



Executive Director Emergency Succession Plan
Cortland County Community Action Program, Inc. (CAPCO)

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

1. **Rationale:** To ensure the effective, uninterrupted carrying on of business in the event of an unplanned absence of the Executive Director.

2. Priority functions of the Executive Director position at CAPCO

The full CAPCO Executive Director job description is attached.

Among the duties listed in the position description, the following are the key functions of the Executive Director to be covered by an acting director:

- Overall administrative operation of the Agency and its programs. Responsible for knowledge of, and compliance with, all regulations relating to Agency operations and funding source requirements.
- Responsible for the implementation and on-going monitoring of the Agency's strategic plan. Ensure development of annual program plans that utilize outcome-based performance measures.
- Maintain effective relationships and coordinate efforts with all public and private sources that fund the Agency. Monitor and respond to the fiscal status of the Agency, including development and solicitation of funding sources.
- Develops and maintains working relationships and collaborates with other social service agencies, organizations, and local governments to better understand and address the needs of the community and efficiently utilize resources.
- Provide supervision and support to Program Directors to ensure professional and efficient staff organization and function within each department.
- Evaluate programs and services provided by the Agency to ensure they are responsive to clients' needs, in-line with funding source requirements and compliance regulations and fit within the mission of the organization.
- Work closely with the Board of Directors to establish and implement policy, planning and development established by the Board and/or its committees. Act as liaison among the Board of Directors, committees, and staff.
- Provide appropriate representation of the agency before the public, press, and special interest groups. Act as the chief spokesperson and advocate for CAPCO and the people it serves.

- Travel to program sites, local community functions and conferences relevant to the mission of the organization.
- Prepares budget in consultation with departmental directors to allocate funds, control costs, and maintain operations at a level consistent with agency guidelines.
- **Supervisory Responsibilities**
 - Manages six (6) department directors on the Agency Director Team
 - Deputy Director
 - Early Head Start/Head Start Director
 - Energy Services Director
 - Family Development Director
 - Fiscal Director
 - WIC Director
 - Responsible for the overall direction, coordination, and evaluation of these areas. Carries out supervisory responsibilities in accordance with the organization's policies and applicable laws. Responsibilities include interviewing, hiring, and training employees; planning, assigning, and directing work; appraising performance; rewarding and disciplining employees; addressing complaints and resolving problems.

Succession plan in event of a temporary, unplanned absence -- SHORT-TERM (3-months or less)

a. Definitions

- A temporary absence is one in which it is expected that the Executive Director will return to his/her position once the events precipitating the absence are resolved.
- An unplanned absence is one that arises unexpectedly, in contrast to a planned leave, such as a vacation or medical leave.
- A short-term absence is 3 months or less.

b. Who may appoint the Acting Executive Director?

- The Board of Directors authorizes the Executive Committee to implement the terms of this emergency plan in the event of the unplanned absence of the Executive Director.
- In the event of an unplanned absence of the Executive Director, the Executive Director, and if able, the Deputy Director shall immediately inform the President (or Vice President in the absence of President) of the Board of Directors of the absence.

As soon as is feasible, the President shall convene a meeting of the Executive Committee to affirm the procedures prescribed in this plan or to make modifications the Committee deems appropriate.

c. Standing appointee to the position of Acting Executive Director

- Deputy Director

d. First and second back-ups for the position of Acting Executive Director

- Most senior tenured Director
- 2nd most tenured Director

Should the Deputy Director be unable to act as Acting Executive Director, the first back-up appointee will be the Fiscal Director. The second back-up appointee will be the Energy Services Director.

In the event the standing appointee, the Deputy Director, is new to the Deputy position and inexperienced with CAPCO, the Executive Committee may decide to appoint one of the back-up appointees to the acting executive position. This holds true for the first and second back-ups and their longevity and experience in their roles and with the Agency. The Executive Committee may also consider the option of splitting executive duties among the designated appointees.

e. Cross-training plan for appointees

The Executive Director shall develop a plan for training the three potential appointees in each of the priority functions, which are listed above (**section 2**). The Deputy Director shall have the responsibility of handling the logistics of the plan's implementation.

f. Authority and restrictions of the appointee

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

g. Compensation

The Acting Executive Director shall receive a temporary salary increase as determined by the Board of Directors – recommendation of 10% above his/her current salary would be the starting point.

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

As with an Executive Director, the Executive Committee of the Board will have responsibility for monitoring the work of the Acting Executive Director. The Executive Committee will also be alert to the special support needs of the Acting Executive Director in this temporary leadership role.

i. Communications plan

As soon as possible after the Acting Executive Director has begun covering an unplanned absence, Board members and the Acting ED shall communicate the temporary leadership structure to the following key supporters external to CAPCO:

- Government contract officers
 - Program Analyst and Fiscal Specialists with the major funding sources for CAPCO. An updated copy of this list is maintained in the Fiscal Office. These include:
 - Office of Head Start (Head Start/ Early Head Start)
 - Regional Grants Specialist
 - Grant/Fiscal Specialist
 - Division of Community Services (CSBG)
 - Program Analyst
 - Fiscal Analyst
 - Director of NYS Division of Community Services (DCS)
 - Department of Health (WIC)
 - Regional Office staff
 - Housing and Community Renewal (WAP)
 - NYS HCR Field Representative
 - NYS HCR Program Specialist
 - NYS HCR Program Fiscal Supervisor
- Civic leaders/ Community Partners
 - Mayor of Cortland
 - Department of Social Services
 - Health Department
- Others
 - Financial Institutions with CAPCO accounts. Contact information and account information maintained in Fiscal Office.
 - M&T Bank
 - Tompkins Trust
- The Executive Director does not have sole access to any account, online account accesses, contract contacts. Even in the case that the ED is the administrator, another employee has access to the accounts to insure that business can/will continue as needed.

Succession plan in event of a temporary, unplanned absence -- LONG-TERM (*more than 3-months, less than 6-months*)

a. Definition

- A long term absence is one that is expected to last more than 3 months, not more than 6 months.

b. Procedures

- The procedures and conditions to be followed shall be the same as for a short-term absence with one addition:
 - The Executive Committee will give immediate consideration, in consultation with the Acting Executive Director, to determine whether it will be necessary to temporarily back-fill the management position left vacant by the Acting Executive Director. This is in recognition of the fact that, for a term of more than 3 months, it may not be reasonable to expect the Acting Executive Director to carry out the duties of both positions. The position description of a temporary manager would focus on covering the priority areas in which the Acting Executive Director needs assistance. If the absence of the Executive Director is 3-6 months (or permanent), plans should be made for coverage of HR and the CDS component as the Deputy Director will have other responsibilities as Acting Executive Director.

Succession plan in event of a PERMANENT unplanned absence (*more than 6-months*)

a. Definition

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

b. Procedures

- The procedures and conditions shall be the same as for a long-term temporary absence with one addition:
 - The Board of Directors shall appoint a Transition and Search Committee to plan and carry out a transition to a new permanent executive director.

3. Approvals and maintenance of record

a. Succession plan approval

- This succession plan will be approved by the Executive Committee and presented to the full Board of Directors for its vote and approval. It will be reviewed as needed and any updates/changes made and presented for approval to the full Board of Directors. It will also be shared with the CAPCO Director Team consisting of Program Directors, Deputy Director and Fiscal Director. Currently, these include (as of February 2024):
 - Deputy Director
 - Fiscal Director
 - Family Development Director

- Head Start/Early Head Start Director
- Energy Services Director
- WIC Director

b. Signatories

- The Board President, the Executive Director, the Deputy Director shall sign this plan, and the appointees designated in this plan.

c. Maintenance of record

- Copies of this plan shall be maintained by the Board President, the Executive Director, the Deputy Director, the two back-up appointees and the human resources department.

EMERGENCY SUCCESSION PLANNING WORKSHEET

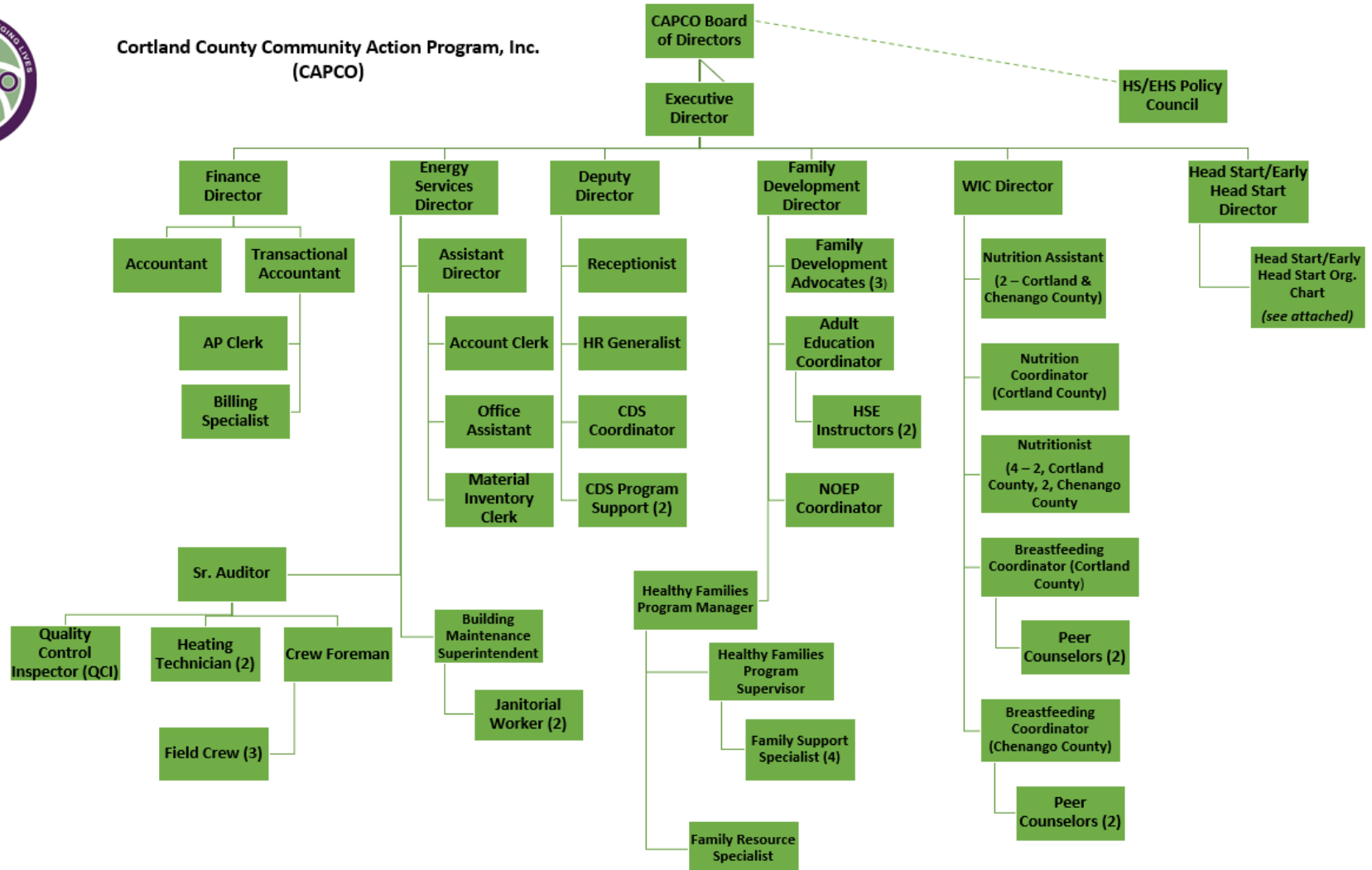
Goal: Replacement of CEO due to unplanned absence

Focus: Potential Changes in Organizational Structure & Staffing Patterns

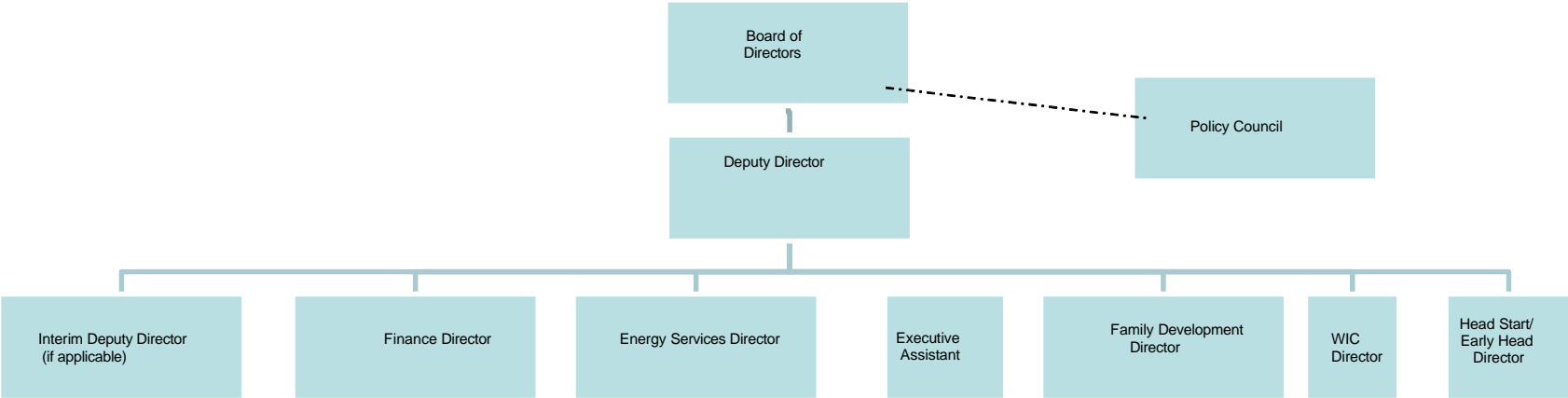
Task: Draw the organizational charts reflecting staffing positions & lines of authority/reporting throughout the organization. Construct one chart that reflects the current staffing patterns & then how that structure will change within the context of an emergency/unplanned absence of the Executive.



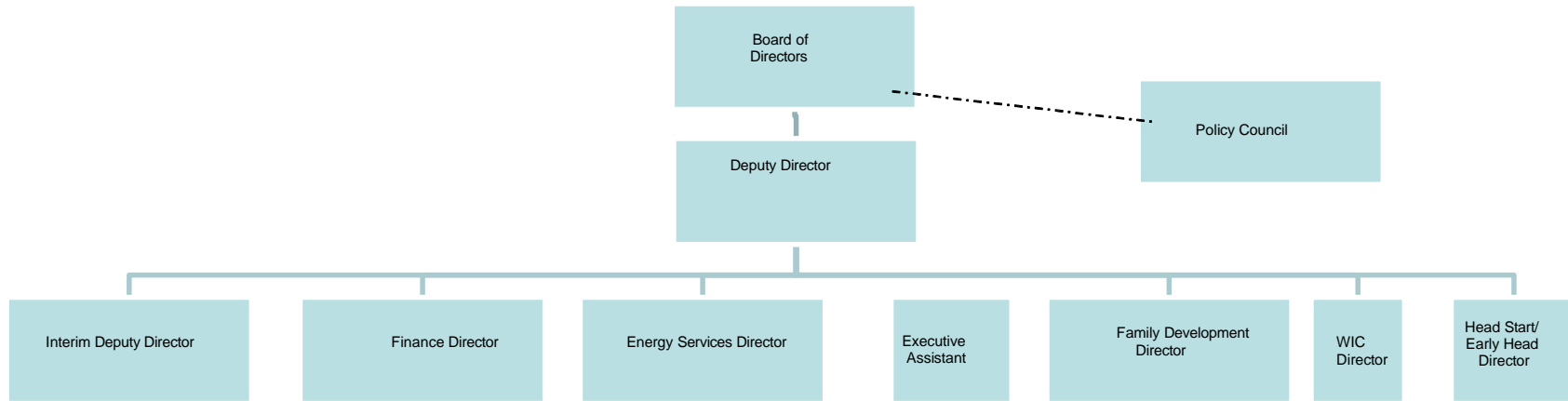
Cortland County Community Action Program, Inc. (CAPCO)



Org. Structure for Emergency Coverage (Unplanned, Short Term Absence)



Org. Structure for Emergency Coverage (Short Term – Permanent)



EMERGENCY SUCCESSION PLANNING WORKSHEET

Goal: Replacement of CEO due to unplanned absence

Focus: Job Task Analysis for CEO – Clarifying Key Functions & Responsibilities of the Executive

Task: Describe the key functions and responsibilities of the Executive to identify which staff member(s) might fulfill these responsibilities in an emergency – for a short period of time; a longer term and/or through a permanent unplanned absence of CEO.

Key Functions of CEO	Potential Emergency Staffing	
<p>Among the duties listed in the position description, the following are the key functions of the Executive Director to be covered by an acting director: [<i>sample listing</i>]</p> <p>a. Serve as the organization’s principal leader, representative, and spokesperson to the greater community.</p> <p>b. Support the Board of Directors</p> <ul style="list-style-type: none"> ▪ Ensure integrity and strength of Board leadership and address issues around clarity of role, governance, bylaws/policies, corporate structure, and membership ▪ Assist with recruitment and orientation of new Board members ▪ Prepare Executive reports to Board of Directors and Executive Committee and attend various Committee meetings <p>c. Convene and lead the Management Team</p> <p>d. Participate in recruitment, interview, selection and evaluation process for directly supervised staff and other key executive level positions</p> <p>e. Strategize organizations’ short-range and long-range</p>	<p>Coverage Strategies</p> <p>a. Ensure that the key community/contract contacts are aware of the change.</p> <p>b. The Deputy Director will work with the FD Director who currently works in many of these capacities with the Board.</p> <p>c. The Management Team currently meets weekly and would continue to do so. This would include consistent communication with the team to ensure that all program/Agency details/expectations are being addressed.</p> <p>e. Deputy Director currently involved in strategic</p>	<p>Issues/Concerns To Discuss</p>

<p>and project goals, particularly in Organizing and Planning</p> <ul style="list-style-type: none"> ▪ Identify overall resource development goals and fund- r a i s i n g plan. ▪ Establish, maintain, and cultivate relations with donors, foundations and other resources to support organizational programs and activities. ▪ Maintain accountability for current year operating budget and for financial performance of portfolio. <p>f. Provide supervision and support to Program Directors to ensure professional and efficient staff organization and function within each department.</p> <p>g. Provide appropriate representation of the agency before the public, press, and special interest groups. Act as the chief spokesperson and advocate for CAPCO and the people it serves.</p> <p>h. Travel to program sites, local community functions and conferences relevant to the mission of the organization.</p> <p>i. Prepares budget in consultation with departmental directors to allocate funds, control costs, and maintain</p>	<p>planning preparations.</p> <p>f. Deputy Director working with Director Team.</p> <p>i. This would be working with Fiscal Director and Program Directors.</p>	
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Critical Relationships to Sustain During unplanned absence of CEO	Coverage Strategies	Issues/Concerns To Discuss
<p>Government contract officers</p> <p>Office of Head Start (Head Start/ Early Head Start)</p> <ul style="list-style-type: none"> • Regional Grants Specialist • Grant/Fiscal Specialist <p>Division of Community Services (CSBG)</p> <ul style="list-style-type: none"> • Program Analyst • Fiscal Analyst • Director of NYS Division of Community Services (DCS) <p>Department of Health (WIC)</p> <ul style="list-style-type: none"> • Regional Office staff <p>Housing and Community Renewal (WAP)</p> <ul style="list-style-type: none"> • NYS HCR Field Representative • NYS HCR Program Specialist • NYS HCR Program Fiscal Supervisor <p>Civic leaders</p> <ul style="list-style-type: none"> • Mayor of Cortland • Department of Social Services • Health Department <p>Others</p> <ul style="list-style-type: none"> • Tompkins Trust • M&T Bank 	<p>HS/EHS Director would be point of contact for this specific area.</p> <p>Deputy Director and Family Development Director</p> <p>WIC Director</p> <p>Energy Services Director</p> <p>Deputy Director</p> <p>Fiscal Director</p>	

Plan approved by the CAPCO Board of Directors this date: May 26, 2016

Most recent update approved by the CAPCO Board of Directors this date: March 28, 2024