

PLANNING FOR TRANSITION

Succession Planning Toolkit for
Arts and Culture Not-for-Profit Organizations



AOE ARTS COUNCIL



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CONTENTS

Introduction	4
1. LAYING THE FOUNDATION FOR TRANSITION	5
1.1 Assessing the Organization and Current Employees	5
1.2 Interim Leadership / Emergency Succession Plan	6
1.3 Plan for transfer of knowledge	7
1.4 Assessing future leadership needs of the organization: <i>Defining a future leadership model</i>	7
1.5 Compensation Package Review	8
2. CONDUCTING THE SEARCH	9
2.1 Identifying Key Competencies	9
2.2 Internal Candidates: <i>Identify potential internal talent pool and succession mapping</i>	10
2.3 External Candidates for Succession	12
2.4 Developing a Selection Process	13
2.4.1 <i>Selection Committee</i>	13
2.4.2 <i>Decision to Conduct an External Recruitment Campaign</i>	13
2.4.3 <i>Timetable and Assigned Tasks for the Hiring Process of a New Executive Director</i>	14
2.4.4 <i>Creating the Communication Plan</i>	15
2.4.5 <i>Recruitment Campaign/Advertisement</i>	15
2.4.6 <i>Screening of Applications</i>	15
2.4.7 <i>Conducting the Interview</i>	16
3. ENSURING A SMOOTH TRANSITION	18
3.1 Ensuring the New Executive Director's Success: <i>The Board's Role</i>	18
3.2 Role of the Outgoing Executive Director	19
4. SUCCESSION PLANNING FOR THE BOARD OF DIRECTORS	20
5. APPENDICES	22
APPENDIX A: Sample Board Succession Planning Policy and Procedure	22
APPENDIX B: Sample Emergency Executive Succession Plan	23
APPENDIX C: Sample Succession Planning Timetable	28
APPENDIX D: Sample Core Competencies	29
APPENDIX E: Sample Executive Director Job Description	32
APPENDIX F: Practical Suggestions for Skill Development	37
APPENDIX G: Potential Resources for Advertising an Executive Position	41
APPENDIX H: Sample Recruitment Advertisement	42
APPENDIX I: Sample Resume Evaluation Sheet	43
APPENDIX J: Preparation and Checklist for Executive and Board Selection Interviewing	44
APPENDIX K: Sample Interview Questions	46
APPENDIX L: Sample Notes and Rating Sheet	48
APPENDIX M: Board Composition Chart	49
APPENDIX N: Board Profile	50
APPENDIX O: Road Map for Successful Succession Planning for Board of Directors	51
6. RESOURCES	53

Introduction

Executive leadership transition is a critical factor that can have a profound impact on an organization's performance. Therefore, the selection, evaluation and retention of the appropriate leader is one of the most important roles of the organization's Board of Directors, but most often the most neglected. Unfortunately, the announcement from senior leadership of a sudden or unexpected departure, or the acknowledgement of the need for new leadership, may cause the Board of Directors to be reactive as opposed to proactive.



The best way to accomplish a smooth transition of executive transition is to anticipate and plan for it. This planning should be incorporated into the strategic plan, including a detailed organizational plan on how leadership transition will be addressed.

The best practices detailed in this toolkit will provide strategies which will assist boards of

directors, artistic and executive directors and even founders of arts and culture organizations deal with executive transition and succession for both their Board of Directors and paid staff.

Note:

For the purposes of this document, the Executive Director will be referenced as the main paid staff position, while recognizing that in arts and culture organizations, this may refer to the position of the Artistic Director, Managing Director, and Founder etc.

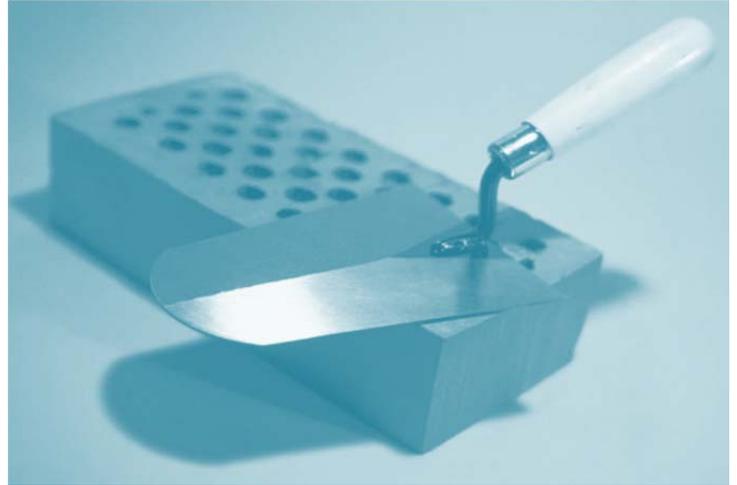
At the same time, many of the practices identified in the toolkit can be applied to the recruitment and selection of other staff and Board members within the organization.

1. LAYING THE FOUNDATION FOR TRANSITION

1.1 Assessing the Organization and Current Employees

Trends and issues facing the organization and its members over the next 3-5 years

The first step in any succession planning process is not the search for new senior leadership but determining the organization's road map for the future – where it wants to go. One of the keys to a successful executive transition is an organizational assessment, a thoughtful process that begins when the Board takes time to understand the organization's current and future challenges, strengths and needs. The Board needs to clarify the organization's strategic direction, and the kind of leadership that will advance the organization's mission and vision prior to the search and selection process.



An up-to-date strategic plan is critical for a smooth transition. As a result of the organizational assessment, the organization will be able to identify key issues they will face over the next three to five years.

KEY CONSIDERATIONS

- ✓ What are the critical challenges facing the organization now?
- ✓ What are the challenges the organization might be confronting in the next three years?
- ✓ Who are the key stakeholders (i.e. Board, staff, volunteers, funders, audiences, community leaders)?
- ✓ What are they saying about our organization?
- ✓ What are the potential opportunities?
- ✓ What are the trends which have been identified that will shape the arts and culture sector and the organization over the next decade?
- ✓ What are the current Executive Director's professional and personal plans for the next five years? Retirement?
- ✓ Are there other key staff whose plans should be taken into consideration?
- ✓ As a result of the annual performance management process, are goals and work plans developed yearly for both the Executive Director and the Board that will advance the organization's strategic plan? These discussions will create a platform for how things are going, anticipated retirement or the exiting of the Executive Director (both from the Executive Director and Board's perspective).
- ✓ What is the anticipated timeframe for transition?
- ✓ What kind of impact will this change have on the organization's capacity to deliver its mandate and its relationships with clients, donors and volunteers?
- ✓ Is there a Board policy on succession planning and is it reviewed on an annual basis?
- ✓ Who will participate in the succession management process – is there a need for formation of a Succession Management Committee (i.e. staff, Board and other stakeholders)?

Answering these questions about the organization's future will provide a basis for discussions on succession issues.

See in Resource list:

Planning for Succession: A Toolkit for Board Members and Staff of Nonprofit Arts Organizations. A Good Strategic Plan Addressed the Following Questions: p. 14.

1.2 Interim Leadership / Emergency Succession Plan

Emergency Succession Plan

It is important for the organization to have an emergency succession plan in the event of an unplanned and extended absence of the Executive Director. This will ensure the continuous coverage of executive duties critical to the ongoing operations of the organization and its services to clients and or members.

While most boards of directors acknowledge that such an absence is highly improbable and certainly undesirable, they also believe that due diligence in exercising governance functions requires that an emergency executive succession plan be in place. It is expected that this plan will ensure continuity in external relationships and in staff functioning.

Job descriptions for the individual designated to assume the Executive Director's responsibilities need to accurately reflect the additional responsibilities this individual would need to assume, should the need arise. Discussions with that designated employee should occur in order to ensure the person is aware of additional responsibilities in the event of an extended absence of the current Executive Director. As indicated in the [Sample Board Succession Planning Policy and Procedure - Appendix A](#), this discussion needs to take place on an annual basis.

The **Emergency Succession Plan** must also be reviewed on an annual basis in compliance with the organization's succession planning policy. As in the case of paid staff, board members should also be aware of the possibility of unexpected departures from the board, and have a plan in place to fill key positions quickly should the need arise.

KEY CONSIDERATIONS

- ✓ Who is responsible for informing the Board of Directors of the absence?
- ✓ Who will the organization designate as Acting Executive Director?
- ✓ Is the designation clearly defined or are there factors which might influence the designation of who will fulfill this role?
 - What factors will define the appointment to this role (i.e.: length of service; leadership experience; interest in assuming the position; flexibility to assume additional responsibilities)?
- ✓ Is there a Succession Planning Policy in place? Is it reviewed on a bi-annual basis?
- ✓ Who will assume responsibility for the finances of the organization? The Treasurer of the Board? The Bookkeeper? Both?
- ✓ Do job descriptions accurately reflect these additional responsibilities?
- ✓ Is the Board informed of its role in such an event?
- ✓ Has the Executive Director developed a priority action plan checklist for use in the case of the appointment of an Acting Executive Director? Do the appropriate staff members understand how to carry out these responsibilities?
- ✓ Does the emergency succession plan articulate an increase in salary to reflect additional responsibilities?
- ✓ Does the succession plan include vital organizational information such as:
 - organizational charts showing staffing positions and lines of authority/reporting throughout the organization;
 - current list of members of the organization's Board of Directors with phone numbers;
 - emergency contact list of staff members;
 - Executive Director and key staff job descriptions;
 - current Strategic Plan; and
 - priority action checklist .
- ✓ Does the Board understand its responsibility to review the emergency succession plan on an annual basis?
- ✓ Do Board member roles and responsibilities clearly define who will assume the position of Board President in the event of an extended unplanned emergency?

See [Appendix A: Sample Board Succession Planning Policy and Procedure](#)
See [Appendix B: Sample Emergency Succession Plan](#)

1.3 Planning for transfer of knowledge

Often the organization's corporate history and critical knowledge relating to the day-to-day operations and/or governance of the organization are stored in the head of the Executive Director and/or the President of the Board, and are not clearly documented. As part of the preparation for transition, it is important to ensure that the organization's processes and procedures relating to the governance and operations of the organization be well documented and shared, and that files be centralized and standardized so that all this information may be accessed by others.

See Appendix B: Sample Emergency Executive Succession Plan for a more detailed list

KEY CONSIDERATIONS

- ✓ Are the organization's job descriptions up-to-date?
- ✓ Is the organization's operational manual up-to-date?
- ✓ Is the Board of Directors' manual up-to-date?
- ✓ Do the Board of Directors and other senior staff know where this information is kept and how to access it electronically?

1.4 Assessing future leadership needs of the organization: Defining a future leadership model

As a result of the strategic planning exercise, a clear picture of the organization's leadership needs for the next five years can now be articulated.

One of the most important strategies of a successful succession planning process will be to convert the results of the organizational assessment into a set of core leadership and management competencies that will match the organization's needs.

If the right questions have been asked during the organizational assessment, then the emerging profile of the organization's current needs and where it is headed will define the kind of leadership required to get it there.

KEY CONSIDERATIONS

- ✓ Which leadership positions are at greatest danger for vacancy due to retirement potential, promotion, and turnover?
- ✓ Which positions are most clearly tied to current organizational goals and initiatives?
- ✓ Is there a need to revisit the current leadership model?
 - Executive Director; Artistic Director; Executive Director and Artistic Director; Executive Director and Business Manager; Managing Director...
- ✓ What skills and background are needed for staff to successfully address the organization's challenges, specifically the Executive Director?
- ✓ What are the skills and background required of the President of the Board and other directors?
 - Those who can assist with the operations of the organization?
 - Those who can provide a strategic direction with required outcomes; persons who see the big picture and can provide a road map for the future of the organization?
- ✓ Is the organization looking for a visionary, or is the organization looking for a seasoned manager who can provide stability in the day-to-day operations?
- ✓ If the results of the assessment indicate that the organization is in crisis, are we looking for someone who can stabilize the organization? Restructure the organization?
- ✓ If the organization is strong, are we looking for someone who can take the organization to the next level by securing new funding and partnerships?

See Appendix C: Sample Succession Planning Timetable

1.5 Compensation Package Review

If the organization does not engage in an annual salary review process, it will be important to conduct a salary review prior to conducting the search for a successor, in order to ensure that the organization's compensation plan (salary and benefits) are competitive within the arts and culture sector, and the broader community that serves as a pool of candidates for the organization.

Recognizing that many small arts and culture organizations may not be in a position to offer an extensive compensation package including health care benefits, the Board should review both the tangible and intangible benefits which can be offered to potential candidates in order for the organization to be perceived as a competitive employer in the community.

KEY CONSIDERATIONS

- ✓ When was the compensation package (including salary and benefits) last reviewed?
- ✓ Have adjustments been made to the annual budget to reflect any changes (including potential overlap between the new and exiting Executive Director)?
- ✓ If the organization is not in a position to offer a compensation package, have the intangible benefits that are offered to potential candidate been identified? These could include:
 - An opportunity to contribute to the overall mission and strategic direction of a the organization;
 - The ability to contribute to the development of a non-profit organization, and the arts in a meaningful way;
 - Professional growth opportunities;
 - The advantage of a smaller internal community;
 - A high-quality working environment;
 - The opportunity to do interesting and satisfying work alongside colleagues who are committed to the same goals; and
 - The opportunity to work with a dedicated and committed Board of Directors.

2. CONDUCTING THE SEARCH

2.1 Identifying Key Competencies

It is critical that the Board identify the experience, values, cultural fit and skill sets that will be required of a new Executive Director, which match the organization's needs as identified in the strategic planning process.

Competencies are defined as the knowledge, skills and abilities and behaviours that contribute to successful performance in a particular position. Competencies should be based on the factors that are critical for success, taking into account the organization's mission, vision and values as well as the opportunities and challenges that it is likely to face.



These competencies can then be included in the Executive Director's job description/profile. The job description should outline:

- the organization and its needs;
- the principal responsibilities of the new Executive Director;
- the required leadership competencies;
- the desired experience and qualifications of the candidates; and
- the compensation or a statement with regard to compensation.

Appendix D: Sample Core Competencies

Appendix E: Sample Executive Director Job Description

KEY CONSIDERATIONS

- ✓ Identify key competencies that will be required of a new Executive Director which match the organization's needs as identified in the strategic planning process;
- ✓ Develop the Executive Director's job description/profile;
- ✓ Identify the skills and abilities of the Board of Director's that will complement the new Executive Director.

2.2 Internal Candidates: Identify potential internal talent pool and succession mapping

It is important to build leaders at all levels to respond to the evolving needs of the organization. This starts with acknowledging potential internal candidates, and providing opportunities for professional development. Creating a talent pool of individuals who are being prepared for leadership roles within the organization provides internal depth.

Internal depth is determined by identifying those individuals who are ready to assume leadership roles now, which ones will be ready in the future and which ones will take considerable development time before they can step into another key position in the organization.

In this process, it is important to acknowledge that a succession plan does not guarantee a position to specific individuals. It represents a developmental plan to prepare individuals, should opportunities arise within the organization.

The organization needs to commit to developing these individuals to prepare them for higher levels of responsibility. These individuals should be given the opportunity to perform and develop in a manner that will demonstrate their ability to handle their increased responsibilities. Annual reviews of performance reflecting increased responsibilities in conjunction with the creation of individual development plans will serve as tools to assess individual readiness to assume the position of Executive Director or other senior management positions.

One of the most important methods of informing employees about the required competencies needed for advancement is one-on-one coaching sessions. Aside from the annual performance review, ongoing coaching should occur throughout the year in both a formal and informal manner.

The organization may want to look at other potential pools of talent available to them beyond paid staff. Suggestions might include:

1. The organization's volunteers
2. Project staff (those who have been hired on a contract basis)
3. Consultants

An assessment of demonstrated leadership characteristics, evaluation feedback, performance on special projects and a survey of other employees in the organization will assist in the determination of internal depth and readiness to participate in the succession plan. Using the job description and associated competencies will assist in evaluating the individual's readiness for the position.

The completion of the following chart will help identify the internal depth of your organization.

Name	Current Position	Time in Current Position	Years with Organization	Readiness
Joanne Smith	Volunteer Coordinator	6 years	8 years	(e.g., Yes - short-term – for which position; Yes – medium-term – for which position + development needs; No, etc.)

A meeting/discussion between the Executive Director and internal candidates to determine suitability should take place to:

- review current job description;
- review current performance;
- review any past developmental meetings and goals;
- discuss goals, expectations and interests;
- review developmental, coaching/mentoring and training offerings;
- list, date and identify budget resources for agreed upon developmental activities; and
- document comments.

Developmental opportunities should include a combination of courses, workshops, experience-based learning and other forms of knowledge transfer.

Suggestions for developmental opportunities are as follows:

- Acting Assignments: Have internal candidates temporarily assume the role of Executive Director while the he/she is on vacation;
- Coaching Sessions/Mentorship: Provide formal and informal opportunities for the Executive Director to instruct the internal candidates on higher levels of performance and management (e.g., identify required training);
- Formal training on arts management;
- Seminars/workshops;
- Informal developmental opportunities including everyday coaching, career discussions and problem solving collaboration.

See Appendix F: Practical Suggestions for Skill Development

The developmental needs of internal candidates should be monitored regularly to determine progress. Annually, an assessment of progress towards established goals should be conducted and communicated (e.g., following performance appraisal).

KEY CONSIDERATIONS

- ✓ Speak to all employees about their career plans and interests;
- ✓ Assess the internal depth of the organization in terms of future leadership; which employees are interested to move into leadership roles and which employees would be interested to grow into different lateral positions;
- ✓ Meet with suitable candidates to discuss potential opportunities;
- ✓ Provide developmental opportunities and coaching;
- ✓ Annually assess progress towards established goals.

2.3 External Candidates for Succession

The development of an external candidate recruitment plan is recommended to identify potential candidates that may be a fit, and to build long term relationships with them.

While the organization should commit to assessing and developing internal candidates for succession, the Board at the same time should conduct an external review of potential candidates. The purpose is to ensure that there is transparency in the succession planning process. While internal candidates are being prepared for potential leadership roles, there is no guarantee they will be in a position to assume the role of Executive Director. The external review will also allow the organization to benchmark the internal candidates with potential external candidates.

The Board of Directors should also monitor the organization's competition and other players in the arts community, including key external talent. It is important for the Board of Directors to know which of these organizations is high performing, and where the key players and up-and-coming talent reside. The Board of Directors and the Executive Director should periodically pool the knowledge of external talent that each of them has acquired through their networks.

Once potential external talent has been identified, relationships need to be developed. Informal discussions should occur with targeted members of the arts community to inform potential candidates of upcoming opportunities and key areas of focus for the organization. Long term relationships should be developed with these individuals to keep them abreast of the goings-on of the organization, and of any changes to the succession plan. This applies to both recruitment for the Board of Directors and paid staff.

Any initial concern of "corporate raiding" or "poaching" should be balanced with the reality that employees (and members of Boards of Directors) who are not happy in their role, or are not being properly challenged, will leave their organization for better opportunities.

In some cases, employees have been known to leave for a position in another organization but return years later with new experiences and skills. Helping to keep exceptional employees in the sector by allowing them to move around to develop their careers should be seen not as a loss for individual organizations, but as a gain for the capacity of the sector.

An innovative approach would be to develop a pool of candidates with other organizations and develop a rotational program to allow key employees to move from one organization to the next. This approach would ensure key individuals remain challenged and motivated while a group of nonprofits all benefit from the expertise.

Source: http://hrcouncil.ca/hr-toolkit/planning-succession.cfm#_secA5

KEY CONSIDERATIONS

- ✓ Identify sources for potential future talent;
- ✓ Conduct an external recruitment campaign even if the internal candidates are strong;
- ✓ Have an immediate conversation with the internal candidates even if the search committee is considering interviewing them;
- ✓ If an internal candidate is no longer being considered, inform the employee of the decision and the reasons for it;
- ✓ Inform the internal candidates of the selection prior to telling others.

2.4 Develop a Selection Process

2.4.1 Selection Committee

It is recommended that the Board of Directors appoint Board members to an ad hoc Selection/Transition Committee to oversee the tasks essential to a successful transition of the Executive Director. The Committee *may* include at least one staff representative, ideally chosen by the staff themselves. Staff inclusion brings an important perspective to the table and increases staff buy-in for the transition work, and for the eventual hire. The role and expectations of the employee representative on the Selection/Transition Committee need to be carefully managed.

Recognizing that the outgoing Executive Director could potentially provide useful insight into the Executive Director job profile, as well as identifying both internal and external candidates, the involvement of the outgoing Executive Director on the selection committee may be considered. In the event that circumstances regarding the transition of the future Executive Director are not planned, this recommendation would need to be reconsidered (i.e. termination with or without cause as opposed to a planned succession).

Duties of the Selection/Transition Committee include:

1. Ensure a healthy closure with the departing Executive Director:
 - a. Acknowledge achievements and legacy; perform goodbye rituals.
 - b. Provide opportunities, especially for staff, for coming to terms with the loss of their leader and for visioning what they want in their next leader.
 - c. Elicit the current Executive Director's advice on a future vision for the agency and successor profile.
 - d. Transfer key executive duties to staff, Board and successor – especially financial; oversight, fundraising, contracts management and program oversight.
 - e. Ensure a clear definition of the future role of the departing Executive Director during transition.
2. Plan the transition and search activities:
 - a. Update the agency's future vision.
 - b. Assess the agency's current status—strengths, challenges, opportunities.
 - c. Create the profile of skills and characteristics needed in the next Executive Director.
 - d. Plan and execute the executive search.
 - e. Make personal contacts to recruit Executive Director candidates.
 - f. Screen candidates, check references and forward finalists to Board for selection.
 - g. Negotiate terms of employment with selected Executive Director.
 - h. Appoint an interim executive if needed.
 - i. Announce to all key external and internal stakeholders the transition and search plan.
 - j. Assure proper involvement of staff in transition and search activities.
3. Ensure a healthy beginning for the new Executive Director:
 - a. Provide orientation to the organization's programs, systems, people, and stakeholders.
 - b. Establish solid lines of communication between the Board and Executive Director.
 - c. Determine initial performance goals for the Executive Director.
 - d. Identify professional supports desired by the Executive Director (e.g., mentor or coach, training, etc.).
 - e. Specify performance evaluation system for the Executive Director and evaluation dates.

2.4.2 Decision to conduct an external recruitment campaign

In many organizations, the human resource policy on recruitment states that positions will be posted internally first, and that internal candidates should be encouraged to apply in order to provide career and developmental opportunities. The decision as to whether to conduct an external search will depend highly on the Board's assessment of how successful the internal pool of talent will be in stepping into the required roles. Very small organizations with limited staff may not have the luxury of grooming internal talent, and will therefore need to conduct an external search. The decision should be based on a process which is both open and transparent, and based on a pre-approved human resources policy.

2.4.3 Timetable and Assigned Tasks for the Hiring Process of a New Executive Director

A minimum period of three months should be set aside by the Board to conduct a thorough job of recruiting candidates and have a new Executive Director in the position. Consideration needs to be given as to whether the Board feels that an overlap between the outgoing and incoming Executive Director would be beneficial. Based on the agreed period of overlap and ensuring efficient time to conduct a recruitment campaign, the timeframe for the recruitment process can be determined. Then, a communication plan including messaging to clients and stakeholders will need to be prepared and implemented, to communicate clearly the retirement of the Executive Director and a planned succession process. This will help to manage expectations and minimize any negative impact on the organization.

The following chart details the roles and responsibilities of the Selection/Transition Committee based on a two-month overlap of the incoming and outgoing Executive Director.

Task	Timeframe	Responsibility
Make official announcement regarding the retirement of the current Executive Director	Immediate	Board of Directors: Marketing and Communications Committee
Announce the formation of the Selection/Transition Committee and its project schedule	Immediate	Board of Directors: Marketing and Communications Committee
Follow up after the recruitment campaign has been announced to keep people informed of the status of the search	Ongoing	Board of Directors: Marketing and Communications Committee
Identify interview panel members (Selection/Transition Committee) and review process and schedule	Ideally six months prior to transition	Board of Directors
Create recruitment campaign process (internal/external components)	Immediate	Selection/Transition Committee in conjunction with Marketing and Communications Committee
Implement recruitment campaign/advertisement process	Immediate	Selection/Transition Committee in conjunction with Marketing and Communications Committee
Review/refresh selection criteria based on competencies	Six months prior to transition	Selection/Transition Committee
Review/refresh interview questions	Six months prior to transition	Selection/ Transition Committee
Review/update list of internal candidates	Ongoing	Selection/Transition Committee
External recruitment campaign	Five months prior to transition	Selection/Transition Committee
Screen resumé's based on selection criteria	Five months prior to transition	Selection/Transition Committee
Carry out first and second rounds of interviews	Four months prior to transition	Selection/ Transition Committee
Do reference checks	Three months prior to transition	Selection/Transition Committee
Interview panel brings recommendation to Board	Three months prior to transition	Selection/ Transition Committee
Board of Directors approves selection	Three months prior	Board of Directors
New Executive Director is hired	Two months prior to transition	Board of Directors
Formally announce the appointment of the new Executive Director to the community including to media	Two months prior to transition	President of the Board of Directors with Marketing and Communications Committee
Share relevant information about the new Executive Director during the initial months	Ongoing	President of the Board of Director

2.4.4 Creating the Communication Plan

A multi-faceted communication plan that considers the impact of succession on all relevant internal and external stakeholders is important in order to keep them informed and involved throughout the selection process. The plan should detail how and when the search committee will keep the whole Board of Directors informed of its progress, as well as what needs to be communicated to stakeholders, staff, volunteers and funders.

Announcements on websites, newsletters, customized letters to membership and stakeholders and phone calls as well as press releases will be especially timely during the following critical stages of the succession planning process:

- to announce the current Executive Director is retiring, provide statistics on their term of service and highlight their accomplishments;
- to announce the creation of the search committee and its project schedule;
- to circulate widely the Executive Director's job profile to encourage applications (if applicable);
- after the recruitment campaign has been announced, to provide follow-up communication that will keep people informed of the status of the search, up to the time that the Executive Director has been chosen by the Board;
- to formally announce to the community and media the appointment of the new Executive Director; and to share relevant information about the new Executive Director's observations, participation in special events or key initiatives during the initial months.

2.4.5 Recruitment Campaign/Advertisement

A recruitment advertisement in conjunction with a media statement reflecting the organization's planned succession of the Executive Director should be carefully prepared. An advertisement stating the desired knowledge, skills and abilities and including salary range will serve as an initial screening tool by deterring people who do not have the qualifications the Board seeks, and by attracting those who do.

See Appendix G: Potential Resources for Advertising of Executive Position

See Appendix H: Sample Recruitment Advertisement

See Appendix I: Sample Resume Evaluation Sheet

2.4.6 Screening of Applications

An initial screening of applications based on the criteria the Board has established should be conducted by the Selection/Transition Committee. At least two members of the Committee should review and rank the applications.

As previously discussed, many organizations choose to involve one or two representatives from the staff in parts of the selection process. This could involve participation in the initial screening of the resumes, in the initial interview process, or to meet with and evaluate the final candidates.

See Appendix I: Sample Resume Evaluation Sheet

2.4.7 Conducting the Interview

Behaviour-Based Interviewing

To improve the quality of their interviews, the Selection/Transition Committee should develop a common set of questions for all candidates that will provide information about each element of the job description/profile. The interview should consist of behavioural or situational interview questions, which will be assessed based on criteria related to the job profile and competencies. Both kinds of questions are designed to elicit evidence of the required competencies, and do not have a single right answer.

Behaviour-Based Interviews discover how the interviewee acted in specific employment-related situations. The logic is that how you behaved in the past will predict how you will behave in the future since past performance is the most reliable predictor of future performance.

Behavioural questions force the candidate to base their responses on facts and limit the possibility that candidates will impress the interviewers with style over substance.

Situational interviews can also be used to assess how a candidate might react in a hypothetical (but realistic) job-related situation. These may be enhanced by the use of mini-simulations and/or role-plays. Interviewers can use probes to identify similar situations where the candidate demonstrated the required competencies in the past, or to explore the rationale for the candidate's response.

Be sure to ask all candidates the same questions and have a series of probing questions to use in response to the candidates' answers.

Second Interviews:

Targeted second Interviews often provide the selection committee with the opportunity to probe more deeply into the values, beliefs, operating style and judgment of the candidates.

Staff Involvement:

Asking finalist external candidates to meet with members of the staff may be an appropriate and desirable way to learn how well they would fit into the organization. It is important that the Selection/Transition team be clear about what the staff role is in the process. Staff should provide input related to the specified selection criteria, using evidence from the candidates' responses, in sharing their insights about the candidates' potential fit with the organization.

Board Involvement:

Because the Board has delegated the responsibility for the hiring of the new Executive Director to the Selection/Transition committee, it is not necessarily important for the full Board to be involved in the hiring process. Interviews are best done in smaller teams of three individuals.

However, the Board may wish to meet with the candidate whom the Selection/Transition committee recommends prior to an offer being extended.

Reference/Background checks:

It is important to conduct reference and background checks. A list of thoughtful, pertinent questions to ask each reference will significantly enhance the value of these conversations. It is also recommended to forward these questions in advance to referees, so they may prepare to respond in sufficient detail to support the selection decision.

Questions can probe areas that were identified as key priorities in the Executive Director's job description or focus on the candidate's "softer" skills, such as their ability to build relationships effectively with the wide range of stakeholders with whom the Executive Director must interact. The Selection/Transition team should also identify individuals in their own networks (or member of the Board) who may provide useful insights about candidates. Any qualitative comment made about a candidate should be supported by behavioural examples. Referees should provide some grounding for their assessment otherwise vague statements made in background checks can diminish the validity of the selection process.

Recommendation to the Board:

Once the search committee has agreed on a candidate, it needs to make its recommendation to the full Board. In addition to the recommendation itself, the search committee should also outline the key areas the Board needs to focus on in making the offer to the individual, and integrate the new Executive Director into the organization.

Employment Offer/Letter of Agreement:

The employment agreement/letter of offer should detail the conditions of employment. It is recommended that the Board of Directors seek legal opinion in order to ensure that the offer is compliant with the Employment Standards Act.

Source: http://www.e-laws.gov.on.ca/html/statutes/english/elaws_statutes_00e41_e.htm

See Appendix J: Preparation and Checklist for Executive and Board Selection Interviewing

See Appendix K: Sample Interview Questions

See Appendix L: Sample Notes and Rating Sheet

KEY CONSIDERATIONS

- ✓ Appoint an ad hoc Selection/Transition Committee;
- ✓ Ensure tasks and scheduling of the Selection/Transition Committee are determined;
- ✓ Develop recruitment advertisement;
- ✓ Screen resumes;
- ✓ Develop interview questions;
- ✓ Conduct first and second interviews;
- ✓ Conduct reference/background checks;
- ✓ Consider having staff meet final candidate(s);
- ✓ Present recommendation of hire to the Board of Directors;
- ✓ Seek legal counsel in the preparation of the employment agreement/letter of offer.

3. ENSURING A SMOOTH TRANSITION

3.1 Ensuring the New Executive Director's Success: the Board's Role

It is the Board of Directors' role to ensure a smooth transition and continuity within the organization. The President of the Board will take responsibility for overseeing the new Executive Director's integration into the organization.

The following factors are important to address for both internal and external candidates, though certain factors will require more attention with an external hire, who will likely need more assistance to develop an understanding of the organization and its culture, and to develop relationships with key stakeholders.



Learning and Mentoring:

- The selection process will have identified gaps that exist between the Executive Director's knowledge or skill set and the needs of the organization.
- The President should identify resources, including coaching from the Board of Directors, developmental work assignments, special projects, or external training to facilitate learning.
- Monitor and evaluate progress on identified learning needs to help the Executive Director to bridge these gaps.

Role Clarity:

- Clarify expectations from the beginning.
- Establish measures of success: The Board needs to ensure the qualitative (behaviours) and the quantitative (objectives and deliverables) measures that make up the Executive Director's performance expectations are clearly articulated from the beginning.

Performance Management:

- A performance management process should be developed with clearly defined timelines to evaluate progress towards deliverables. The Board should work with the Executive Director to establish a work plan and a set of objective deliverables that will form the basis of the annual performance review. Communicate openly!
- The Board needs to help the Executive Director identify the organization's key stakeholders and provide any insights the Board has developed regarding each stakeholder.
- An evaluation should be conducted at six months based on the Executive Directors work plan progress, the Executive Director's job description and self-assessment. Progress should be monitored on an ongoing basis with a formal review at no later than the end of the first year.

Scope of Responsibilities/Governance:

- The Board needs to define those areas that are the Board's responsibility and those that fall under the management's responsibility.
- Clarify the governance structure and ground rules for how the Executive Director and Board will interrelate.

Relationships:

- The Board needs to help the Executive Director establish the right relationships with the organization's stakeholders. This will be particularly important for an external candidate.
- The outgoing Executive Director may help in transferring key relationships to the new Executive Director.

Culture:

- Help the new Executive Director understand and navigate the organization's culture. This is particularly important if the candidate is external.

Key Issues:

- The Board needs to help the new Executive Director identify key issues that they should deal with early on.

3.2 Role of the Outgoing Executive Director

It is important to be clear on what the role of the outgoing Executive Director (ED) will be – in most cases: to ensure that critical business knowledge and contacts are transitioned, and to provide mentoring as required.

Aside from familiarizing the new Executive Director with the operations of the organization, the following are recommended rules of engagement for the outgoing Executive Director during the transition period.

- Be available to share - at the Board's request - any insights about the organization's present and future condition.
- Be willing to respond to final candidates for the new position who may wish to speak with the outgoing Executive Director.
- Discourage individual staff, Board members and others from coming to you with concerns about the search process.
- Be supportive of the new Executive Director.

KEY CONSIDERATIONS

- ✓ As part of the communication plan, announce the selection to key stakeholders (responsibility of the Executive Director).
- ✓ Introduce the new Executive Director to staff members, arrange for meetings with each staff person in order to understand their roles (responsibility of the Executive Director).
- ✓ Provide a series of orientations on the history of the organization, Human Resources, governance and operational issues (responsibility of the Executive Director).
- ✓ Connect the new Executive Director with key external resources and stakeholders (responsibility of the Executive Director).
- ✓ Ensure that a performance management plan for the review of the new Executive Director's performance is in place (responsibility of the Executive Director and Board of Directors).
- ✓ Communicate openly and regularly.

4. SUCCESSION PLANNING FOR THE BOARD OF DIRECTORS

Most boards of directors do not give sufficient attention to succession planning involving their members.

Identifying who will assume responsibility for filling the gaps on the Board is the first step in the process. In most cases, the Nominating Committee or Governance Committee will assume responsibility, where there is one in place.

The organization's governance documents (bylaws, articles of incorporation and governance policies) will generally address such issues as:

- minimum and maximum numbers for the Board;
- required committees and membership;
- required officer positions (President, Vice-President, Treasurer, Secretary);
- term limits on board, committee and officer positions;
- rotation of terms of Directors to ensure consistency;
- possibility of term renewal or maximum number of terms permitted; and
- when these terms expire (usually at the Annual General Meeting or immediately following).

The Board's President or the Chair of the Governance/Nominating Committee should have regular discussions with Board members regarding their intentions. This usually occurs a few of months prior to the Annual General Meeting to allow the Board to successfully recruit for identified gaps.

Some vacancies will require recruiting from outside the board. An up-to-date skills matrix/Board profile will help identify the skills of current board members as well as those of departing members which will need to be replaced.

Most organizations require that the positions of committee chairs, officers, and the Board President generally be filled by existing board members. The nominating committee has primary responsibility for identifying suitable candidates for these positions, and ensuring that they obtain the training and experience on the board necessary to prepare them for the role. Ideally organizations would consider the use of a laddered succession plan in which Directors proceed through officer positions towards the position of President. Most organizations would require that Directors chair significant board committees prior to assuming the role of Board President. Some organizations task the Board President with recruiting their successor, thereby ensuring that there is a smooth transition through the ranks in order to assume this position.

As stated earlier, in the case of paid staff, Board members should also be aware of the possibility of unexpected departures from the Board and have a plan in place to fill key positions quickly should the need arise. Ensure there are at least two people who can effectively carry out each critical Board role. This reduces risk to the organization if a Board member in a leadership position is no longer able to fulfill his or her responsibilities.

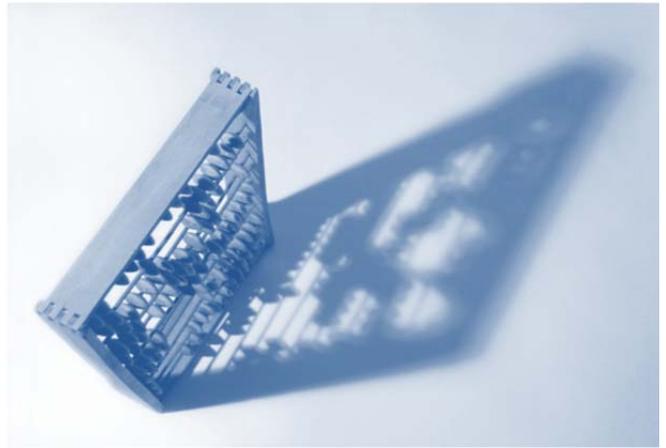
The following are two tools which will be useful in assisting Boards to stay on top of their succession planning:



Board Composition Chart: The chart displays the Board member's name, their length of service, expiration of their current term, as well as committee and officer positions held. This will help give a clear picture of upcoming vacancies which will need to be filled.

Skills Matrix/Board Profile: When kept current, the matrix will help identify the skills of current board members as well as those of departing members which will need to be replaced.

See Appendix M: Board Composition Chart
See Appendix N: Board Profile



KEY CONSIDERATIONS

- ✓ Do the organization's governance documents clearly state:
 - Who is responsible for succession planning for the Board of Directors?
 - Board composition, term limits, etc?
- ✓ Does the Board have a Board member recruitment and retention system?
- ✓ Does the Board understand and strategically recruit the kinds of volunteers it needs?
- ✓ Is there an interview process for prospective Board member candidates utilizing pre-developed questions?
- ✓ Is there a consistent intake process for new Board members, through an application form, confidentiality form, reference check, criminal record check, etc.?
- ✓ Is there a comprehensive orientation program for new Board members?
- ✓ Are there position descriptions for each Board member, whether for a Director's position or for a specific role (President, Treasurer, Secretary)?

See Appendix O: Road Map for Successful Succession Planning for Board of Directors.

APPENDIX A: Sample Board Succession Planning Policy and Procedure

ORGANIZATION	
Name of Executive Authority	<i>Succession Planning</i>
Date of Policy Adoption:	Most Recent Review Date:
<p>Policy: <i>XYZ organization</i> recognizes that the proactive practice of developing leaders within the organization is beneficial to both the organization and its employees. It is the goal of this succession planning policy to ensure that there is a sound infrastructure in place in order that a smooth transition of both senior management and key Board of Director positions may occur within the organization.</p> <p>The purpose of this policy is to identify potential successors for key positions in the organization – the Executive/Artistic Director, Business Manager and key Board of Director positions (President, Vice-President, Treasurer, etc.) – to prepare them for their effectiveness in their role.</p> <p>Outcomes:</p> <ul style="list-style-type: none"> • Create a systematic method to identify and develop replacements for key positions in the organization. • Create a talent pool of individuals for potential succession. • Ensure the availability of development opportunities for these positions and others in the organization. • Ensure there are systems in place to support the smooth transition into senior management and key Board of Director positions within the organization. 	
<p>Procedures: The succession planning policy will be implemented according to the following procedures:</p> <ul style="list-style-type: none"> • A succession planning team with the President of the Board of Directors as the lead will convene to create a succession plan by analyzing the organization, assessing its gaps and needs, and developing a system to address these needs. • Key competencies for all positions and job descriptions will be developed and/or reviewed as required. • A talent pool of individuals working both internally and externally will be identified. • Developmental opportunities including coaching/mentoring and other forms of knowledge transfer will be provided to identified internal candidates. This will offer the internal candidates an opportunity to perform and develop in a manner that will demonstrate their ability to handle increased responsibilities. • An assessment of internal potential candidates’ readiness to assume this increased responsibility will be conducted on an annual basis in conjunction with the annual performance review. • The Board of Directors or the succession planning team will be responsible for the selection of the Executive Director/Artistic Director who, in consultation with the Board of Directors will be responsible for the selection of the Business Manager. • The Board of Directors will be responsible for the smooth transition of the new incumbents. • The Board of Directors will conduct a review of the new Executive Director/Artistic Director’s performance at six months and then annually thereafter in conjunction with pre-determined goals and objectives. • The Board of Directors will ensure that there is an emergency succession plan in place. • The Board of Directors will delegate the responsibility for succession planning for the Board of Directors to the Governance Committee. • The Governance Committee will annually review the Board’s composition and ensure the recruitment of the required skills and abilities. • The succession planning policy will be reviewed every five years, while the emergency succession plan will be reviewed on an annual basis. 	

APPENDIX B: Sample Emergency Executive Succession Plan

Emergency Executive Succession Plan

Procedure for the Appointment of an Acting Executive Director in the Event of an Unplanned Absence of the Executive Director

1. Rationale

To ensure the continuous coverage of executive duties critical to the ongoing operations of *XYZ organization* and its services to members, the Board of Directors is adopting a policy and procedures for the temporary appointment of an Acting Executive Director in the event of an unplanned and extended absence of the Executive Director.

The decision to revert to this plan shall be made only in such circumstances that the covering of the Executive Director's responsibilities by staff in existing positions is deemed not to be in the best interests of *XYZ organization*.

While the Board acknowledges that such an absence is highly improbable and certainly undesirable, it also believes that due diligence in exercising its governance functions requires it to have an **Emergency Executive Succession Plan** in place. It is expected this plan will ensure continuity in external relationships and in staff functioning.

Priority functions of the Executive Director position of *XYZ organization*

The full description for the Executive Director position is attached (Appendix D). The following key functions have been identified as crucial responsibilities to be assumed by an Acting Executive Director:

- Support of the Board of Directors through open and frequent communication, particularly during the period of transition;
- Responsibility for the day-to-day operations of *XYZ organization* in consultation with the Board of Directors;
- In consultation with the Board's Director of Human Resources, ensure the effective management of human resources directly related to hiring, supervision, evaluations, disciplinary action and dismissals of all staff;
- In conjunction with the Board of Directors and *XYZ organization's* communications staff, participate in the implementation of the communication strategy;
- Serve as the organization's principal leader and representative to the greater community;
- In conjunction with the bookkeeper and under the guidance of the Treasurer of the Board, assume responsibility for the oversight of the organization's finances. The bookkeeper will be responsible for the day-to-day financial management.

Priority functions of the Board of Directors of *XYZ organization*

The Board of Directors of *XYZ organization* will continue to hold prime responsibility for *XYZ organization's* short and long term program and project goals. The Board shall provide guidance to the Acting Executive Director and the Director of Communications as to appropriate public messaging with respect to the temporary change in leadership of the organization.

Priority functions of the *XYZ organization* Bookkeeper

The position description of the Bookkeeper specifies that he or she will assist the Treasurer with the administration of the organization's finances in the absence of the Executive Director.

2. Succession plan in event of a temporary, short-term, unplanned absence

a. Definition

A temporary absence is one in which it is expected that the Executive Director will return to his or 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. A short-term absence is three months or less.

b. Who may appoint the Acting Executive Director

The Board of Directors authorizes the Executive Committee to implement the terms of this emergency plan in the event of the unplanned absence of the Executive Director. In the event of such an unplanned absence, the Office Administrator/Executive Assistant shall immediately inform the President of the Board of the absence. As soon as is feasible, the President shall convene a meeting of the Board to affirm the procedures prescribed in this plan or to make modifications deemed appropriate. Once a plan of action has been determined, the President of the Board will advise all members of the Board of Directors of its implementation.

c. Options for Acting Executive Director

The options for the choice of Acting Executive Director shall be *either* the *Program Director*, the *Director of Communications*, or the person deemed to have the appropriate experience within the organization. The position descriptions of these positions should reflect this possibility. The decision on the appointment between these positions shall be made by the Board taking into account various factors, including but not limited to the following: length of service; leadership experience; interest in assuming the position; flexibility to assume additional responsibilities.

d. Priority Action Checklist

The Executive Director shall develop an emergency plan checklist for use in the case of the appointment of an Acting Executive Director and shall ensure that appropriate staff members understand clearly how to carry out these responsibilities.

e. Compensation

Should the appointment of an Acting Executive Director extend beyond a two-week period, the Acting Executive Director shall receive a temporary salary increase to the entry level salary of the Executive Director position or to 5 per cent above his/her current salary, whichever is greater.

f. Board committee responsible for oversight and support to the Acting Executive Director

As with the Executive Director, the Board will have the responsibility of monitoring the work of the Acting Executive Director. The Board will also be cognizant of the special support needs of staff under this temporary leadership situation and should establish more intensive communication between the Board and the Acting Executive Director than is typical in the normal Board/Executive Director relationship.

g. Communications Plan

At a time deemed appropriate following the appointment of an Acting Executive Director, he or she, in consultation with the Board, will advise key external supporters of *XYZ organization* of the temporary change in leadership. The extent to which this information is disseminated will depend on the circumstances at the time. Caution must always be taken to avoid any unnecessary concern about the viability of the organization and to be respectful of the privacy of those involved.

h. Completion of Temporary Emergency Succession Period

The decision as to when the absent Executive Director returns to *XYZ organization* will be determined by the absent Executive Director and the Board President. A reduced schedule for a set period of time can be allowed, by approval of the Board President, with the intention of working back to a full-time commitment.

3. Succession plan in event of a temporary, long-term, unplanned absence

a. Definition

A long-term absence is one that is expected to last more than three months.

b. Procedures

The procedures and conditions to be followed shall be the same as for a short term absence with one addition:

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

4. Succession plan in event of a permanent, unplanned absence

a. Definition

A permanent absence is one in which it is unequivocally determined that the Executive Director will not be returning to the position.

b. Procedures

With an unplanned absence deemed to be permanent, the procedure outlined in the emergency succession plan shall be implemented, with the additional appointment of a Selection/Transition Committee to plan and implement the appointment of a new permanent Executive Director.

Approvals and maintenance of records

a. Succession plan approval

This succession plan will be forwarded to the Board of Directors for its vote and approval.

b. Signatories

This plan shall be signed by the Board President, the Executive Director and the Director of Human Resources (or equivalent position). The Executive Director undertakes to ensure both the Program Director and the Director of Communications are aware of the emergency succession plan.

c. Maintenance of record

Copies of this plan shall be maintained by the Board President and the Executive Director.

d. Annual review of the succession plan

This succession plan will be reviewed on an annual basis by the Board President and the Director of Human Resources.

KNOWLEDGE TRANSFER

Create a document with the following information:

	Onsite Location	Computer location	Offsite location
Non profit status			
CRA documents			
CRA Form T3010			
Bylaws			
Mission statement and strategic plan			
Board minutes			
Financial information			
Current and previous audited financial statements			
Blank cheques			
Organizational information			
Computer passwords for all employees			
Donor records			
Membership records			
Employee records/personnel info			
Staff home addresses, phone numbers, email, emergency contacts, etc.			
Board of Directors list with phone numbers			
Executive Director and key staff job descriptions			
Organization chart showing lines of authority/reporting throughout the organization			
Work plan or priority action checklist			
Staff and Board manuals			

Auditor

Name:
 Phone number/email:
 Bank:
 Name(s):
 Account numbers:
 Branch representative(s):
 Phone number:
 Fax:
 E-mail:

Who is authorized to sign cheques?
 Is there an office safe? Who has the combination/keys?

Attorney

Name:
 Phone number:
 E-mail:

Building management

Company name:

Contact name:

Phone number/e-mail: **Office Security System**

Company name:

Account number:

Representative phone number/e-mail:

Broker phone number/e-mail:

General Liability / Commercial Umbrella/ Directors and Officers Liability Insurance

Company/underwriter:

Policy number:

Representative phone number/e-mail:

Broker phone number/e-mail:

Director's and Officer's liability:

Company/underwriter:

Policy number:

Representative phone number/e-mail:

Broker phone number/e-mail:

Key Supporters/Stakeholders

1. Company name:

Representative phone number/e-mail:

2. Company name:

Representative phone number/e-mail:

3. Company name:

Representative phone number/e-mail:

4. Company name:

Representative phone number/e-mail:

5. Company name:

Representative phone number/e-mail:

6. Company name:

Representative phone number/e-mail:

APPENDIX C: Sample Succession Planning Timetable

Timetable for plan starting in 2012 (Year 1) based on the anticipated retirement of current Executive Director in 2015 (Year 4)

Activity	Responsibility	Time Frame
Review trends and issues facing the organization and its members.	Board of Directors	Year 1 and annually
Review of knowledge, skills and abilities and key competencies for the Executive Director job description.	Human Resources Committee	Year 1 and annually
Create a talent pool of individuals who are being prepared for leadership roles within the organization. Provide opportunities for development.	Board of Directors and Human Resource Committee	Ongoing
Identification and development of internal talent.	Executive Director in conjunction with Human Resources Committee	Ongoing
Identification of external talent and building of relationship. Create relationships with potential external candidates.	Board of Directors in conjunction with Executive Director	Ongoing
Development of selection process.	Board of Directors	Year 3
Development and implementation of recruitment campaign.	Selection/Transition Committee	Year 3
Interview, screening and selection of new Executive Director.	Selection/Transition Committee	Six months prior to retirement of current Executive Director
Transitioning of the old Executive Director to new Executive Director.	Board of Directors	Two months prior to retirement

APPENDIX D: Sample Core Competencies

Key competencies for the position of Executive Director

General Management and Leadership Competencies

Demonstrates:

- A thorough understanding of all aspects of human resources management practices, financial and fundraising management, administration and policy implementation practices in the not-for-profit sector.
- An understanding of the arts community and their activities in Ottawa.
- Energy and self-direction and the ability to set priorities, develop a work schedule, monitor progress towards goals, and track details, data, information and activities that will contribute the most to the growth and success of *XYZ organization*.
- Ability to:
 - tailor personal leadership style depending on the audience and situation; is able to respond quickly and decisively in a crisis situation;
 - network actively; continuously renew and build relationships that improve operations and create opportunities (funding, program, volunteer) for *XYZ organization*;
 - assess situations to determine the importance, urgency and risks, and make clear decisions which are timely and in the best interests of the organization;
 - anticipate, understand, and respond to the needs of internal and external clients to meet or exceed their expectations within the organizational parameters; and
 - represent *XYZ organization* effectively before a wider range of audiences and uphold its reputation.

Strategic Management Competencies

Demonstrates:

- Extensive knowledge of the arts and the not-for-profit sector including knowledge of leadership and management principles as they relate to the not-for-profit sector and all federal and provincial legislation applicable to voluntary organizations.
- Strategic thinking: assesses options and actions based on trends and conditions in the environment, and the vision and values of the organization.
- Action management: determines strategies to move the organization forward, sets goals, creates and implements actions plans, and evaluates the process and results.
- A clear understanding of *XYZ organization's* vision and mission, and is able to focus others (staff, Board and volunteers) on the priorities of *XYZ organization*.
- A strong vision of the possibilities to expand the current reach of the organization.
- A strong understanding of current and emerging community needs.

Board Competencies

Demonstrates:

- The commitment and capacity to engage and support a Board of Directors that is active and deeply engaged in both the operations and governance of the organization.
- The ability to develop, motivate and supervise a committed and talented Board of Directors, staff and volunteers through good and challenging times.
- Takes the time to recognize and celebrate successes.
- Strong group dynamic skills: is able to anticipate barriers to ongoing engagement and retention of the Board of Directors; is able to assess skill gaps that threaten the Board's ability to function and engage people with desired competencies.
- The ability to motivate and focus the Board of Directors through good and challenging times and to take time to recognize and celebrate their successes.
- The ability to discern clearly and articulate the relevant organization issues to the Board, and provide the required background and education to support their decision-making.
- The ability to communicate the impact of Board activity and decision to *XYZ organization's* employees to facilitate internal alignment.

People/Personal Competencies

Demonstrates:

- Commitment, integrity and sensitivity to the needs of others.
- Honesty, integrity, accountability and appropriate transparency in all relationships, and a commitment to high ethical standards.
- A manner that is consistent with being a leader in an arts organization at work, specifically in the community and in private life.
- A willingness to be flexible, versatile and/or tolerant in a changing work environment while maintaining effectiveness and efficiency.
- The ability to work cooperatively and effectively with others to set goals, resolve problems, and make decisions that enhance organizational effectiveness.
- The ability to assess problem situations to identify causes, gather and process relevant information, generate possible solutions, and make recommendations and/or resolve the problem.
- The ability to guide/support *XYZ organization* through senior management change.
- The ability to positively influence others to achieve results that are in the best interest of the organization.
- The ability to establish and maintain positive working relationships with others, both internally and externally, to achieve the goals of the organization.
- The ability to respect the past without being inhibited by it.
- Cultural sensitivity and ability to work effectively with diverse groups of people.
- Energy and self-direction, creative problem solving, ability to reconcile divergent points of view in a collaborative way.

Communications Competencies

Demonstrates:

- The ability to speak, listen and write in a clear, thorough and timely manner using appropriate and effective communication tools and techniques in both official languages.
- Confidence, clarity and conviction in public speaking.
- Good listening skills.

Key Competencies – Business Manager

General management and leadership competencies

Demonstrated knowledge of:

- The voluntary sector including knowledge of management principles and all federal and provincial legislation applicable to voluntary organizations including employment standards, human rights, occupational health and safety, charities, taxation, CPP, EI, health coverage, etc..
- All aspects of human resources management and financial management, administration and policy implementation practices in the not-for-profit sector.
- Generally Accepted Accounting Principles (GAAP) and tax practices and requirements pertaining to not-for-profits.

Abilities to:

- Develop new and unique ways to improve operations of the organization and to create new opportunities.
- Assess situations to determine their importance, urgency and risk, and make clear decisions which are timely and in the best interests of the organization.
- Keep well-organized files related to the “running” of the organization.

Strategic Management Competencies

- Clear understanding of *XYZ organization's* mission, and ability to ensure that the operations of the organization are in line with its strategic direction.

Board Competencies

- Capacity to support a Board of Directors particularly from a financial management and administrative perspective.

People/Personal Competencies

Demonstrates:

- personal qualities of commitment, integrity and sensitivity to the needs of others;
- honesty, accountability and appropriate transparency in all relationships;
- a commitment to high ethical standards;
- a willingness to be flexible, versatile and/or tolerant in a changing work environment while maintaining effectiveness and efficiency;
- energy and self-direction and the ability to set priorities, develop a work schedule, monitor progress towards goals, and track details, data, information and activities;
- the ability to assess problem situations to identify causes, gather and process relevant information, generate possible solutions, and make recommendations and/or resolve the problem; and
- cultural sensitivity and ability to work effectively with diverse groups of people.

APPENDIX E: Sample Executive Director Job Description

JOB DESCRIPTION: Executive Director

Reports to: President and XYZ *organization* Board of Directors

Date Approved:

Approved By:

Date Reviewed:

Key Internal Relationships: XYZ *organization* staff and volunteers
XYZ *organization* Board of Directors
XYZ *organization* membership

Key External Relationships: Business community (all levels)
Arts community
Key arts umbrella organizations
Media contacts
Not-for-profit sector
Funders
Departments of the Federal, Provincial and Municipal governments

Role:

Reporting to the Board of Directors, the Executive Director is responsible for the overall management and operations of XYZ *organization*. In keeping with the philosophy, policy and programs of the organization, as established by the Board of Directors, the Executive Director is responsible for policy implementation and the effective management of XYZ *organization* and all its programs.

Responsibilities:

Policies

The Executive Director recommends and participates in the formulation of new policies; makes decisions to change existing policies, and ensures that staff is operating in compliance with these policies. He/she is responsible for disseminating new policy to staff, and ensuring that all new employees are provided with copies to all of the organization's policies and by-laws.

Operations

The Executive Director is responsible for planning, organizing, directing, coordinating and monitoring of the operations of the organization and the organization's programs, which support and enhance the work of local artists and arts organizations. The Executive Director provides leadership in the development of new programs.

Fund Development/Fundraising

The Executive Director is responsible for ensuring that all funding proposals are submitted in a timely fashion and is expected to pursue synergistic funding opportunities where appropriate. He/she is responsible to meet the terms and conditions of those funding proposals, protect the organization's best interests, and further its mandate in so doing. The Executive Director is responsible for the overall management of a targeted fundraising campaign as well as donor relations related to fundraising.

Financial Management

The Executive Director is required to oversee the financial operations including management of expenditures, generation and tracking of revenue, to ensure that policies of the Canada Revenue Agency (CRA). He/she ensures that all financial procedures and policies are followed, in accordance with the directives of the Board. He/she creates and monitors cash-flow and is expected to lead the budget preparation, oversee internal budget submissions, and ensure the timely creation of the annual budget in conjunction with the Treasurer and the Board of Directors.

Human Resources Management

The Executive Director is responsible for human resource matters directly related to the individual staff including hiring, supervision, evaluations, disciplinary actions, dismissals, and professional development. He/she sits on all internal committees and relevant external committees. He/she maintains effective internal and external relationships, and acts as a liaison between the staff and Board.

Community Relations/Communications/Advocacy

The Executive Director is responsible for establishing and maintaining a positive working relationship with all stakeholders of the organization. He/she is the main spokesperson for *XYZ organization* ensuring that the organization's key messages and advocacy issues are communicated in support of the needs of *XYZ organization*.

Activities and Deliverables:

Leadership

10 % of time

- Takes a leadership role with the Board in developing a vision, strategic plan and objectives and ensures that an effective strategic planning process is maintained.
- Works with all committees (Directors) to develop annual work plans and to reach established goals.
- Acts as a professional advisor to the Board of Directors on all aspects of the organization's activities.
- Fosters effective teamwork between the Board and the Executive Director and staff.
- In addition to the President of the Board, acts as a spokesperson for the organization.
- Represents the organization at community activities to enhance the organization's profile.

Board of Directors and Committees

10 % of time

- Participates as an ex-officio, non-voting member of the Board's committees.
- Supports the activities of the Board of Directors and Board committees according to Board policies.
- Drafts organizational policies for the approval of the Board, and prepares procedures to implement organizational policies. Reviews existing policies on an annual basis and recommends policy changes to the Board of Directors as appropriate.
- Clearly identifies, assesses, and informs the Board of Directors of internal and external issues that affect the organization and effectively communicates such issues to the Board of Directors.
- Takes a leadership role with the Board and staff in setting annual priorities and objectives within the context of a strategic plan.
- Provides the Board with a full knowledge of the operations of the organization on a monthly basis.
- Implements decisions made by the Board.
- Develops and maintains a productive partnership with the President of the Board to further the goals of the organization.

Financial Planning and Management

5 % of time

- Manages expenditures, generates and tracks revenue for the organization.
- Oversees the payroll, accounts payable and accounts receivable.
- Advises on term deposits and/or investments.
- Works with the Treasurer and the Bookkeeper to prepare monthly statements, mid-year summaries, auditor's reports, government records.
- Prepares all financial information for Service Agreements and grant applications.
- Establishes and implements all appropriate financial procedures and controls in accordance with the directives of the Board and ensures that CRA policies are observed.

Budget

7 % of time

- Researches and prepares a comprehensive annual budget with the Treasurer for approval by the Board of Directors.
- Administers the funds of the organization according to the approved budget and contractual obligations.
- Monitors the monthly cash flow of the organization, promptly reporting any issues to the Board of Directors, and prepares forecasts quarterly.
- Provides, in conjunction with the bookkeeper, monthly financial reports to the Board.

- Reviews and analyses with the bookkeeper, and the Treasurer, on a regular basis, any variations from the budget; recommends to the Board, in consultation with the Treasurer, corrective actions when necessary.
- Acts as a signing officer with other designated signing officers and following the Financial Signing Authority and General Signing Authority Policies.

Funding and Donor Stewardship

10 % of time

- Researches funding sources, oversees the development of fundraising plans and writes funding proposals to secure adequate funding for the operation of the organization from all levels of government, and other funding bodies.
- Negotiates and evaluates contracts with government funders.
- Keeps current with shifts and changes in policies and practices of funders and/or potential funders and their implications on the organization.
- Develops and implements annual fundraising plans and strategies to ensure the financial stability of the organization.
- Establishes and maintains good communication and relationships with funders.
- Ensures the completion of a targeted fundraising campaign.
- Oversees the effective stewardship of donors for XYZ organization.

Human Resources Planning and Management

15 % of time

- Plans and monitors staffing requirements for organizational management and program delivery.
- Recruits, interviews and selects staff members that have the right technical and personal abilities to help further the organization's mission.
- Oversees the implementation of human resource policies, procedures and practices.
- Makes recommendations on changes to these policies and procedures including the development/review of job descriptions and annual salary reviews for all staff.
- Establishes/reviews contracts and benefits for the staff and, the need to hire and layoff staff members
- Ensures that all new staff receives letters of employment and a complete current employee orientation including all operational, Board and human resource policies.
- Ensures the provision of appropriate training and job-related career development for staff and volunteers within the approved budget.
- Ensures supervision of all employed staff and provide direction and supervision to students, contractuales, and volunteers.
- Ensures the accuracy of all payroll and staff benefit calculations.
- Leads the organization's staff to optimal performance by setting clear and measurable objectives
- Implements a performance management process for all staff which includes an annual performance review.
- Ensures probationary period evaluations are conducted, as necessary.
- Carries out disciplinary action where required using appropriate techniques; releases staff when required using appropriate and legally defensible procedures.
- Provides support and guidance to staff in fulfilling their responsibilities.
- Informs staff of Board management decisions and policies which impact on their work.
- Establishes a positive, healthy and safe work environment in accordance with all appropriate legislation and regulations.
- Promotes an effective team approach throughout the organization.
- Participates in an annual performance evaluation by the Human Resource Committee, including a review and update, if necessary, of the Executive Director's job description.
- Ensures that exit interviews are conducted for all resigning staff, and that they are acknowledged for service as appropriate and that all XYZ *organization* property in their care is returned to the organization.
- Ensures staff/volunteer personnel files are complete and up-to-date. Keeps files in a secure setting along with member and donor files, and respects *Personal Information Protection and Electronic Documents Act*.

Operational Planning and Management

10 % of time

- Develops and implements an annual operational plan which incorporates goals, objectives, and activities that advance the strategic direction of the organization.
- Ensures that necessary planning occurs to identify and develop strategies to meet gaps in service.
- Allocates resources and oversees the development and implementation of innovative, effective and efficient programs.
- Ensures that the impact of programs is effectively measured and communicated to stakeholders.
- Oversees the efficient and effective day-to-day operation of the organization.
- Ensures that the organization complies with all financial, legal, government and funder requirements.
- Ensures that *XYZ organization* is accessible and that policies to ensure accessibility are developed.

Program Planning and Management

10 % of time

- Oversees the planning, implementation and evaluation of the organization's programs and services.
- Ensures the delivery of programs and services according to Board policies and within the approved budget.

Communications

3 % of time

- The ability to speak, listen and write in a clear, thorough and timely manner using appropriate and effective communication tools and techniques.
- Works with the Director of Communications to ensure there is a communications strategy that effectively reaches *XYZ organization's* audiences, and contains communications goals that support the objectives as identified in *XYZ organization's* strategic plan.

Community Relations

10 % of time

- In addition to the President of the Board, acts as the official spokesperson for the organization.
- Along with the *XYZ organization* Board of Directors, speaks at public functions and events and to arts groups, service organizations and community groups.
- Establishes and maintains good working relationships and collaborative arrangements with partners, community organizations and municipal, provincial and federal governments and their appropriate departments to help achieve the goals of the organization.

Advocacy

8 % of time

- Promotes greater visibility of arts and cultural activities and goals in the political arena.

Risk Management

2 % of time

- Identifies and evaluates the risks to the organization's people (staff, management, volunteers), property, finances, goodwill and image, and implements measures to control risks.
- Ensures that the Board of Directors and the organization carry appropriate and adequate insurance coverage.
- Ensures that the Board and staff understand the terms, conditions and limitations of the insurance coverage.

Qualifications:

In order to assume this position, the incumbent must have ten (10) years of progressive management experience in the not-for-profit sector.

Education

Education qualifications for this position are normally acquired through a master's degree or an acceptable combination of relevant education and/or experience.

Experience Requirements:

At least ten (10) years of progressive experience. Extensive knowledge of, and experience in, the not-for-profit sector.

Knowledge, Skills and Abilities:

- Knowledge of leadership and management principles as they relate to the not-for-profit sector.
- Knowledge of all federal and provincial legislation applicable to voluntary organizations including employment standards, human rights, occupational health and safety, charities, taxation, Canada Pension Plan, Employment Insurance, health coverage, etc.
- Knowledge of the arts and culture community and activities including human resource management, financial management and administration, policy implementation, program development and fundraising and project management.
- An understanding of the arts community in the Ottawa region
- A strong understanding of current and emerging community needs.
- The ability to guide *XYZ organization* and lead others in creating and executing an organization-wide strategic plan and to translate the strategy into implementation plans; demonstrates strong project management skills; demonstrates good strategic and analytical thinking.
- A clear understanding of *XYZ organization's* vision, mission, and ability to confidently focus others (staff, Board and volunteers) on the priorities of *XYZ organization*; demonstrates a strong vision of the possibilities to expand the current reach of *XYZ organization*.
- Knowledge of public/community relations theories and practices and experience and willingness to work with a Board of Directors and committees of the Board.
- Change management skills including the ability to successfully guide/support a team through senior management transition.
- A proven track record in successful fund development including experience in grant writing.
- Excellent written and oral communication skills in both official languages
- Excellent proofreading skills
- Experience in project and/or program management, development, and planning

Personal Characteristics:

Excellent organizational skills

- Leadership, networking and partnership building skills;
- High ethical standards;
- Effective leadership, team and relationship building skills;
- Honesty, integrity, accountability and appropriate transparency in all relationships;
- Demonstrates a manner that is consistent with being a leader in a arts organization at work, in the community and in private life; recognizes they are the face of *XYZ organization* and the responsibility in upholding its reputation;
- Professional manner and appearance;
- A willingness to be flexible, versatile and/or tolerant in a changing work environment while maintaining effectiveness and efficiency;
- Attention to detail;
- Strong people skills and the ability to work with staff, volunteers, press, donors etc.;
- Ability to prioritize, juggle and execute multiple tasks to timely and effective completion;
- Ability to respect deadlines;
- Dynamic, energetic, creative and engaging.

APPENDIX F: Practical Suggestions for Skill Development

Cost-effective methods for employee training and development

There are many ways to provide employees and Board members with learning opportunities. The following list details practical and cost-effective methods which can be incorporated into both staff and Board members' individual development plans to help them gain the required skills and knowledge.

On-the-job experience:

1. Committees

- Committees are part of everyday activity in any organization.
- Committees made up of staff from different areas of your organization will enhance learning by allowing members to see issues from different perspectives.
- Set aside part of the committee's work time to discuss issues or trends that may impact the organization in the future.

3. Conferences and forums

- Employees can attend conferences that focus on topics of relevance to their position and the organization.
- Upon their return, have the employee make a presentation to other staff as a way of enhancing the individual's learning experience, and as a way of sharing knowledge across the organization. (Some conferences and forums may be considered off-the-job learning.)

4. Critical incident notes

- Day-to-day activities are always a source of learning opportunities
- Select the best of these opportunities and write up critical incident notes for staff to learn from (e.g., maybe a client complaint was handled effectively). Write a brief summary of the incident and identify the employee's actions that led to a successful resolution.
- Share the notes with the employee involved and with others as appropriate. If the situation was not handled well, again write a brief description of the situation identifying areas for improvement.
- Discuss the critical incident notes with the employee and identify the areas for the employee to improve upon and how you will assist the employee in doing this.

5. Field trips

- If your organization has staff at more than one site, provide employees with an opportunity to visit the other sites. This helps your employees gain a better understanding of the full range of programs and clients that your organization serves.
- Field trips to other organizations serving a similar clientele or with similar positions can also provide a valuable learning experience.
- Give staff going on field trips a list of questions to answer or a list of things to look for. Follow up the field trip by having staff explain what they have learned and how they can apply that learning to your organization. (Field trips can also be an off-the-job activity.)

6. Job aids

- Manuals, checklists, phone lists, procedural guidelines, and decision guidelines support employee performance.
- Job aids are especially useful for new employees, employees taking on new responsibilities and for activities that happen infrequently.

7. Job enrichment

- Once an employee has mastered the requirements of his or her job and is performing satisfactorily, she/he may want greater challenges. Consider assigning additional duties to the employee.
- Which duties to assign should be decided by the employee and her or his manager?
- Organizations with a flat organizational structure are starting to give some managerial tasks to experienced staff as a way of keeping those staff challenged and motivated.

8. Job rotation

- On a temporary basis, employees can be given the opportunity to work in a different area of the organization.
- The employee keeps his or her existing job but fills in for or exchanges responsibilities with another employee. This is also a risk mitigation strategy in case of employee absences.

9. Job shadowing

- If an employee wants to learn what someone else in your organization does, your employee can follow that person and observe him or her at work. This is different from coaching in that the person doing the shadowing usually observes, but does not usually participate in the work.

10. Learning alerts

- Newspaper articles, government announcements and reports can be used as learning alerts.
- Prepare a brief covering page which could include a short summary and one or two key questions for your employees to consider, and then circulate the item.
- Include the item on the agenda of your next staff meeting for a brief discussion.

11. Peer-assisted learning

- Two or more employees agree to help one another learn different tasks. Both employees should have an area of expertise that the co-worker(s) can benefit from.
- The employees take turns helping their co-worker(s) master the knowledge or skill that they have to share.

12. 'Stretch' assignments

- These assignments give the employee an opportunity to stretch past his or her current abilities. For example, an employee could be required to chair a meeting if the person has never done this before.
- To ensure that chairing the meeting is a good learning experience, the manager should take time after the meeting to discuss with the employee what went well and what could have been improved.

13. Special projects

- Give an employee an opportunity to work on a project that is normally outside his or her job duties. For example, someone who has expressed an interest in event planning could be given the opportunity to work as part of a special events team.

Relationships and feedback

1. Coaching

- Coaching refers to a pre-arranged agreement between an experienced manager and his or her employee. The role of the coach is to demonstrate skills and to give the employee guidance, feedback, and reassurance while she/he practices the new skill.

2. Mentoring

- Mentoring is similar to coaching in that mentoring occurs when a senior, experienced manager provides guidance and advice to a junior employee. The two people involved are entering into a working relationship based on shared interest and values, typically by choice, for example, for the purpose of sharing career and networking advice, more than on-the-job guidance.
- An application of mentoring occurs when experienced board members give informal support to new board members in getting acquainted with the practices, people and information relevant to the organization.

3. Networking

- Some professional specialties have informal networks designed to meet the professional development needs of the members. Members meet to discuss current issues and to share information and resources.

4. Performance appraisal

- Performance appraisals typically contain two components: a) an evaluation of job performance and b) developmental discussion. In traditional performance appraisals, the manager and employee evaluate the employee's strengths and weaknesses.
- Developmental appraisals can be used to identify areas for further development of the employee. One example is the 360-degree performance appraisal, where feedback is gathered from supervisors, peers, staff, other colleagues and sometimes clients, on an anonymous basis.

Classroom training

1. Courses, seminars, workshops

- These are formal training opportunities that can be offered to employees either internally or externally. A trainer, facilitator and/or subject matter expert can be brought into your organization to provide the training session, or an employee can be sent to one of these learning opportunities during work time.

Off-the-job learning

1. Courses offered by colleges or universities

- Many colleges and universities offer courses relevant to employees in the non-profit sector. Employees may attend these classes on their own time, or your organization may give them time off with pay to attend. Employees are often compensated by the organization for the cost of the course.

Professional associations

- Professional associations, like networks, provide employees an opportunity to stay current in their chosen field.

Reading groups (also called learning circles or reading circles)

- A group of staff meets to discuss books or articles relevant to the workplace/organization. Meetings usually take place outside normal working hours, such as noon hour or right after work.

Self study

- Self-paced independent reading, e-learning courses and volunteer work all provide learning opportunities. The employee engages in the learning activity by choice, and at his or her desired pace.
- Information and courses offered via the internet are called e-learning. The choices range from formal training offered by colleges and universities, to an informal walk-through of a given subject, to reading reports on a topic. E-learning can take place on or off the job.

Source: <http://hrcouncil.ca/hr-toolkit/learning-implementing.cfm>

APPENDIX G: Potential Resources for Advertising of an Executive Position

Consider the following possible avenues for candidature recruitment with an advertisement of an executive position:

Online

- Organization's website;
- Partner and member websites;
- Paid recruitment sites: CharityVillage.com, Workopolis.com, Monster.ca;
- Free job posting sites that sort jobs by category: OttawaJobBoard.ca;
- Arts sector sites that feature an opportunities section: AOE Arts Council, Council for the Arts in Ottawa, Ontario Arts Council.

Networks and social media

- Facebook: Post the opportunity with a link and date to reply by;
- Twitter: Tweet the opportunity with a link to website for more information;
- LinkedIn: Create or use an existing account to share a message with a network of professionals;
- Personal e-mail: Reach out to the sector and use all available networks to share the opportunity;
- Email subscriptions: Use existing arts, associations and non-profit regular mailing groups such as: AOE Arts Council's weekly announcements; ARTengine.ca.

Print advertising

- Newspaper: Place a professionally designed ad in the weekly Careers section. Most print ads also come with an option to post on the online version;
- Sector publications: See if a mention or small ad can be placed.

APPENDIX H: Sample Recruitment Advertisement

The following is a sample recruitment advertisement which would need to be tailored to each organization. If possible add the organization's logo and website link to direct candidates to more detailed information.

XYZ organization is a non-profit, charitable organization providing theatre training to students of all ages within the Ottawa area. Begun in 1973 as a program of Nepean, *XYZ organization* has grown to have more than 500 students in over 50 classes.

Our mission is to provide accessible theatre education and performance experience at various levels to students of all ages. For *XYZ organization*, the number one priority is to provide a positive learning experience for students while instilling a love of and desire to learn more about theatre.

Consistent with its succession plan, *XYZ organization* is seeking to recruit an Executive Director. This is an exciting opportunity to apply your strong visionary leadership approach to move an established arts organization into the next phase of its growth and development.

The Executive Director will be an exceptional leader with a passion for the performing arts. Reporting to the Board of Directors, the Executive Director is responsible for the overall management and operations of *XYZ organization*. The Executive Director is responsible for the artistic development, program objectives and day-to-day management through a coherent vision presented to and supported by the *XYZ organization* Board of Directors. The Executive Director develops supports and furthers the mandate of *XYZ organization*. The Executive Director is responsible for the communication between the staff, teachers, families, Board and community in order to enhance the mandate and vision of *XYZ organization*. The Executive Director is responsible for all programming aspects of *XYZ organization*, including curriculum development and evaluation, and is supported by a Business Manager who is responsible for the financial management and administration of the organization.

The successful candidate will bring strong knowledge of the performing arts complemented by a demonstrable understanding of the voluntary sector including knowledge of leadership and management principles as they relate to the not-for-profit sector.

An astute strategist and articulate communicator, the Executive Director will have excellent people management skills and substantive experience in community relations, building partnerships, fund development and strategic planning.

Organizationally, the successful candidate will have a track record of successfully managing change in a small organization, and working effectively with a volunteer Board of Directors.

Compensation is competitive with a senior role in the arts and culture charitable sector and is within the salary range of \$XYZ – \$XYZ based on qualifications and experience.

Please respond in confidence by XXXX
To the Selection/Transition Committee at: XXXX

APPENDIX I: Sample Resume Evaluation Sheet

Sample resumé evaluation sheet, XYZ organization

Applicant: _____

	Inadequate	Meets Needs	Excellent
Knowledge/ experience in the performing arts			
Nonprofit management experience			
Experience developing/managing programs			
Experience supervising staff and volunteers			
Fund development/financial management experience including grant writing			
Experience in community relations			
Knowledge of budgets			
Experience working with a Board of Directors			
Written communications/presentation skills			

Assessment		
Inadequate	Meets Needs	Excellent
Demonstrates: <ul style="list-style-type: none"> ▪ Few desired behaviors ▪ Lack of clarity or confidence in response ▪ Responses that are not evident of having demonstrated this competency at the desired level in the past, or that the person will be able to easily demonstrate in the Executive Director role 	Demonstrates: <ul style="list-style-type: none"> ▪ Many desired behaviors ▪ Articulate and clear response ▪ Solid knowledge and skills in competency area relevant to role of Executive Director 	Demonstrates: <ul style="list-style-type: none"> ▪ All (or most) desired competency behaviours ▪ Exceptionally clear, compelling and confident response to questions ▪ Provides strong evidence they have demonstrated this competency in the past, and will demonstrate it at a high level as an Executive Director

Comments:

Interview? Yes
 No
 Maybe

Points to clarify in interview:

Source: <http://www.ioq.unc.edu/pubs/electronicversions/pg/pqsum00/article4.pdf>

APPENDIX J: Preparation and Checklist for Executive and Board Selection Interviewing

Interview preparation, execution and follow-up:

1. Do you have an up-to-date job description to guide the interview process?
2. Have you identified competencies that specify the demonstrated knowledge, skills, and abilities you want to ask about in the interview, and which are consistent with the job description?
3. Do you have a representative selection committee that can provide a balanced assessment of candidates? Have selection committee members received training on interviewing do's and don'ts?
4. Do you have an interview schedule that gives sufficient time for candidates to respond to questions - e.g., minimum 5 minutes per question – and also to ask questions of the selection committee?
5. Is your interview process structured and job-related? Are all candidates being asked the same questions?
6. Do you allow for first and second interviews in order for different individuals and groups to provide input into the assessment, and to assess different criteria?
7. Are you asking interview questions that yield information about behaviours demonstrated by the candidates in the past, which relate to the job description and competencies, and which provide evidence of past performance?
8. Are you soliciting both positive and negative examples from candidates in order to make a more balanced assessment?
9. Have you verified that your interview questions do not relate to discriminatory elements – such as marital or parental status, ethnic background, age, etc. - that are prohibited by Canadian Human Rights legislation?
10. Are you providing reasonable accommodation in the interview process to candidates with disabilities?
11. Are you taking steps to create a positive atmosphere for candidates – eye contact, signs of openness, etc.?
12. Have you taken down descriptive notes during the interview, which support your assessment based on clear criteria?
13. Have you cross-referenced candidate information from the interview with reference checks that follow the same criteria as the interview?
14. Have you provided feedback on the interview process to all candidates?
15. Have you compared interview assessments with performance assessments one year after hire, in order to determine the predictive ability of your initial process, and adjust it as necessary for future needs?

What to watch out for:

1. Lack of preparation on the part of interviewers – no time taken to agree as a group on criteria to assess candidates; failure to review candidate resume in advance of interview; etc.
2. Interviewers who talk too much and do not listen enough – candidates should do 80% of the talking during the interview.
3. Lack of courtesy toward candidates: lateness, answering phone during interview, falling asleep!
4. Taking down candidate information without using probing questions for clarification if information is vague or there are inconsistencies.
5. Using “gut feel” to support selection decisions, rather than evidence from a structured, competency-based, and bias-free process.
6. Common forms of assessment bias – for example:
 - a. misinterpretation of cultural differences;
 - b. “halo effect” where assessment of one characteristic influences rating on others;
 - c. judging candidates who are similar to oneself more favorably than others; and
 - d. passing judgment on candidate appearance instead of giving proper weight to job-related competencies.
7. Open discussion about candidates immediately after the interview, before each assessor has had the opportunity to make an individual rating. This can lead to group bias.
8. Interview schedule that does not allow for sufficient time to do proper individual assessment after each interview.
9. Lack of respect for confidentiality of interview process and candidate information.

Time allocation:

Introductions, outline of process	5 minutes
Opening question	5 minutes
Opening presentation	10 minutes
Seven questions (9 minutes/question – time to probe)	63 minutes
Applicant’s questions	10 minutes
Panel discussion and rating	15 minutes
Total time	108 minutes

APPENDIX K: Sample Interview Questions

Develop your interview questions based on key competencies for the position being filled:

For example:

General management and leadership competencies

Board competencies

Strategic management competencies

People/personal competencies

Behavioural questions:

1. Can you describe a time when you had to deal with an underperforming or difficult person (e.g., employee, peer, volunteer)?

Probes

- What was the situation, and the impact of this person's behavior?
- What was your role in dealing with this person, and what did you do to address the situation?
- What is your general philosophy or approach to achieve the high standards that are important to the organization's brand?

2. What is a significant change or improvement that you have made to improve the management of an area, or organization?

Probes

- How did you determine this was a priority?
- What was your role in the change? What steps did you take?
- What difference did the change make?
- How did you measure its success?

3. Can you describe a 'difficult' relationship or partnership (e.g., funder, internal/external partner) that you were able to turn into a rewarding one?

Probes

- What was challenging about the partnership?
- What did you do to change the relationship for the better?

4. What experience have you had in fund development that is relevant to running a small non-profit organization?

Probes

- Tell us how you have demonstrated your ability to use different funding sources that require different kinds of relationships.

5. Can you describe a situation where you devoted considerable time, effort and resources to an effort that did not succeed (or to the extent you had hoped)?

Probes

- What was the situation?
- What was your role? What were the role and expectations of others in this event (e.g., other employees, Board, volunteers)?
- How did you maintain others' confidence in you given the outcome was not what you had hoped for?
- What did you learn from the experience that could make a difference in the future?

Sample situational questions:

1. What are the steps that you would take to deal with an employee that was frequently late and/or absent?

Probes

- What conversations would you have in this situation?
- What are the proper steps to deal with termination, if necessary?
- Have you had to deal with this before? If so, what was the outcome?
- What other difficult HR issues have you had to deal with?

2. What are your thoughts about how you would ensure a successful relationship between yourself and the Board?

Probes

- What experience have you had in dealing with Boards?
- What are your expectations of a Board?
- What are the key delineators between Board and ED accountabilities in your view?

3. It is important that the Executive Director has strong relationships with all stakeholders in the community. How would you proceed to build your presence in the region's arts community?

4. It is increasingly a challenge to engage and retain good people (e.g., employees, volunteers). How would you respond to the challenges of employee/volunteer engagement and retention in this position?

Probes

- What are some of the ways you think not-for-profits could more successfully attract and retain volunteers and employees?
- How have you demonstrated your strengths in engaging others?

APPENDIX L: Sample Notes and Rating Sheet

[Interview panelists enter general comments and overall evaluation here.]

Competency	Notes	Assessment		
		Inadequate	Meets needs	Excellent
Management and leadership competencies				
Board competencies				
Strategic management competencies				
People/personal competencies				

Assessment		
Inadequate	Meets Needs	Excellent
Demonstrates: <ul style="list-style-type: none"> ▪ Few desired behaviors ▪ Lack of clarity or confidence in response ▪ Responses that are not evident of having demonstrated this competency at the desired level in the past, or that the person will be able to easily demonstrate it in the Executive Director role 	Demonstrates: <ul style="list-style-type: none"> ▪ Many desired behaviors ▪ Articulate and clear responses ▪ Solid knowledge and skills in competency area relevant to role of Executive Director 	Demonstrates: <ul style="list-style-type: none"> ▪ All (or most) desired competency behaviours ▪ Exceptionally clear, compelling and confident response to questions ▪ Provides strong evidence they have demonstrated this competency in the past, and will demonstrate it at a high level as an Executive Director

Source: http://hrcouncil.ca/hr-toolkit/documents/ED_HiringGuide.pdf

APPENDIX N: Board Profile

The purpose of this tool is to highlight the overall competencies that will be sought by your organization in recruiting members for the Board of Directors. It will identify gaps in skills/qualities/qualifications that you require for the Board of Directors to function effectively.

Overall Competencies of all Board Members:

- Understanding of our community and its needs
- Passion for our cause
- Willingness to commit time for Board meetings, committee meetings, planning sessions and special events
- Team player
- Someone who listens well, is thoughtful in considering issues
- Willingness to make a commitment to raise funds to support the organization
- Willingness to accept the conditions of the attached Code of Conduct policy

Qualities/Qualifications:

To determine the kind of people required on a board one must first understand what qualities/qualifications (skills, talents, connections, expertise, etc.) are being sought.

1. In the “need” column ✓ all the qualities/qualifications that your board requires to function optimally.
2. In the “have” column name the people on the board who have the listed qualities.
3. Follow-up by recruiting the “need” ✓ qualities that have no name beside them.

		Need (✓)	Have (insert Board member name)
Expertise (education, training, professional)	Financial management/Accounting	✓	
	Fundraising/Fund Development		
	Human Resources or Labour relations		
	Legal		
	Program planning, program evaluation		
	Leadership		
	Marketing/Community/public relations		
	Arts Management		
	Organizational development		
	Information technology/Database management		
	Other:		
Experience in ...	Chairing meetings		
	Risk management		
	Volunteer resource management		
	Governance		
	Marketing/Community Awareness		
Connections (access to ...)	Clients/consumers		
	Community leaders/politics		
	Business / Arts community		
	Media		
	Supporting (complementary) community		
	Is representative of those we exist to serve		

APPENDIX O: Road Map for Successful Succession Planning for Board of Directors

1. Ensure the organization has a strong foundation; including a vision and mission, values, bylaws, policies and other tools capable of attracting leadership volunteers. There is strong competition for volunteers so an organization needs to present a well-organized and enticing picture.
2. Use a committee dedicated specifically to recruiting and retaining Board members. Usually, this task falls to the nominating committee led by the past president or a 'past president', someone who knows the organization, the membership and the community well. The nominating committee can not only enhance the level of Board governance and accountability, but also substantially ease the workload of the president and/or executive director by accepting responsibility for the recruitment and retention of Board members. With a reduced workload, the president's role is often much more palatable and the position more readily filled. The purpose of the nominating committee is to:
 - a. identify qualified individuals to become members of the Board of directors;
 - b. select the director nominees to be presented for election at each annual meeting of members; and
 - c. also accept responsibility for:
 - development and maintenance of Board manuals;
 - annual completion of the Board profile tool;
 - annual completion of Board member's self-evaluation;
 - annual completion and tabulation of the Board evaluation; and
 - ongoing Board development.
3. Identify specific skills, experience and/or representation needed or missing on the Board through the use of a 'Board profile tool' or 'skills matrix' based on the organization's strategic priorities and focusing Board recruitment on acquiring people with those skills. The skills matrix is completed by current Board members in order to clarify their demographics, skills and experience. Gaps are identified and new Board members sought to fill them. A similar skills matrix is included in new Board member application forms. A 'skills wish list' can allow the Board to balance its existing skill set with skills required in the near future or encourage current board members to expand their own skill sets to fill an existing or future gap.
4. Develop a 'pre-recruitment checklist'. The pre-recruitment checklist is the planning component of Board member recruitment. Unless an organization has certain processes in place, prospective Board members may perceive a disorganized approach and choose not to become involved.
5. Develop a 'recruitment plan' to locate the right person with the required skills and experience needed to fill the profile gaps on the Board. Recruitment is the process of matching an organization's needs with a volunteer's interests and skills. Questions to ask when building a recruitment strategy include:
 - What outcomes can be achieved through the recruitment of new Board members?
 - Where can we find people with the skills and experience we need?
 - What factors would influence a person's choice to become a Board member?
 - What recruitment message would appeal to them?

Recruitment Strategies

- *Warm Body Recruitment* is effective when you are trying to recruit for a volunteer position that can be filled by most people, either because no special skills are required, or because almost anyone can be taught the necessary skills in a limited amount of time. In this case, the recruitment message is spread to as broad an audience as possible.
- *Targeted Recruitment* is a highly efficient form of recruiting Board members who have a specific role to perform. It involves identifying the skills and experience required then tracking down the people who have those skills and experience.
- *Concentric Circles Recruitment* involves those people who are already connected to the organization: client family members, previous Board or staff members.
- *Ambient Recruitment* is designed for a 'closed system' such as a professional group, service club or religious sect; people who have an existing sense of self-identification and connectedness with a 'culture of involvement' in their community.

Choosing the best Board member recruitment strategy depends on what you need to accomplish. If several new entry level directors are needed, try *warm body recruitment*. If you need a specific skill or are trying to reach out to diverse groups, try *targeted recruitment*. If you want a steady flow of Board members or to compensate for attrition, try *concentric circles*. If you want to encourage representation from a specific group, try *ambient recruitment*.

6. Ensure diversity in the makeup of your Board, in skills, experience, age, race, sex and background. Ensure the Board is truly representative of the community and for *those it exists to serve*. Once a Board has strategically determined its needs, an ambient recruiting strategy can be effective in incorporating diversity and community values.
7. Interview prospective board member candidates utilizing pre-developed questions.
8. Institute a 'consistent intake process' for new Board members, through an application form, confidentiality form, reference checks, criminal record check. Ensure there is a specific valid reason for any differences in the intake process, for example, requiring a criminal records check for one position and not for another.
9. Maintain individual Board member information in separate secure files within the organization. Never permit anyone to take personal files home. Review these files occasionally to ensure they are complete. Include personal file security in the organization's privacy policy.
10. Provide a comprehensive orientation program for new Board members.
11. Match each prospective or new Board member with an experienced Board member to create a mentoring environment. Encourage the experienced Board member to coach the prospective or new Board member prior to Board meetings until the new Board member is comfortable with expectations and information.
12. Ensure that each Board member has a position description, whether for a director's position or for a specific role (president, treasurer, secretary).
13. Ensure there are at least two people who can effectively carry out each critical Board role. This reduces risk to the organization if a Board member in a leadership position is no longer able to fulfill his or her responsibilities.
14. Identify future leaders by providing Board members with opportunities to learn and demonstrate leadership skills by chairing a committee or short-term task group, taking on a specific task, or representing the organization at community events.
15. Review Board member recruitment and intake processes regularly, involving both experienced and new Board members to determine what can be improved.
16. Be aware of Board member retention issues and address them as required. *Board Volunteers in Canada: Their Motivations and Challenges* (http://library.imaginecanada.ca/files/nonprofitscan/kdc-cdc/imagine_board_volunteers_report.pdf) indicates a number of challenges that Board members face:
 - personal challenges:
 - time management, and
 - conflict management with other Board members;
 - Board challenges:
 - poorly run meetings,
 - unequal distribution of work, and
 - difficulty building consensus; and
 - organizational challenges:
 - recruiting and retaining Board members, and
 - obtaining funding.

Source: With permission – Adapted from *The Best of Strong Boards: Strong Boards Reflections and Recommendations. Strong Boards Pilot Project 2007* Authors: Joan Cox and Robbie Giles

6. RESOURCES

Resources in English:

A Model Succession Process: Alice Niwinski - Vancouver International Writers Festival.

http://www.writersfest.bc.ca/files/u3/Succession_document.pdf

Career Development for Cultural Workers: Cultural Careers Council Ontario + Cultural HR Council Tools

<http://www.workinculture.ca/getmedia/74eb402d-62c5-4871-aa73-b2769f667f6a/ResearchNatIntlBestPractices2010.pdf>

Chief Executive Succession Planning - Essential Guidance for Boards and CEOs: Second Edition. Nancy R. Axelrod. BoardSource, 2010

Creative Management in the Arts and Heritage: Sustaining and Renewing Professional Management for the 21st Century: Canadian Conference of the Arts + Cultural HR Council

<http://www.arts.on.ca/Asset340.aspx>

Executive Director Succession Planning: Preparing the Way for Leadership Transitions. National Alliance for media arts and culture

<http://namac.org/node/1092>

Hiring a Director for a Nonprofit Agency: A Step-by-Step Guide. Kurt J. Jenne and Margaret Henderson.

<http://www.iog.unc.edu/pubs/electronicversions/pg/pgsum00/article4.pdf>

How should arts and culture organizations approach succession planning? Sally Sterling, Spencer Stuart – National Arts Strategies

<http://www.youtube.com/watch?v=r7iPnyl4MSw>

HR Toolkits: HR Council for the Nonprofit Sector.

HR Planning – Succession Planning

<http://hrcouncil.ca/hr-toolkit/planning-succession.cfm> (v.f. aussi disponible)

Getting the Right people – Hiring an Executive Director

<http://hrcouncil.ca/hr-toolkit/right-people-hiring.cfm>

HRM Tools – Coaching, Mentoring and Succession Planning: Cultural Careers council Ontario + Cultural HR Council

<http://www.workinculture.ca/getmedia/a79d45c2-68cd-4614-be4e983ef6eaf9ee/toolsCoachingMentoringSuccession.pdf.aspx>

Lessons about Founder's and Long-Term Executive Transitions. Creative Trust

www.transitionguides.com

Planning for Succession: A Toolkit for Board Members and Staff of Nonprofit Arts organizations. Merianne Liteman. The Illinois Arts Alliance Arts in conjunction with the Arts and Business Council of Chicago, 2003

Succession: Arts leadership for the 21st Century: Research and recommendations on leadership succession in nonprofit arts organizations

Illinois Arts Alliance Foundation

www.artsalliance.org

Succession Planning Basics: Christee Gabour Atwood. ASTD Press, 2007

Succession Planning for Nonprofit Organizations: A Resource List. Foundation Center – philanthropy source

<http://foundationcenter.org/getstarted/topical/succession.html#01>



What advice would you give to someone rebuilding an Arts organization?

Anna Thompson, Executive Director of the DeBartolo Performing Arts Center at the University of Notre Dame – National Arts Strategies

http://www.artstrategies.org/leadership_tools/videos/2011/03/29/anna-thompson-what-advice-would-you-give-to-someone-rebuilding-an-arts-organization/

Resources in French:

La Dotation – embauche de la directrice générale : Conseil RH pour le secteur communautaire

<http://hrcouncil.ca/info-rh/personnes-competentes-embauche.cfm>

Planification de la relève - Préparer une nouvelle génération d'artistes et de gestionnaires culturels : Susan Annis – Conseil

des ressources humaines du secteur culturel. <http://www.cpaf-opsac.org/fr/themes/documents/AGA OPSAC 2011 Planification de la releve 08mars2012.pdf>

La planification de la relève – Un enjeu au cœur de la fonction RH : Ordre des conseillers en ressources humaines agréés

<http://www.portailrh.org/ReperesRH/fiche.aspx?f=78170>

La planification des effectifs – Modèle de planification de la relève: Conseil canadien de transport des passagers

<http://www.gourousdelautobus.ca/media/pdf/Succession-Planning-Model-fr.pdf>

Planification RH – Planification de la relève : Conseil RH pour le secteur communautaire.

<http://hrcouncil.ca/info-rh/planification-releve.cfm>

Planifier la relève – Le point de vue des chefs d'entreprises: Ministère du développement économique et du commerce de l'Ontario

http://www.ontariocanada.com/ontcan/1medt/smallbiz/sb_downloads/we_report_successionplanning_fr.pdf

Le travailleur culturel du XXIe siècle - entre succession, idéologie et technologie:

CQRHC – Conseil québécois des ressources humaines en culture

<http://www.cqrhc.com/documentation/nouvelles/le-travailleur-culturel-du-xxie-siecle-entre-succession-ideologie-et-technologie>