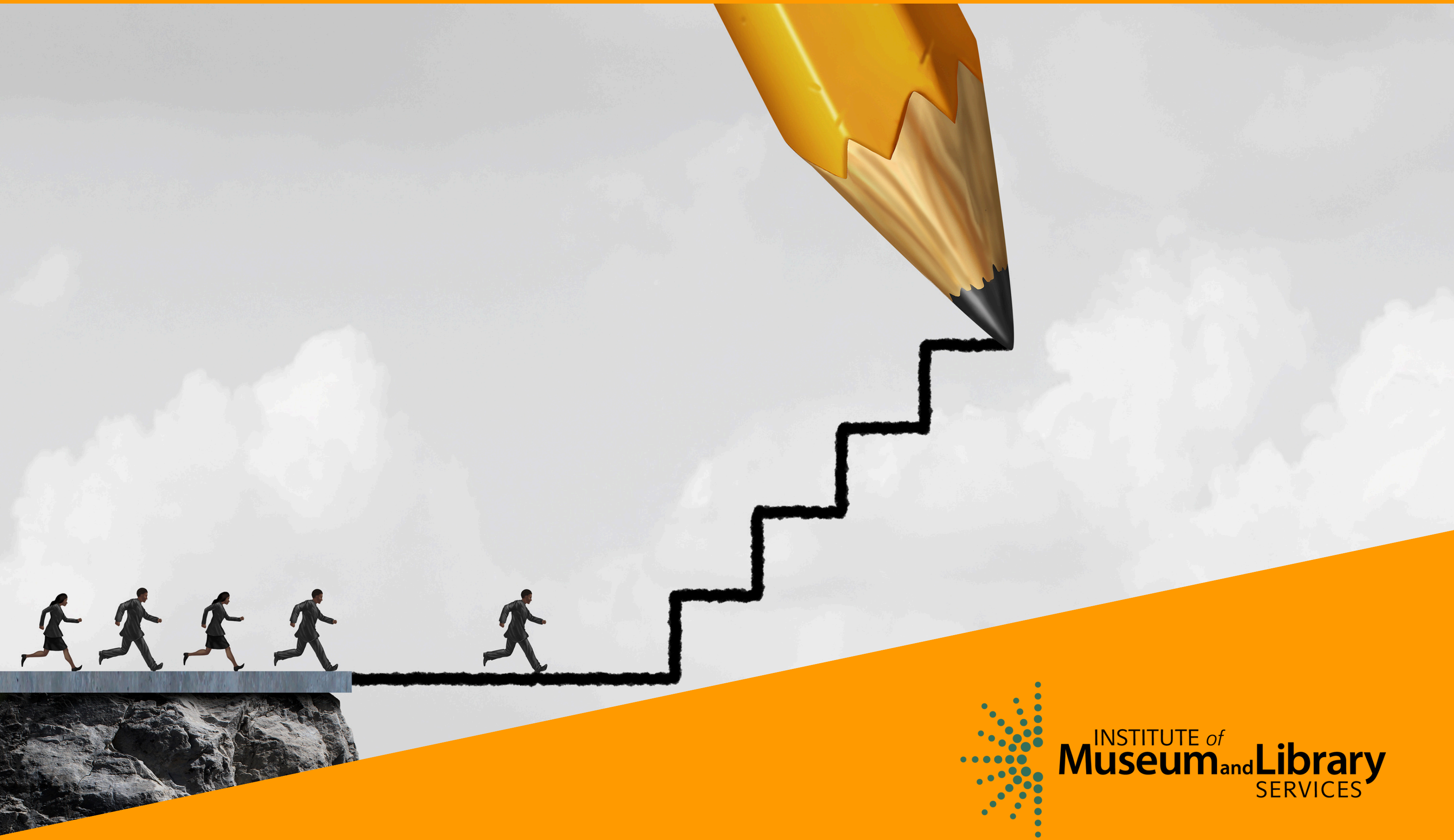
COLLECTIONS STEWARDSHIP
SUCCESSION PLANNING INITIATIVE

LEGACY BINDER

CONSERVATION CENTER
for Art & Historic Artifacts

Lyrasis®



INSTITUTE of Museum and Library SERVICES

THIS PROJECT WAS MADE POSSIBLE IN PART BY
THE INSTITUTE OF MUSEUM AND LIBRARY SERVICES

HOW TO USE THE LEGACY BINDER

This document contains a series of templates & worksheets meant to capture critical information to support Succession Planning and knowledge transfer efforts at cultural organizations.

The binder is separated into three sections that each address a different aspect of Succession Planning. The first two sections mainly deal with Succession Planning on an individual level and focus on documenting the processes, responsibilities, and knowledge needed to execute your specific job duties. The third section looks at more broadly at Succession Planning as an organizational practice and may require or benefit from executive/board input.

While some of the templates can be completed in advance of expected transition, there are several that will be most useful when information is recorded on an ongoing basis. They do not need to be completed in order of their place in the binder; rather, feel free to prioritize based on the needs of your position/organization.

This document may be printed and assemble as part of a physical “legacy binder” or you may wish to complete and save the templates digitally (each formatted as a fillable PDF) within a central folder. Either way, you will want to make sure that those who can benefit from this information are aware of its location and have easy access.

Feel free to adapt any of these templates to a different form or format to fit your needs and add to your binder or folder along with any other supplemental information you think would be helpful.

BINDER CONTENTS

SECTION TWO: KNOWLEDGE SHARING & TRANSFER

This templates in this section are intended to capture a range of critical information needed to execute the job duties and functions describes in section one.

Glossary

Software List

Passwords & Access

Important, Frequent, & Complex Procedures

Resources & References

Essential Policies & Procedures

SECTION THREE: ADVOCACY & ORGANIZATION-WIDE PLANNING

The templates in this section are meant to provide a wholistic framework for succession planning and knowledge transfer within an organization, focusing in particular on advocacy and preemptive planning through staff investment and professional development.

Organizational History

Succession Plan - Unplanned, Temporary

Succession Plan - Unplanned, Long-Term

Succession Plan - Planned, Temporary

Succession Plan - Planned, Long-Term

Succession Risk Advocacy Matrix

IMPLEMENTATION & MAINTENANCE

Rationale

What is the intended purpose of this binder? What are the primary objectives for its use in the case of a planned or unexpected absence?

Implementation

Who should be made aware and/or given access to this binder? Are any authorizations or approvals required? Who is responsible for its implementation?

Maintenance

How will this binder be maintained? How often and on what schedule should updates be made?

VERSION HISTORY

Revision Date	Revised By	Description of Change

CURRENT PROJECTS & PRIORITIES

In the case of an unplanned succession, what are the major projects, priorities, and deadlines that someone stepping into this role should be aware of?

It is recommended to establish a regular schedule for updating this document. A new copy can be completed and added to the binder with each update to ensure no out-of-date information is included.

As of _______________,
Date

The most urgent priorities that need addressing are:

The most important upcoming deadlines to be aware of are:

The outstanding projects in need of attention are:

Description of Project	Current Status	More info/documentation can be found...

SCHEDULE OF PRIORITIES

What are the reoccurring priorities for this role on a daily, weekly, and monthly basis?

Description of Priority/Task	D/W/M	Schedule Details
example	W	First thing each Monday

CONTACTS & RELATIONSHIPS

Use the table below to document information about key contacts & relationships that someone stepping into this role should be aware of.

If your organization or department uses a Customer Relationship Management database to store contact information, this sheet can still be useful in highlighting contacts that are particularly significant or critical to your specific job functions. You may also want to include a link to the contact's record or consider tagging key relationships within the database so your most important contacts can be easily found by others in case of an emergency.

Name

Relationship Type *(client, vendor, consultant, etc..)*

Additional Notes *(relationship history, link to CRM record, etc.)*

Title

Email

Affiliated Institution

Phone

Name

Relationship Type *(client, vendor, consultant, etc..)*

Additional Notes *(relationship history, link to CRM record, etc.)*

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JOB ANALYSIS TEMPLATE COVER SHEET

*This template is meant to work in tandem with the **Job Analysis Template**, which supports Succession Planning by examining key job tasks, functions, connections, and expertise. Each role should be examined in relation to the larger goals of the department and how the department interacts with other parts of the organization (if applicable).*

Each time the job analysis is completed, answer the questions below and include this sheet in the binder along with the filled-out template.

How do the results of this analysis compare to the official job description for this position? Are any changes to the job description recommended?

Is there anything notable from this analysis that a supervisor or organizational leadership should be notified about (ie. concerns about workload, tasks outside of the position's scope, etc.)?

If the job analysis has been completed previously for this role, how does this version compare to previous ones? Have there been any significant changes to the tasks/functions/responsibilities of this role that require further attention?

(If relevant) Since the last time the job analysis was completed, were any steps taken to address any questions or concerns that arose as a result (ie. changes to the official job description, shifts in the division of labor to address imbalanced workload, etc.)?

IN CASE OF EMERGENCY...

In the case of an unplanned succession/absence, what information might someone stepping into this role need in an emergency situation?

Please note document is not intended as a substitute for a comprehensive Emergency Plan for your collection or organization and only meant to summarize the key emergency response duties of this position for knowledge transfer purposes.

What kinds of emergency situations might arise that the person in this role is expected or equipped to address?

Situation	Response	Who else can help?

ADVICE/LESSONS LEARNED...

This document is intended to be a space for the person currently in this position to share any lessons or advice with their potential successor. This can be completed in advance of a planned departure or updated on an ongoing basis as things arise.

____

INCOMING CHECKLIST

This page is meant as a space for maintaining an ongoing list of onboarding needs for this role that may not be included in current training materials but should be noted in the case of an unplanned succession (ie. the person stepping into this role needs to create an account on ____, permissions need to be extended so they can access _____, etc.)

____

OUTGOING CHECKLIST

Use this space to maintain an ongoing list of steps that will need to be taken before departing this role (ie. transfer ____ subscription out of my name, update _____ document which currently has notations only I can interpret, etc.), which can ultimately used as a pre-departure checklist in the case of a planned succession.

This checklist can be created in preparation for departing this role but it is also recommended to update the list on an ongoing basis as specific things arise.

____

GLOSSARY

Use this space to maintain an ongoing list of terms and definitions specific to your organization, department, or role that may not be documented elsewhere. Consider things like acronyms, nicknames, or other shorthand terms that someone stepping into this role might encounter.

Term	Definition

SOFTWARE LIST

Use this space to maintain an ongoing list of the various software/online platforms used in your role along with key details about their use. You may wish to use the 'Notes' column to include information such as subscription details, history of use, and common problems encountered.

Software/Platform	Purpose	Notes

PASSWORDS & ACCESS

Use this space to maintain an ongoing list of not only passwords but other important access-related information such as account/login details, numeric codes/PINs, physical key locations, etc.

Best Practices for Passwords & Access:

- *You may wish to use a password manager/vault to document password information instead of writing them down. Indeed, use of a password manager is recommended, especially for their ability to randomly generate secure passwords for your use. However, the Password Manager itself must be accessible by others to best serve its purpose in the case of succession; if using a manager built into a browser such as Google Chrome or Microsoft Edge, be aware of what account you are using when saving passwords and if others in the organization are able to access. This awareness is also important to avoid accidentally saving personal passwords on that account.*
- *It is also recommended to use multi-factor authentication wherever possible. However, be sure to consider future access when setting up MFA, especially for accounts where one login is shared among multiple users. Be sure to include pertinent MFA details along with your password documentation and try to avoid using a personal cell phone or email as the means of authentication.*
- *In addition to documenting the physical location of keys on the 'Keys & Access to Physical Spaces' table below, you may also want to track any staff members that possess key copies so you know what needs to be retrieved from someone before they depart the organization.*

PASSWORDS & ACCESS TO VIRTUAL SPACES

Platform/Account:		**Platform/Account:**	
Username:		**Username:**	
Password:		**Password:**	
Notes:		**Notes:**	

Platform/Account:		**Platform/Account:**	
Username:		**Username:**	
Password:		**Password:**	
Notes:		**Notes:**	

Platform/Account:

Username:

Password:

Notes:

Platform/Account:

Username:

Password:

Notes:

Platform/Account:

Username:

Password:

Notes:

Platform/Account:

Username:

Password:

Notes:

Platform/Account:

Username:

Password:

Notes:

Platform/Account:

Username:

Password:

Notes:

Platform/Account:

Username:

Password:

Notes:

Platform/Account:

Username:

Password:

Notes:

KEYS & ACCESS TO PHYSICAL SPACES

Space	How to Access *(key, PIN, etc..)*	Notes *(key location, instructions/directions, etc.)*
Off-site collections storage	Key	Space requires two keys to access - they are labelled and on a lanyard on the key rack in the Collections Manager's office; alarm will need to be disabled upon entering....

IMPORTANT, FREQUENT, & COMPLEX PROCEDURES

When starting out in a new role, it is recommended to identify the most ***Frequent****,* ***Important****, and* ***Complex*** *procedures you will need to learn and document/update existing documentation as you move through this process. Even if you are not new to your role, thinking through your job duties and compiling information in this format can provide a useful framework for knowledge sharing and onboarding in the case of both planned and emergency succession.*

Use the 'Who else can help?' column to identify if there is anyone else in the organization who is currently able to execute these procedures in an emergency, or if there is someone who should be cross-trained to do so.

Description of Procedure	I/F/C	Who else can help?

RESOURCES & REFERENCES

Use this space to maintain an ongoing list of resources or other references you have found to be useful in executing the various job duties related to this position.

Resource Name	Link or File Location	How have you used/benefited from this resource?

ESSENTIAL POLICIES & PROCEDURES

For collecting organizations, this space is meant to serve as companion to the "Essential Written Plans, Policies and Procedures for Collections-Holding Institutions" resource and provides an opportunity to document key information about the status of these policies and procedures at your organization.

If any of the plans, policies, and procedures recommended in that resource (and listed below) are not relevant to your particular organization, feel free to use the additional spaces to identify other organizational policies or core documents that someone stepping into this role should be aware of or have access to.

Use the 'Status/Last Updated' to indicate which of the listed documents already exist and the date they were most recently updated as well as those that still need to be drafted. The 'Notes' column may also be used to include any useful history/context regarding the creation of these documents (ie. _____ policy has been developed but is awaiting approval, a past employee began to draft _____ policy but it was never completed, etc.).

Document Name	Status/Last Updated	Location	Notes
Collections Management Policy			
Access & Handling Policy			
Accession Policy			
Acquisition Policy			
Collections Care Policy			
Collections Care Policy			
Deaccession Policy			
Digital Preservation Policy			

ESSENTIAL POLICIES & PROCEDURES (CONTINUED)

Document Name	Status/Last Updated	Location	Notes
Digitization Plan			
Loan Policy			
Records Management Policy			
Cyclical Maintenance Plan			
Exhibition Policy			
Emergency Preparedness & Response Plan			
Environmental Monitoring Program			
Fire Protection Plan			
Housekeeping Plan			

ESSENTIAL POLICIES & PROCEDURES (CONTINUED)

Document Name	Status/Last Updated	Location	Notes
Integrated Pest Management (IPM)			
Preservation Plan			
Security Program			
Space Plan			
Strategic Plan			

ESSENTIAL POLICIES & PROCEDURES (CONTINUED)

Document Name	Status/Last Updated	Location	Notes

ORGANIZATIONAL HISTORY

Use this page to capture key information about the mission, structure, and history of the organization for onboarding purposes. You may also wish to compile copies of any existing documents related to organizational history in place of or in addition to this page.

Mission Statement

Vision Statement

Organizational History

Provide a brief overview of the organization's founding and history up to this point.

Organizational/Departmental Structure

Provide a brief overview of the organizational or departmental hierarchy, noting key positions and how they relate to one another, who has the authority to make key decisions and how those decisions are made.

Describe as relevant any major changes to the hierarchy or structure of the organization or department's operations over time.

Position History

Provide a brief overview of your position and how it fits into the larger organization/department structure, including as relevant a list of individuals who previously held the position and their years active.

PLANNING FOR SUCCESSION

The purpose of the following pages is to be outline the specific preparation and procedures that need to occur in the case of a planned or unplanned, temporary or long-term absence.

Examples for each type of succession are included below; however, you will also have an opportunity within each template to provide a description of how each succession type is defined at your particular organization.

- **Unplanned, temporary:** an unexpected but temporary absence from the position (ie. emergency medical leave)
- **Unplanned, long-term:** an unexpected permanent departure from the position (ie. you win the lottery and go off the grid)
- **Planned, temporary:** an expected and temporary absence from the position (ie. maternity leave)
- **Planned, long-term: an expected permanent departure from the position (ie. retirement)**

*For each type of succession, the second page includes a table (adapted from the **Succession Template** resource) meant to help identify, for each area of responsibility, who is a natural temporary, and then long-term, successor. There may be individuals who have some, but not all of the skills and information necessary to step into a different role. Use these templates to map out any immediate training that would help designated staff be able to fill in, in the event of an emergency, or long-range training to help them prepare to take over the role following a planned departure. Be sure to note the location of key information or physical items (keys, log books, etc) that are required for those tasks. Identify individuals that they should be introduced to, to provide additional context and set the state for a possible working relationship.*

SUCCESSION PLAN – UNPLANNED, TEMPORARY

Definitions

Describe the factors that would qualify a temporary absence.

Strategy

What are the major priorities and procedures to consider in approaching an unplanned, temporary absence from this position?

Acting Authority & Restrictions

In the case of an unplanned, temporary absence from this position, who has the authority to make key decisions about processes & procedures related to the succession process? Are there any restrictions or limits to this authority?

Communication Plan/Timeline

In the case of an unplanned, temporary absence from this position, how and on what timeline should information about the succession process be communicated to key stakeholders (including staff members, clients, vendors, etc.)?

SUCCESSION PLAN - UNPLANNED, TEMPORARY

Key Responsibility	Assigned To	Training Required	Target Date	How-To/Critical Info Located
Provide a brief description of a task or area of responsibilty	*Who can assume this responsibility during an absence? (ie. another staff member, volunteer, board member, etc.)*	*Note "need to know" training priorities.*	*Commit to a schedule. Consider having the designee shadow you the next time you do the task.*	*File path, locations of relevant physical items*
COLLECTIONS				
FINANCE				
IT/ OPERATIONS				
RELATIONSHIPS				
OTHER				

SUCCESSION PLAN - UNPLANNED, LONG-TERM

Definitions

Describe the factors that would qualify a long-term absence.

Strategy

What are the major priorities and procedures to consider in approaching an unplanned, long-term absence from this position?

Acting Authority & Restrictions

In the case of an unplanned, long-term absence from this position, who has the authority to make key decisions about processes & procedures related to the succession process? Are there any restrictions or limits to this authority?

Communication Plan/Timeline

In the case of an unplanned, long-term absence from this position, how and on what timeline should information about the succession process be communicated to key stakeholders (including staff members, clients, vendors, etc.)?

SUCCESSION PLAN - UNPLANNED, LONG-TERM

Key Responsibility	Assigned To	Training Required	Target Date	How-To/Critical Info Located
Provide a brief description of a task or area of responsibilty	*Who can assume this responsibility during an absence? (ie. another staff member, volunteer, board member, etc.)*	*Note "need to know" training priorities.*	*Commit to a schedule. Consider having the designee shadow you the next time you do the task.*	*File path, locations of relevant physical items*
COLLECTIONS				
FINANCE				
IT/ OPERATIONS				
RELATIONSHIPS				
OTHER				

SUCCESSION PLAN - PLANNED, TEMPORARY

Definitions

Describe the factors that would qualify a planned, temporary departure.

Strategy

What are the major priorities and procedures to consider in approaching a planned, temporary departure from this position?

Acting Authority & Restrictions

In the case of a planned, temporary departure from this position, who has the authority to make key decisions about processes & procedures related to the succession process? Are there any restrictions or limits to this authority?

Communication Plan/Timeline

In the case of a planned, temporary departure from this position, how and on what timeline should information about the succession process be communicated to key stakeholders (including staff members, clients, vendors, etc.)?

SUCCESSION PLAN - PLANNED, TEMPORARY

Key Responsibility	Assigned To	Training Required	Target Date	How-To/Critical Info Located
Provide a brief description of a task or area of responsibilty	*Who can assume this responsibility during an absence? (ie. another staff member, volunteer, board member, etc.)*	*List particular skills that may need to be developed externally as professional development goals*	*Commit to a schedule for both shadowing and external training.*	*File path, locations of relevant physical items*

SUCCESSION PLAN - PLANNED, LONG-TERM

Definitions

Describe the factors that would qualify a planned, long-term departure.

Strategy

What are the major priorities and procedures to consider in approaching a planned, long-term departure from this position?

Acting Authority & Restrictions

In the case of a planned, long-term departure, who has the authority to make key decisions about processes & procedures related to the succession process? Are there any restrictions or limits to this authority?

Communication Plan/Timeline

In the case of a planned, long-term departure from this position, how and on what timeline should information about the succession process be communicated to key stakeholders (including staff members, clients, vendors, etc.)?

SUCCESSION PLAN – EXPECTED DEPARTURE

Key Responsibility	Assigned To	Training Required	Target Date	How-To/Critical Info Located
Provide a brief description of a task or area of responsibilty	*Who can assume this responsibility during an absence? (ie. another staff member, volunteer, board member, etc.)*	*List particular skills that may need to be developed externally as professional development goals*	*Commit to a schedule for both shadowing and external training.*	*File path, locations of relevant physical items*

SUCCESSION RISK ADVOCACY MATRIX

Making the case to organizational leadership (including Board members) may be more effective if expressed in a risk management framework. This matrix prompts thinking about the impact on key measures of concern - the organization's mission (measured in access statistics and similar performance metrics); the organization's revenue and expenses (expressed in dollars); and time and effort of staff (measured in hours).

- Review this exercise for each position on your staff to get the totality of risk –quantify the risk of having the position vacant. It's fine to estimate a range in each cell.
- Performing Arts organizations may wish to substitute/add dimensions that reflect their operations.
- Risks to reputation (ie, damage to a signature artifact) should be highlighted.

	Mission Impact (visitors, items, etc)	Financial Impact (dollars)	Time/Human Impact (hours)
Recruiting New Staff Members			
Training New Staff Members			
Existing Staff Covering Vacancies			
Inability to Deliver Secondary Programming			
Inability to Deliver Core Programming			
Delays to Internal Projects			
Delays to Grant-Funded Projects			
Delays to Revenue-Generating Projects			
Difficulty Accessing Information Systems			
Difficulty Accessing Collections			
Potential Damage to Collections (Loss, need of repair) from Inadequate Physical Monitoring			
Suspended Relationships with Key Stakeholders			
Other			
TOTAL RISK			

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The project team appreciates your feedback! For questions about the initiative, cultural succession planning practice, or thoughts about your experience with the legacy binder, please feel free to contact pso@ccaha.org

The Cultural Stewardship Succession Planning Initiative is a two-year project of CCAHA, in partnership with Lyrasis, created to actively address the need for leadership development and knowledge transfer in the cultural heritage workforce. Funded by a National Leadership Grant from the Institute for Museum and Library Services (IMLS), the initiative will gather data and build professional development resources to support succession planning for cultural stewardship staff and volunteers. As succession planning is a critical instrument in addressing a long-term shift at cultural heritage organizations toward greater diversity, equity, and inclusion, the suite of resources will promote strategies to keep these important concerns at the forefront during times of transition.

As service providers to the country's cultural heritage collecting institutions, CCAHA and Lyrasis have long recognized the need for succession planning, especially in smaller organizations with fewer resources. CCAHA and Lyrasis will utilize a series of small group listening sessions to learn about successful succession planning strategies and pathways that have proven more challenging for institutions in the project's target group.

Learn more about the project's findings and view the full suite of succession planning resources and educational programs at www.ccaha.org/succession.