



Mississauga First Nation

SUCCESSION PLAN POLICY

Approved July 25, 2018



Contents

Executive Summary 2
1.0 Organizational Succession Planning 3
1.1 Step 1: Identify Key Positions or Key Groups 3
Operational Disruption Chart 5
1.2 Step 2: Identifying Competencies 6
1.3 Step 3: Identifying and Assessing Potential Candidates 6
1.4 Step 4: Learning and Development Plans 8
1.5 Step 5: Implementation and Evaluation 8
2.0 Unplanned Succession Protocol 10
2.1 Timelines 10
Unplanned Succession Protocol Chart 11
2.2 Director of Operations Procedure 12
Authority and Compensation of the Acting Director of Operations 12
Executive Committee Oversight 12
Communications Plan 13
Completion of Emergency Succession Period 13
Succession Plan in Event of a Permanent Change in Director of Operations 13
2.3 Business Continuity Positions 13
Authority and Compensation 14
Communications Plan 14
Appendix A: Organizational Succession Plan 15
Appendix B: Targeted Position Form 17
Appendix C: Learning & Development Form 18
Appendix D: Director of Operations Unplanned Succession Protocol Checklist 19
Appendix E: Business Continuity Unplanned Succession Protocol Checklist 21

Executive Summary

This policy will cover two different types of succession planning: Unplanned Succession Protocol and Organizational Succession Plan. Organizational Succession Plan is for expected gaps, and the Unplanned Succession Protocol is to prepare for emergency coverage of critical positions.

There are dozens of unique jobs within Mississauga First Nation, each with a set of roles and responsibilities that must be fulfilled. Many of these positions are specific to the First Nation and, thus, skill sets may not be readily available in the labour market. An Organizational Succession Plan is particularly critical to the community because we are not only the administrators of services but also the beneficiaries of those services. Given the scope of work that occurs within the FN, employees are often highly specialized in their jobs. Focusing on a rather small set of duties, out of all of those which exist within the organization, allows employees to become an expert in their particular field of practice. In turn, this expertise allows the FN to operate efficiently and effectively. However, for a number of different reasons, employees may move from one job to another over relatively short periods of time. Keeping a job filled with a qualified person can sometimes be challenging but is necessary to ensure business continuity.

Leadership plays an essential role in the success of our First Nation. The Unplanned Succession Protocol ensures continuity in the leadership and management of the organization's core functions in operations, internal and external communications, fund development and financial accounting during an unplanned or temporary absence of critical positions. The plan will allow for implementation of the best practice of planning and it supports the Chief and Council and Staff having a shared understanding and knowledge of the delegation of roles and responsibilities.

As part of a broader human resource planning framework, succession planning is just one strategy that can help or support the organization to address HR issues related to:

- Emergency situations, unplanned absences
- The ageing workforce
- Increasing retirement eligibility in the FN
- Competitive labour markets
- Negative net migration and shrinking population
- Potential skill shortages
- Enticement for MFN students to work for the community in their acquired educational path
- Offer information for future MFN students to plan their education
- Internal competency gaps

As MFN prepares for these emerging issues, succession planning and management is becoming an important community responsibility. The following policy is intended to provide Mississauga First Nation's strategy for succession planning.

1.0 Organizational Succession Planning

Essentially, organizational succession planning is a conscious decision by an organization to foster and promote the continual development of employees, and ensure that key positions maintain some measure of stability, thus enabling an organization to achieve business objectives. Specifically, for First Nations this may also mean ensuring that we are offering every opportunity for our members to serve in the community.

Traditionally, succession planning has sometimes taken a replacement approach, often focusing on executive-level positions. One or two successors might be identified and selected, probably based on the exclusive input of their immediate supervisor, and then placed on the fast-track into a senior position. However, succession planning has evolved into a process that can be used to:

- Replenish an organization’s HR at a broad or specific level;
- Identify, assess and develop employee or community member knowledge, skills and abilities to meet the current and future staffing needs of the organization; and
- Ensure a continuous supply of talent by helping employees and community members develop their potential, as successors for key departmental positions.

Some of the current practices in succession planning include the following:

- Knowing what jobs at various levels, if removed, would cause a significant loss to the organization, and which of these jobs represent the greatest retention risk.
- Knowing which employees are both interested in, and demonstrate short- and/or long-term potential for, succession into key positions.
- Significant investment to ensure that employees have appropriate and structured learning, development and training opportunities to fulfill their potential.
- Aligning succession planning with current and anticipated business goals and objectives.

Succession management is principally about knowing the needs of the organization and its employees and developing the capacity to address emerging issues that can or will affect business continuity.

1.1 Step 1: Identify Key Positions or Key Groups

A key position or occupational group can be defined in many different ways, but two important criteria that should be considered are criticality and retention risk. A critical position is one that, if it were vacant, would have a significant impact on the organization’s ability to conduct normal business. The significance of the impact could be considered in terms of safety, operation of equipment, financial operation, efficiency, public opinion, and so on. Retention risk refers to positions where the departure of an employee is expected (e.g. retirement) or likely (e.g. history of turnover). By examining these criteria on a low-to-high scale, an organization can determine what positions require short- or long-term planning.

STEP 1

- | | |
|-------------|--|
| 1.1a | Every year Program Directors/Managers will answer the following question aided by the Operation Disruption Chart. Risk Management & Strategic Planning Director will compile the information in preparation for Step 1b. |
|-------------|--|

	<ol style="list-style-type: none"> 1. Which positions, if left vacant, would cause major difficulties in achieving current and future business goals? 2. Which positions, if left vacant, would be detrimental to the health, safety, or security of the community? 3. Which positions would be difficult to fill because the position requires specialized expertise and/or the incumbent possesses a wealth of institutional knowledge? 4. For which necessary skills in your branch or sector is there a current or projected labour market shortage, or which positions have been traditionally difficult to fill? 5. Is there a need to plan for anticipated positions that do not currently exist?
1.1b	<p>Each year after the Program Managers answer the Individual Managers and the HR department shall complete the questions in 1a, A gap analysis. A review of current employment files and job descriptions and flag those with the following attributes during individual Performance Appraisals:</p> <ul style="list-style-type: none"> • Retirement forecasts • Turnover rates • Current and expected vacancies • Changes to existing programs and services • Highly specialized function • Unsatisfactory Performance Appraisals
1.1c	<p>These results will be shared with Chief & Council, who may highlight or add any targeted positions. Targeted positions must have form (Appendix B) completed with the related documentation and approved by a motion of Chief & Council.</p>

Operational Disruption Chart

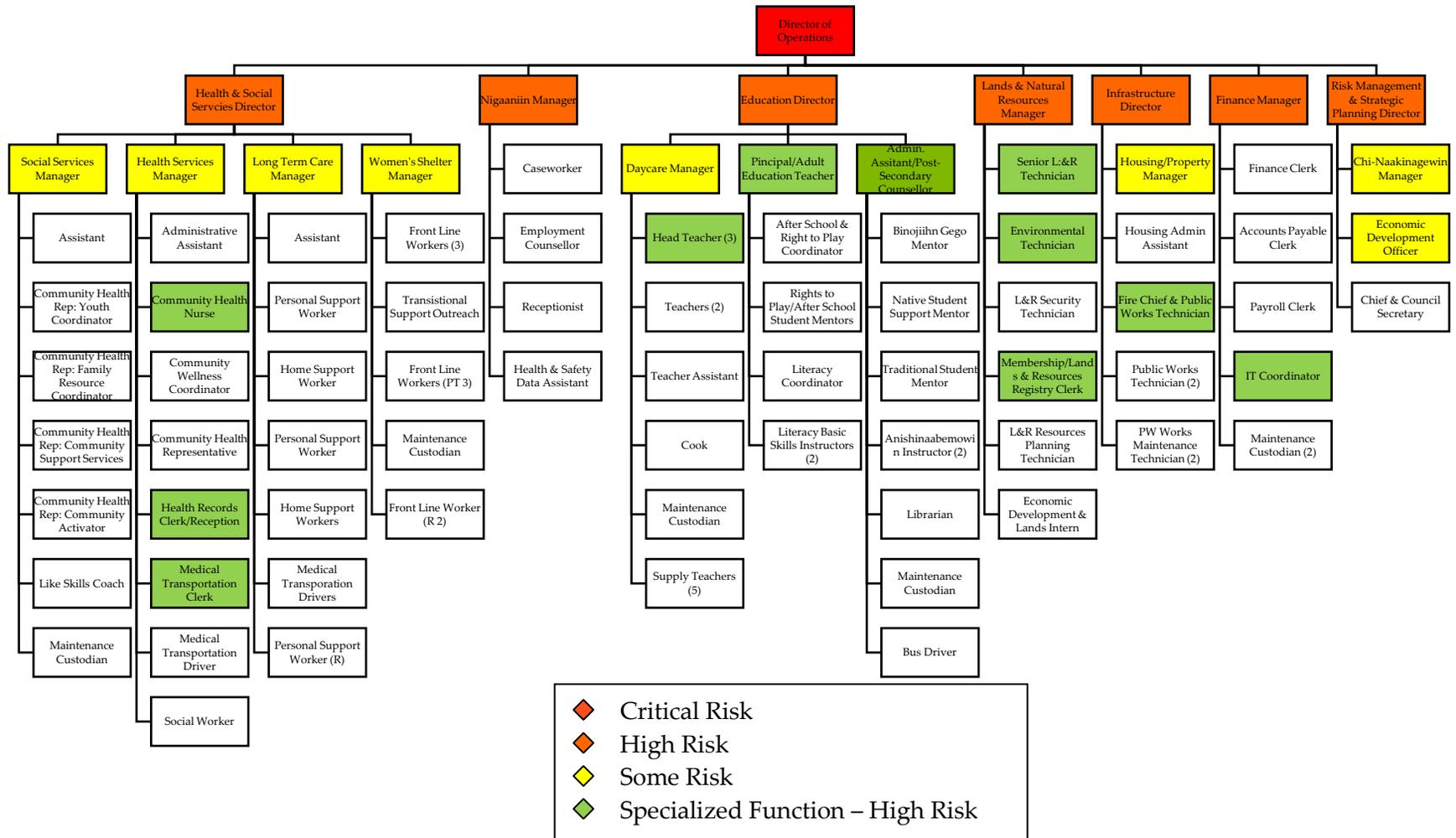


FIGURE 1: ANALYSIS OF THE HIGHEST RISK FOR OPERATIONAL DISRUPTION SHOULD THE EMPLOYEE LEAVE MISSISSAUGA FIRST NATION.

1.2 Step 2: Identifying Competencies

All positions have a requisite set of knowledge, skills and abilities that are expected of employees who are filling that function. Thus, knowing the competencies of a job is a mandatory component of recruitment, serving as a general baseline to measure against interested potential candidates. However, succession planning provides an opportunity to review the competencies traditionally associated with jobs, particularly with respect to current goals and objectives. Several ways to determine and develop required competencies include:

- Reviewing job descriptions, advertisements, and relevant merit criteria
- Interviewing current and former job incumbents
- Interviewing supervisors, clients, and other stakeholders
- Conducting focus groups or surveys
- Reviewing any existing development programs (i.e. leadership competencies)
- Reviewing organizational values

Although job descriptions offer a good starting point for the identification of competencies, it is important to consider some of the other sources of information listed above.

STEP 2	
2a	The HR Department upon completion of standardizing job descriptions will ensure Department heads receive a copy of each job.
2b	Directors and Managers must review job descriptions and ensure the accuracy and detail is tailored to the position within the department.
2c	Directors and Managers with the RMSP Director and HR will fill out the yearly Succession Plan template provided in Appendix A .
2d	Directors and Managers with the aid of the RMSP Director and HR will develop a detailed competency list for each prioritized position.

1.3 Step 3: Identifying and Assessing Potential Candidates

The key purpose of identifying and assessing employees against core job competencies is to help focus their learning and development opportunities in order to prepare them for future roles in the organization. Traditional approaches to succession planning have the potential to result in a one-sided selection process – the organization identifies a key position, and then executives select a high-potential individual for preparation or training. Given the potential sensitivity around the decision-making process in these situations, an employee might be advised about their prospective opportunity for advancement in private. This process is not transparent and can negatively impact the morale of other employees (including the person chosen for succession) and their relationship with the organization.

Modern approaches to succession planning suggest that transparency and accountability are the best practices for an organization. Recruitment in the public service is based on merit, fairness and respect, and these concepts are maintained and supported by the succession planning process. To demonstrate these values, succession planning must be:

- Objective and independent of personal bias;

- Merit-based;
- Communicated to and understood by all employees; and
- Transparent at all stages of the process.

This step of the succession planning process is closely related to regular recruitment practices, but succession planning goes one-step further by helping interested candidates develop the requisite skills prior to the formal recruitment process that begins once a position becomes vacant.

STEP 3	
3a	Each year during the General Membership Meeting (Audit Presentation), a report shall be given on the effectiveness of the Organizational Succession Plan and feedback should be solicited.
3b	Employment and Training in conjunction with the Education Department will develop a Mississauga First Nation Skills Registry database identifying, to be updated yearly: <ol style="list-style-type: none"> i. Name ii. Location iii. Education/Licensing/Certification iv. Training v. Age vi. Work history/experience vii. Current post-secondary enrollment and program and completion date
3c	The Program Managers advised by the Risk Management & Strategic Planning Director and the HR department will identify current employees interested in advancement within the organization. Some critical questions that may help departments prepare for this step include: <ul style="list-style-type: none"> • Ensuring there has been one-on-one discussion with employees regarding their career goals and interests • All employees have been made aware of available succession opportunities. • Do employees understand the purpose and process of succession planning? Specifically, do they understand that they are not guaranteed a promotion as a result of this process? • Do employees who were not considered for a current opportunity understand that they can be considered in the future with further development of their knowledge, skills, and abilities? • How will the organization communicate the outcome of an internal succession-based appointment?
3d	In the event that a targeted succession plan has been mandated by Chief & Council, the relevant Director/Manager in conjunction with the HR department will follow the <u>posting procedure as outlined in the Personnel policy, changing the job expectations to reflect the developmental processes that will occur.</u> Identification of suitable candidates will be completed by the appropriate Program Director/Manager advised by the RMSP Director and HR Department. Candidates will be asked to submit: <ol style="list-style-type: none"> i. A letter of interest in the position indicating a willingness to participate in Succession Planning process ii. A current Resume/CV

1.4 Step 4: Learning and Development Plans

Once the relevant candidates have been identified, based on their interest and potential for success in a key position, the organization must ensure that these employees have access to focused learning and development opportunities. When a suitable candidate has been identified through the hiring process, the Immediate Supervisor should fill out [Appendix C](#), the Learning & Development Plan to be included with the Employee record.

STEP 4	
4a	<p>The Program Manager responsible advised by RMSP Director & HR department will create a comprehensive learning plan for the candidate, keeping the following factors in mind:</p> <ul style="list-style-type: none"> ● Plans should focus on decreasing or removing the gap between expected competencies and the current knowledge, skills and abilities of candidates. ● Manage expectations – modern succession planning is based on learning and development to fulfill employee potential, rather than merely filling a vacancy. ● Develop a list of qualified trainers, for example: <ul style="list-style-type: none"> ○ Resume building ○ Networking ○ Communication
4a (i)	<p><u>MFN Internal Staff Candidates</u></p> <p>There are a wide range of learning and development opportunities to consider, which can include:</p> <ul style="list-style-type: none"> ● Professional Development ● Mentoring, coaching or job-shadowing; ● Documenting critical knowledge; ● Job assignments that develop and/or improve a candidate’s competencies (stretch assignments); ● Job rotations; and ● Formal external education or training.
4a (ii)	<p><u>MFN Membership Candidates</u></p> <ul style="list-style-type: none"> ● Mentoring, coaching or job-shadowing; ● Outreach activities to Post-Secondary Students; ● Documenting critical knowledge; ● Dedicated Summer Employment; ● Academic year project assignments; ● Attending position related meetings, events or workshops; and ● Encourage Candidate to tailor assignments to MFN interests.

1.5 Step 5: Implementation and Evaluation

Once a succession plan has been established, monitoring its efficiency and effectiveness will be essential. Thus, each succession plan should be developed within an evaluation framework in order to measure progress and success, as well as provide any evidence to support changes to the succession planning process.

STEP 5

5a	<p>Evaluations for Candidates</p> <ol style="list-style-type: none">1. The match-up of specific Candidates and positions will be laid out in the specific Learning & Development plan. At each stage, either the Candidate or MFN will consider whether to continue to the plan.2. Candidates in the process shall be evaluated according to the Learning and Development Plan.3. The evaluations will be included in the Employee Record.4. Within six (6) months of a successful full-time mentorship position, Chief and Council at a duly convened meeting, shall approve the candidate to be offered the position for which they are being mentored.5. In the event that the candidate declines the standard process for filling positions shall commence.
5b	<p><u>Evaluation of Policy by Staff – to be completed three (3) years post approval</u></p> <p>Planning to collect and assess these types of information will ensure that the organization monitors its succession planning activities, appropriately measures success, and adjusts the process accordingly given sufficient evidence. Some evaluative questions for departments to consider might include:</p> <ul style="list-style-type: none">• Are there any additions or concerns to be addressed?• Functional strengths and weaknesses• Potential gaps in planning and assumptions• Impact of the process relative to stated goals and objectives• How the process operates – the relationship between inputs, activities, outputs, and outcomes• Have all key jobs been identified and do they have succession plans?• What is the impact of succession plans on business continuity in key positions?• What are the areas for improvement in the succession planning process?
5c	<p><u>Evaluation of Policy by Community Members – to be completed five (5) years post approval</u></p> <p>Evaluating succession planning efforts will help to ensure the effectiveness of the process by providing information regarding:</p> <ul style="list-style-type: none">• Is this an acceptable process for Mississauga First Nation?• Are there any changes that the community believes would better reflect the values of MFN?• Have the changes suggested by the community been incorporated into the plan?• What are the areas for improvement in the succession planning process?• How the process operates – the relationship between inputs, activities, outputs, and outcomes• Impact of the process relative to stated goals and objectives• Functional strengths and weaknesses• Potential gaps in planning and assumptions• Cost-effectiveness and cost-benefit

2.0 Unplanned Succession Protocol

An unplanned absence is one that arises unexpectedly in which it is expected that the absent employee will return to his/her position once the events precipitating the absence are resolved. Chief and Council recognizes that this is a plan for contingencies due to the disability, death or departure of an employee. If the organization is faced with the unlikely event of an untimely vacancy, the organization has in place the following Unplanned Succession Protocol to facilitate the transition to both interim and longer-term leadership.

An Unplanned Succession Protocol positions chart is included in this policy. This outlines the positions that would most affect service to Mississauga First Nation members and dictates the timelines in which Chief & Council must take action. For the Director of Operations position, there is a more specific protocol outlined since this position is the lynchpin of the entire organization.

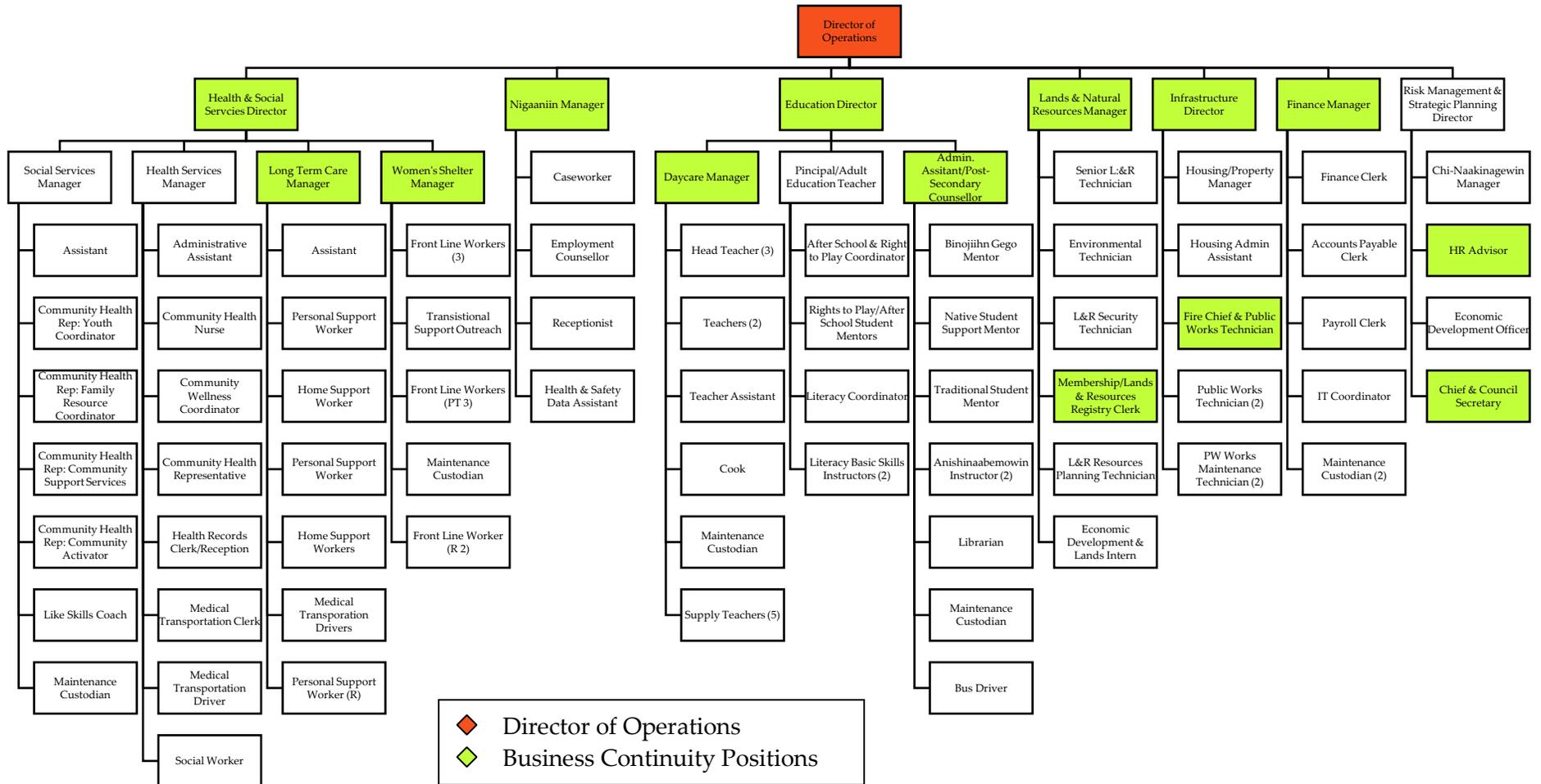
A short-term temporary absence is less than three months. A long-term absence is expected to last more than three months. A permanent change is one in which it is firmly determined that the employee will not be returning to the position. Chief and Council is authorized to implement the terms of this emergency plan in the event of the unplanned absence of a critical position of MFN Band Administration.

By creating this document, our hope is that Chief & Council and Staff are prepared to implement the plan effectively. The latter half of this document contains the actual resources, and information and contact inventory for Chief & Council and interim leadership to use as needed. We also hope to ensure confidence among the community (Chief and Council, staff, donors, volunteers, partner agencies, broader community, etc.) that the organization remains stable and strong during a transition with a leadership and management structure to support its mission.

2.1 Timelines

Director of Operations	The DOO position is critical enough to warrant a temporary replacement within 4-5 days of an unplanned absence.
Business Continuity	The Niigaaniin Manager, Post-Secondary Counsellor, and Finance Manager oversee payments that go to community members. The Infrastructure Director and Fire Chief/Water Technician positions oversee critical aspects of community infrastructure which could be at risk if someone were unable to troubleshoot or maintain those services. The Health & Social Services Manager, Education Director, Lands & Resources Manager, HR Advisor, Chief & Council Secretary fulfill critical administrative roles within MFN. The Long Term Care Nurse/Manager, Women’s Shelter Manager, Daycare Manager, and Membership Clerk oversee day-to-day community services that would be impacted substantially should they be on unexpected leave.

Unplanned Succession Protocol Chart



2.2 Director of Operations Procedure

In the event of an unplanned absence of the Director of Operations, the staff or Chief & Council who is first aware of the situation, is to immediately inform the Chief (or a member of the Executive Committee if the Chief is not available) of the absence. As soon as it is feasible, the Chief should convene a meeting of the Executive Committee to affirm the procedures prescribed in this plan or to make modifications as the Committee deem appropriate. This should be followed soon after by a full Council meeting (conference call is acceptable) so that each member of Chief and Council is fully informed and engaged. A majority vote by the full Chief and Council is needed to affirm the actions of the Executive Committee. It is understood that the Executive Committee has been delegated by the authority to immediately begin its responsibilities.

At the time that this plan was approved, the position of Acting Director of Operations would be filled by the MFN Director (qualified candidate). Should the standing appointee to the position of Acting Director of Operations be unable to serve, the first and second back-up appointees for the position of Acting Director of Operations will be the Finance Manager. The Executive Committee may also consider the option of splitting executive duties among the designated appointees.

Authority and Compensation of the Acting Director of Operations

1. The person appointed as Acting Director of Operations shall have the full authority for decision-making and independent action as the regular Director of Operations.
2. The Acting Director of Operations may be offered a temporary salary increase to the entry-level salary of the Director of Operations position [or up to a 10% increase at the discretion of Chief and Council].

Executive Committee Oversight

The Executive Committee shall be responsible for monitoring and supporting the work of the Acting Director of Operations.

In 2018, the individuals comprising the Executive Committee are:

- Reg Niganobe, Chief
- Ryne Denis, Councillor
- Brent Niganobe, Councillor
- Resource Person, Risk Management & Strategic Planning Director

The above named people will be sensitive to the special support needs of the Acting Director of Operations in this temporary leadership role. It is expected that the Chief will focus on communicating with the full Council and convening an emergency Council meeting to enact this plan in support of the Executive Committee. Chief and Risk Management & Strategic Planning Director will be responsible for bi-weekly meetings with the Acting DOO focusing on supporting that person as well as ensuring that they have what they need from various Council members. As appropriate, the Head Councillor, Finance Manager and Chief & Council Secretary may also be asked to join these meetings.

The Executive Committee will give immediate consideration, in consultation with the Acting Director of Operations, to temporarily filling the management position left vacant by the Acting Director of Operations. This is in recognition of the fact that for a leanly staffed organization, it may not be reasonable to expect the Acting Director of Operations to carry the duties of both positions. The position description of a temporary manager would focus on covering the priority areas in which the Acting Director of Operations needs assistance.

Communications Plan

Immediately upon transferring the responsibilities to the Acting Director of Operations, the Chief or designee, will notify remaining staff members, and members of the Council of the delegation of authority.

As soon as possible after the Acting Director of Operations has begun covering the unplanned absence, Council Members and the Acting Director of Operations shall communicate the temporary leadership structure to key external supporters as identified in the Key Stakeholder Contacts section of this document. These contacts may include (but not be limited to) government contract officers, foundation program officers, civic leaders, major donors and major contractors.

Completion of Emergency Succession Period

The decision about when the absent Director of Operations returns after a short-term or long-term absence should be determined by the Director of Operations and the Executive Committee. They will decide upon a mutually agreed upon schedule and start date. A reduced schedule for a set period of time can be allowed, by approval of the Executive Committee, with the intention of the Director of Operations working their way back up to a full-time commitment.

The Executive Committee will give immediate consideration, in consultation with the Acting Director of Operations, to temporarily filling positions in addition to the management position left vacant by the Acting Director of Operations. This is in recognition of the fact that for a term of more than three months, it may not be reasonable to expect the Acting Director of Operations to carry the duties of both positions. The additional position descriptions would focus on covering the priority areas to which neither the Acting Director of Operations nor the temporary manager are able to attend.

Succession Plan in Event of a Permanent Change in Director of Operations

A permanent change is one in which it is firmly determined that the Director of Operations will not be returning to the position. Chief and Council will appoint a Transition and Search Committee within 30 days to plan and carry out a transition to a new permanent Director of Operations. The Council will also consider the need for outside consulting assistance depending on the circumstances of the transition and the Council's capacity to plan and manage the transition and search. The Transition and Search Committee will also determine the need for an Interim Director of Operations, and plan for the recruitment and selection of an Interim Director of Operations (if Chief and Council chooses not to utilize the Acting Director of Operations). Then the Transition and Search Committee will plan for the recruitment and selection of a permanent Director of Operations, using the recruitment policies outlined in the Personnel Policy.

[See Appendix D: Director of Operations Unplanned Succession Protocol Checklist](#)

2.3 Business Continuity Positions

In the event of an unplanned absence of the any of the 2 week action positions:

The staff member, who is first aware of the situation, is to immediately inform the Director of Operations of the absence. Each of these positions should have a designated person who could potentially, temporarily be placed in an acting position. This information shall be compiled and stored with the Director of Operations and the Human Resources Department.

Authority and Compensation

According to the approved policy **Temporary Acting Positions** the Designate shall have the full authority for decision-making and independent action to carry out the duties and responsibilities involved. Compensation shall be according to this same policy.

Communications Plan

Immediately upon transferring the responsibilities the Director of Operations, will notify remaining staff members, and members of the Chief and Council of the delegation of authority.

[See Appendix E: Business Continuity Unplanned Succession Protocol Checklist](#)



Mississauga First Nation

Appendix A: Organizational Succession Plan

Year: _____

STEP 1: Identifying Key Positions & Departments

Which positions, if left vacant, would cause major difficulties in achieving current and future business goals?

-

Which positions, if left vacant, would be detrimental to the health, safety, or security of the community?

-

Which positions would be difficult to fill because the position requires specialized expertise and/or the incumbent possesses a wealth of institutional knowledge?

-

For which necessary skills in your branch or sector is there a current or projected labour market shortage, or which positions have been traditionally difficult to fill?

-

Is there a need to plan for anticipated positions that do not currently exist?

-

Are there any key positions based on the gap analysis and current Performance Appraisal cycle?

-

Are there any targeted positions identified by Chief & Council?

-

STEP 2: Identifying Competencies

TASK	Date completed	Com-pleted	TASK	Date Completed
2a. HR Department has forwarded all job descriptions to each department head.			2b. Department heads have reviewed job descriptions and	

		gave any feedback to the HR department.	
2c. Succession Plan update has been completed.		2d. Competency list for positions identified in Step 1 are completed.	

STEP 3: Identifying & Assessing Potential Candidates

TASK	Date Completed	Com-pleted	TASK	Date Completed
3a. General membership meeting consultation			3b. Yearly update of the MFN Skills Registry	
3c. Internal advancement and training reminder			3d. Any Targeted Positions should be included in the yearly succession plan, include Appendix B as approved by Chief & Council.	

STEP 4: Learning & Development Plans

Current list of Internal and MFN Candidates with Learning & Development Plans, kept with Employee record:

-

STEP 5: Implementation and Evaluation

TASK	Date(s) Completed	Com-pleted	TASK	Date Completed
5a. Evaluations of Candidates as outlined in the Learning & Development Plan			5b. 2 year review	2020
5c. 5 year review	2023			

Appendix B: Targeted Position Form

POSITION	
RECOMMENDED BY	
DATE	
SUPPORTING MOTION	
TIMELINE	
NOTES	

Appendix C: Learning & Development Form

NAME	
POSITION	
DATE	
TIMELINE	
TRAINING PLAN	
EVALUATION DATES	
EVALUATION RESULTS	
RECOMMENDATION FOR HIRE? (immediate supervisor)	
MOTION TO SUPPORT HIRING	

Include any work plan, learning objectives, training, certificates to this form.

Appendix D: Director of Operations Unplanned Succession Protocol Checklist

Knowing the location of key information is critical so that, if an emergency succession should occur, your organization would be able to quickly continue work in the most efficient and effective way. Please file this with the Chief, with a copy to the HR department.

	Onsite Location	Offsite Location	Online URL
Laws	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Council Minutes	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

Financial Information

Employer Identification Number (EIN) #: _____

Current & prv. audited			
financial statements	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Financial Statements	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Blank Checks	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Computer passwords	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Donor Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Funding Schedule	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Client Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Vendor Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
Volunteer Records	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

Auditor

Bank

Name _____	Name(s) _____
Phone Number/Email _____	Account #s _____
<i>Investments</i>	Line of Credit _____
Financial Planner/ Broker Company _____	Branch Representative _____
Representative Name _____	Phone Number _____
Phone Number _____	Fax _____
Email _____	Email _____
Who is authorized to make wire transfers? _____	Authorized check signers? _____

Legal Counsel

Name _____	Name _____
Phone Number _____	Phone Number _____

Email _____

Key Stakeholder Contacts

Name _____
Phone Number _____
Email _____
Name _____
Phone Number _____
Email _____

Name _____
Phone Number _____
Email _____
Name _____
Phone Number _____
Email _____

Human Resources Information

	Onsite Location	Offsite Location	Online URL
Employee Records/Personnel Info ¹	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

Facilities Information

Office Security System

Company Name _____
Account Number _____
Representative Phone Number/Email _____
Broker Phone Number/Email _____

Insurance Information

General Liability/Commercial Umbrella

Health, Dental, Life Insurance

Company/Underwriter: _____	Company/Underwriter: _____
Policy Number _____	Policy Number _____
Representative Phone/Email _____	Representative Phone/Email _____
Broker Phone/Email _____	Broker Phone/Email _____

Retirement Plan

Company/Underwriter _____
Policy Number _____
Representative Phone/Email _____

¹ Names, home addresses, phone numbers, email, emergency contacts, etc.

Appendix E: Business Continuity Unplanned Succession Protocol Checklist

Knowing the location of key information is critical so that, if an emergency succession should occur, your organization would be able to quickly continue work in the most efficient and effective way. Please file this with the Director of Operations, with a copy to the HR department.

Program Overview

Passwords (or where
Passwords are stored)
List of Keys & Access
Instructions

Program	Budget	Funders Contact	Personnel	Key Responsibilities

KEY SERVICE DELIVERABLES
TO COMMUNITY

Data Storage Overview

External Contacts

Other Key Information
