that his or her services are no longer needed as of a future date), and others that occur under circumstances that provide no warning (e.g., the ED is asked to leave immediately by the board, or they become disabled, has a serious illness, or dies). While many of these circumstances are not happy ones, it is inevitable that there will be a leadership change at YALSA in the future, even if it is not imminent.

Leadership transition is a process that begins long before the outgoing leader departs, and it presents an opportunity to move forward with a new understanding of the issues the organization must address at that time. A succession plan provides for an orderly and seamless transition that will minimize disruption to the organization and allow the board and staff to focus on moving forward in a productive and unifying manner.

Succession planning is a shared responsibility of the board and the ED. BoardSource (www.boardsource.org) founder Nancy Axelrod has defined succession planning in the nonprofit sector as an “ongoing, systematic process that boards, with the help of chief executives, can use to create an environment for chief executives to succeed from the very beginning of their terms until the cycle is repeated with their successors. Succession planning works best when board members and the incumbent executive director collaborate in advance in a purposeful manner to create the conditions for a successful executive leadership transition- whether or not it is expected in the near term.”

An article published by the consulting organization Help4Nonprofits notes that the topic of succession planning is one that both boards and ED's are at high-risk to avoid, despite the obviously negative repercussions of unpreparedness during a time of transitions. Boards avoid the discussion because they don't want the ED to be offended by the conversation if she or he plans to stay on. ED's avoid the discussion because they don't want their boards to worry that they might be considering leaving. The need to develop a succession plan for the organization has been articulated by both the board and the current ED. This project enjoys the full support of the organization's leadership team.

Elements that are regarded as essential to creating a climate of success for an effective transition include:

- Organizational Discussion Questions (Attachment A)
- Board and Executive Director Responsibilities (Attachment B)
- Sample Board Assessments (Attachment C)
- Executive Director Evaluation Process (Attachment D)

- Sample Executive Director Performance Evaluation Survey (Attachment E)
- Providers of Interim ED Services (Attachment F)
- Draft Advertisement (Attachment G)
- ED Position Description (Attachment H)
- Organizational Chart (Attachment I)
- Emergency Succession Planning Checklist (Attachment J)*

Within the context of ALA, all personnel including Division Executive Directors, are subject to ALA policies, including the Operating Agreement. This Agreement is found in section A4.3.4.1 of the ALA Policy Manual. A subsection of the Agreement (4.3.4.8), called Personnel, provides basic information about Division staff. Part of the agreement reads: “The recruitment, appointment, and termination of Division Executive Directors shall be a process involving consultation by the ALA Executive Director with the Division Board of Directors or its designates.” The ALA Policy Manual can be found at: www.ala.org/aboutala/governance/policymanual

As a best practice in organizational preparedness, this document and its subsequent attachments should be reviewed annually by YALSA’s Board, updated as needed, and included as an item (most likely as a consent item) in the YALSA Annual Conference meeting agenda. In addition, the Executive Director is also expected to maintain an annual calendar outlining time sensitive tasks, as well as lists of contacts; including contractors, clients, and donors to be shared with YALSA’s Membership Manager and President following the Annual Conference each year.

Scenario 1: Emergency Succession Plan

In order to ensure that the mission of YALSA continues uninterrupted in the event that YALSA’s ED is no longer able to perform his/her duties in an emergency situation, the following steps will be taken:

- The staff member who first becomes aware of the situation involving the ED (e.g. their death or disability) will notify the president, who will then notify the board. If the board becomes aware of the situation involving the ED before the staff is aware, the president will contact all YALSA staff to inform them of the ED’s status.
- The Executive Committee will convene virtually within 48 hours to:
 - Finalize communication which will be shared with the interim ED providers who will be asked to submit proposals to provide interim ED services (Attachment F)
 - Review the emergency Succession Planning Checklist (Appendix J)
 - Determine whether any change in the above strategy is warranted due to unusual circumstances
- The president will notify the full board of the Executive Committee’s actions within 2 hours of the meeting.
- The president will notify the ALA Senior Associate Executive Director within 2 hours of the meeting.

- The president will contact each major client for whom the ED was the primary contact to notify the client about the change in circumstances and discuss next steps with regard to ongoing work.
- The president will contact each major donor to the organization to notify them of the change in circumstances.
- The president will contact the organization's major contractors to discuss changes in the approval process for contractor assignments (e.g. assignment and approval of work, approval of invoices, etc.).
- The president will meet with YALSA staff virtually to keep them apprised of conversations with contractors, donors, and clients, including required action on the staff's part (e.g. assuming responsibility for projects, identifying contractors to complete assignments, re-assigning invoices/billing to a credit card that is not the ED's, etc.). At this time, the president will also review and assign responsibilities as needed as found in the Executive Director's annual calendar and task list.
- If the Executive Committee along with the ALA Senior Associate Executive Director determines that the ED is no longer able to return to his/her duties, the long-term succession plan and search and selection process will begin as described below.

Scenario 2: Long-Term Succession Plan

As soon as the Executive Committee and the Senior Associate Executive Director determines that the ED is no longer able to return to their duties, YALSA's president will work with ALA's Senior Associate Executive Director to begin the process of recruiting and selecting a new ED, in compliance with ALA Human Resources policies, and will inform the board. The president will communicate preliminary discussion items and set a date for a full board meeting.

ED Search and Selection Process

Prior to the board's meeting, the president will:

- Share the Organizational Discussion Questions with board members for small virtual or teleconference meetings with standing board committee groups (Attachment A).
- Request board members to complete a board self-assessment to identify strengths, gaps, and priority areas (Attachment C).
- Review past Executive Director evaluations (as described in Attachment D).
- Compile results as needed for discussion at the full board meeting.

During the board's meeting, it will determine:

- Organizational needs and priorities as garnered from standing committee organizational discussions, the board self-assessment, and past ED evaluations (Attachments A, C, and D).
- If changes are required to the Draft Advertisement (Attachment G) and Draft ED Position Description (Attachment H).
- Whether to use an executive search firm or a different process to promote the position opening. If the former, the board will discuss and approve an expeditious process and

timetable for identifying prospective search firms and engaging the firm whose proposal is the best match for the organization's needs and resources.

- The timing of the departure and involvement in search process of the current ED, if appropriate.
- The communications strategy that will be used to announce to staff and associates, major clients, donors, and partner organizations as appropriate.
- The appropriate makeup of the search committee. This committee should include key member leaders (such as board members and/or recent past presidents) as well as select YALSA and ALA staff members (e.g. Senior Associate Executive Director, a fellow Division Director, HR Director).

Following the board meeting, the president will:

- Work with the Senior Associate Executive Director to coordinate the announcement of the position opening and to ensure that the position is advertised on a timely basis.
- Keep the staff (including the interim ED/contractor) informed of key developments in the process.

Once formed, the search committee will:

- Review incoming applications and select candidates to interview.
- Coordinate and conduct interviews with ALA's HR department.
- Select a candidate, or if none of the candidates are deemed appropriate, reopen the search and continue working until the position is filled.
- Work with the Senior Associate Executive Director to develop and recommend, for approval by the Board, a compensation package (and contract, if applicable) and share it with ALA's HR Department.
- Provide assistance and input as needed to the HR Department through the candidate review/background check and salary negotiation process.
- Work with YALSA staff to put together and disseminate an official press release announcing the new ED.
- Work with the Senior Associate Executive Director and in-coming ED on a transition plan.
- Design and provide an orientation for the new ED and follow up as needed with additional information or training

Conclusion

In an article by Robert Van Hook in ASAE's *Executive Update*, Van Hook defines an executive transition as "the process that occurs between a departing executive's announcement of his or her departure and the three to six months after a new executive is on board." The author suggests that a successful executive transition is one that results in the following:

- A clean break with the organization that brings closure and a sense of the value of the executive's tenure.
- Effective executive leadership during the interim that maintains or enhances the organization's momentum and preserves the outgoing executive's credibility.

- The employment of a new executive who will succeed because his or her skills, values, and experience align with the association’s culture and strategic direction.
- A board and staff that have dealt with the departure of the outgoing executive and are ready for and supportive of the new leader.
- A board with a clear sense of purpose and expectations for the new executive, as well as a system to assess performance and manage the relationship.

Of course, and as discussed previously, there are instances when an executive transition is triggered by an emergency such as the death of the ED or the Board’s decision to replace the ED with or without cause. The goals listed above are equally valuable if the need for a transition is necessitated by these or similar circumstances.

Resources

- Axelrod, Nancy R. *Chief Executive Succession Planning*. BoardSource, 2002.
- Adams, Tom (Editor), the TransitionGuides Team. “TransitionLeader,” *TransitionGuides*, Volume 1 No. 2, Summer 2003.
- Cheng, David Hinsley. “Succession: Preparing Future Leaders.” ED Update, August 3, 2006.
- Ernest, Elaine H. “Next in Line.” *Association Management*, American Society of Association Executives and The Organization for Association Leadership, October 2003
- Gottlieb, Hildy. “Succession Planning: The Elephant in the Room,” Help 4 NonProfits, 2006.
- Mamprin, Andre. “Next in Line: Five Steps for Successful Succession Planning.” *Executive Update*, ASAE/Organization for Association Leadership, December 2002.
- Masaoka, Jan & Wolfred, Tim, “Succession Planning For Nonprofit of All Sizes,” Board Café, September 19, 2005.
- Price, Mindy Lubar. “Emergency Succession Planning for Nonprofit Organizations,” Executive Transitions Initiative, Donors Forum of Wisconsin reprinted with permission from Wisconsin Philanthropy News Volume V Issue 3, 2005.
- Price, Mindy Lubar. “Succession Planning and Sustainability in Nonprofit Organizations,” Executive Transitions Initiative,” Donors Forum of Wisconsin.
- Tessler, Claudia. “Point of Departure: Thinking Far Ahead About the Future.” ASAS/The Organization for Association Leadership, 2007.

ATTACHMENT A

Organizational Discussion Questions

1. Mission and Values
 - Do the organization's programs, services, and products reflect our mission?
 - Is the organization's current mission statement an adequate reflection of our organization's present reason for existence?
 - What will be most important for the organization's next chief executive to understand about our mission?
2. Vision
 - Does the board have a collective vision of what will be different three to five years from now as a result of the work of the organization?
 - What are the principal accomplishments we want to produce during the next five years?
 - How will we expect our next chief executive to help us define and create our preferred future?
3. Financing
 - What are our major sources of revenue and what proportion of our expenses do they support?
 - Are our key revenue sources rising or falling?
 - Do we have sufficient reserves?
 - What expectations will we place on the next chief executive to generate new revenue, explore alternative revenues formulas, or employ other measures to create greater financial stability (e.g., increasing corporate support, obtaining new grant funds, expanding product/service offerings, launching a membership program)?
4. Governance
 - How does the board add the greatest value to the organization at this time?
 - Which areas of governance or board operation are in need of attention or improvement? What needs to change before we hire the chief executive? How will we expect our next chief executive to help the board address these matters?
 - How can the board and the next chief executive work most effectively together to build and maintain a strong working relationship?
 - What kind of authority is the board prepared to grant the next chief executive and what kind of accountability mechanisms should it consider to ensure responsible Board oversight of the chief executive's performance?
 - Does the current chief executive's job description need to be revised? If so, what needs updating, removing, or adding?
5. Management
 - What are our greatest human resources challenges?

- What kind of management style does our organization need in the next chief executive to recruit, motivate, and retain the best staff members? Will this require a change from the current organization culture?
- What behaviors in our next chief executive are likely to build trust, high performance, and accountability from our employees?
- What role will we expect our next chief executive to play in the recruitment management of our volunteers and leaders?

6. Communications

- How well do we keep our members informed about our work?
- How can our next chief executive help us design and implement more effective communications strategies?
- What role do we expect our next chief executive to play in our communications with our various constituents, including other associations and members of the press?

7. Institutional Culture

- Are the organization's core values still appropriate?
- Which values in particular do we want the chief executive to uphold and nurture?
- What creates the greatest frustration, confusion, or dysfunctional behavior in the organization that we will want the new chief executive to help us change?
- Will the chief executive need to fit the culture and traditions of organization, or will he or she be expected to change it? How?

8. General Questions

- What are the mega issues facing the organization that should consume the greatest amount of the chief executive's time?
- What are the key drivers of change in the external and internal environment that we expect our chief executive to help us tackle?
- What must the chief executive do particularly well in order for the organization to fulfill its mission?
- Have we recently engaged in a strategic planning process? If so, how adequate is our current plan? If not, what kind of strategic thinking process do we want our next chief executive to help us launch?
- What are the top three leadership skills that we most need from our next chief executive?
- What personal qualities and relationship skills does our chief executive need to succeed?
- What behaviors and skills do we want our chief executive to model as a leader and a manager that are important in our value system?
- What specific suggestions do you have for the board to attract, recruit, and retain the most qualified candidate?

ATTACHMENT B

Board and Executive Director Responsibilities

The Board Supports the ED in the following areas...	The ED...
Together with ALA senior management, recruits, hires, supervises, evaluates, supports and may terminate the ED	Recruits, hires, supervises, evaluates and may terminate staff and contract personnel, with support from ALA's HR Department
Approves and monitors the Annual Budget	<ul style="list-style-type: none"> • Develops, in consultation with the Fiscal Officer, the Annual Budget • Monitors expenditures to ensure compliance with the annual budget
Supports the organization's efforts to secure corporate, foundation and individual support by establishing annual goals, identifying prospective supporters, and inviting prospective supporters to contribute to the organization as donors or customers.	Manages the organization's development activities by establishing goals for foundation, corporate and individual support, by soliciting support from various sources, and by following up to ensure that donor requirements are consistent with the mission and policies of the organization and fully met.
Supports the programs and services of the organization by providing input and feedback during board meetings and directly to the ED.	<ul style="list-style-type: none"> • Manages the design, delivery and evaluation of the organization's programs and services. • Seeks feedback and input from the Board of Directors.
Provides back-up as necessary to the ED in communication with major stakeholders, including donors, clients and the media.	Serves as the organization's spokesperson in communication with donors, clients and the media.
Monitors the financial health and status of the organization through careful review of financial reports provided by ALA, the YALSA Fiscal Officer, the YALSA Executive Committee and the ED	Keeps the Fiscal Officer and the full Board informed about trends, activities, and outcomes with respect to financial transactions.
Actively participates in planning activities and policy-making through participation on the organization's board standing committees.	Coordinates staff support to the committees established by the board.

ATTACHMENT C

Sample Board Self-Assessments

From the National Council on Non-Profits:

The Maine Association of Nonprofits has perfectly summed up the critical importance of regular self-assessments for boards:

A strong, vibrant board of directors is a clear indicator of a healthy organization. Yet even the best organizations need a periodic check-up to ensure that they cannot just survive but will really thrive in today's environment. To check your board's vital signs, or to put in place practices and strategies for a healthy and energized board, the best place to start is with a board self-assessment.

Tools for Board Self-Assessments

In [Leading with Intent](#), a governance survey conducted by BoardSource, 51% of boards reported that they use a formal, written evaluation of their board, and 81% use written board member job descriptions, which is a useful way to clarify expectations for individual board members.

Resources

- [Is Your Board Ready for Self-Assessments?](#) .pdf (Maine Association of Nonprofits)
- Assessment tools:
 - The New Hampshire Center for Nonprofits offers an online [Board Self-Assessment Questionnaire](#) that is an easy-to-use and objective self-evaluation tool. Online administration of the tool is available at no cost to nonprofits in Massachusetts, New Hampshire, Maine, and Vermont. Other nonprofits pay an administrative fee of \$50.
 - [Nonprofit Board Self-Assessment Tool](#) (McKinsey & Company)
 - [Sample self-appraisals](#) for the board as a whole and individual board members from the Evangelical Council of Financial Accountability.

ATTACHMENT D

Executive Director Evaluation Process

POLICY

It is the policy of the Board of Directors that the Board shall conduct a formal annual performance review of the ED according to the following procedure and that compensation adjustments and other terms and conditions of the ED's employment shall be determined with ALA senior management in the context of the performance evaluation and in concurrence with ALA's Human Resources policies.

PROCEDURE

1. After the Annual Conference, the Immediate Past President will solicit comments and feedback on the EDs performance, taking into consideration the goals he/she submitted to the board at their January meeting, for the fiscal year in progress. To the greatest extent practicable, the Board shall endeavor to maintain consistency with prior years' rating factors and weights in order to provide consistent, clear expectations to the ED and continuity in the evaluation process.
2. The Immediate Past President shall distribute an evaluation instrument to the members of the Board by no later than July 15. Members of the Board shall complete their individual evaluations by no later than August 1 and shall return them to the Immediate Past President.
3. The Immediate Past President shall compile the results of the Board evaluations by no later than August 15 and shall recommend any adjustments in compensation or other terms and conditions of employment to the Board at that time.
4. The Board shall consider the recommendations of the Immediate Past President and shall modify or approve the recommendations by Sept. 1. Any recommended adjustment in compensation or other terms and conditions of employment shall be effective with the new fiscal year.
 - a) Actions of the Immediate Past President and the Board of Directors may be taken either in a face to face or virtual gathering. Any action proposed by the Immediate Past President and any action taken by the board with respect to recommended

changes in the terms and conditions of employment shall be documented in writing in the board meeting minutes and in a memorandum that will be kept in the ED's personnel file in ALA's HR Department.

- b) During each review cycle, the Immediate Past President shall gather information on compensation paid to EDs of similar nonprofit organizations, such as management assistance providers, nonprofit legal support or advocacy organizations, and research and consulting organizations. This information shall be used to assist the Board in evaluating the ED's compensation and appropriateness of any proposed adjustments.
5. The evaluation and any recommendations will then be forwarded to the ALA Senior Associate Manager for his/her consideration by Sept. 1. The ALA Senior Associate Manager has the final say on all changes in compensation and conditions of employment.
6. After September 1st but before the January meeting, the Immediate Past President will schedule a phone call or face to face meeting with the ED to review the annual evaluation.
7. The evaluation will be shared with the YALSA Member Manager to be filed for future reference.

ATTACHMENT E

Sample Executive Director Performance Evaluation Survey



Performance Review for Executive Director
Survey Form for YALSA Board Members

Period under review: example: July xxxx – June xxxx

Period in which review took place: July xxxx

Each year, YALSA's Immediate Past President leads a performance evaluation of the Executive Director with input from the YALSA Board. According to the National Center for Nonprofit Boards, the purpose of the evaluation is to:

- clarify expectations between the board and the chief executive on roles, responsibilities, and job expectations
- to provide insight into the board's perception of the executive's strengths limitations, and overall performance
- to foster the growth and development of both the chief executive and the organization

All members of the board should complete this form and submit via email to the Immediate Past President [NAME] at [email address] by [date]. Your confidential responses will be summarized and shared with the Executive Director during an upcoming meeting, as well as with the ALA Senior Associate Executive Director.

Each section begins with a brief description of an area of responsibility. Please measure your satisfaction with how the Executive Director is performing in that area according to the following rubric:

- Outstanding: Performance over a sustained period of time clearly and consistently exceeds expectations and is outstanding. Both results and how they are achieved are outstanding.
- Very good: Performance clearly meets and sometimes exceeds job requirements and significant contributions are made well beyond job demands.

- Fine: Solid and occasionally impressive performance.
- Improvement needed: Performance is frequently unsatisfactory
- I don't know.

At the end of each section and at the conclusion of the assessment are additional open-ended questions. Please take the time to answer these questions, since your responses will be especially helpful when the Executive Committee and Executive Director look for ways to strengthen the Executive's performance and the organization as a whole.

1. Overall organizational performance	
Working with the board, the executive director must develop a shared vision for the future of the organization, build understanding around the mission, and develop goals and strategies to advance that mission.	
The executive director:	
a. has worked with the board to develop a clear vision for the organization and understands her leadership role	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
b. appropriately provides both support and leadership to the board	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
c. works with the board and management staff to develop strategies for achieving mission, goals and financial viability	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
d. maintains and utilizes a working knowledge of significant developments and trends in the field	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
e. builds respect and profile for the organization in its various constituencies. Supports the overall field/movement in which the organization works	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
f. has a sense of what must change and what must remain the same in order to accomplish the organization's mission and realize its vision	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
What are the major strengths of the executive director in this area?	

How can he/she do better?

2. Community leadership

The executive director and board members are key players in establishing and maintaining positive relationships with many groups that support the work of YALSA.

The executive director:

<p>a. serves as an effective spokesperson. Represents the organization well to its constituencies, including members of YALSA, members of ALA, other nonprofits, government agencies, elected officials, funders, and the general public</p>	<p><input type="checkbox"/>Outst <input type="checkbox"/>V Good <input type="checkbox"/>Fine <input type="checkbox"/>Impr Needed <input type="checkbox"/>Don't know</p>
<p>b. establishes and makes use of working relationships with organizations and individuals in the field</p>	<p><input type="checkbox"/>Outst <input type="checkbox"/>V Good <input type="checkbox"/>Fine <input type="checkbox"/>Impr Needed <input type="checkbox"/>Don't know</p>
<p>c. sees that communication vehicles are developed and utilized well</p>	<p><input type="checkbox"/>Outst <input type="checkbox"/>V Good <input type="checkbox"/>Fine <input type="checkbox"/>Impr Needed <input type="checkbox"/>Don't know</p>
<p>d. is well regarded by his or her professional peers</p>	<p><input type="checkbox"/>Outst <input type="checkbox"/>V Good <input type="checkbox"/>Fine <input type="checkbox"/>Impr Needed <input type="checkbox"/>Don't know</p>

What are the major strengths of the executive director in this area?

How can he/she do better?

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3. Administration and Human Resources

Working with the board, the executive director establishes operational objectives that support the strategic plan. The executive director is responsible for leading the staff in the implementation of the strategic plan and any annual plans.

The executive director:

a. selects and cultivates qualified staff, models effective behaviors, and builds morale among staff and volunteers	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
b. recruits and retains a diverse staff	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
c. maintains appropriate balance between programs and administration	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
d. ensures that procedures and organizational culture maximize volunteer involvement	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
e. ensures that job descriptions are developed and that regular performance reviews are completed and documented	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know
f. leads staff in maintaining a climate of excellence, accountability, and respect	<input type="checkbox"/> Outst <input type="checkbox"/> V Good <input type="checkbox"/> Fine <input type="checkbox"/> Impr Needed <input type="checkbox"/> Don't know

What are the major strengths of the executive director in this area?

How can he/she do better?

4. Resource Development and Fiscal Management

The executive director, in partnership with the board and appropriate staff is responsible for developing and implementing appropriate financial development strategies. It is also 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.

The executive director:

<p>a. is knowledgeable regarding financial planning, budgeting, management of the organization's investments and endowment, and understands the place of each in the organization's overall financial picture</p>	<p><input type="checkbox"/>Outst <input type="checkbox"/>V Good <input type="checkbox"/>Fine <input type="checkbox"/>Impr Needed <input type="checkbox"/>Don't know</p>
<p>b. sees that programs and activities are developed, executed, modified and dismantled to maximize mission impact</p>	<p><input type="checkbox"/>Outst <input type="checkbox"/>V Good <input type="checkbox"/>Fine <input type="checkbox"/>Impr Needed <input type="checkbox"/>Don't know</p>
<p>c. presents financial reports to the board on a regular basis and submits an annual budget for board review, revision, and approval</p>	
<p>c. works with the staff, finance committee and the board to prepare budgets, monitor progress, and initiate changes (to operations and/or to budgets) as</p>	<p><input type="checkbox"/>Outst <input type="checkbox"/>V Good <input type="checkbox"/>Fine <input type="checkbox"/>Impr Needed <input type="checkbox"/>Don't know</p>

6. Are there additional comments you would like to make that are not within the above categories? Examples may include overall strengths and/or limitations, significant achievements, presence of/reaction to external factors, or suggestions for additional board support of the executive director.

7. Board Perception of the Organization

As the board reviews the performance of the executive director, it should also gauge its perceptions of the general operations and quality of the organization in the following areas. The responses to these questions may help to focus the board and executive director’s attention on specific areas of organization strength and limitations and will help guide future development efforts.

How would you rate:

Administration and Operations

- Outst V Good Fine
Impr Needed Don't know

Program Development and Delivery

- Outst V Good Fine
Impr Needed Don't know

Financial Management

- Outst V Good Fine
Impr Needed Don't know

Marketing and Public Relations

- Outst V Good Fine
Impr Needed Don't know

Long-Range and Strategic Planning

- Outst V Good Fine
Impr Needed Don't know

Fund Raising

- Outst V Good Fine
Impr Needed Don't know

Overall Quality of Staff Performance

- Outst V Good Fine
Impr Needed Don't know

ATTACHMENT F

Providers of Interim ED Services

ASAE BUYERS' GUIDE

<http://asaebuyersguide.com/>

look under: Executive Search/Recruiter, Employment Services

ASSOCIATION FORUM BUYERS' GUIDE

<http://buyersguide.associationforum.org/>

look under: Human Resources

EXECUTIVE SERVICE CORPS

<http://www.esc-chicago.org/>

contact via this web form: <https://www.execservicecorps.org/contact-esc>

SUPPORT CENTER: PARTNERSHIP IN PHILANTHROPY

<http://supportcenteronline.org/executive-search/>

contact: Don Crocker, dcrocker@supportcenteronline.org

TRANSITION GUIDES

<http://www.transitionguides.com/>

contact: Tom Adams

TRANSITION MANAGEMENT CONSULTING, INC.

<http://transitionceo.com/>

contact: Jackie Eder-Van Hook or Robert Van Hook

ATTACHMENT G

Draft Advertisement

Executive Director II, Young Adult Library Services Association

Dynamic leader sought for national association providing support and advocacy to individuals who work with or on behalf of teens in a library setting. YALSA is a subspecialty of the American Library Association. Responsibilities include working in partnership with a national board of directors, overseeing all fundraising, business/client development, consulting, and organization management activities for a mid-sized organization served by a team of paid staff. The organization's strengths include its engaged board of directors, ability to engage partners from across the library and youth communities, and ability to develop innovative programs that build libraries' capacity to serve teens. Prior experience as an association or nonprofit ED or manager and proven fund development skills required; knowledge of libraries, education and/or youth development desired, as are relevant nonprofit or association credentials, such as the C.A.E.

Advertisers

ALA's HR Department has the responsibility of placing job advertisements. The Board can recommend whether or not to pursue a national or local search as well as what advertising resources are the most desirable for posting the position. Some appropriate choices include:

- *NonProfitTimes* – www.thenonproffitimes.com
- *The Chronicle of Philanthropy* – www.philanthropy.com
 - Posting a job: https://careers.philanthropy.com/?cid=cpw_jobcenter
- ASAE/The Organization for Association Leadership – www.asaeorganization.org
 - Career Headquarters – <http://associationcareerhq.org>
- Association Forum of Chicagoland – www.associationforum.org
 - Career section - <http://careers.associationforum.org/employers/>
- CEO Update -- <https://www.ceoupdate.com/>
 - Post a job -- <https://www.ceoupdate.com/post-job>

ATTACHMENT H

ED Position Description

Adapted from the Nonprofit Risk Management Organization

Nonprofit Risk Management Organization

Responsibilities

Achievement of Organizational Outcome Goals. As the board's sole official link to the operating organization, the ED is accountable for overall organizational performance and exercises all authority transmitted to the organization by the board. The director and the board establish the long-term strategic direction of the organization and annual outcome goals. The ED's performance is considered to be synonymous with organizational performance as measured against these outcome goals.

Product and Service Development and Delivery. The ED is responsible for overseeing the development of new products and services that anticipate and meet the needs of the nonprofit marketplace, and products and services that engender a high degree of satisfaction and loyalty from the nonprofits and corporations the organization serves.

Business Development. As a service organization, the organization exists because of the quality of its products and the satisfaction of key customers with its services. The ED is responsible for expanding the organization's customer base and satisfying customer needs within the core business areas identified in the strategic direction and outcome plans described above.

Fund Development. Fee-for-service income, publications sales, conference registrations and other forms of non-grant revenue pay for approximately 90% of current operations. The ED has primary responsibility for the organization's grantsmanship efforts, and for forging and maintaining strong relationships with current and potential funders.

Human Resource Recruitment and Development. As a service organization, the organization's success hinges largely on the quality of its people. The ED is responsible for attracting service- and quality-minded volunteers, staff and contractor associates and encouraging their development.

Financial Planning, Performance, and Asset Protection. The ED develops an annual budget for consideration by the board. With the assistance of an external contractor providing outsourced accounting services, the director is responsible for ensuring that the organization maintains a strong financial position and that assets are protected.

Communications and Counsel to the Board. The board has moral accountability to the public and legal accountability to various bodies for the organization's operations. The ED's role includes ensuring that the board has adequate information to discharge its oversight and monitoring duties.

Maintaining a Quality Environment. Nonprofits depend on the accuracy and sagacity of the organization's publications and counsel. The ED is responsible for maintaining an environment with strong attention to quality, both in the character of the organization's products and services as well as in the manner and style in which products and services are delivered.

Qualifications

Organizational Qualifications: Demonstrable success in leading a nonprofit, public sector or private sector enterprise at the chief executive or division head level. Strong preference for a candidate with demonstrated success in the areas of business development, grantsmanship or marketing.

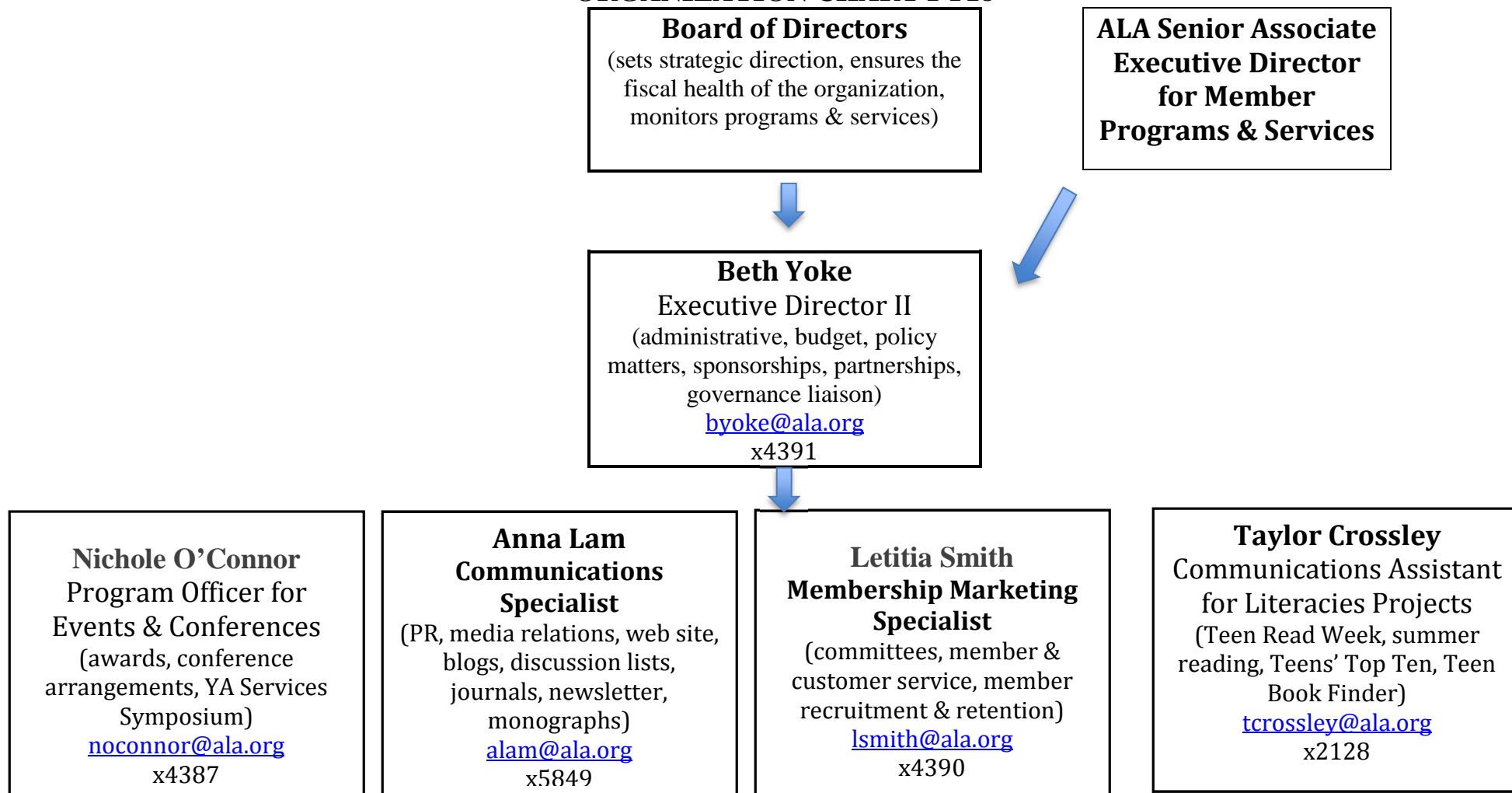
Educational/Technical Qualifications: A minimum of a Master's Degree or equivalent experience; knowledge of the nonprofit sector and familiarity with legal liability and other risk management matters. Relevant nonprofit or association credentials, such as the CAE. or the CFRE strongly preferred.

Personal Qualifications: A strong record of personal and professional integrity. Excellent written and verbal communication skills are required with strong preference for demonstrable success in building and maintaining relationships with constituent groups, preferably at the national level.

Compensation

Compensation is negotiable. The ED's performance is reviewed annually and the board considers both pay increases and one-time bonuses. The benefit package includes: paid vacation, sick leave, health, dental and life insurance, long-term disability and a TIAA-CREF retirement plan with an employer contribution equal to 4% of salary after two full years of employment.

**ATTACHMENT I
ORGANIZATION CHART FY18**



YALSA also contracts with a consultant for continuing education programming: Linda Braun

ATTACHMENT J

EMERGENCY SUCCESSION PLANNING CHECKLIST

Developed by the Organization for Nonprofit Advancement

Emergency Succession Plan for YALSA

Leadership plays an essential role in the success of a nonprofit organization. And a change in chief executive leadership is as inevitable as the passing of time.

This document will help a nonprofit organization recognize that planning for unplanned or temporary leadership change is a best practice—in line with other plans nonprofits regularly complete (e.g., strategic plan, communications plan, fundraising plan). An Emergency Succession Plan can bring order in a time of turmoil, confusion and high-stress.

This is a template. Feel free to adapt to make it appropriate for your organization. Action items or areas for tailoring are noted with a line or a symbol.

Disclaimer Statement: This document is provided as guidance for a nonprofit organization facing a change in leadership. It should not be regarded as a substitute for legal advice or counsel. The advice of a competent attorney should be sought any time a nonprofit is considering policy changes or activities that may affect the legal status or liability exposure of the organization.

The Board of Directors of YALSA recognizes that this is a plan for contingencies due to the disability, death or departure of the ED. If the organization is faced with the unlikely event of an untimely vacancy, YALSA has in place the following emergency succession plan to facilitate the transition to both interim and longer-term leadership.

The Board of YALSA has reviewed the job description of the ED. The job description is attached. The board has a clear understanding of the ED's role in organizational leadership, program development, program administration, operations, board of director's relationships, financial operations, resource development and community presence.

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

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

In the event of an unplanned absence of the ED, the staff member who is first made aware of the ED's absence is to immediately inform the YALSA president of the absence. As soon as it is feasible, the president should convene a meeting of the Executive Committee to affirm the procedures prescribed in this plan or to make modifications as the Committee deems appropriate.

At the time that this plan was approved, the position of Acting ED would be: _____ Name,
_____ Title.

Should the standing appointee to the position of Acting ED be unable to serve, the first and second back-up appointees for the position of Acting ED will be:

- (1) _____ Name _____ Title and
- (2) _____ Name _____ Title.

If this Acting ED is new to his/her position and fairly inexperienced with this organization (less than 1 year), the Executive Committee may decide to appoint one of the back-up appointees to the acting executive position. The Executive Committee may also consider the option of splitting executive duties among the designated appointees.

Authority and Compensation of the Acting ED

The person appointed as Acting ED shall have the full authority for decision-making and independent action as the regular ED.

The Acting ED may be offered one of the following, as voted on by the YALSA board:

- A temporary salary increase to the entry-level salary of the ED position
- A bonus of \$_____ during the Acting ED Period.
- No additional compensation.

Board Oversight

The group responsible for monitoring the work of the Acting ED shall be the YALSA Executive Committee.

The above named committee will be sensitive to the special support needs of the Acting ED in this temporary leadership role.

Communications Plan

Immediately upon transferring the responsibilities to the Acting ED, the president will notify staff members, members of the Board of Directors and key volunteers of the delegation of authority.

As soon as possible after the Acting ED has begun covering the unplanned absence, Board members and the Acting ED shall communicate the temporary leadership structure to the following key external supporters of YALSA. This may include (but not be limited to) government contract officers, foundation program officers, civic leaders, major donors, partners and others.

Completion of Short-Term Emergency Succession Period

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

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

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

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

Completion of Long-Term Emergency Succession Period

The decision about when the absent ED returns to lead YALSA should be determined by the ED and the president. They will decide upon a mutually agreed upon schedule and start date. A reduced schedule for a set period of time can be allowed, by approval of the president, with the intention of working the way up to a full-time commitment.

Succession Plan in Event of a Permanent Change in ED

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

The Board of Directors will appoint a Transition and Search Committee within 5 business days to plan and carry out a transition to a new permanent ED. The Board will also consider the need for outside consulting assistance depending on the circumstances of the transition and the board's capacity to plan and manage the transition and search. The Transition and Search Committee will also determine the need for an Interim ED, and plan for the recruitment and selection of an Interim ED and/or permanent ED.

Checklist for Acceptance of All Types of Emergency Succession Plans

- **Succession plan approval.** This succession plan will be approved by the Executive Committee and forwarded to the full Board of Directors for its vote and approval. This plan should be reviewed annually.
- **Signatories.** The president, the ED, the human resources administrator and the Acting ED shall sign this plan, and the appointees designated in this plan.
- **Organizational Charts.** Two organizational charts need to be prepared and attached to this plan. Prepare and attach an organizational chart reflecting staffing positions and lines of authority/reporting throughout the organization. Prepare and attach a second organizational chart that reflects how that structure will change within the context of an emergency/unplanned absence of the ED.
- **Important Organizational Information.** Complete the attached *Information and Contact Inventory* and attach it to this document. Also attach a current list of the organization's board of directors.
- **Copies.** Copies of this Emergency Succession Plan along with the corresponding documentation shall be maintained by the president, the ED, the Acting ED Appointee, and the human resources department.

Information and Contact Inventory for YALSA

Knowing where your organization's key information is located is critical so that if an emergency succession should occur, your organization would be able to quickly continue work in the most efficient and effective way.

Executive Director Information

Calendar of duties/responsibilities: on the P drive in the Personnel folder's Executive Director subfolder

Job description: on the P drive in the Personnel folder's Executive Director subfolder (the document is called a PCD)

Past Evaluations: self-evaluations on the P drive in the Personnel folder's Goals & Evals subfolder. Evaluations from the Senior Associate Director are kept in ALA's HR Department

Yearly Goals: on the P drive in the Personnel folder's Goals & Evals subfolder

Nonprofit Status

IRS Determination Letter: on the P drive in the ALA folder

IRS Form: filed with ALA Finance

Bylaws: in the YALSA Handbook, www.ala.org/yalsa/aboutyalsa/yalsahandbook



Mission Statement: in the YALSA Handbook, www.ala.org/yalsa/aboutyalsa/yalsahandbook

Board Minutes: in the Governance section of the web site, www.ala.org/yalsa/workingwithyalsa/board/documents

Organization logo: on the P drive in the Photos & Graphics folder

Financial Information

Employer Identification Number (EIN) #: 36-2166947

Current and previous Form 990s: filed with ALA Finance

Current and previous audited financial statements: filed with ALA Finance

Financial Statements: online in the Prophix system, and printed in binders in the ED office

Computer passwords: on the P drive in the Personnel folder

Donor Records: originate from the ALA Development Office and reports are saved on the P drive in the Finance folder's Gift Logs subfolder

Vendor Records: Invoices, billing, etc. is housed in ALA's SharePoint system

Volunteer/Member Records: the ALA Member Database is iMIS and committee appointments are logged in there. Committee rosters are saved on the P drive in the Committee Rosters folder

Billing: for some IT related resources that YALSA depends on, preferred payment is by credit card. Because ALA does not issue a true corporate card to Division EDs, the following services are billed directly to the YALSA ED's personal credit card either on an as needed, monthly or annual basis (for which the ED is later reimbursed)

- Amazon Web Services (monthly): php server host for YALSA's app
- Animoto (annual): video making software
- EmailMeForm.com (annual): online form creator/management system
- Hootsuite (annual): social media management platform
- MailChimp (as needed): coordinating email blasts
- Ning (annual): online community platform
- SurveyMonkey (annual): creating/managing online surveys
- Zoom (annual): video chat platform