Succession *planning*

for Literacy and Basic Skills Agencies and Networks

Overview 2012

Acknowledgements

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Succession Planning Overview

As many Literacy and Basic Skills managers consider retirement, the issue of succession planning becomes increasingly important. Being proactive by implementing a succession plan will allow even very small LBS agencies to continue to serve learners through a thoughtfully pre-considered staff replacement that has resulted due to retirement, transition, or unforeseen circumstances.

A careful and considered plan of action ensures the least possible disruption to the replaced staff person's responsibilities and therefore the organization's effectiveness. A succession plan clearly sets out the factors to be taken into account and the process to be followed in relation to retaining a new staff person or replacing a current staff person.

By 2025, more than 20% of the population will be over age 65, double the proportion in 1980. There are currently five working-age Canadians for every person over 65 (5:1). In two decades, that ratio will have dropped to only 3:1. That growing imbalance is only made worse by the fact that, even as Canadians live longer, they are retiring earlier: the average retirement age has dropped from 64.9 in 1976 to 61.4 in 2005. (March 2006, Conference Board of Canada)

In a 2008 needs assessment survey of 20 Literacy and Basic Skills agencies in Ontario:

- 35% of the programs had started to implement a succession planning process
- 25% of the programs had an emergency succession plan in place

- 29% of the programs had succession planning as a topic on their Board agenda
- 52% of the full-time Executive Directors/Executive Co-ordinators were "baby boomers" (defined as being born between 1947 and 1959)
- 53% of the agencies had experienced a staff transition recently, and of that number, 73% were categorized as "unplanned"
- 34% of the agencies had Executive Directors/Executive Co-ordinators planning on retiring or leaving in the next three to five years

To start the succession planning process it is vital that both the Board and senior staff at the agency are ready to commit the time and resources it will take to develop and implement solid emergency plans and long-term succession plans.

- All of the agency staff need to be aware of the implementation process and be afforded the opportunity for input into the process.
- Staff must understand that the underlying premise behind succession planning is to secure the future of the organization; not to replace current staff.
- Having an organizational strategic plan in place can support the succession planning process.

Traditional Approach Replacement Planning

- Focus is on identifying immediate and short-term replacements
- Plans are linked to individual job requirements

- Potential candidates are identified based solely on feedback from their immediate supervisor
- Succession planning is done in isolation from other related Human Resources activities (e.g., learning and development, diversity initiatives, and recruitment)

Succession Planning Approach

- Focus is on the development of talent for the longer term
- Plans include developing talent for key positions/areas
- Plans are linked to building proficiencies and skills for current and future organizational needs
- A systematic process is used to assess candidates based on feedback from multiple perspectives and sources of information
- Processes are put in place to integrate succession planning with other Human Resources activities
- Plan looks three to five years in the future
- Plan involves actions that take many months to complete

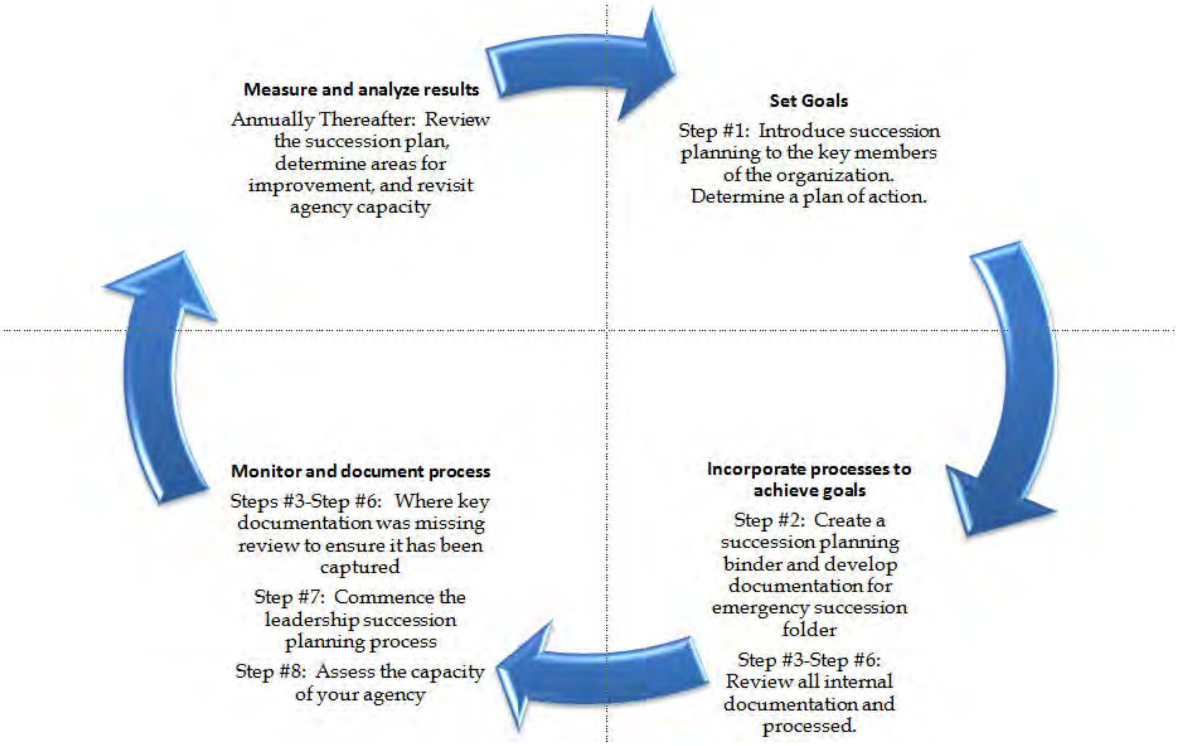
Objectives of Succession Planning

- Ensure the continuity of leadership in critical positions
- Retain and develop intellectual capital to support future growth
- Encourage and motivate high potential employees to aspire for advancement

Effective Succession Planning

- Matches the organization's available talent to its future needs
- Approaches succession decisions in a systematic way
- Is carried out continuously, avoiding crises and providing reinforcement for continuous performance improvement

The Connection to a Continuous Improvement Performance Management System



Application of Proficiencies to Succession Planning

- Proficiencies are used in succession planning to describe expected behaviours in future positions
- Gap analysis identifies the difference between where candidates are today and the opportunity for development

Training and Development Plans

Once gaps have been identified:

- Activities and strategies are prescribed to close them (training, job assignments, projects, committee work, rotation)
- Progress towards acquisition of the required proficiencies are implemented and monitored

Consider the following:

- If your agency experienced a disaster such as the sudden death of a key employee, is there a plan in place that would allow the agency to operate at relatively full capacity within the first 24 hours until the key person could be replaced?
- Is that person really "key"?
- Does your agency have a plan in place that takes into consideration the needs for staffing your organization over the next three to five years, based on current information and projected trends?
- If any key staff person in your agency is planning on retiring or leaving within the next one to three years, is there a staff on board that is ready or preparing to step into that role?

If you answered no to any of the above questions, your organization needs to consider implementing a succession planning process.

Agency Succession Planning Needs Assessment

Why would I use this tool? See Step 1.

The first step in the succession planning process is to determine what you already have in place and determine the gaps. This needs assessment tool will help you do that.

Question	Answer/ Comment	Plan of Action
How well informed and up-to-speed is my Board on the issues, trends, and challenges facing our agency?		
Does my Board know where corporate records are kept in the office?		
Does the Board Secretary or Chair keep a separate copy of Board corporate records such as letters of incorporation and letters patent off-site?		
Does my Board have, or do they know whom to ask, to easily get a list of key stakeholders for crisis/ emergency/ transition communications?		
How recently have I personally reviewed and updated that list?		
When I think of not being in the office for an extended period of time, what might not get done, stalled, or forgotten? [The longer this list is, the more you need a succession plan!]		
Do I keep a lot of information in my head or in my own private records that has never really been transferred to my agency?		
Are there funders or donors who want to talk to only me?		

Question	Answer/Comment	Plan of Action
Are there other key relationships that only I maintain?		
What would happen to these relationships if I left? Would the agency suffer as a result? What am I going to do to change that?		
Do I maintain a job diary of important information 'just in case'?		
What am I working on now that the Board or other key staff would need to know about to carry on without me?		
Are all the agency files organized and properly labelled?		
Is there any confidential information [e.g., personnel files] to which only I have access?		
Does a Board member and/or key staff member have a copy of my keys?		
Are my key contacts in order and easily identified in my files and/or computer address system?		
Who has a listing of all computer passwords, including mine? Does the Board know who that is?		
What staff would my agency be "lost" without?		
Is there someone I would appoint as Interim Executive Director in my absence?		
Does the Board know who that staff person is?		
Have I prepared that person to be Interim Executive Director? [In other words, could they provide the answers to all of these questions to the Board and/or staff if the need arises?]		

Question	Answer/Comment	Plan of Action
Do I have a staff person designated as Board liaison in my absence?		
Does my staff know what duties or responsibilities they would assume during an unplanned absence?		
Do my employees maintain a log of important information 'just in case'?		
If one of my key staff left, would I know where to find his/her key contacts?		
Do I know what issues s/he was working on that would need to be followed up on?		
Who has authority to sign cheques and disburse payroll in my absence?		
Do the people who need to know that, know?		
Am I the sole signing authority on any account? [If so, you should not be! Take care of this now.]		
Are there backups of all computer materials made at least weekly that are kept off-site?		
Who keeps this information off-site?		
Would someone else in the office know where to get it off-site if we needed it?		
Am I actively developing leaders from among my staff?		
Is there a policy and procedures/operations manual for my agency?		
Do all employees have access to it?		
Does the Board have access to it/know where it is located?		

Question	Answer/Comment	Plan of Action
Do I have a written succession plan that has been distributed to Board officers and key management staff that outlines the answers to these questions?		
If my agency experienced a disaster such as a sudden death of a key employee, is there a plan in place that would allow the agency to operate at relatively full capacity within the first 24 hours until the key person could be replaced?		
Does my agency have a plan in place that takes into consideration the needs for staffing my organization over the next three to five years based on current information and projected trends?		
If any key staff person in my agency is planning on retiring or leaving within the next one to three years, is there a staff person on board that is ready or preparing to step into that role?		

What do I do with this information?

Use this information to determine whether you need to undertake a succession planning process in your agency. By analyzing any gaps you have identified, you can decide which elements of succession planning are the most important for your agency.

Key Contacts

Name	Agency	Address 1	Address 2	City	Province	PC	Phone	Email

Current Projects

Project	Funder	Start Date	Finish Date	Key Deliverables	Comments

Network Affiliations

Network	Membership	Purpose	Key Contact Name	Address 1	Address 2	City	Province	PC	Phone	Email

Key Resources

Resource	Author	Annotation	Location	Comments

Best Practices

Practice	Comments

Frequently Asked Questions

Question	Comments

Sample Succession Policy

Why would I use this tool? See Step 2.

This template can be modified to meet the needs of your agency for a Succession Policy

Policy statement:

A change in executive leadership is inevitable for all organizations and can be a very challenging time. Therefore, it is the policy of [*insert agency name here*] to be prepared for an eventual permanent change in leadership – either planned or unplanned – to insure the stability and accountability of the organization until new permanent leadership is identified. The Board of Directors shall be responsible for implementing this policy and its related procedures.

It is also the policy of the Board to assess the permanent leadership needs of the organization to help ensure the selection of a qualified and capable leader who is representative of the community; a good fit for the organization's mission, vision, values, goals, and objectives; and who has the necessary skills for the organization. To ensure that the organization's day-to-day operations are not interrupted while the Board of Directors assess the leadership needs and recruit a permanent Executive Director, the Board will appoint interim executive leadership.
The Interim Executive Director shall ensure that the organization continues to operate without disruption and that all organizational commitments previously made are adequately executed, including but not limited to, reports due, contracts, licenses, certifications, memberships, obligations to funders of [*insert agency name here*], and others. The Interim Executive Director and any other interested internal candidates are encouraged to submit their qualifications for review and consideration by the search committee according to the guidelines established for the search and recruitment process.

Procedures for succession:

For a temporary change in executive leadership (i.e., illness or leave of absence) refer to the organization's emergency succession plan. In the event the Executive Director of [*insert agency name here*] is no longer able to serve in this position (i.e., leaves the position permanently), the Executive Committee of the Board of Directors shall do the following to appoint an Interim Executive Director:

Within fifteen (15) business days appoint a Transition Committee, in the event that a permanent change in leadership is required. This committee shall be comprised of at least one member of the Executive Committee and two other members of the Board of Directors. It shall be the responsibility of this committee to implement the following preliminary transition plan:

- Communicate with key stakeholders regarding actions taken by the Board in naming an interim successor, appointing a Transition Committee, and implementing the succession policy. The organization shall maintain a current list of key stakeholders who must be contacted, such as lenders and investors of [insert agency name here], government agencies, etc.
- Consider the need for consulting assistance (i.e., transition management or executive search consultant) based on the circumstances of the transition.
- Review the organization's business plan and conduct a brief assessment of organizational strengths, weaknesses, opportunities, and threats to identify priority issues that may need to be addressed during the transition process and to identify attributes and characteristics that are important to consider in the selection of the next permanent leader.
- Establish a time frame and plan for the recruitment and selection process.
- Refer to the Executive Director Hiring Policy and Procedures in the personnel handbook for additional procedures.

The Board should use similar procedures in case of an executive transition that simultaneously involves the Executive Director and other key management. In such an instance, the Board may also consider temporarily subcontracting some of the organizational functions from a trained consultant or other organizations.

What do I do with this information?

Once adapted and adopted by the Board, a copy of the policy should be keep with the other agency policies. A copy should also be kept in the ***Succession Planning Binder.***

Why would I use this tool? See Step 2.

To make sure all relevant information is included in both the Emergency Folder and the Succession Binder.

Emergency Succession Folder Checklist

- ❑ An emergency succession plan identifying the key people that will step into key positions when emergency succession is necessary
- ❑ Executive Director job description
- ❑ Current staff contact list
- ❑ Current board contact list
- ❑ A copy of the agency business plan and contract with all schedules
- ❑ Key passwords to access critical information stored on computers
- ❑ Instructions to access information and updates related to Literacy and Basic Skills on the Employment Ontario Partners' Gateway (http://www.tcu.gov.on.ca/eng/eopg/)

Succession Binder Checklist

- ❑ The **Emergency Succession Folder**
- ❑ A succession plan policy
- ❑ An organizational calendar with critical dates and deadlines for the next 12 months
- ❑ Location of critical knowledge job diary for the Executive Director
- ❑ Location of LBS Service Provider Guidelines
- ❑ A list of where all key organizational documentation is kept (see the **Organizational Documents Checklist** for a list of key organizational documents)
- ❑ A list of where all financial documentation and banking information are kept (bank accounts, investments, payroll information, etc.)
- ❑ Contact information for the auditor
- ❑ A copy of the most recent Annual Report with audited financial statement

- ❑ Location of all current contracts and service agreements
- ❑ Location of policies and procedures manual
- ❑ Location of maintenance plans (e.g., website)
- ❑ Location of or how to access Local Community Planning Group/Committee information
- ❑ A complete copy of the completed *Organizational Information and Capacity Survey*
- ❑ Location of a list of key partnerships and current referral contacts
- ❑ Location of a current volunteer contact list
- ❑ Location of a list of all current donors and funders

What do I do with this information?

Check off the items you have and identify the ones you still need.

Literacy and Basic Skills Key Publications

Why would I use this tool? **See Step 4.**

To make sure that copies of key publications are available.

The Literacy and Basic Skills Service Provider Guidelines can be downloaded from the Employment Ontario Partners' Gateway.

Many key Ministry of Training, Colleges and Universities publications are found on this website: http://www.tcu.gov.on.ca/eng/training/literacy/publications.html

Key Publications List (Teal Coloured Documents):

Publications

- Literacy in Ontario: The Rewards Are for Life
- Common Assessment in the Literacy and Basic Skills Program (PDF, 118 KB)
- Setting the agenda: the Ontario literacy research strategy (PDF, 227 KB)
- Goal-Directed Assessment: An Initial Assessment Process (PDF, 722 KB)
- The International Adult Literacy Survey Results (PDF, 256 KB)
- Literacy Profile of Ontario's Immigrants (PDF, 141 KB)
- Literacy Profile of Ontario's Deaf and Hard of Hearing Adults (PDF, 249 KB)
- Best Practices in Literacy for Adults with Developmental Disabilities (PDF, 266 KB)

The **Ontario Adult Literacy Curriculum Framework** (OALCF) was launched in April 2011. All documentation pertaining to the OALCF can be found on the Employment Ontario Partners' Gateway at: http://www.tcu.gov.on.ca/eng/eopg/oalcf/index.html

Accessing LBS Information on the Employment Ontario Partners' Gateway

Why would I use this tool? See Step 4.

It is essential that at least two people in your agency can access the site. Having the instructions on hand is important.

All relevant programming information related to the Ministry of Training, Colleges and Universities is located on the Employment Ontario Partners' Gateway.

http://www.tcu.gov.on.ca/eng/eopg/

Ensure that relevant parties understand how to access, update and maintain information in EOIS CaMS. Include necessary information about accessing EOIS CaMS in the Emergency Succession Folder.

What do I do with this information?

Keep it in the Emergency Succession Planning Folder.

Data Loss Risk Assessment

Did you know that 97% of stolen computers are never recovered?

Why would I use this tool?

See Step 5.

To ascertain how protected the hardware and data in your organization is and to identify any gaps.

	Yes	No	N/A	Plan of Action/Notes
Do you know where your organizational data comes from, where it is stored, and how it is used?				
Do you have a policy in place to deal with data being lost or stolen (e.g., who needs to be notified, what steps need to be taken to mitigate damages)?				
Are all computers password protected?				
Is there a policy in place for passwords (e.g., changing, documenting, etc.)?				
Does the Executive Director and at least one other person (e.g., Board Chair) have access to all passwords?				
Do all computers have up-to-date antivirus protection?				
Do all computers have up-to-date anti-spam protection?				
Do you keep laptops locked in a secure location?				
Is there a policy/procedure in place to sign out laptops?				
Do you have a wireless network?				
If applicable, is the wireless appropriately encrypted?				
Do employees use laptops or home computers to work on agency business outside of the office?				
Are the files employees work on outside of the office transferred into the office system on a regular basis?				
Do you have guidelines or a policy in place defining the parameters for employees working on files outside of the office?				
Are all computer files backed up on a regular basis?				
Do you store a copy of backed up data off-site?				
Is website access and maintenance information accessible by the Executive Director and at least one other person (e.g., Board Chair)?				

What do I do with this information?

Make a plan to fix any problems or gaps you have identified. Create any necessary policies or plans and add to the appropriate list in the ***Succession Planning Binder.***

Policy Checklist

This is a list of potential policies that you may consider implementing in your organization. The list is not comprehensive. It is meant as a guideline only.

Why would I use this tool?

See Step 6.

LBS agencies are required to have policies. This checklist, although not comprehensive, is a good starting point to make sure your agency has developed and implemented policies.

Personnel Policies

Does your agency have a personnel policy manual? Does your constitution or bylaws require your agency to update your policies on a regular basis? Potential policy checklist:

- ❑ Staff Orientation
- ❑ Staff Training And Ongoing Professional Development
- ❑ Compensation Time
- ❑ Confidentiality
- ❑ Recruitment/Job Posting
- ❑ Hiring Policy
- ❑ Criminal Records Check
- ❑ Probationary Period
- ❑ Staff Supervision
- ❑ Hours Of Work
- ❑ Classification Of Employees
- ❑ Salary Determination And Administration
- ❑ Evaluation
- ❑ Anniversary Increases/Salary Advancement
- ❑ Paid Holidays
- ❑ Vacations
- ❑ Seniority
- ❑ Illness
- ❑ Reporting Absence
- ❑ Transfers
- ❑ Leaves

- ❑ Bereavement Leave
- ❑ Court Leave
- ❑ Subpoena To Serve Jury Duty
- ❑ Education Leave/Adoption Leave
- ❑ Maternity Leave
- ❑ Paternity Leave
- ❑ Personal Leaves Of Absence
- ❑ Sick Leave
- ❑ Lay-Off And Recall
- ❑ Termination Of Employment
- ❑ Separation Pay
- ❑ Vacation Pay On Termination
- ❑ Personal Appearance
- ❑ Relationships With Clients
- ❑ Code Of Conduct
- ❑ Abusive Behaviour
- ❑ Staff Complaints
- ❑ Dress Code
- ❑ Grievances
- ❑ Disciplinary Action
- ❑ Gifts Of Acceptance
- ❑ Outside Employment
- ❑ Use Of Consultants
- ❑ Garnishees

Financial Policies

- ❑ General Program Accounting Policy/Audit
- ❑ Petty Cash
- ❑ Donations/Bequests
- ❑ Mileage
- ❑ Photocopying
- ❑ Cheque Requests
- ❑ Purchase Orders
- ❑ Fundraising
- ❑ Wage/Salary
- ❑ Travel And Expense Policy
- ❑ Budget
- ❑ Financial Reporting To The Board
- ❑ Banking And Investment Details

Operational Policies

- ❑ Information Management System
- ❑ Succession Plan
- ❑ Data Management And Data Loss Prevention
- ❑ Volunteer Management
- ❑ Policy Update

Resources:

Cook-Ritchie, Robyn (1999). *A Collection of Policy and Procedure Templates for Adult Literacy Service Providers.* Literacy Link South Central.
http://www.nald.ca/library/learning/template/cover.htm

Huebner, Fiona (1999). A Guide for the Development of Policies and Procedures Volume 1. Community Literacy of Ontario.
http://www.nald.ca/clo/policies/guide1/devpol-1.pdf

Huebner, Fiona (2000). *A Guide for the Development of Policies and Procedures Volume 2*. Community Literacy of Ontario.
http://www.nald.ca/litweb/province/on/CLO/policies/guide2/cover.htm

What do I do with this information?

Review the agency policies to identify any gaps. Draft missing policies that are necessary and seek Board approval. Make sure the policy manual is up-to-date.

Proficiency Gap Analysis Template

Why would I use this tool?

See Step 7.

To develop a profile for a position in your agency and help a candidate plan for a position.

A proficiency can be any knowledge, skill, or ability, demonstrated through behaviour that results in superior job performance. Some definitions include personal qualities, values, or traits as proficienies. Examples of proficiencies include interpersonal effectiveness, teamwork, technical capability, and reliability. Proficiencies are not job descriptions. A job description looks at **what** and analyzes elements of the job. A proficiency model focuses on **how**. Use this template as a guideline to develop a proficiency profile for a particular position.

Candidate:			
Organization:			
Position:			
Signature of Candidate:		**Signature of Manager:**	
Types of Proficiency	**Already demonstrates-give evidence**	**Needs to develop**	**Comments**
Leadership – the competencies required to create vision, establish direction, develop strategy, and lead implementation			
-example			
-example			
Managerial – the ability to manage functions, plan and delegate work, and execute against a plan			
-example			
-example			
Functional – the technical aspects of the job (e.g., computer literacy, Literacy and Basic Skills vocabulary)			
-example			
-example			
Interpersonal – the ability to communicate and listen effectively			
-example			
-example			

Personal/Individual – self-awareness, integrity, commitment			
-example			
-example			

What do I do with this information?

Use this information to create a ***Candidate Training and Development Plan.***

Candidate Training and Development Plan

Why would I use this tool?   See Step 7.

To help you document the strategies and training required to bring a candidate to the proficiency level required for the position.

Candidate:		**Date:**
Position:		**Proposed Review Date:**
Proficiency that requires development – list proficiency area(s) and specifics	Strategy(s) with appropriate timeline (Refer to ***Training and Development Plan Strategies***)	Demonstration/Assessment The candidate should participate in identifying the assessment methods

Candidate Signature:

____

Signature of Board Chair/Executive Director:

____

What do I do with this information?

Review it with the employee and keep it in their personnel file. Revisit the plan at scheduled intervals to evaluate progress and additional needs or supports.

Why would I use this tool?
See Step 7.
To help you develop a ***Candidate Training and Development Plan.***

Stretch assignments allow employees to stretch beyond their current abilities. Some examples include chairing a committee or meetings, leading a special project, or being assigned a challenging new task.

Acting assignments can be a good opportunity for employees to get experience at a more senior level by temporarily taking over another employee's responsibilities while they are absent from their post.

Job rotations give employees the opportunity to work in different areas of the organization and acquire experience in different disciplines or functions. The employee remains in his or her substantive position but is exposed to different streams or domains of work.

Mentoring and/or coaching provide opportunities for employees to obtain ongoing guidance and support from more experienced employees. These arrangements can be formal or informal.

Formal training may include classroom training, web courses, and the pursuit of higher education and training.

What are various strategies for knowledge transfer?

Explicit knowledge and tacit knowledge are different and they require different strategies. Explicit knowledge can be tracked and codified in manuals, directories, and procedures. On the other hand, tacit knowledge, which makes up 80% to 85% of an organization's knowledge assets, is much more difficult to codify because it encompasses people's insight, judgment, and know-how. It requires strategies that rely more on interpersonal interactions such as coaching, mentoring, and job shadowing. Consider incorporating strategies that track and retain both kinds of knowledge.

Many of the previously mentioned learning strategies also facilitate the transfer of knowledge. In addition to those, the following may be used to transfer knowledge.

Documentation of critical knowledge/job diaries*:** This is a record that contains key knowledge, including contacts, networks, resources, learning, best practices, answers to frequently asked questions, etc. (See ***Critical Knowledge Job Diary Template.)

Exit interviews*:** Employees who are leaving the organization voluntarily complete an interview and/or questionnaire, which can capture critical information. (See ***TIP Sheet #1: Conduct an Exit Interview to Learn from Those Who Leave the Organization.)

***Communities of practice*:** These are groups of people who share a common purpose or concern and who exchange ideas. (e.g., participation in the Literacy Community Planning Committee)

Transition Leaves: An employee who is leaving may want to reduce their work week. This may be used as a retention strategy, thereby allowing more time for knowledge transfer. (See ***TIP Sheet #2: Transition Issues and Strategies When Executive Director Leaves an Organization.***)

In order to encourage knowledge transfer, management must consider giving the person whose knowledge is being tapped the time to share it, e.g., by reducing that person's workload so he or she can mentor, coach, train, or otherwise share information.

Adapted from: Canada Public Service Agency
http://www.tbs-sct.gc.ca/chro-dprh/index-eng.asp
(accessed June 21, 2011)

What do I do with this information?

Use the information here as a guideline for possible techniques and strategies to help a potential candidate identify or acquire the necessary proficiencies.

Literacy

and Basic Skills Overview

Note: *Adapted from Community Literacy of Ontario's Presentation on Professional Development Pathways at the Council of Ministers of Education, Canada Conference, April 15, 2008*

The History of Literacy and Basic Skills in Ontario

- Announced September 8, 1986
- Plan directed that programs be in English and French; explicitly mentioned Native and other target groups
- Co-ordinators were hired to develop culturally appropriate English, French, and Native program "streams", including practitioner training
- An access co-ordinator was to develop training for practitioners on integration of learners with disabilities, offenders, rural and urban people, women, and others (Deaf identified as cultural "stream")
- In year two the literacy section was transferred to Skills Development

Further Development in Early Years

- Workplace programs involved employers, employer associations, unions, school boards, colleges, community-based groups, and regional literacy networks
- Family literacy programs involved social agencies, school boards, libraries, community literacy groups, and networks
- National Literacy Secretariat became partner in 1988 on field development, practitioner training, research and pilot projects

Literacy and Basic Skills Service Provider Guidelines

- Provide the required information and broad policy direction that is needed by service providers to deliver the LBS program

What is Literacy in Ontario?

- Literacy is distinct from general education
- Based on adult education principles
- Collaborative goal-setting, responsive curriculum, individualized and group learning
- Help learners develop skills and strategies using a variety of approaches
- Fair assessment principles, using a variety of approaches and methods
- Five learner goal paths
- Continuous improvement
- Program development and administration contributes to ongoing planning and development
- Includes computer technology

Ontario Adult Literacy Curriculum Framework (OALCF) Launched in April 2011

- Multi-part framework
- Tools to strengthen existing programming
- Foundation
- Learner-centred
- Goal-directed
- Transitions-oriented

The purpose of the OALCF is to improve the transitions of adults through Employment Ontario (EO) and the broader education and training system with an Adult Literacy Curriculum Framework that:

- Provides criteria against which learning achievements can be articulated in the Literacy and Basic Skills (LBS) delivery system

- Makes LBS services and client outcomes transparent for referring EO partners by emphasizing the performance of tasks needed for meeting the learner's goal

The Curriculum Framework supports the development of skills, knowledge, and behaviours or **COMPETENCIES** that adults need to fulfill their responsibilities at work, in the community, and in learning situations.

The Curriculum Framework uses six broad competencies to organize learning content.

A. Find and Use Information

B. Communicate Ideas and Information

C. Understand and Use Numbers

D. Use Digital Technology

E. Manage Learning

F. Engage with Others

Our Agency

- Insert information about your own Literacy and Basic Skills agency here to tailor the presentation to your needs.

LBS Delivery Agency Organizational Information and Capacity Survey

<table>
<tr><td>Date Completed:</td><td>Completed By:</td><td>Next Scheduled Review Date:</td></tr>
<tr><td>Mailing Address:</td><td>City/Town:</td><td>Province:</td></tr>
<tr><td>Postal Code:</td><td>Area Code/Telephone Number:</td><td></td></tr>
<tr><td colspan="3">Email Address:</td></tr>
<tr><td colspan="3"></td></tr>
<tr><td colspan="2">Business Number (Canada Revenue Agency):</td><td>GST Registration Number/Date of Registration:</td></tr>
<tr><td colspan="2">Incorporation Number/Date of Incorporation:</td><td>Do you have a complete audited statement? Attach a copy.</td></tr>
<tr><td colspan="3">What is the geographic mandate of this organization (i.e., provincial, regional, or local)? Describe:</td></tr>
<tr><td>Total Number of Paid Staff:</td><td>Full-Time Equivalent:</td><td>Part-Time Equivalent:</td></tr>
</table>

<table>
<tr><td colspan="3">Authorized Signing Officers for Agreement Purposes (according to Letters Patent or other incorporating documents)</td></tr>
<tr><td>Name</td><td>Position</td><td>Telephone Number and Email</td></tr>
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Board of Directors/Principals of the Organization		
Name	Position	Telephone Number and Email

Funding Information Provide information on all government and non-government funding including project information.				
Name of Funder	Purpose of Funding/ Activity Funded	Duration of Funding (please include dates)	Amount of Funding	Contact Person and Contact Information

Service Function Capacity				
Information and Referral				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
Conduct outreach activities within the local community to inform the appropriate client group of the agency's services?				
Conduct promotional and outreach activities which are consistent with the learner focus of the agency's services?				
Evaluate the effectiveness of the outreach strategy and activities and revise accordingly?				
Ensure that the agency's information and referral services build on and are complementary to other similar resources in the community, and that they are based on the literacy services plan?				
Have a systematic approach to tracking, reporting, and analyzing information and referral activity and follow-up?				
Assessment				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
Confirm an individual's eligibility for LBS services?				
Assist new learners in: • identifying goal path (employment, independence, secondary school credit, postsecondary, apprenticeship); • determining the learning style or model best suited to them; and • determining their existing Literacy and Basic Skills?				

Use assessment tools that are appropriate, meaningful, and understandable to the learners, and that are suitable for their Learner Plans and goals?				
Ensure that agency staff carrying out assessments have the appropriate skills?				
Assess learners' achievements as they progress through and complete their training?				
Maintain up-to-date learner files?				
Ensure that assessment results can be understood by other LBS agencies and by key referral agencies, as agreed to in the Literacy Services Plan?				
Training Plan Development				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
Assist learners in developing a Learner Plan that is based on their goals?				
Ensure that learners develop a Learner Plan that: • uses the information gathered in the learner profile; • identifies necessary referrals; • includes the tasks learners need to complete as supported by the OALCF; • relates the learners' entry skills to the skills they need and tasks they need to complete in order to be able to demonstrate achievement of tasks and milestones; • details the training to be provided, to enable learners to achieve their tasks and milestones;				

• identifies activities that show the learner and the instructor that the learner can apply new skills to real-life situations; • indicates which components of the plan will be fulfilled by the delivery agency developing the plan, and which components may be delivered by other agencies; • indicates dates and establishes time lines (date the plan was developed, start date and projected end date for learner's program, and dates for the learner and agency staff to meet to review progress); and • connects learners to the next steps toward their goal path?				
Establish a process for ongoing review of learners' demonstrated achievements at key points in their course of study? The purpose of ongoing review is to establish when the expected outcomes identified in the Learner Plan have been achieved, when goals have changed, and when a change in training activities is needed.				
Track numbers of learners who are enrolling in literacy training in order to achieve employment, secondary school credit, postsecondary, apprenticeship, or independence related goals?				

Provide a copy of the Learner Plan to the learner, keep a copy in the learner file for seven years, and ensure that training plans are available for review by LBS Employment and Training Consultants?				
Training				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
Provide learners with training in the literacy and basic skills necessary for further training and education, employment, and independence?				
Provide instruction appropriate to adult learners and their goals, as identified in their Learner Plans?				
Deliver quality instruction by trained practitioners using materials appropriate for adults?				
Ensure that training aids and materials support the diversity of learning approaches?				
Adjust training as needed?				
Support learners' transition to other training opportunities?				
Record learners' status on completion of training?				

Follow-up				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
Ensure that information collection and recording makes follow-up convenient and effective?				
With learners, evaluate the effectiveness of the training activities as learners achieve their literacy goals and move on to the next step in their Learner Plans, either within or beyond the delivery agency?				
Evaluate the training activities provided by staff and volunteers?				
Establish and maintain a process for receiving ongoing feedback and information from other service providers in the community, from employers (where appropriate), and from learners?				

Local Planning and Coordination				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
Participate actively and productively in the local planning and co-ordination process and the development of the Literacy Services Plan?				
Collaborate with other LBS agencies in identifying the geographic boundaries of the Literacy Services Plan?				
Share data and provide information on service projections (the number of learners each agency plans to serve, goal path niches, when, where, how often, and for how long)?				
Collaborate with other agencies in determining and adjusting service locations and client and service mix in order to meet identified community needs throughout the year?				
Ensure that there is a continuum of literacy service opportunities for learners and a smooth transition among agencies?				
Develop working relationships with other Employment Ontario agencies, Ontario Works, and other appropriate community/wrap-around services?				
Collaborate with other LBS partners in the ongoing development of: • a work plan to address LBS local planning and co-ordination; • referral protocols; • a process for evaluating the effectiveness of the referral protocol and the portability of Learner Plans;				

• common assessment; and • a local marketing and outreach strategy?				
Organizational Capacity				
Customer Service Management				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Have a process to identify, measure and evaluate its key customers, and determine their needs?				
2. Identify, measure, and track operational indicators and processes that drive customer satisfaction scores?				
3. Have established customer-based continuous improvement goals?				
4. Have "in person" service processes that meet customer expectations – e.g., best service times/ wait times/ hours of operation visibly displayed?				
5. Have services that are accessible and include accommodation for special needs?				

Service Delivery				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Have an organizational plan for its service delivery requirements with effective processes and operations to execute services agreed to with the Ministry of Training, Colleges and Universities and/or other funders?				
2. Have processes where program management staff monitor service delivery results and program performance and regularly communicate to the Executive Director and to the Board?				
3. Understand who its customers are, their service needs and expectations, sources of disadvantages, and design its service offerings around its clients?				
4. Have the capacity to forecast and quickly respond to changing economic conditions, changes in demand for services, and changing relationships with its customers?				
5. Co-ordinate services with local stakeholders to provide clients with seamless access to complementary programs and services necessary to achieve their goals?				
6. Actively promote community involvement, generate new ways of working, and build new relationships to help meet the organization's mission?				

Governance				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Have Board members with a diverse range of skills and experiences who are actively engaged in providing oversight, leadership, and strategic direction?				
2. Have processes to ensure that it conducts its activities with accountability and transparency, complying with all legal and legislative requirements governing the organization (e.g., filing tax returns, Registered Charity Information Return, funding requirements)?				
3. Have the necessary instruments for decision-making, prudent and effective management of Transfer Payment funds, established procedures to enable the successful completion of the project/program, and procedures to meet reporting requirements?				
Human Resources				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Place a priority on fair and equitable Human Resources practices that attract and retain qualified employees and volunteers and are reflective of the community it serves?				
2. Have experienced Information Technology personnel or services to support the organization and staff needs?				

3. Have its management team track budgets, forecast expenses, identify and account for variances, and develop and track annual budgets in an accurate and timely way, and submit to Board for review?				
4. Have an independent third party accounting professional review or audit its financial records and prepare the financial statements and management letter on an annual basis?				
5. Have a process to identify and address potential conflict of interest situations?				
6. Have privacy policies that comply with the *Personal Information Protection and Electronic Documents Act (PIPEDA)*, the *Freedom of Information and Protection of Privacy Act (FIPPA)*, the *Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)* or the Canadian Standards Association Model Privacy Code and that are publicly available?				
7. Have an experienced official responsible for ensuring compliance with the privacy policies, including providing individuals with access to their own personal information?				

Evaluation and Planning				
Criteria – Does your organization have:	Yes	No	Partially	Comments/evidence to support answer
1. Processes to evaluate its contribution to the community in both quantitative terms and qualitative terms?				
2. A quality assurance (QA)/program monitoring process that can address BOTH program delivery and program impact questions?				
3. A quality assurance process that is integrated into its operating routine that helps everyone involved in the program learn continuously about what is working and what needs improvement?				
4. Indicators to measure and evaluate Literacy and Basic Skills service, monitor results, and take appropriate action to incorporate modifications to services, and when appropriate, planning processes?				
5. Cost-accounting processes which allow for the determination of such metrics as the cost per successful outcome as an aid to business planning?				
6. A diverse revenue and resource base to ensure organizational health and sustainability?				

Added Value		Narrative/Evidence
Relevance	Does your organization have any formalized referral agreements with other organizations to support client needs in your community? Please describe.	
	How are your organization's mission and activities aligned with the needs of the customers, including employers and the local community?	
	List and describe the number of strategic alliances, partnerships, collaboration, cooperation or co-ordination your organization has and the purpose they serve to maximize the services available within your community.	
Responsiveness	How does your organization support clients' Literacy and Basic Skills needs through partnerships, networks, collaboration, and consultation?	
	Does your organization participate in any co-ordinating committees/boards/service planning committees in your community? What is your role on these bodies?	
	What steps has your organization taken to build its own capacity in order to be effective and vital to your community?	
	Has your organization recently received any recognition for the work they are doing in the community and with clients? Please describe.	
Strengths/capabilities in serving particular client groups	Is your organization's mandate directed towards a particular client population or community of interest? Please describe. If yes, explain how this benefits that client group(s).	

LBS Regional Network Organizational Information and Capacity Survey

Date Completed:	Completed By:	Next Scheduled Review Date:
Mailing Address:	City/Town:	Province:
Postal Code:	Area Code/Telephone Number:	
Email Address:		
Business Number (Canada Revenue Agency):	GST Registration Number/Date of Registration:	
Incorporation Number/Date of Incorporation:	Do you have a complete audited statement? Attach a copy.	
What is the geographic mandate of this organization (i.e., provincial, regional or local)? Describe:		
Total Number of Paid Staff:	Full-Time Equivalent:	Part-Time Equivalent:

Authorized Signing Officers for Agreement Purposes (according to Letters Patent or other incorporating documents)		
Name	Position	Telephone Number and Email

Board of Directors/Principals of the Organization		
Name	Position	Telephone Number and Email

Funding Information Provide information on all government and non-government funding including project information.				
Name of Funder	Purpose of Funding/ Activity Funded	Duration of Funding (please include dates)	Amount of Funding	Contact Person and Contact Information

Service Function Capacity				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Facilitate local planning and co-ordination, and the development of Literacy Services Plans?				
2. Provide ongoing support to LBS-funded literacy agencies?				
3. Enhance communication among literacy agencies in their region and between literacy agencies and MTCU?				
4. Lead the development of a regional plan for information and referral, and provide this service when necessary?				
5. Provide regional co-ordination of the ongoing professional development of literacy staff?				
6. Co-ordinate and manage literacy development projects?				
7. Educate the public and key stakeholders on the nature and extent of the literacy needs of adults in their region?				
Local Planning and Coordination				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Co-ordinate and facilitate a local planning and co-ordination process that involves all streams and leads to the development of the Literacy Services Plan?				
2. Establish links to the planning activities of Local Boards?				

3. Provide support to the participants in local planning and co-ordination by: • helping them identify their information requirements; • co-ordinating the gathering and distribution of information; • providing leadership in the analysis of information; • scheduling meetings and distributing agendas and minutes; and • orienting new delivery agency representatives to the process?				
Organizational Capacity				
Customer Service Management				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Have a process to identify, measure and evaluate its key customers and determine their needs?				
2. Identify, measure, and track operational indicators and processes that drive customer satisfaction scores?				
3. Have established customer-based continuous improvement goals?				
4. Have "in person" service processes that meet customer expectations – e.g., set response time rates, a toll-free number manned during hours of operation?				
5. Have services that are accessible and include accommodation for special needs?				

Service Delivery				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Have an organizational plan for its service delivery requirements with effective processes and operations to execute services agreed to with the Ministry of Training, Colleges and Universities and/or other funders?				
2. Have processes to monitor service delivery results and program performance, and regularly communicate to the Executive Director and to the Board?				
3. Understand who its customers are, their service needs and expectations, sources of disadvantages, and design its service offerings around its clients?				
4. Have the capacity to forecast and quickly respond to changing economic conditions, changes in demand for services, and changing relationships with its customers?				
5. Help co-ordinate services with local stakeholders to provide learners with seamless access to the complementary programs and services necessary to achieve their goals?				
6. Actively promote community involvement, generate new ways of working, and build new relationships to help meet the organization's mission?				
7. Offer any additional services such as clear writing?				

Governance				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Have Board members with a diverse range of skills and experiences who are actively engaged in providing oversight, leadership, and strategic direction?				
2. Have processes to ensure that it conducts its activities with accountability and transparency, complying with all legal and legislative requirements governing the organization (e.g., filing tax returns, Registered Charity Information Return, funding requirements)?				
3. Have the necessary instruments for decision-making, prudent and effective management of funds, established procedures to enable the successful completion of the project/program, and procedures to meet reporting requirements?				
Human Resources				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Place a priority on fair and equitable Human Resources practices that attract and retain qualified employees and volunteers and are reflective of the community it serves?				
2. Have experienced Information Technology personnel or services to support the organization and staff needs?				

3. Track budgets, forecast expenses, identify and account for variances, and develop and track annual budgets in an accurate and timely way, and submit to its Board for review?				
4. Have an independent third party accounting professional review or audit its financial records and prepare the financial statements and management letter on an annual basis?				
5. Have a process to identify and address potential conflict of interest situations?				
6. Have privacy policies that comply with the *Personal Information Protection and Electronic Documents Act (PIPEDA),* the *Freedom of Information and Protection of Privacy Act (FIPPA),* the *Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)* or the Canadian Standards Association Model Privacy Code and that are publicly available?				
7. Have an experienced official responsible for ensuring compliance with the privacy policies, including providing individuals with access to their own personal information?				

Evaluation and Planning				
Criteria – Does your organization have:	Yes	No	Partially	Comments/evidence to support answer
1. Processes to evaluate its contribution to the region in both quantitative terms and qualitative terms?				
2. A quality assurance (QA)/program monitoring process that can address BOTH program delivery and program impact questions?				
3. A quality assurance process that is integrated into its operating routine that helps everyone involved in the program learn continuously about what is working and what needs improvement?				
4. Indicators to measure and evaluate employment / training service, monitor results, and take appropriate action to incorporate modifications to services and when appropriate, planning processes?				
5. Cost-accounting processes which allow for the determination of such metrics as the cost per successful outcome as an aid to business planning?				
6. A diverse revenue and resource base to ensure organizational health and sustainability?				

Added Value		
		Narrative/Evidence
Relevance	Does your organization have any formalized referral agreements with other organizations to support client needs in your region? Please describe.	
	How are your organization's mission and activities aligned with the needs of the customers?	
	List and describe the number of strategic alliances, partnerships, collaboration, cooperation or co-ordination your organization has and the purpose they serve to maximize the services available within your region.	
Responsiveness	How does your organization support clients' training needs through partnerships, networks, collaboration, and consultation?	
	Does your organization participate in any co-ordinating committees/boards/service planning committees in your region? What is your role on these bodies?	
	What steps has your organization taken to build its own capacity in order to be effective and vital to your region?	
	Has your organization recently received any recognition for the work they are doing in the region? Please describe.	

Umbrella Organizations and Sector Bodies Organizational Information and Capacity Survey

Date Completed:	Completed By:	Next Scheduled Review Date:
Mailing Address:	City/Town:	Province:
Postal Code:	Area Code/Telephone Number:	
Email Address:		
Business Number (Canada Revenue Agency):	GST Registration Number/Date of Registration:	
Incorporation Number/Date of Incorporation:	Do you have a complete audited statement? Attach a copy.	
What is the geographic mandate of this organization (i.e., provincial, regional or local)? Describe:		
Total Number of Paid Staff:	Full-Time Equivalent:	Part-Time Equivalent:

Authorized Signing Officers for Agreement Purposes (according to Letters Patent or other incorporating documents)		
Name	Position	Telephone Number and Email

Board of Directors/Principals of the Organization		
Name	Position	Telephone Number and Email

Funding Information Provide information on all government and non-government funding including project information.				
Name of Funder	Purpose of Funding/ Activity Funded	Duration of Funding (please include dates)	Amount of Funding	Contact Person and Contact Information

Service Function Capacity				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Enhance communication between a literacy stream or a sector, and the Ministry of Training, Colleges and Universities?				
2. Provide informed advice to government?				
3. Support government initiatives?				
4. Co-ordinate and manage literacy development projects?				
5. Educate the public and key stakeholders on the nature and extent of the literacy needs of adults in Ontario?				
6. Co-ordinate and conduct research and analysis of key literacy issues as well as promote best practices and disseminate research results?				
Organizational Capacity				
Customer Service Management				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Have a process to identify, measure and evaluate its key customers and determine their needs?				
2. Identify, measure, and track operational indicators and processes that drive customer satisfaction scores?				
3. Have established customer-based continuous improvement goals?				
4. Have "in person" service processes that meet customer expectations (e.g., set response time rates, a toll-free number manned during hours of operation)?				

5. Have services that are accessible and include accommodation for special needs?				
Service Delivery				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Have an organizational plan for its service delivery requirements with effective processes and operations to execute services agreed to with the Ministry of Training, Colleges and Universities and/or other funders?				
2. Have processes to monitor service delivery results and program performance and to regularly communicate to the Executive Director and to the Board?				
3. Understand who its customers are, their service needs and expectations, sources of disadvantages, and design its service offerings around its clients?				
4. Have the capacity to forecast and quickly respond to changing economic conditions, changes in demand for services and changing relationships with its customers?				
5. Actively promote community involvement, generate new ways of working, and build new relationships to help meet the organization's mission?				
6. Offer additional services to clients (e.g., clear writing).				

Governance				
Criteria – Does your organization:	Yes	No	Partially	Comments/Evidence to support answer
1. Have Board members with a diverse range of skills and experiences who are actively engaged in providing oversight, leadership and strategic direction?				
2. Have processes to ensure that it conducts its activities with accountability and transparency, complying with all legal and legislative requirements governing the organization (e.g., filing tax returns, Registered Charity Information Return, funding requirements)?				
3. Have the necessary instruments for decision-making, prudent and effective management of funds, established procedures to enable the successful completion of the project/program, and procedures to meet reporting requirements?				

Human Resources				
Criteria – Does your organization:	Yes	No	Partially	Comments/evidence to support answer
1. Place a priority on fair and equitable Human Resources practices that attract and retain qualified employees and volunteers and are reflective of the community it serves?				
2. Have experienced Information Technology personnel or services to support the organization and staff needs?				

3. Track budgets, forecast expenses, identify and account for variances, and develop and track annual budgets in an accurate and timely way, and submit to the Board for review?				
4. Have an independent third party accounting professional review or audit its financial records and prepare the financial statements and management letter on an annual basis?				
5. Have a process to identify and address potential conflict of interest situations?				
6. Have privacy policies that comply with the *Personal Information Protection and Electronic Documents Act (PIPEDA),* the *Freedom of Information and Protection of Privacy Act (FIPPA),* the *Municipal Freedom of Information and Protection of Privacy Act (MFIPPA)* or the Canadian Standards Association Model Privacy Code and that are publicly available?				
7. Have an experienced official responsible for ensuring compliance with the privacy policies, including providing individuals with access to their own personal information?				
Evaluation and Planning				
Criteria – Does your organization have:	Yes	No	Partially	Comments/evidence to support answer
1. Processes to evaluate its contribution to the community in both quantitative terms and qualitative terms?				
2. A quality assurance (QA)/program monitoring process that can address BOTH program <u>delivery</u> and program <u>impact</u> questions?				

3. A quality assurance process that is integrated into its operating routine that helps everyone involved in the program learn continuously about what is working and what needs improvement?				
4. Indicators to measure and evaluate employment / training service, monitor results, and take appropriate action to incorporate modifications to services and when appropriate, planning processes?				
5. Cost-accounting processes which aid the determination of the cost per successful outcome as an aid to business planning?				
6. A diverse revenue and resource base to ensure organizational health and sustainability?				

Added Value		
		Narrative/Evidence
Relevance	How are your organization's mission and activities aligned with the needs of the customers?	
	List and describe the number of strategic alliances, partnerships, collaboration, cooperation or co-ordination your organization has and the purpose they serve to maximize the services available within the province.	

Responsiveness	How does your organization support clients' training needs through partnerships, networks, collaboration, and consultation?	
	Does your organization participate in any co-ordinating committees/boards/service planning committees in the province? What is your role on these bodies?	
	What steps has your organization taken to build its own capacity in order to be effective and vital?	
	Has your organization recently received any recognition for the work they are doing? Please describe.	

Annual Succession Plan Checklist

Why would I use this tool? See Annually Thereafter.

Each year your agency should review the succession plan.

Readiness Elements

- ❑ Board and top management staff are familiar with and understand the succession plan
- ❑ Current staff are familiar with and understand the succession plan

Major Components

- ❑ An emergency succession plan has been developed (see Sample Emergency Succession Plan Template)
- ❑ Gaps in current knowledge and skills have been identified. The plan incorporates the development or recruitment of skills that have been identified in a gap analysis.
- ❑ Where appropriate, current staff are developing skills needed to ensure successful planned transitions that are part of the succession plan. This could include an ongoing coaching or mentoring program.
- ❑ A strategic organizational plan exists and incorporates/validates the succession plan

Supporting Organizational Elements

- ❑ All organizational documentation is on hand in a central and accessible location
- ❑ Policies and procedures are up-to-date
- ❑ Organizational commitments are kept in an up-to-date central calendar
- ❑ Contractual obligations are documented and have been met
- ❑ The Board contact list is up-to-date
- ❑ An updated capital inventory records is available
- ❑ The accounting system is up-to-date and accessible
- ❑ Financial information is documented properly (e.g., banking and investment information)
- ❑ Proper insurance policies are in place
- ❑ Data loss prevention is practiced
- ❑ Staff are evaluated annually

What do I do with this information?

Use it to determine if any documentation or component of the succession plan needs to be updated. Set aside time for the updates to happen as soon as possible.

Organizational Strategic Planning Survey Template

1. What do you see as the organization's strengths (in terms of operations/management and/or programming)?

   ____

2. What do you see as the organization's weaknesses and gaps?

   ____

3. What opportunities do you think exist that if seized upon will enhance the organization's ability to accomplish its mission and goals?

   ____

4. What roadblocks or challenges might arise in the future that will hinder the organization's ability to accomplish its mission and goals?

   ____

5. What do you think this literacy organization should accomplish in the next three to five years? (Succession Planning should be included here if you haven't already started!)

   ____

6. What is it going to take to accomplish this?

   ____

What do I do with this information?

The questions in this tool will help you plan for the agency's future. Undergoing some form of strategic planning helps the agency continually improve its services and efficiency. A very important part of this should be to make sure that a solid succession plan is in place.

Conduct an Exit Interview to Learn from Those Who Leave the Organization

Employers should always request exit interviews with departing employees. Although typically requested from only those who depart voluntarily or on good terms, it is sound risk management to request exit interviews with every employee. The consistency in your approach can serve your non-profit well if you face a legal claim alleging wrongful termination.

The goal of the exit interview is to provide the departing employee with information about separation from employment (continuation of benefits, last pay cheque, pay for unused vacation or sick leave, and unemployment eligibility) and to gain information about employee's work experience.

The interview is more successful if the person conducting the exit interview is someone other than the person's supervisor or person who terminated the employee. A Board member might serve in this role at a small non-profit.

During the exit interview:

- explain the non-profit's reference policy
- remind the departing employee about the importance of keeping sensitive client or agency information confidential (and the confidentiality agreement he/she signed as a condition of employment)
- collect keys, building access cards, company credit cards or phone cards, and company equipment (laptops, cell phones)
- test that passwords on record give access to password-protected data
- gauge the employee's emotional reaction to departure
- ask if the employee has witnessed or experienced discrimination, harassment or other illegal conduct.

The interviewer should:

- post open-ended questions about the employee's work experience
- probe for the employee's view about management issues (fairness, sensitivity to concerns, racism, sexism, fair compensation)
- place a summary of the interview and copies of any document shown or discussed with the employee during the interview into the employee's personnel file

An effective exit interview can bring closure to separation, make it easier for the non-profit to anticipate legal challenges, generate information that can be used in the succession planning process, spot internal issues that otherwise would have gone unreported, and create a record that important mandatory notices were communicated to the departing employee.

The identity of a long-term Executive Director (ED) can often become interwoven with the identity of organization. Stakeholders may think of the organization in terms of the ED. The success or failures of the organization may have been attributed directly to the ED. When a founder or long-time ED leaves, the ED may struggle with separating their identity from that of the organization. The organization may encounter the same challenge in attempting to establish the identity of the organization separately from that of the ED.

It can be really difficult for a founder or long-term ED to step down from the organization when the position is an integral part of their identity and self-worth, as perceived both internally and in the community.

Figuring out what they want to do next can be hard for a long-term ED.

Fear of appearing disloyal to the organization may make it hard for the ED to approach the topic of succession planning with the Board.

The fear of whether the organization may not be sustainable without them can be pervasive for some EDs. Many are not compensated fully for the work that they do and they know that the level of compensation that will be offered to a successor will not sustain the work that needs to happen. They may fear the embarrassment of the organization failing after they leave.

Strategies for the Long-Term Executive Director Who is Considering Leaving

Once you announce your intent to leave, relationships and roles shift immediately. You can help yourself and the organization best if you:

- Formulate key questions about the prospect of transition (both personal and professional).
- Take a long vacation or sabbatical to explore or prepare for the decision to depart.
- Seek professional consulting or counselling around the decision to depart and next steps in the life plan.
- Set an initial time line around the decision-making process and the departure. This should be agreed upon by the Board and the ED.
- Provide the Board with a clear picture of what must be done during the interim period.
- Shift your priorities to short-term actions that you and the Board agree will strengthen the organization before your departure.
- Encourage the Board to appoint a Transition Committee and get ready to recruit.
- Avoid hasty recommendations. Encourage the Board to undertake a thorough "getting ready" assessment and let the assessment drive the interim strategy.
- Avoid (in most cases) being actively involved in selecting your successor. Discuss your appropriate role with the Board and the Transition Committee.
- Encourage the Board to get outside help rather than rely on you, especially if you are a founder.
- Accept that you may have a lot of mixed feelings, and talk about them with a mentor or colleague.
- Celebrate your relationships and accomplishments, say goodbye in ways appropriate for you, and be direct if there are ways you would or wouldn't like to celebrate your years at the organization.