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# Envisioning the Future

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Strategies for Executive  
Leadership Transition

LIFE **40**  
AFTER

COMPANION WORKBOOK

National  
**Family Planning**  
& Reproductive Health Association



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Leadership Transition



COMPANION WORKBOOK

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# Introduction

The National Family Planning & Reproductive Health Association (NFPRHA) is working to assist publicly funded family planning providers adapt to the changes created by the Affordable Care Act (ACA). Grant funding supports the *Life After 40: The Family Planning Network and the ACA* project, which focuses on the sustainability of the family planning service delivery network in the years following the fortieth anniversary of Title X, the federal family planning program, in 2010. This executive leadership transition case study joins the seven other case studies within the *Life After 40* project. The case study presents family planning providers' experiences with leadership transition. The following agencies participated in the case study and have generously shared materials for this workbook:

- Family Health Council of Central PA (FHCCP)
- Infant Welfare Society of Chicago (IWSC)

In addition, this case study provides insight and advice from South Carolina Department of Health and Environmental Control, Planned Parenthood of Central North Carolina, and Health Imperatives in Southeastern Massachusetts. Some of the tools were adapted from conversations held with leaders and staff at these sites, while other tools were created internally and adapted from literature about leadership transition. The goal of this companion workbook is to provide materials that facilitate leadership transition planning for agencies regardless of their current planning status. The tools included in this workbook provide examples of key considerations and steps to take, whether an organization is first considering planning for leadership transition or getting ready for an upcoming transition.

This workbook is divided into the three phases of leadership transition that are reviewed in the companion case study:

- Phase 1: Identify the Right Strategy
- Phase 2: The Search
- Phase 3: Endings & Beginnings



# How to Use this Workbook

Each document in the workbook includes a brief description to provide context for use. Additionally, the concepts behind the documents are discussed in more detail within the case study. The documents that are mentioned will have a page number for cross-reference with the case study.

This workbook is intended to provide the knowledge and tools needed for organizations to anticipate and prepare for leadership transition. This workbook will support organizations:

- Accurately or realistically plan for the budget, time and resources needed for the planning process;
- Increase Board understanding of the importance of leadership transition planning;
- Engage staff in the process;
- Successfully hire a new leader who can meet the demands of the future;
- Understand and define the organizational culture as part of the decision-making process; and
- Ensure a leadership transition where everyone feels respected.

The workbook follows the same phases of leadership transition outlined in the case study while providing an objective for each phase and then action items and tools that support the specific activities within each phase of transition planning.

# Phase 1: Identify the Right Strategy



Executive leader transitions are significant events in an organization's history that impact the vision, mission, operations, sustainability, and organizational culture. A transition in leadership is an essential opportunity for an organization to pause, assess, and be deliberate in the planning and selection of the next phase of leadership. Although often the focus is on the search methodology itself, the sites demonstrate the importance of a broader definition of leader transition planning including thorough assessment of many aspects of an organization and its functioning. As the case study demonstrates, the process of developing a leadership transition plan was a strategic planning process rather than an operational or tactical pursuit. Phase 1 is about the tactical pause and assessment that helps determine the best approach for leadership transition. In this phase, key decisions are considered, discussed and then provide a foundation for the implementation of the process. Among the many factors considered in this phase are: the contextual changes in the environment, current and future needs of the organization, specific characteristics needed in a new leader, leadership capacity of the staff within the organization, and capacity and resources of the Board.

## **Phase 1 Objective**

The agency is engaged and begins to assess the organization and explore elements of the transition plan.

# Tool #1: Readiness Assessment<sup>1</sup>

(See Case Study Page 6)

A readiness assessment tool is helpful to identify key aspects of the planning process as well as any governance that may be missing or in need of modification. This supports a successful planning process and ultimately a successful transition in leadership. To help you get a sense of organizational readiness, mark "yes" or "no" after each statement. For those statements marked "no," work with the appropriate staff and/or board members to discuss a strategy for addressing the gap in information.

<b>Organizational Readiness</b>	<b>Yes</b>	<b>No</b>
Our organization has a strategic plan		
Our strategic plan includes sections on leadership and/or human capital development		
Our budget designates more than one percent of revenues for board and/or staff development		
Our executive has been in his or her position for fewer than seven years <sup>2</sup>		
Our executive has said either formally or informally that he/she plans to be with the organization for four or more years		
Our executive shares responsibility for fundraising or the relationships we need for fundraising with other staff and board members		
Our board chair has served on the board more than three and less than five consecutive years		
Our board has well-defined term limits		
Most of our board members have served fewer than six years		
Our board represents a level of economic, cultural and/or racial diversity appropriate to our mission and/or found in our community		
Our board has a committee or designated group responsible for identifying, recruiting, and supporting new board members		
Our strategic plan analyzes both our internal and external environment		
The scan of our external environment delineates the contacts and relationships we have in our community		
Systems are in place for continuous quality improvement		
Our organization has a well-defined communications plan for both internal and external communication		
Our executive regularly updates the board on fundraising contacts, community collaborations, and shifts in the organization's stakeholders		
Within the board there are individuals who successfully solicit individuals face-to-face		
The role of fund development is shared between the board and staff		
Advocacy for the organization is shared between the board and staff		
Policies of the organization are written down and regularly reviewed		
Job descriptions are accurate and up-to-date		
A board-approved salary administration plan is in place that guides salary decisions		
Our board has a designated committee that oversees the CEO performance and salary negotiations		
Our CEO has a contract		

<sup>1</sup> Adapted from the Annie E. Casey Foundation.

<sup>2</sup> The reasoning behind asking whether the current executive has been in place for fewer than seven years is to inform the transition process. If the current executive has been in position for fewer than seven years, then the search committee can likely re-examine and update the process that was used to bring the current executive into the organization. If they have been in place for longer than seven years, the committee will likely need to create a new plan as well as weigh decisions differently. For example, if the culture of the organization is a desired change, then an external search candidate may be desired and that can inform the search process. The length of tenure of the leader then can inform the process and the factors that will require deliberate decision making.

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# Tool #2: Key Strategic Questions Provided by FHCCP

(See Case Study Page 6)

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This tool is a list of key strategic questions that existing leaders, Board members and key staff can use to begin the planning process and explore the impact of each phase of the leadership transition process. The questions can help ensure a thoughtful and inclusive leadership transition strategy.

1. How will the existing strategic plan be impacted by a new leader?
2. What level of staff engagement will be sought?
3. Will the organizational culture influence the leadership transition strategy? If so, how?
4. How is the contextual climate surrounding the organization impacting the future needs of leadership?
5. Are there additional partners or new models for sustainability that need to be explored?
6. What is the model for long-term sustainability of the organization? What leadership is required to support that model?

# Tool #3: Types of Leave and Important Elements of Leadership Transition

(See Case Study Page 6)

Tool #3 guides an organization in identifying which elements of a successful transition plan may need more consideration due to an organization's size and maturity and the type of leave being planned for. This matrix can be used to focus efforts by identifying first, which box your organization falls in, and second, how to design a transition plan that addresses the components highlighted in that box. This matrix was created by using elements drawn from the case studies as well as from reviews of literature on leadership transition.

Type of Leave	Size of Organization		Maturity of Organization	
	Small	Large	Young	Old
Emergency	<ul style="list-style-type: none"> <li>• Communication plan with external stakeholders</li> <li>• Acting leadership roles and responsibilities</li> <li>• Role of Board</li> <li>• Operational knowledge duplication</li> </ul>	<ul style="list-style-type: none"> <li>• Internal communication</li> <li>• External communication</li> <li>• Acting leadership roles and responsibilities</li> <li>• Funder/external stakeholder outreach and communication (e.g., individuals who need specific communication)</li> </ul>	<ul style="list-style-type: none"> <li>• Organizational capacity</li> <li>• Knowledge bench on operations</li> <li>• More prescriptive planning and processes (e.g., specific email drafting announcement of leadership transition)</li> </ul>	<ul style="list-style-type: none"> <li>• Acting leadership roles and responsibilities</li> <li>• Organizational knowledge</li> <li>• Connections with community stakeholders/partner organizations</li> </ul>
Contractual	<ul style="list-style-type: none"> <li>• Operational knowledge transfer</li> <li>• Onboarding</li> <li>• New leader to build organizational structure, culture, and operations</li> </ul>	<ul style="list-style-type: none"> <li>• Specific initiatives to finish prior to leaving</li> <li>• Funder transitions and key stakeholder relationships</li> <li>• Communication around leadership shift.</li> </ul>	<ul style="list-style-type: none"> <li>• Operational knowledge transfer</li> <li>• Onboarding</li> <li>• New leader to build organizational structure, culture, and operations</li> </ul>	<ul style="list-style-type: none"> <li>• Need for visionary leadership</li> <li>• Plan provides process of leadership change for the long-term</li> </ul>
Planned (Retirement)	<ul style="list-style-type: none"> <li>• Operational knowledge transfer-degree of operational redundancy</li> <li>• Onboarding</li> <li>• New leader to build organizational structure, culture, and operations</li> </ul>	<ul style="list-style-type: none"> <li>• Endings for leader</li> <li>• Onboarding</li> <li>• Preparation of staff for change in leadership</li> <li>• Board preparedness for transition management</li> </ul>	<ul style="list-style-type: none"> <li>• Operational knowledge transfer</li> <li>• Onboarding</li> <li>• New leader to build organizational structure, culture, and operations</li> </ul>	<ul style="list-style-type: none"> <li>• Need for visionary leadership</li> <li>• Plan provides process of leadership change for the long-term</li> <li>• Need to celebrate history and acknowledge past in order to move forward</li> </ul>

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# Tool #4: Considerations for Emergency Interim Executive Leader Used by FHCCP

(See Case Study Page 6)

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Tool #4 can help organizations identify decision points to use when considering interim leadership that may be needed if the executive leader is unable to serve through the transition, or when there is an unexpected change in leadership. An organization should be able to answer these questions prior to selecting an interim leader.

1. Should it be a board member or staff member(s)?
2. What is the role of the interim leader?
3. Should it be someone interested in the vacant leadership position?
4. What are the possible benefits and downsides to having an interim leader interested in the open position?
5. Is there compensation for the interim leader?
6. When should the interim leader be appointed?
7. How should the transition occur before the incoming executive leader joins the organization?

# Tool #5: Important Decision Points to Include in Communications

(See Case Study Page 9)

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Tool #5 describes the many important decisions that should be considered in a communications plan to ensure transparency from the outgoing CEO and the Board. Organizations can use this tool as a checklist to ensure they are providing clarity about the transition process, helping to reduce anxiety among staff, and thus reduce distractions for the organization more broadly.

- Timeframe for the leadership transition
- Methodology or process for selecting a new leader
- Whether there will be an internal or external search for a new leader
- Whether a search firm will be used
- Position description
- Desired leadership characteristics
- Opportunities for staff involvement in leadership transition plan

The letter below is an example of this type of communications, as it contains the above elements.

## Template Letter to Stakeholders

[Date]

[Name]

[Title]

[Organization]

[Address]

Dear [Name]:

As you already may already know, [Organization]'s long-time President and CEO, [Outgoing Leader], has accepted a very exciting new position with [Organization]. She will be the [Title] for the foundation dedicated to family planning and reproductive rights. We are thrilled for her and it's a wonderful opportunity for [Outgoing Leader].

During her 15 years, [Outgoing Leader] made an invaluable contribution to our organization and to the field of reproductive rights. She is an impassioned and compelling advocate for accessible family planning services. We will miss interacting with [Outgoing Leader] on a daily basis, but we are grateful that she'll continue to be an important presence in the field.

Immediately upon [Outgoing Leader]'s announcement, the Board appointed [Incoming Leader] to be the interim President and CEO as of [Outgoing Leader]'s last day on [Date]. [Additional background about the incoming leader].

The Board will oversee the transition and has appointed a five-member search committee comprised of current and former Board members to manage the process. We are about to contract with a national search firm to assist with recruitment and initial screening of candidates. We are committed to reaching out to a diversity of candidates. The Search Committee will make recommendations to the full Board for their final decision. We estimate that the process will take three months.

[Outgoing Leader] leaves [Organization] in excellent shape with a top-notch staff in place. She hired well, retained quality staff, and delegated responsibly. It is because of this that the Board of Directors has complete confidence that the important work of our organization will continue without pause.

[Organization]'s ambitious agenda will proceed with all of our trademark expertise and energy. I know you join with the [Organization] Board and staff in wishing [Outgoing Leader] well. You are an important partner in our work, and we look forward to continuing to work with you as we move into a new chapter at [Organization]. Please feel free to contact me if you have any questions.

With best regards,

[Board Chair]

# Tool #6 FHCCP Emergency Communication Plan

(See Case Study Page 9)

Tool #6 is an example FHCCP's emergency communication plan and the degree of operational support that can be provided in the event of an emergency transition. The tool can be used by other organizations as a model of an emergency communication plan and illustration of the kinds of details to consider planning.

## Emergency Communication Plan Timeline

The timing of the sequence of events listed below is designed to provide a guide for effective emergency communication; however, specific timeframes and actions may be performed at the discretion of the Interim President/CEO based on the particular details of the qualifying event.

Time Frame	Action	Message
Upon Notification	<ul style="list-style-type: none"> <li>Establish family point of contact</li> <li>Notify Chairman of the Board</li> <li>Notify the executive team and other assigned emergency response team (ERT) members and establish the first meeting time and venue [phone or in-person]</li> </ul>	
Within 24 hours	<ul style="list-style-type: none"> <li>Meeting of the ERT</li> <li>Contact Board members</li> <li>Contact staff</li> <li>Press release [if warranted]</li> </ul>	#1 #1
Within 48 hours	<ul style="list-style-type: none"> <li>Emergency board meeting via conference call</li> <li>Contact the Alliance of PA Councils Board members</li> </ul>	#2
Within two working days	<ul style="list-style-type: none"> <li>Phone message</li> <li>Email message</li> </ul>	#2 #3
Within four working days	<ul style="list-style-type: none"> <li>General email notification to all those contacted by phone</li> </ul>	#4
At two weeks	<ul style="list-style-type: none"> <li>Normalization email to contacts list</li> </ul>	#5
Ongoing and as needed	<ul style="list-style-type: none"> <li>Updates to contacts list related to leadership transition and recruitment efforts</li> </ul>	

## Messaging

Note: **Bolded** language is added if a voicemail message is left.

### Message #1:

Hello, [name of person being called]. This is [your name]. I am calling to let you know that we were notified [when] that [CEO] was [details]. We are planning on holding an emergency Board meeting as soon as possible in order to affirm [name] as the Interim President/CEO and to review the succession plan that was adopted/reviewed by the Board of Directors on [date]. I know that this news comes as quite a shock and you will need some time to absorb what I am telling you. We have been in contact with [CEO]'s family and as details unfold, you will be provided additional information through [details of ongoing communication process]. We have also notified the Employee Assistance Program and will have resources available to you at the office. Until then, if you have any specific questions please contact [name of chief spokesperson] at [phone number and email].

**Please call or email me at [phone number and email] when you get this message.**

## Message #2:

Hello [name of person being called]. This is [your name]. I am calling to let you know that we were notified [when] that [CEO] was [details]. We have held an emergency Board meeting and [name] was named as the Interim President/CEO. We are all experiencing a bit of shock but we are doing ok and moving forward to quickly communicate the appropriate details. Our Board adopted/reviewed a succession plan on [date] and we are going to use that as our guide as we deal with this crisis and look forward to a leadership transition. We have been in contact with [CEO]'s family and as details unfold you will be provided additional information through [details of ongoing communication process]. From your point of view, are there any commitments that [CEO] would have outstanding or any issues that we should be aware of? If you think of anything or have any specific questions in the future, please contact [name of chief spokesperson] at [phone number and email]. **If you have any information or specific questions after you get this message, please call or email [name of chief spokesperson] at [phone number and email]. Thank you.**

## Message #3:

[CEO full name] is not available at this time. If this is a personal matter, you can reach her at [personal email address and phone number]. If this is an FHCCP-related matter, you will be contacted by [name of Interim – no title] as soon as possible.

## Message #4:

*Send with high importance and a subject line of, "CEO Changes at FHCCP":*

Hello – On [date] FHCCP was notified that our CEO, [full name], was [details]. [Full name] has been named as the Interim President/CEO. [CEO]'s family has requested that [details if warranted]. Our Board of Directors adopted/reviewed a succession plan on [date] and we are going to use that as our guide as we deal with this crisis and look forward to a leadership transition. [Name of Interim CEO] has designated me as the chief spokesperson as it relates to these current events and I am prepared to answer any questions or address any concerns that you may have. My contact information is listed below. We have established [details of ongoing communication process] in order to keep you informed as we progress through the next several months. I encourage you to utilize this opportunity to monitor our progress and keep up to date on any changes. Thank you so much for your support and interest in Family Health Council of Central Pennsylvania.

## Message #5:

*Send with high importance and a subject line of, "CEO Changes at FHCCP":*

It has been two weeks since we were impacted by the unexpected news about [CEO full name]. On behalf of our Board Chairman, [name], I wanted to let you know that since that time, our Board has named me as its Interim President/CEO, and launched a process to transition to a new leader, and we have all taken some time to grieve, heal, and rededicate ourselves to the pursuit of excellence in service to our stakeholders, our volunteers, our community based providers, and the families of Central Pennsylvania. Although we suffered personally, we focused on meeting our professional demands with minimal disruption. Looking back, I am most proud of the fact that we faced this crisis with a plan, and we were prepared to handle these unfolding events in the manner in which you have come to expect – with efficiency, transparency, and a team oriented customer focus.

Now, our Board of Directors is moving forward in our efforts to identify our new President/CEO. I want to promise that we will continue to keep you informed and we will want to solicit your input and participation in the selection process. You have my assurance that we are committed to identifying an individual who will have the values, skill, and experience necessary in order to guarantee continuity in the quality and flow of FHCCP's strategic positioning, culture, programs, and operations.

There is a Chinese proverb that says, "What happens to you does not matter; what you become through those experiences is all that is significant." We have become stronger, more dedicated to our values, and more resilient in our efforts to provide the best service possible. Thank you for all of your support over these past two weeks.

# Tool #7: Engaging Staff

(See Case Study Page 9)

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Tool #7 identifies ways to engage staff in the transition process. An organization can use this tool to benefit from engaging diverse perspectives from different levels of staff about the challenges ahead and leadership needs.

- Develop key messages for stakeholders regarding the transition
- Schedule meetings with stakeholders for transition communications
- Schedule key meetings with stakeholders for new leader onboarding
- Share information as part of the knowledge transfer to the new leader
- Assist in developing the job profile, including defining responsibilities, education requirements, knowledge/experience needed, and personal traits/values desired
- Identify what is needed for the future, challenges ahead, and what leadership characteristics will match those challenges
- Review a formal plan and provide feedback to the Board to consider
- Generate interview questions
- Develop a list of priority activities that could be useful to an incoming leader

# Tool #8: FHCCP Staff Feedback on the Desired Characteristics in a New Leader

(See Case Study Page 9)

Tool #8 is an example of a method of collecting feedback from staff and/or board members to inform a position description for the incoming executive leader. By asking individuals to brainstorm the list of desired characteristics—both the knowledge and experience needed in an incoming leader and the traits or values desired in a new leader, the organization can gain valuable insight for the job description. This information can then be used in the position description and helpful in guiding interview questions. At FHCCP, they engaged staff in creating a list of characteristics and then they asked staff to rank the final list as “Must Have’s” and “Nice to Have” to inform the Board on the priority characteristics for an incoming leader. This table below is the outcome of FHCCP’s process of engaging staff to gain this feedback. Organizations can use this same process or something similar to facilitate development of the position description and inform the search process.

<b>Must have knowledge and experience in:</b>	<b>Must have traits and values:</b>
<ul style="list-style-type: none"> <li>• Nonprofits</li> <li>• Federal programs</li> <li>• Revenue management</li> <li>• Fiscal/financial/budgets</li> <li>• Prime contracting</li> <li>• Entrepreneurial</li> <li>• Public speaking</li> <li>• Supervision/human resources</li> <li>• Advocacy</li> <li>• Modern methods of work</li> <li>• Facilitations</li> <li>• Rural/low income constituency</li> <li>• Networking and relationship building</li> </ul>	<ul style="list-style-type: none"> <li>• Technology savvy</li> <li>• Learning</li> <li>• Good listener</li> <li>• Value diversity</li> <li>• Accessibility</li> <li>• Open and transparent</li> <li>• Servant leader</li> <li>• Flexible</li> <li>• Values feedback</li> <li>• Fairness</li> <li>• Motivational</li> <li>• Decisive/accountable</li> </ul>
<b>Good to have knowledge and experience in:</b>	<b>Good to have traits and values:</b>
<ul style="list-style-type: none"> <li>• Public funding</li> <li>• State and federal programs</li> <li>• Diverse stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Socially aware</li> <li>• Develops others</li> <li>• Sense of humor</li> <li>• Questioning</li> </ul>

# Tool #9: Assessing the Internal Environmental of Your Organization

(See Case Study Page 10)

Tool #9 provides a description of the important elements to identify when assessing the internal environment of your organization. Organizations can use this tool to guide the assessment to identify the type of leader that is needed, and the depth and quality of the leadership capacity within the organization.

<b>Current Leadership’s Strengths and Challenges</b>
<ul style="list-style-type: none"> <li>• Do you want the incoming leader to have similar or different strengths? What characteristics of the new leader are priorities?</li> </ul>
<b>Maturity of the Organization</b>
<ul style="list-style-type: none"> <li>• If a young organization: Will the new leader need be able to build upon the organizational structure, culture, and operations?</li> <li>• If a well-established organization: Will the new leader need to be able to offer a vision that aligns with the new demands and needs of the changing healthcare environment?</li> </ul>
<b>Upcoming Challenges to Organization</b>
<ul style="list-style-type: none"> <li>• What qualities will the incoming leader need to have in order to successfully navigate the upcoming challenges to the goals and mission of the organization?</li> </ul>
<b>An Emergency Transition Plan Should an Unexpected Event Occur</b>
<ul style="list-style-type: none"> <li>• Who might qualify as an interim leader? Are they identified in the plan? Are they known by all necessary staff as the interim leader candidate?</li> </ul>
<b>Leadership Opportunities</b>
<ul style="list-style-type: none"> <li>• What opportunities are available to allow staff and the board to develop leadership skills?</li> </ul>
<b>Available Resources for the Search Process</b>
<ul style="list-style-type: none"> <li>• What financial resources are available for various methodologies?</li> <li>• What Board and staff resources are available in time to devote to the search process?</li> <li>• Are there major initiatives within the organization that will compete for search process time and resources?</li> </ul>
<b>Degree of Operational Redundancy</b>
<ul style="list-style-type: none"> <li>• What specific operational elements need to be included in knowledge transition?</li> <li>• Are their specific relationships or nuances with stakeholders that need to be translated to an incoming leader?</li> </ul>
<b>Clear Organizational Culture</b>
<ul style="list-style-type: none"> <li>• Can the organizational culture be clearly articulated, written, or demonstrated (by data) as an introduction?</li> <li>• How can an incoming leader learn about the organizational culture while interviewing?</li> </ul>

Adapted from "Governance and Leadership Toolkit," written by the Colorado Association of Nonprofit Organizations

# Tool #10: Employee Capacity Assessment

(See Case Study Page 9)

Tool #10 is an assessment of employee leadership potential. The assessment should be used by organizations to identify the extent to which staff have the qualities suitable for a leadership position. The qualities include "desire for promotion," "cultural competence," and "technical skills." Once staff are assessed, organizations can use the tool to identify the best development path forward for each staff.

## DESIRE FOR PROMOTION

		High		Low	
CULTURAL COMPETENCE	Strong	Cell I	Cell II	Cell V	Cell VI
	Weak	Cell III	Cell IV	Cell VII	Cell VIII
		High	Low	High	Low
		TECHNICAL SKILL			

## Employee Capacity Assessment Definitions

**Desire for Promotion:** The degree to which an employee expresses an interest in attaining higher levels of responsibility, salary, corporate position, or stature.

- Have they expressed an interest in a promotion?
- Have they expressed an interest in a capacity plan?
- Are they motivated to attain higher levels of leadership?
- Do they believe their talents are being under-utilized?

**Cultural Competence:** The level of understanding, commitment, passion, and daily demonstration of the culture and core values.

- Positive feedback from peers and leadership?
- Viewed as a mentor?
- Seen as a cultural leader?
- Enjoys learning?
- Joyful?

**Technical Skill:** The degree to which they have embraced the specific requirements and responsibilities of the processes they own and cultivated the respect and confidence in their abilities.

- Creates great confidence in their ability to perform the technical components of their job?
- Trusted processes?
- Commitment to their specific duties and responsibilities?
- Takes pride in their job?
- Enjoys using their skills to advance FHCCP?

## Employee Development Path for Each Cell

### Cell I: High Desire, Strong Culture, and High Technical

Impact Strategy for Cell I: Directed Opportunity for Promotion

Effort should be made to communicate our belief in their ability to advance into functional areas that will provide them with greater opportunity to impact on the strategy, resources, and programs of FHCCP. Capacity plans should be initiated as soon as possible.

### Cell II: High Desire, Strong Culture, and Low Technical

Impact Strategy for Cell II: Training Investment

Effort should be made to invest in training to the technical skills. The desire to be something more coupled with a strong culture of learning should make them successful quickly in embracing the need for more aggressive training. A DIP and PIP should be utilized before termination is considered.

### Cell III: High Desire, Weak Culture, and High Technical

Impact Strategy for Cell III: Orderly Divestment

This is a transition strategy. If the technical knowledge is difficult to procure or very specialized, consideration should be given to converting the relationship to an outsourced consultant. If the technical knowledge is more easily replaced, then efforts should be targeted toward transfer of knowledge while helping the employee visualize a brighter future in another industry or work place.

### Cell IV: High Desire, Weak Culture, and Low Technical

Impact Strategy for Cell IV: Cautious Termination

Employees that fall into this category will hold little value and effort should not be targeted towards their retention. However, since they are ambitious and have a desire for increased responsibility, the termination should be as positive as possible, as there could be the potential of a future stakeholder relationship.

**Cell V: Low Desire, Strong Culture, and High Technical**

Impact Strategy for Cell V: Role Model

Since the desire for promotion is low, it is critical that opportunities for the employee to demonstrate, model, and promote the value of FHCCP should be identified and enhanced. Examples would be mentoring, participation in the interview process, involvement in committees/work groups, etc. The employee's desire should be periodically assessed for the potential to move into Cell I.

**Cell VI: Low Desire, Strong Culture, and Low Technical**

Impact Strategy for Cell VI: Reassignment/Reclassification

Employees that fall into this category will add value through their commitment to the culture. If possible, opportunities to identify their "niche" so that they can add value beyond their culture commitment are critical. Their commitment to the culture combined with their low desire for promotion will most likely have them accepting alternative assignments regardless of the impact to their status or salary. The use of a DIP or PIP would be warranted before termination is considered. The strong cultural competency will increase the likelihood of a successful result from these performance tools.

**Cell VII: Low Desire, Weak Culture, and High Technical**

Impact Strategy for Cell VII: Document, Transition, Exit

Employees falling into this category will require a planned exit strategy, as they will have little motivation to leave on their own. Since they have a high degree of technical knowledge, careful attention must be paid to the documentation and transition of that knowledge before their departure.

**Cell VIII: Low Desire, Weak Culture, and Low Technical**

Impact Strategy Cell VIII: "Off the Bus"

Employees in this category have no value to FHCCP and could represent a high soft cost that is demonstrated through rework (meaning that any deliverable done by the staff member needs to be redone by another staff member), staff disruption, negativity, and increased supervision. Because of their low desire for promotion, they will not leave voluntarily. The termination decision needs to be made quickly with consideration given to a "paid to leave" exit approach.

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# Tool #11: Leadership Development Program from FHCCP

(See Case Study Page 9)

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Tool #11 provides an example of a leadership development program. Organizations can use this example to either build their own program or modify an existing one with components that resonate for an organization's specific needs. However, the tool emphasizes the importance of considering internal leadership development and provides guidance on how to document progress. These programs build the leadership bench within an organization and assist in identifying internal staff prepared for an executive role. The professional capacity building plan shown below is an agreement used by FHCCP that clearly outlines what the employee has agreed to do during the next 12 months of the leadership development program and in that way standardizes the process. Although the activities listed are specific to FHCCP, the categories of the plan would be germane to any organization. The capacity plan is initiated with a discussion with the CEO who also signs off on the plan. If there are reservations about the employee's ability, current job performance, or promotion opportunity, they will be discussed at that time.

## Professional Capacity Building Plan

Staff Person: \_\_\_\_\_

Current Position: \_\_\_\_\_

Start Date: \_\_\_\_\_

Coach: \_\_\_\_\_

Capacity Building Goal: \_\_\_\_\_

**Key Deliverables:** This area summarizes all of the deliverables throughout the document. It is an effective snapshot of the work product that is expected. The plan is designed to prepare an internal candidate to be competitive with an external candidate. Items like an updated resume and a vision of how the position needs to respond to the future needs of the organization would be key requirements in that competition.

- Timeline for completion of objectives throughout the 12-month period
- Report on what competency s/he can bring to the VP competency area
- Summary of the two cultural areas you identified as needing improvement for yourself and a summary of what you did
- Three areas in the competency area where new or improved efforts can be applied
- Written summary of experience
- Completed leadership journal
- Updated resume
- Two presentations at a staff meeting regarding topics of your choice (review topics with your mentor prior to presentation)
- A vision of how you see this competency area changing to meet the current and future needs of FHCCP

## Learning Objectives

**Leadership:** Activities outlined in this area are designed to identify and develop self-awareness of the specific leadership expectations. In any capacity building plan, it is critical that the employee be given opportunity to receive feedback from current leaders and their peers (those that hope to lead in the future).

Read three recommended books on leadership (Examples include: *Reinventing Leadership* by Warren Bennis; *Leadership for Everyone* by Peter J. Dean)

- Conduct a staff presentation on an agreed-upon leadership topic
- Maintain a leadership journal based on the “Principles of Leadership”
- Use the current VP survey tool as your leadership assessment to be distributed to selected staff
- Interview CEO and the other VPs to learn group supervision is practiced
- Meet with each VP and the CEO to learn more about the roles the VPs have as leaders in FHCCP
- Identify areas in your leadership style where you know you need to improve
- Review VP policies and determine where additional clarity or policies may be needed

**VP Area of Competency Activities:** For any capacity plan that is preparing an employee for future leadership, there needs to be activities that are targeted specifically to the technical duties of the job (for FHCCP this is referred to as competencies). Activities must be all inclusive in order to provide a realistic overview of expectations. If there is concern about transparency, a confidentiality agreement can be utilized.

- Interview all VPs to discuss their accountabilities of the VP function
  - ▶ Create solutions to real issues or problems identified by the VPs
- Create a plan on how you would begin to address the issue or problem
  - ▶ Facilitate an after action review
- Attend four executive team meetings
- Attend four VP meetings
- Conduct a feedback forum to identify potential emerging work for this competency area
- Meet with the current VP to discuss all aspects of the competency area and the accountabilities associated with each
- Pick three standards that fall under this competency area and determine what improvements or revisions need to be made to each of them
- Identify where there may be a need for a new standard and proceed with the process of creating the new standard
- Role play a conflict resolution scenario

**General Meeting and Reporting Requirements:** In many ways, at the point an employee embarks on a capacity plan they have officially begun to interview for the position. These activities force that level of engagement and emphasizes the importance of declaring intentionality.

- Create a timeline for completion of objectives throughout the 12-month period
- Meet with mentor monthly for status updates
- Prepare a leadership journal – to be reviewed during meetings with mentor
- Quarterly activities report should include: what you learned, what you accomplished, and with whom you met
- Set up meetings with key stakeholders in your plan
- Prepare three presentations for the monthly all staff meetings:
  - ▶ Initial – provide an overview of the plan
  - ▶ 6-month – share progress
  - ▶ Conclusion – share what you gained through the experience

## Signatures

Signatures reflect that the Professional Capacity Building Plan has been reviewed, discussed and accepted.

---

[Employee] Date

---

[Mentor] Date

---

{President & CEO} Date

## Summary of Deliverables

To be completed by the employee at the end of their capacity plan

## Links to Supporting Documentation

Link all documentation that is in support of your capacity plan deliverables.

## Signatures

Signatures reflect that the professional capacity building plan has been completed and one time salary adjustment completed.

---

[Employee] Date

---

[Mentor] Date

---

{President & CEO} Date

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# Tool #12: Stakeholder Interview Questions

(See Case Study Page10)

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Tool #12 provides an assessment that organizations may use to understand the broader environment in which the organization operates. To use the tool, an organization should first identify the external stakeholders who are willing and able to provide honest responses about what is needed in an incoming leader, and can inform decision-making regarding the search process and the qualifications and characteristics needed. These questions should be uniformly asked of all stakeholders and responses analyzed to identify common themes. The themes then should be used to determine organizational needs in a new leader.

1. How long have you known about [Organization], and what is your relationship with [Organization]?
2. What do you consider to be the purpose of [Organization] in the community?
3. What would you say are [Organization]'s greatest strengths in fulfilling this purpose?
4. What would you say is the area in which [Organization] could most improve in order to best fulfill its purpose?
5. How well does [Organization] partner with other organizations in the community?
6. How does the changing health care environment inform what is needed in a new leader for [Organization], including ability to partner and knowledge of health care reform?
7. What are some upcoming challenges that may act as a barrier to [Organization] fulfilling its purpose?
8. How do you think [Organization] will need to act in order to successfully navigate these upcoming challenges?
9. Are there any opportunities in the community in which [Organization] is not participating that they should?
10. Do you have any concerns about the departure of the executive director? If so, what specific concerns do you have?
11. What would you say are the most important priorities that [Organization]'s leadership should be focusing on for the future of the organization?

*Adapted from Executive Transitions, a program of CompassPoint Nonprofit Services. [http://www.compasspoint.org/sites/default/files/docs/525\\_samplestakeholderinterview.pdf](http://www.compasspoint.org/sites/default/files/docs/525_samplestakeholderinterview.pdf)*

# Tool #13: Budget Tool

(See Case Study Page 7)

The following is a budgeting tool that can be used to assist an organization in considering the costs of different search methodologies. It is important in making the decision regarding methodology that the process is thought about in terms of direct and indirect costs of the search process. For example, the indirect costs of Board or staff time required for an internal search process. In addition, the goal is that the search methodology be grounded in the specific needs of the organization. A failed search process can cause significant costs in terms of the investment in the search itself, hiring, onboarding, and then potential severance packages. Therefore, choosing the search methodology is an important strategic decision and the up-front investment in the process can save considerably in the long-run.

<b>Cost Considerations for a Closed Search (Internal)</b>	
<b>Type of Direct Cost</b>	<b>Cost (\$)</b>
<i>Examples are below, but are not an exhaustive list.</i>	
Advertising / Recruitment (e.g. web listing fees)	
Internal printing materials (e.g. interview questions, CVs/cover letters/application packets, etc.)	
CEO percentage of salary spent answering questions of applicants, responding to other inquiries, and recruitment efforts	
<b>Type of Indirect Cost</b>	<b>Cost (\$)</b>
Board member time reviewing applicants	
Staff time spent	
Pre-process: determining values/qualities desired in new leader	
During process: CV review; phone/in-person interviews	

<b>Cost Considerations for an Open Search (External)</b>	
<b>Type of Direct Cost</b>	<b>Cost (\$)</b>
<i>Examples are below, but are not an exhaustive list.</i>	
Fee paid to search firm	
Costs involved in interviewing and finding search firm	
<b>Type of Indirect Cost</b>	<b>Cost (\$)</b>
Volunteer hours and efforts spent by Board members to select search firm	
Staff time spent	
Pre-process: determining values and qualities desired in new leader to give to search firm.	

<b>Additional Cost Considerations for either Closed or Open Search</b>	
<b>Type of Cost</b>	<b>Cost (\$)</b>
Relocation costs for incoming executive	
Increase in salary and benefits for new executive	
If outgoing leader to be present for crossover, salaries paid to two executives	
Staff time spent onboarding incoming executive	
Travel costs for incoming leader (e.g., visiting key sites, national meetings as part of orientation process, specific funder meetings, etc.)	

# Phase 2: The Search



Phase 1 has resulted in the development of a clearly defined leadership transition strategy. Following phase 1, phase 2 is the implementation of the search itself. It includes the active work of the Board and potentially the existing leader depending on the decisions made about the process. Search activities include creating the job description, communication around the job announcement, reviewing resumes and interviewing candidates, and ultimately choosing a leader. Additional search activities can include adjusting Board bylaws related to the search process, timeframe considerations for incoming and outgoing leaders as candidates are narrowed down, and how to engage staff in this element of the transition.

<b>Phase 2 Objective</b>	Recruit, interview, and hire the right leader for the organization.
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# Tool #14: CEO Position Announcement

(See Case Study Page 9)

Tool #14 is an example of a position description, which is also an important communication and decision-making tool that provides transparency to all stakeholders about the direction of the organization. Organizations can use this as a guide for organizing a position description and knowing what information may be included.



**3461 Market Street, Suite 200  
Camp Hill Pennsylvania 17011-4412  
717-761-7380**

## Position Announcement: President/CEO

<b>Organization Overview</b>	
<p>Family Health Council of Central Pennsylvania, Inc. is a private, not-for-profit organization incorporated in 1973. Our mission is to build and support community-based health networks through partnerships, education, advocacy and effective resource allocation. Dedicated to improving health, preventing disease, and promoting wellness, FHCCP works regionally, administering an increasing number of critical health and nutrition programs that touch the lives of over 70,000 women, men, children, and youth each year. Major funding is received, through contract, from the Department of Health &amp; Human Services, Pennsylvania Department of Public Welfare, Pennsylvania Department of Health, and a variety of smaller sources. Programs are provided through a sub-contracted network of community based organizations in addition to services provided directly by FHCCP staff in five counties. Our current program portfolio being offered throughout 24 Counties includes: Women's health including contraceptive care, HIV/AIDS case management and rental assistance, WIC, STI testing and treatment, Breast and Cervical Cancer screening, Breastfeeding counseling &amp; support, summer food, SNAP outreach, and adolescent education.</p>	
<b>Job Location</b>	
<p>Main location: 3461 Market Street, Suite 200, Camp Hill, PA 17011-4412 Direct Service locations: Bloomsburg, Carlisle, Somerset</p>	
<b>Job Summary</b>	
<b>Reports to: Chairman of the Board</b>	
<p>Consistent with the goals and objectives set forth by the Board of Directors, implements Board decisions and policies on a daily basis, and an annual business plan that works toward the achievement of the strategic objectives. Applies sound management techniques and principles to assure continuous quality improvement and create an environment that is conducive to maximizing productivity among the employees. Shall promote understanding of the goals and purposes of FHCCP regionally and nationally.</p>	
<b>Major Duties &amp; Responsibilities of the Job</b>	
<ul style="list-style-type: none"> <li>• Advise and inform the Board of Directors of agency operations.</li> <li>• Attend all meetings of the Board of Directors</li> <li>• Serve, without vote, on the Board of Directors and all Board committees and task forces</li> <li>• Participate in local, regional, and national coalitions relating to the programs of FHCCP</li> <li>• Coordinate and foster local, state, and national activities that promote FHCCP</li> <li>• Coordinate relationships with other organizations, both public and private, at a local, state, and national level</li> <li>• Plan, develop, implement and evaluate programs consistent with Board goals and objectives</li> <li>• Direct the identification of funding sources and the application for funding from public and private sources</li> <li>• Direct the preparation of the annual operating budget and the management and accountability of the fiscal operation</li> </ul>	<ul style="list-style-type: none"> <li>• Direct the identification, communication, evaluation, and monitoring of sub-contractors.</li> <li>• Direct the activities of community based services and community based service sites</li> <li>• Direct the administration and development of personnel and salary policies and efficiently organize staff</li> <li>• Direct the recruitment, development, salary administration, and evaluation for all agency personnel</li> <li>• Direct the orderly, safe, efficient running of FHCCP on a daily basis</li> <li>• Promote a high ethical standard</li> <li>• Provide leadership to the development and implementation of a Continuous Quality Improvement program</li> <li>• Represent FHCCP on the Board of Directors of The Alliance of Pennsylvania Councils</li> <li>• Perform all other duties necessary to provide effective leadership to FHCCP</li> </ul>

<b>Education Requirements</b>	
Bachelor's degree in a relevant field required. In addition, a Master's level degree or equivalent experience with a minimum of five years related experience in nonprofit or public administration.	
<b>Job Relevant Knowledge/Experience</b>	
<ul style="list-style-type: none"> <li>• Revenue management</li> <li>• Financial oversight including budgeting and monitoring</li> <li>• Human resources including staff supervision</li> <li>• Networking/relationship building</li> <li>• Contract management</li> <li>• Fund development</li> <li>• Public speaking</li> </ul>	<ul style="list-style-type: none"> <li>• Advocacy</li> <li>• Rural/low income constituency</li> <li>• Entrepreneurial</li> <li>• Health care delivery systems</li> <li>• Facilitation</li> <li>• Technology based work methods</li> </ul>
<b>Personal Traits/Values</b>	
<ul style="list-style-type: none"> <li>• Servant leader</li> <li>• Open/transparent</li> <li>• Motivational</li> <li>• Fair</li> <li>• Value diversity</li> <li>• Decisive/accountable</li> </ul>	<ul style="list-style-type: none"> <li>• Flexible</li> <li>• Committed to learning</li> <li>• Value gaining efficiency through use of technology</li> <li>• Value feedback</li> <li>• Effective listener</li> </ul>
<b>Other Job Related Requirements</b>	
<ul style="list-style-type: none"> <li>• Valid driver's license</li> <li>• Frequent travel including out-of-town</li> </ul>	
<b>FHCCP Values</b>	
<p>Innovation: To continuously develop our resources, our knowledge, our assets and our creativity to address the demands of change without sacrificing quality of service.</p> <p>Empowerment: To be respectful of diversity and trust everyone to be involved, take ownership and reach their full potential.</p> <p>Transparency: To be open and truthful in our communication and accountable for our actions.</p> <p>Joy: To be inspired by our work and approach each opportunity with enthusiasm.</p>	
<b>FHCCP Nondiscrimination Statement</b>	
FHCCP believes that all people are to be treated with dignity and respect and are entitled to fair and equal treatment in employment and the receipt of all contracted services regardless of race, religious creed, national origin, age, sex, sexual orientation, gender identity, marital status, parenthood, disability or any other characteristic protected by law.	
<b>Application Instructions – Must be received no later than September 30, 2014</b>	
Submit a cover letter, CV/resume, and a list of three professional and three personal references to: [Email address]      Subject line: President/CEO Search	
Salary commensurate with experience. All applications will remain confidential.	

# Tool #15: Considerations for Successful Lengthy Transitions Learned from IWSC

(See Case Study Page 12)

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Tool #15 may help an organization who has the opportunity to determine the timeframe of a transition plan. Organizations can use the tool to weigh the pros and cons of a lengthy timeframe.

1. Assess upcoming initiatives
2. Consider an interim director or chief operating officer if one does not already exist to support the organization's operations through the transition
3. Assess how to reallocate resources to ensure there is adequate support for maintaining organizational progress
4. Provide a clear line of leadership for the senior leadership and other management staff
5. Consider how to ensure operational engagement of the outgoing leader
6. Discuss the best use of the outgoing leader's time and focus
7. Establish an appropriate departure date

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# Tool #16: Staff Assignments for Planned or Contract Leave from FHCCP

(See Case Study Page 11)

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Tool #16 provides an example of how FHCCP assigned roles for a transition process during a planned departure of its CEO. In FHCCP's case, the CEO was a part of the transition team.

## **CEO Assignment:**

The President/CEO will immediately meet with the Executive Committee and the Designated Interim President/CEO to determine appropriate roles and responsibilities and a plan to launch the search process. The current President/CEO will provide a written report to include the following:

- Current status of ongoing projects
- Detailed contact list with recommendations for ongoing relationships
- List of current memberships and community commitments
- Communication plan
- Evaluation status for direct reports
- Strategic positioning summary outlining current strengths, weaknesses, opportunities and threats

# Tool #17: Closed Search Process for FHCCP

(See Case Study Page 8)

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The methodology chosen for the search process may require additional kinds of consideration and planning for the outgoing leader and the Board. Tool #17 is an example of an open search process for FHCCP that may be used as a guide for other organizations interested in pursuing an open search. Organizations may find that that an open search is beneficial when an organization has strategically decided it needs to change course in some facet of its operations, branding, or culture.

1. The announcement of the search process will be a targeted letter and email communication, distributed and managed by the staff member support. The following message will be utilized:  
*A dynamic learning organization whose mission is to build community-based health networks throughout Central Pennsylvania is searching a President/CEO. Candidates should have a master's degree, or equivalent experience, plus five years' experience in a not-for-profit executive leadership position. Must have experience in fiscal management, prime contracting, human resources, insurance revenue management, public funding, public speaking and facilitation. Must be able to demonstrate flexibility, a commitment to the development of staff, fairness, a commitment to personal growth and learning, comfort with emerging business technologies and the principles of servant leadership. Must be committed to the organization's core values of empowerment, transparency, innovation, and joy.*
2. Resumes will be vetted by the Human Resources analyst indicating those that meet the minimum qualifications. The search committee will review all of the resumes and compile a list of candidates for initial interviews. Those interviews will be conducted by the search committee.
3. Four or five candidates will be chosen to move forward. Second interviews will include: an interview with the Board of Directors; an interview with selected FHCCP staff to include the Interim President/CEO, a staff representative from each Area of Focus, a Tapestry Director, and a member of the Executive Team; a meeting with selected providers representative of the major FHCCP programs; and a half hour presentation on the topic of their choice to an invited audience that will include all staff and subcontracted provider staff. Structured written feedback will be solicited from all those who participate in an interview with the candidates. Each candidate will meet with the search committee at the end of the day to share their summary of what they learned from the day's activities.
4. The search committee will meet and determine the finalist.
5. The final candidate will meet with the FHCCP attorney and the Chairman of the Board of Directors to conduct contract negotiations and determine a starting date.
6. The final candidate will be presented to the full Board of Directors for approval.

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# Tool #18: Open Search Process for FHCCP

(See Case Study Page 8)

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In the event that the closed search process does not result in the selection of a President/CEO, the Board of Directors will identify a search consultant that can conduct a national search for qualified candidates. Additional steps in this process include:

1. The Board of Directors and the existing CEO will discuss timeframes and any changes required regarding leadership through the second search process. This may include renegotiating the CEO's contract or discussion of an interim leader if required. The Board of Directors and the existing CEO also will need to clearly outline the CEO's role and responsibilities in the search process now that there will be a search consultant engaged.
2. The Board of Directors will share the job description/position announcement already created with the search firm.
3. The Board of Directors will provide specific feedback to the search consultant on the internal process and information on how candidates did not meet the specific characteristics desired. Review of the job description/position announcement may be warranted to determine any necessary changes learned through the internal search process.
4. The Board of Directors and Senior Leadership will craft language to communicate this change in strategy with the staff and organization. This may require careful attention to tone if internal candidates applied and were not selected.
5. The Board of Directors working with the search consultant will consider whether any external communication with stakeholders (e.g., partners, funders, etc.) is required regarding the expanded search.
6. The Board of Directors will work closely with the search consultant to be sure they understand the organization and the specific culture of the organization if that is important to the search process and outcome.
7. The Board of Directors will consider how to continue to engage staff in the search process and how to work with the search consultant to include an opportunity for each serious candidate to conduct a public presentation to an invited audience.
8. At the conclusion of the search process, the consultant, the Chairman of the Board, and the FHCCP attorney will conduct contract negotiations and determine a starting date.

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# Tool #19: Confidential Agreement for Members of Search Committee

(See Case Study Page 7)

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Tool #19 is an example of a form for members of the executive search committee to read and sign prior to beginning the search process. This can help ensure a more objective search process, while also reminding the committee members of the seriousness of their roles in this search process.



**3461 Market Street, Suite 200  
Camp Hill Pennsylvania 17011-4412  
717-761-7380  
<http://www.fhccp.org>**

## **Confidentiality Agreement to Serve on the President/CEO Search Committee**

As a member of the President/CEO Search Committee, I understand that I will be in possession of Confidential Personnel Information.

All information, including but not limited to, information derived from applications, documents, correspondence, e-mail, and electronic communications, telephone communications, oral conversations, whether in or outside the interview committee meetings, shall be restricted to those members of the Search Committee who are directly involved with the selection of a candidate for the President/CEO position.

In order to protect such information, I acknowledge and agree to keep all information confidential. This acknowledgement covers all applicants and all candidates considered, interviewed, or presented to the Search Committee.

I acknowledge and understand that the information distributed and obtained by me during this interview process belongs to FHCCP and, at the conclusion of this interview process, I agree to deliver all written Confidential Personnel Information back to the Human Resources office.

I understand and accept this promise of confidentiality as a condition of my appointment to and service on the President/CEO Search Committee. I understand that any violation of the conditions of this confidentiality agreement may result in immediate dismissal from the Interview Committee, as well as other appropriate sanctions. In addition, I acknowledge and understand that the disclosure of Confidential Personnel Information can be considered a violation of law.

Upon reading this Confidentiality Agreement, I hereby sign and agree to accept a position on the President/CEO Search Committee.

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Name

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Date

# Tool #20: Advantages and Disadvantages to Hiring an Internal or External Candidate

(See Case Study Page 8)

This tool indicates the different advantages or disadvantages of hiring from either within or outside the organization. Organizations can use these tools to decide how to proceed, depending on what characteristics are higher priorities to the organization.

<b>Advantages and Disadvantages of Internal and External Searches</b>	
<b>Internal/Closed Search</b>	<b>External/Open Search</b>
<p style="text-align: center;"><b>Advantages</b></p> <ul style="list-style-type: none"> <li>• Easier to assess, because more information is available about candidate</li> <li>• More costeffective</li> <li>• Employee will onboard to role more quickly, since they will already understand organizational culture, policies, etc.</li> <li>• Sets positive tone for other employees in the organization, who will see that there are opportunities for career growth, which may help with employee retention</li> <li>• Improves employee morale and loyalty</li> <li>• May be less costly salary/benefits-wise than hiring externally</li> <li>• Internal candidate less likely to make major changes upon assumption of new role</li> </ul>	<p style="text-align: center;"><b>Advantages</b></p> <ul style="list-style-type: none"> <li>• Provides new perspective and ideas that an internal candidate may not have considered</li> <li>• Can provide insight from other sectors</li> <li>• May be more likely and willing to initiate necessary changes for future of organization</li> <li>• Hiring experienced employees from externally can reduce necessary onboarding if they have served in a similar capacity elsewhere</li> <li>• Internal politics / conflict can be avoided</li> <li>• Allows for rapid growth of organization</li> <li>• Can increase diversity</li> <li>• A larger pool of candidates can mean a greater of qualified applicants</li> </ul>
<p style="text-align: center;"><b>Disadvantages</b></p> <ul style="list-style-type: none"> <li>• Risk of limited ideas or stale thinking</li> <li>• May not be able to position organization strategically in order to best face upcoming challenges</li> <li>• Onboarding or training may be a difficult change from previous role</li> <li>• Internal politics (how will staff react to new leader; how will rejected internal candidates feel towards selected candidate, etc.)</li> <li>• Difficult to do if organization is growing rapidly</li> <li>• Smaller talent pool / fewer candidates</li> </ul>	<p style="text-align: center;"><b>Disadvantages</b></p> <ul style="list-style-type: none"> <li>• Lesser-known entity – information on candidate is not as available as for internal candidate</li> <li>• Search is more expensive, and takes longer</li> <li>• Onboarding process is longer, since they need to learn culture, policies, etc.</li> <li>• Does not indicate potential for career growth to current employees</li> <li>• May negatively impact employee loyalty and morale</li> <li>• May be more expensive salary/benefits-wise</li> <li>• Current employees may resent an external candidate and not work well with the new leader</li> </ul>

# Tool #21: Considerations for Open vs. Closed Search

(See Case Study Page 11)

This tool helps show reasoning for organizations to choose one type of search process over the other. Search committee members need to take organizational capacity into account in order to determine which type of search process to choose as well as consider the reason for the transition itself. For example, the methodology chosen can be informed by the goals of the transition and the type of leader needed.

<b>Open Search</b>	<b>Closed Search</b>
Need a cultural change	Strong leadership bench
Need a change in strategic direction	Organization is not growing
Need for re-branding	Resources and costs are limited
Need greater diversity	Need quick turnover

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# Tool #22: Deciding on an Internal Recruitment Team and Process from FHCCP

(See Case Study Page 11)

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The following questions are examples of questions that FHCCP used to guide its search process, once it had decided to use an internal search process, rather than hiring an external search firm.

- What will be the Board composition in recruitment? Consider Board governance and bylaws, as well as any Board member relationships with potential candidates
- Should stakeholders be involved in recruitment, and if so, how?
- How many people should be on the recruitment team? What is the appropriate composition for the team?
- Are there any potential conflicts of interest? If so, how can they be mitigated?
- Do confidentiality agreements exist for members of the recruitment team?
- What is the timeline and budget for the recruitment process?

# Tool #23: Deciding Whether to Use a Search Firm

(See Case Study Page 11)

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The questions in Tool #23 can help organizations decide whether to conduct the search with internal members or to hire an external firm. Others involved on the search team should be clearly articulated to provide transparency to other staff and stakeholders. Among other responsibilities, they must ensure that the appropriate paperwork is in place for a successful recruitment process.

1. What is the cost of a search firm?
2. What internal resources exist to conduct the search?
3. What is the best search process to meet our needs, an external or internal search process?
4. What are the opportunities for staff engagement?

# Tool #24: Interview Guide for Search Committee

(See Case Study Page 11)

Tool #24 provides information that an organization's search team can use during an interview for a potential candidate. Developing a formal and standardized process for evaluating all internal and external candidates before the selection process begins ensures that staff input is acknowledged and used for decision-making. It is important for both the Board and Executive Leader to meet with staff to learn what it is they want out of the interviews and their new leader.

1. Talk with candidate about his/her expertise in leadership and management including their leadership style and strategy for organizational development.
  - a. How do you measure or assess your own leadership impact?
  - b. What leadership characteristics do you think are needed for the future of health care? Why?
2. Ask the candidate to explain their vision for the position—what changes he or she believes are required for the organization and how he or she sees the future of the organization in the context of the broader environment.
3. For situations in which the Board is looking for significant change in culture or organizational position in the region, the following questions may be useful:
  - a. What experience do you have leading an organization through significant change?
  - b. What change management techniques do you employ?
  - c. What kinds of strategies would you use for communication with the Board and the staff regarding changes and your vision?
  - d. How do you plan to communicate these changes to external stakeholders including funders?
  - e. What are the challenges you perceive based on your understanding of the organization right now?
4. Ask the candidate to describe areas of organizational knowledge that will require the most knowledge transition and his/her preferences for that process.
5. Ask the candidate about organizational culture.
  - a. What kind of organizational culture does he or she foster? How?
6. Ask the candidate to describe the process improvement strategies he or she envisions using for specific changes that are needed?
  - a. Do you evaluate the outcome of these projects? If so, how?
7. Ask the candidate about what draws him/her to this organization in if he or she is currently involved with the organization.
8. Learn about the candidate's current and previous professional roles.
  - a. How does this work mesh with [Organization]? What skills/areas of expertise do they possess and/or can offer the Board?
9. Ask candidate about relevant family planning and public health experience. If he or she hasn't had direct experience in the field, ask about his/her interests and how these interests developed.
10. Ask about the candidate's intent in remaining in the position for the next five years, if hired.

# Phase 3: Endings and Beginnings



Phase 3 focuses on the process of transition itself with an outgoing leader leaving and the incoming leader beginning. Vital aspects of this phase include onboarding activities for the incoming leader as well as considerations around knowledge transition and cross-over between leaders. It is also a time to consider organizational transition and change management. Although often Boards may see their primary responsibilities as Phase 1 and Phase 2, they often play an essential role in the onboarding process and in transition management. An additional aspect of Phase 3 can be an assessment or evaluation of the search process and a review of the implementation, lessons learned, and any adjustments needed for the leadership transition plan in the future. The sites used in the case studies did not use this type of evaluation during their search processes, nor have they yet developed a formal evaluation process built into their leadership transition plans.

<b>Phase 3 Objective</b>	Implement a smooth leadership transition for outgoing and incoming executive leaders, the board, and staff.
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# Tool #25: Ideas for Honoring an Outgoing Leader

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(See Case Study Page 16)

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Tool #25 lists some ideas of how to honor an outgoing executive leader. If he or she is a founder, it may be appropriate to permanently honor them in some way, as seen in the "Honorific gift" category.

- A formal recognition of the outgoing executive's years of service by the Board at the last meeting during the outgoing executive's term
- A gift from the Board or staff
  - ▶ Meaningful: Photo of staff and/or board, letters from staff and/or board, letters from organization's community stakeholders and population, etc.
  - ▶ Honorific: Decorative plaque, planting a tree, photo on wall with other former executives, etc.
- Reception or Graduation
  - ▶ Invitees can include Board members, staff, community stakeholders, media members
  - ▶ Tell stories about the progress made and the journey of the organization under the leader
  - ▶ Look towards the future and potentially introduce the new leader to pass the torch publically

# Tool #26: Considerations for Onboarding and Orientation Process from FHCCP

(See Case Study Page 15)

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Tool #26 lists questions that FHCCP used to design its transition plan to best onboard the incoming executive. Organizations can use these questions and tailor them to also design a transition plan that includes a strong onboarding process and knowledge transfers between outgoing and incoming executive leaders. This ensures that the knowledge and relationships of the outgoing leaders are maintained into the future.

1. Will the outgoing executive leader be involved? If so, how?
2. Who from the Board will be involved?
3. How prescribed are the expectations for onboarding?
4. How will the selection of the candidate be communicated and introduced to the community?
5. What are the communication expectations between the new leader and the Board?
6. To what extent, if available, should the outgoing leader cross over with the incoming leader?
  - a. How is this crossover structured?
  - b. Who will determine the engagement?
  - c. What funding is needed for the overlap in contracts?

# Tool #27: FHCCP's Close Down Schedule

(See Case Study Page 15)

Tool #27 is a template schedule that can be used to guide an executive that has a planned resignation date. It details the tasks that need to be completed by the executive prior to their departure. This helps smooth the transition, as the outgoing leader ensures that nothing essential to the organization is overlooked, while easing in the incoming executive so as to not overwhelm them in the beginning of their new position. It is also a way of tracking operational components of knowledge transition.

Close Down Schedule					
The coordination of this schedule will be done by the employee's supervisor. S/he will ensure that the employee completes all sections relative to their role. Employee will begin documenting their close down within two days of resignation notification. The supervisor will also ensure that there are several meetings scheduled with stakeholders to ensure all information is gathered before the employee departure.					
<b>Name:</b>		<b>Function/Role:</b>		<b>Resignation Date:</b>	
This close down schedule will detail the work that must be accomplished during the resignation notice period. Your Supervisor will work with you to map out a daily schedule of work.					
Work Products	VP Oversight	Action Needed & Due Dates	Stakeholders & Resources Needed	File Locations & Links	Staff assigned temporary responsibility
<b>Process Documentation - Processes that need to be documented or updated are listed below</b>					
<b>Work Groups List - Role on the work group and outstanding tasks</b>					
<b>Annual cycle of work and documentation of deliverables due in the next 6 months</b>					
<b>Future meetings planned and scheduled</b>					

<b>Trainings or upcoming conferences scheduled</b>	
<b>System passwords and phone passcode</b>	
<b>Phone</b>	
<b>Email</b>	
<b>[System]</b>	
<b>[System]</b>	

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# Tool #28: Planning for an Incoming Leader

(See Case Study Page 16)

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Tool #28 lists items that staff and the Board can consider when designing the onboarding of a new executive leader. This allows staff and Board members to each provide a perspective on key information the new executive should have in the beginning of their new position.

- Engage staff in creating an organizational briefing package. Include key documents such as:
  - ▶ bylaws
  - ▶ strategic plan
  - ▶ budget
  - ▶ board and staff lists
  - ▶ program plans
  - ▶ current and past grant proposals and reports
  - ▶ position descriptions for current staff
- Send a welcome gift or come up with a gesture to make the new executive feel welcomed by the organization and the board
- Submit a press release to introduce the new executive to its community

# Tool #29: Leadership Plan

(See Case Study Page 14)

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Tool #29 is an example of a leadership plan for the executive and senior leadership that Infant Welfare Society of Chicago (IWSC) used shortly after a leadership transition to start to shift leadership structure to support broader changes. Organizations can use this plan as a framework for what information to include in a leadership approach as part of transition management.

## Leadership Plan

### Overview

Together, as a team, the Leadership Team worked in partnership on a single vision and set of values for IWSC. Through facilitated discussions and department input, we have developed measurable goals and objectives that are infused with the values of this organization. This plan is the underpinning of operations for the next 12 months. This plan is a road map, and can be amended depending on the environment.

### Vision

The IWSC strives for the optimal health and well-being of low-income women and children across the life continuum. Because of the services received from IWSC, women receive preventive healthcare; women have healthy planned pregnancies; babies are born healthy; new moms are emotionally and physically healthy; children reach their developmental and social-emotional milestones; childhood diseases are prevented; children are ready to learn and succeed in school; and teens take care of their sexual health and make better life choices.

### Values

As part of the Leadership Team retreat, each member of the team reflected on our own individual values and the values that we believe are important to the organization. From those personal reflections, we created a list that reflects the collective values of the Team and initiated discussions on how we would infuse them throughout the goals, objectives and activities of the Leadership Plan.

### IWSC values

Honesty/Integrity. Following through with what we say; assuring quality of care; billing for what we do appropriately and ethically; giving difficult feedback.

Respect. Managing disagreement; reaching compromises; honoring the other person; respect at any level and for each one's job; respecting the culture of staff, clients, other groups, etc.

Family. IWS is about families; commitment to families of staff as well as clients; respecting your own family and priorities and balance with work; function as an organization with reasonable expectations but flexibility to accommodate family needs; organization as a family; respecting and honoring each other.

Caring/Empathy/Positive Relationships. Creating relationships with each other and across areas; show care to patients; positive relationships with funders, auxiliaries and community partners.

Teamwork. Common goal; people working together even if not at the same speed; breaking the silos and barriers; sharing perspectives with different disciplines; opportunity to have a voice and to do so without judgment.

Fun & Passion. Enthusiasm; smiles; want to come to work; belief in what you do and that it is going to make a difference; have an environment and culture that encompasses the passion.

## Goals

- To ensure IWSC is recognized as a quality community health center providing excellence in women health including family planning, maternal and pediatric medical, dental, and optometry and behavior health services.
- To establish a patient centered medical home
- To ensure prevention is a key factor within the IWSC service delivery system
- To continue developing a strong leadership team to ensure continued innovative and quality services that meet the needs of the community
- To value the family – patients and staff
- To establish external accreditation or credentialing by a nationally recognized organization.
- To strengthen or expand partnerships
  - ▶ Board/Auxiliary
  - ▶ Donors
  - ▶ Community Partners
  - ▶ Managed care entities
- To position IWSC for future planned growth

## Program and Service Objectives

### Medical

- Launch Eat Healthy!/¡Comer Sano! Program
- Increase family planning to teens
- Increase pediatric visits by 15%
- Increase women's health services

### Dental

- Create a dental sensory room for special needs children
- Increase awareness of the "dental home" concept via establishing relationships within the community, such as local schools, Head Start programs, IWSC medical patients
- Establish a referral system with local general dentists who do not accept Medicaid, UIC Dental School, Lurie Children's Hospital
- Increase the percentage of patients to dental by improving the IWSC communication system with patients (phones), marketing, and website
- Initiate research projects with IWSC dental patients to any of the series of accessible information available on Centricity, such as obesity, asthma and dental caries

### Optometry

- Establish on-site optometry with CPS
- Expand FTE staff and rooms by 15%
- Develop vision cognitive therapy (CHAT)

### Behavioral Health/Family Services

- Launch the CHAT program
- Increase staff by 20%
- Decrease current waitlist and increase access to IWSC families toward a longer-term goal to build capacity to accept referrals from the community

### **Development**

- Increase revenues from individuals, foundations and corporations by 10%
- Increase capacity to generate revenue in perpetuity
- Promote awareness of IWSC through community relations, outreach, marketing and public relations initiatives
- Develop infrastructures and baselines to inform strategic planning
- Develop goals and benchmarks in conjunction with program departments for future successes

### **Administration/Finance**

- Expand managed care relationships
- Re-configure the physical plant to allow for program growth
- Achieve organizational accreditation by December 2014
- Capture billing for all services
- Decrease dependence on BDIF by \$80K annually
- Build quality programs with community partners
- IT-EMR - Meaningful use
- Quality Management – Develop quality indicators across all departments
- New General Ledger package to promote effective and efficient reporting

### **Board/Leadership Team**

- Schedule joint Strategic Planning Session
- Convene Personnel committee to review
  - ▶ Salary structure
  - ▶ Benefit package (PTO)

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# Tool #30: Executive on Loan Program

(See Case Study Page 16)

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Tool #30 describes the Executive on Loan program that many organizations have implemented to enhance their organizational capacity for a short and distinct period of time. This is one way in which an outgoing leader can still give back to the community in which they have been working for many years.

Some existing organizations, like the United Way and even the Department of Homeland Security, have programs that bring in former and current executives to help them with specific projects by serving as subject matter experts. This allows the organization to successfully manage specific initiatives or programs without incurring greater costs by hiring additional staff, and allows the executive to assist a non-profit or governmental organization, while learning additional leadership skills and gaining knowledge about important issues in their community.

Ideas for project support from former leaders:

- Board governance and training
- Board training on family planning and reproductive health
- Organizational development
- Assessment of organizational culture
- Assistance with transition to Federally Qualified Health Center
- Review of Title X grant
- Development of leadership transition plan
- Interim leader for urgent transitions
- Health center renovation standards
- Transition management for new electronic health record

# Tool #31: Measures for Evaluating Transition Planning Process and Plan

(See Case Study Page 14)

Tool #31 details important components of evaluating the transition planning process, as well as the transition plan itself. Organizations can use this to assess and understand what is and what is not working with their planning process or transition plan. This should be reviewed periodically to ensure that the plan is current and coherent.

<b>Measures for Evaluating Transition Planning Process and Plan</b>	
<b>Transition Planning Components</b>	<b>Evaluation Measures</b>
Commitment and active support of top leadership	<ul style="list-style-type: none"> <li>• Active participation of top leadership, including board members</li> <li>• Leadership provides opportunity for staff to gain experience in other parts of the organization</li> <li>• Transition planning is an ongoing process</li> <li>• Transition planning process reviewed at least annually</li> </ul>
Direct link exists between the strategic plan and transition plan	<ul style="list-style-type: none"> <li>• Criteria for candidates align with the strategic plan</li> <li>• Connecting transition planning to values of the organization</li> <li>• Connecting transition planning to the needs and interests of senior leaders and staff</li> </ul>
Identification of internal and external environment and needs of new leadership	<ul style="list-style-type: none"> <li>• Number of stakeholders interviewed</li> <li>• Position description aligns with needs identified in assessments</li> <li>• Gap analysis between skills and competencies currently needed to meet future demands is performed</li> </ul>
Search process	<ul style="list-style-type: none"> <li>• Timeline is met</li> <li>• Budget is met</li> <li>• Board members and staff feel included</li> <li>• Strong pool of qualified candidates</li> <li>• Process is transparent to staff</li> </ul>
Transparency of transition plan with staff and other stakeholders	<ul style="list-style-type: none"> <li>• Number of communications with staff</li> <li>• Frequency of communications with staff</li> </ul>
Knowledge transfer and onboarding	<ul style="list-style-type: none"> <li>• Important networks and relationships maintained by new leader</li> </ul>
Leadership training program	<ul style="list-style-type: none"> <li>• Ease in selecting internal succession candidates when desirable</li> <li>• Number of qualified employees identified as leadership potential</li> <li>• Staff report a greater sense of career opportunity and job satisfaction</li> <li>• Examine selection rates from leadership development programs</li> <li>• Examine retention rates of graduates from leadership development programs</li> <li>• Track placement of leadership pool employees</li> <li>• Promoted staff feel confident in new position</li> <li>• Promoted staff are successful</li> </ul>

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# Tool #32: Measures to Evaluate the Outcomes of the Transition

(See Case Study Page 14)

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Tool #32 lists different questions that organizations can use to evaluate the outcomes of the transition and plan. This allows organizations to continually improve the transition planning process, ensuring a smoother transition for the next change in executive leadership.

1. After the transition, is there a change in:
  - a. Client base?
  - b. Client satisfaction?
  - c. Types of direct services provided?
  - d. How direct services are provided?
  - e. Board members or staff (i.e. turnover)?
  - f. Did the search process go as planned?
2. What worked well and what didn't?
3. Did the process cover the most important aspects?
4. Are there additional aspects that could be included?
5. What changes need to be made to the plan?
6. Was the search process successful in obtaining the kind of leader needed?
7. Did the incoming CEO fit with the existing culture (if that was a goal)?
8. Did the incoming CEO create a new culture (if that was a goal)?

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# About NFPRHA

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Founded in 1971 and located in Washington, DC, the National Family Planning & Reproductive Health Association (NFPRHA) is a 501(c)3 non-profit membership organization representing the broad spectrum of family planning administrators and providers who serve the nation's low-income, under-insured, and uninsured women and men.

As the only national membership organization in the United States dedicated to increasing family planning access, NFPRHA is committed to advocacy, education, and training for its members. NFPRHA works to help ensure access to voluntary, comprehensive, and culturally sensitive sexual and reproductive health care services and supplies, and to support reproductive freedom for all.

To that end, NFPRHA seeks to maximize the opportunities for protecting and expanding access to family planning services for vulnerable populations by advocating for programs and resources that enhance both the medical services provided through and infrastructure of the publicly funded safety net.

Furthermore, NFPRHA prepares its membership for changes in the health care economy by providing policy and operational analyses to help its members consider and execute strategies for adapting to evolving economic and policy climates, and by convening administrators and clinicians to share experiences and best practices that help enhance quality and service delivery.



National  
**Family Planning**  
& Reproductive Health Association

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