



# HOUSTON RECOVERY CENTER

## Executive Director Succession Plan

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## SUCCESSION PLAN

A change in executive leadership is inevitable for all organizations and can be a very challenging time. We have created a set of **Executive Director Succession & Transition Plans** that will prepare HRC for an eventual change in leadership, either planned or unplanned, to ensure the stability and accountability of the organization until such time as new leadership is identified. **The Board of Directors is responsible for implementing this policy and its related procedures.**

It is the responsibility of the Board of Directors to assess the long-term leadership needs of HRC to help ensure the selection of a qualified and capable leader who is representative of the community, a good fit for the organization’s mission, vision, values, goals and objectives, and who has the necessary skills to lead and manage the organization. To ensure HRC’s operations are not interrupted while the Board of Directors assesses the leadership needs and recruits an Executive Director, the Board should appoint interim executive leadership, if necessary, as described below. The interim Executive Leadership shall ensure that the organization continues to operate with minimal disruption and that all organizational commitments previously made are adequately executed.

This plan will guide the organization through this transition. All information contained in the Executive Director Succession Plan **will be reviewed and updated annually** by the current Executive Director (as applicable) and of the Board to ensure it is current and accurate. Copies of the Plan will be held by executive management staff and approved Board Committee.

This Executive Director Succession Plan Policy is hereby approved by HRC’s Board of Directors on:

\_\_\_\_\_, 20\_\_

\_\_\_\_\_  
Board President

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

**DEFINED DEPARTURE**

In the event that the Executive Director announces retirement or departure, this Executive Director Succession Plan will be implemented. The process is detailed below. The timeline for this process is driven by the Executive Director’s intended departure date and developed by the assigned board members according to that date.

**Planned Retirement Date: Planned retirement date for current Executive Director is 12/31/23.**

The following are key activities that need to occur. The timeframe for their execution is set by the assigned board members and the Executive Director. These members of the Executive work plan are to be named in the work plan for the next three years.

**Work Plan**

Date	Position Responsible	Task
		1. Determine job functions that need to be delegated down to current or new staff.
		2. Write job description for government grants position
		3. Post, interview and hire for government grants position
		4. Review this work plan for completeness, timeline and order.
		5. Determine if there are any potential internal candidates.
		6. Succession Committee meets to review a timeline for this action plan and assign responsibilities as well as notify the Board of Directors of the departure date.
		7. Determine what professional development these potential candidates may need to become fully prepared for the position.
		8. Train government grants position
		9. Begin mentoring, coaching and otherwise securing training for these potential candidates so that they may become fully prepared for the position.
		10. Write job description/contract language for information technology support
		11. Post, interview and hire/contract for information technology support
		12. Train information technology support
		13. Suggest board retreat for HRC
		14. Consult with Human Resources or outside expertise to advise on interview requirements and paperwork required. Developing the job posting.

		<p>15. Identify top three to five strategic objectives that fall under the executive’s core responsibilities. (<a href="#">essential functions list</a>). Rank top 5 core responsibilities – have to have vs like to have.</p>
		<p>16. Board President appoints a Search Committee of 5 – 8 people that may include the members of the Transition Committee, additional Board members, former Board members, Chair of the Finance Committee as well as community members. The Committee members should budget 2-4 hours per week which could take 6 months. At least one member should understand the culture of HRC and know the direct reports. There is an expectation that all members will be available for the interviews and debriefing. Members will have an equal vote. It is not recommended that the current Executive Director or staff be on the Search Committee. <a href="#">Non-profit search toolkit</a></p> <ul style="list-style-type: none"> <li>• The Committee Chair needs to be a strong leader, consensus builder and effective communicator. They may have to make decisions when there is no consensus. The Chair will provide regular updates to the Board President and monthly updates to the entire Board. The following tasks are completed by the Chair or can be delegated. <ul style="list-style-type: none"> <li>○ Updates to the staff come from the Board President</li> <li>○ Chair communicates requirements to Committee members</li> <li>○ Establishes structure of the Committee</li> <li>○ Identify a point person for logistics</li> <li>○ Finalizing the job description with members input and getting it approved by the Board</li> <li>○ Establish a system for interviewing and selecting candidates</li> <li>○ Lead interviewer</li> <li>○ Facilitating the selection of the short-list of candidates</li> <li>○ Ensure all consents and forms are completed and signed by the candidates</li> <li>○ Present the finalists to the Board, explain the process of decision-making</li> <li>○ Collect feedback from Board</li> <li>○ Drafting terms of offer</li> <li>○ Contacting unsuccessful interviewed candidates by phone to thank them for participating</li> <li>○ Hand off the new Executive Director to the</li> </ul> </li> </ul>

		<p style="text-align: center;">Transition Committee</p> <ul style="list-style-type: none"> <li>• Discuss confidentiality</li> <li>• Develop a search budget, which may include consulting assistance fees (e.g. transition management or executive search consultant or firm), advertising, hosting candidates, travel, and other expenses.</li> <li>• Review the latest Wage &amp; Benefits Survey to determine a salary range.</li> <li>• Commit to inclusive search with list of outreach sites and listservs to post position.</li> <li>• Create an interview process, including number of interviews required, by what means (phone, in-person) and identifying individuals and groups to be included in the process. Also develop a list of interview questions for each step of the process and the evaluation criteria and method.</li> <li>• Determine <a href="#">skill set</a>, leadership traits and focus (inward/outward) and plan to back fill any skills or focus area the candidate is lacking.</li> <li>• Determine leadership traits to avoid.</li> <li>• Update <a href="#">job description</a>.</li> <li>• Prepare a recruiting strategy that reflects the current needs of HRC.</li> <li>• Designate a member of the Committee to receive the applications if an external consultant or firm is not used. The Committee Chair or another designated member screens the applications and rates according to the <a href="#">matrix</a>. Applicants who do not pass the initial screening should be notified immediately that they are not being considered for the position. Those who do pass initial screening should be notified that their application has been received and they will be contacted shortly. The outgoing Executive Director, if available, may assist in the initial screening for qualifications.</li> <li>• Develop list of <a href="#">interview questions</a>.</li> <li>• Initial interviews may be conducted by telephone with the entire Committee present.</li> <li>• Subsequent interviews with up to six candidates should be done in person and include members of the Committee and individuals representing other stakeholder groups, as applicable.</li> <li>• Ensure candidates with in-person interviews receive copies of the most recent audit, personnel policies, bylaws and strategic plan.</li> </ul>
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		<p>17. Review the <a href="#">Communication Plan</a> and update, if necessary.</p>
		<p>18. Implement internal and external <a href="#">Communication Plan</a>. Stages – posted, timeline, etc</p>
		<p>19. Activate the Board Executive Transition Committee. This Committee will implement the following preliminary transition plan in conjunction with the Executive Director with the exception of the hiring process:</p> <p>20. Work with Development and/or Marketing staff to communicate with key stakeholders regarding the departure, actions taken by the Board in appointing a transition committee and implementing the succession policy. The organization shall maintain a current list of key stakeholders who must be contacted, such as donors, funders, government agencies, and others (<a href="#">key stakeholders</a>)</p> <p>21. Consider the need for consulting assistance (i.e. transition management or executive search consultant) based on the circumstances of the transition.</p> <p>22. Review the organization’s business and strategic plans and conduct a brief assessment of organizational strengths, weaknesses, opportunities and threats to identify priority issues that may need to be addressed</p>

		<p>during the transition process and to identify attributes and characteristics that are important to consider in the selection of the next leader.</p> <p>23. Establish a plan and time frame for executing the recruitment and selection process.</p> <p>24. Refer to the Policy and Procedures in HR manual for additional procedures.</p>
		<p>25. Work with Development and Marketing staff to plan celebration of outgoing Executive Director.</p>
		<p>26. Conduct a sustainability audit.</p> <ul style="list-style-type: none"> <li>• Gather input from stakeholders – departing ED, key staff, board members, funders, volunteers</li> <li>• Determine process for collecting info confidentially</li> <li>• Possible areas of input: <ul style="list-style-type: none"> <li>• Discuss mission, strengths, areas for improvement, vulnerabilities</li> <li>• Major upcoming issues that may impact Center</li> <li>• What changes are needed</li> <li>• Operational effectiveness of admin (HR, finance) and program functions</li> <li>• Collaborations – what are they, how well are they managed, how many staff manage these relationships</li> <li>• Financial reserves amount (in \$ and months)</li> <li>• Opportunities to develop/enhance internal leadership</li> <li>• Board effectiveness, skills, matrix</li> </ul> </li> <li>• Use information to create a list of desired personal and professional competencies that match HRC’s needs</li> </ul>
		<p>27. Define <a href="#">transition plan</a> between outgoing and incoming executive.</p>
		<p>28. Notify the following persons/organizations:</p> <ul style="list-style-type: none"> <li>• Key outside stakeholders including donors, funders, lenders, Agency partners, relevant media (<a href="#">key stakeholders</a>)</li> <li>• Organizations in which the organization has an active membership</li> <li>• Any agencies involved in licensing, bonding, accreditation, etc.</li> <li>• Update to staff on progress</li> <li>• Meet &amp; greet</li> </ul>
		<p>29. If appropriate, create and announce plan to honor</p>



		former Executive Director.
		30. Set 90 day and 12 month goals and expectations with new executive
		31. Activate the orientation and transition plan between former executive and new one.

## **EXECUTIVE DIRECTOR TRANSITION EXPECTATIONS**

1. Role of the departing Executive Director before and during search:
  - Provide input to the Executive Director Search Committee on appropriate skill sets, experience, qualities, personality and priorities for position
  - Offer names of potential candidates
  - Continue to perform duties of Executive Director until the new Executive Director assumes the position, unless an Interim Executive Director has been appointed
  - Be available for a 12-month part-time transition and post-transition period as under terms mutually agreed upon.
2. Role of departing Executive Director during transition period after selection of new leader (90 days):
  - Transfer all bank accounts
  - Introduce new Executive Director to other agency contacts and funders
  - Report key staff change to funders
  - Review status of all funding sources
  - Review any pending legal or personnel matters
  - Review budget
  
  - Grants timeline, due dates, continuity
  - Documents location
  - Review major projects and their strategic direction
  - Review all vital information items
  - Review policies
  - Review organizational chart, departmental hierarchy and any funding or other reasoning behind structure
  - Review strengths, weaknesses, opportunities and threats – including the status of anything with City Council, Texas Legislature
  - Review strategic plan
  - Train on confidentiality, subpoenas and court orders
  - Review Continuum and security administrator functions, who assigned to
  - Transfer all list servs, website logins
  - Review all contracts and vendors
  - Departing executive will refer any staff questions or communication back to the new executive
3. Role of departing Executive Director after initial transition period:
  - Be “of counsel” to the new executive at the new executive’s discretion

## **EMERGENCY OR UNPLANNED SUCCESSION PLAN**

### **Circumstances that trigger implementation of the Emergency Succession Plan:**

- Death of Executive Director
- Executive Director becomes permanently incapacitated
- Executive Director's employment terminated

### **Executive Committee Procedures**

- The Executive Committee will be the point person with the executive team on staff and in executing the emergency plan.
- Emergency meeting with Executive Committee scheduled as soon as possible. The Committee shall also create a timeline for this action plan and assign responsibilities as well as notify Board of Directors of the situation and the emergency session.
- Be sensitive to the special support needs of the Interim Executive Director in this temporary leadership role and act accordingly to ensure continued organization operations.
- Conduct a brief assessment of organizational strengths, weaknesses, opportunities and threats to identify priority issues that may need to be addressed during the transition process and to identify attributes and characteristics that are important to consider in the selection of the next leader.
- If the Executive Director employment was terminated and it is deemed necessary, begin taking steps to:
  - Secure cash and checks
  - Secure employee files
  - Secure contracts
  - Change security codes, passwords and combinations
  - Retrieve key and fob or change locks and deactivate fob
  - Turn off VPN access, retrieve laptop
  - Safeguard personal property of departing Executive Director
  - Cancel or change credit cards and authorization cards
  - Change bank signature cards
- The Board should use similar procedures in case of an executive transition that simultaneously involves the Executive Director and other key management. In such instance, the Board may also consider temporarily subcontracting some of the organizational functions from trained consultants to other organizations.

### **Recommendation for Interim Executive Director**

It is recommended that the Director of Finance and Contracts be selected to serve as the Interim Executive Director (IED) until such time as a permanent replacement is selected. The IED will serve as the team leader for the team consisting senior management including Director of Programs and Services, Director of Data and Program Analytics, Development Director as well as Manager of Human Resources and Office Manager.

### **Interim Executive Director Procedures**

- The Interim Executive Director (IED) shall be the primary point of contact for board communication.
- The IED will clear all major decisions with the Executive Committee.
- If the departure was sudden and due to a death or disability, the IED will direct HR to notify the staff of the availability of any counseling or support services.