



HUMAN RESOURCES
Succession Planning (Board & Staff)
July 19
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Table of Contents

- 1. Introduction**
 - 2. Equality & Diversity**
 - 3. Compliance & Legal Requirements**
 - 4. Aims & Objectives**
 - 5. Business Planning**
 - 6. Succession Planning**
 - 7. The Succession Plan: our approach**
 - 8. Talent Management**
 - 9. Annual Succession Plan**
 - 10. Annual Review of Succession Plan**
 - 11. Complaints**
 - 12. Review**
 - 13. Paisley Housing Association: Board & Staff Structure**
 - 14. Appendix 1: Key Board & Staff Positions**
- Appendix 2 : Protocol**

Succession Planning Policy (Board & Staff)

1. Introduction

- 1.1 This is Paisley Housing Association's first stand-alone policy on succession planning. In many ways it formalises what has become the Association's practice over the years.
- 1.2 The Board, supported by the Chief Executive has responsibility to lead the organisation and it is therefore critical that Board members and members of staff have the right skills, knowledge and behaviours to meet the Association's strategic business objectives, now and in the future, and to deliver excellent services to our tenants and customers.
- 1.3 Succession planning is therefore a process for retaining; developing and recruiting Board members and staff to fill positions within the organisation, either in the short or the long term and to ensure future needs are met.
- 1.4 This Policy will be supported by a Succession Plan, which will be revised on an annual basis.

2. Equality and diversity

- 2.1 PHA is committed to the principles of equality and diversity, including working towards a Board and staff team that is representative of the communities it serves in respect of age, disability, gender, race, sexual orientation and religious beliefs.
- 2.2 We recognise that everyone's needs must be met in different ways and that people should be treated fairly and with respect in an environment that is free from discrimination and harassment.
- 2.3 Further detail on our commitment to equality and diversity can be found in our Equality & Diversity Policy.

Succession Planning Policy (Board & Staff)

3. Compliance & Legal Requirements

- 3.1 This policy complies with current regulatory requirements of the Scottish Housing Regulator (SHR) and OSCR (Office of the Scottish Charity Regulator) (GDPR), and in particular the SHR's Regulatory Standards of Governance and Financial Management particularly Standard 6 which seeks to ensure that the Board and senior officers have the skills and knowledge they need to be effective.
- 3.2 This policy complies with current legislation in relation to equality and diversity and to data protection, and in particular the Equality Act 2010 and the General Data Protection Regulations (GDPR).

4. Aims and Objectives

- 4.1 Succession planning is an ongoing process used by the Association to help achieve the following aims:
- Ensure PHA takes a strategic approach to Board continuity and staff development linked to the organisational Business Plan;
 - Demonstrate how PHA will plan for the future when dealing with Board and staff member recruitment, retention and development;
 - Ensure that effective and efficient governance of the organisation is assured at all times through the Board and Senior staff team; and
 - Ensure that the Association is genuinely planning ahead and pro-actively responding to both the unexpected (e.g. resignations, long term sickness etc) and also the expected (e.g. retirements)
- 4.2 This policy has 5 objectives. These are:
- To ensure the Board and staff team have the required skills, knowledge and behaviours to enable people to effectively carry out their roles. This relates to the annual appraisal process and skills assessment and focussed recruitment addressing any skills gaps;
 - To ensure the Board and staff, where possible, are representative of the community it serves. This demonstrates PHA's commitment to equality and diversity in all that we do;

Succession Planning Policy (Board & Staff)

- To ensure the Board and staff receive appropriate learning and development; recognising that additional skills may be required. This demonstrates PHA's commitment to providing team and individual development opportunities; and
- To identify potential internal successors to key positions and identify positions that may require to be filled externally.

4.3 The benefits of good succession planning include the following:

- Encouraging a strategic approach to the way in which our human resource planning is linked to our Operational Delivery Plan and strategic objectives;
- Through open and fair assessment, identifying people with the potential for further development and/or promotion;
- Ensuring that all staff are being developed in the optimum way to allow them to fill their current (and any future) key roles effectively;
- Providing career progression for staff; and
- Providing appropriate remuneration as per EVH grading guidelines.

5. Business Planning

5.1 As the Association continues to change and evolve, the Board and staff team should also adapt to meet new challenges and opportunities. An effective Board and Senior Management Team in particular, are key to PHA's success and as such should have the appropriate skills, experience and drive to lead the strategic delivery of the organisation's mission and objectives.

5.2 Reference should be made to the Association's Business Plan for details of the Association's vision, values, mission statement and strategic objectives.

5.3 To deliver our vision, values, mission and strategic objectives, the Association needs to be well run and well managed: led by a Board and supported by the Chief Executive (and Senior Management Team) who understand their governance responsibilities.

Succession Planning Policy (Board & Staff)

5.4 The Board has ultimate responsibility for setting the overall strategic direction of the Association. The Board's central role is to direct the Association's work and to make decisions that are in the Association's and its tenants' best interests. The Board, therefore needs to have the right people and the Association should work to retain them; attract new members and to continually develop people as individuals and as a Board.

6. Succession Planning

6.1 Following the annual staff appraisals and Board skills assessments, a succession planning review will take place annually with the outcomes linking into the review of the Training Plans and Business Plan. The annual succession planning review will assess the following:

- The future needs with regard to key positions and the supply of people to meet these needs;
- To identify people with potential for further development/promotion;
- To check that people are being developed sufficiently to enable them to fill future key roles/vacancies effectively;
- To identify learning and development needs for each individual; and
- Identify skills and knowledge gaps.

Succession Planning Policy (Board & Staff)

7. The Succession Plan: our approach

- 7.1 Reference should also be made (but not limited) to the following policies and documents: Board Skills Assessment; Staff Appraisals; Board Recruitment; Induction Policy; Membership Policy; Training Policy; Standing Orders; Rules and Staff Recruitment & Selection.
- 7.2 To ensure the Association meets its policy objectives as outlined in Section 5 above, once per year the Board will:
- a) Review our strategic objectives on an annual basis as part of the annual review of our Business Plan;
 - b) Assess how the strategic objectives will impact on existing and future Board and staff resources;
 - c) Provide a comprehensive induction programme for new Board members and staff, supported by appropriate handbooks/resources;
 - d) Link our Board and staff appraisal processes and skills assessments and 9 year rule appraisals to the achievement of our strategic objectives;
 - e) Review Board and staff training plans on an annual basis taking account of issues arising from the appraisal processes;
 - f) Identify skills and competencies which are required in the future, whilst addressing any current skills gaps, etc.;
 - g) Ensure any identified training and support needs are provided by the Association; and
 - h) Encourage attendance at forums, conferences and seminars, training sessions and Business Away Days as well as providing on-the-job training, shadowing, coaching, mentoring and “buddy” systems.
- 7.3 The Board will also:
- a) Ensure the Association has a good understanding of local issues; and
 - b) Use demographic information obtained from our Customer Satisfaction Survey to compare the Board and staff profile with that of our customers to help us achieve in particular a Board that is representative of the community we serve.
 - c) Ensure that the Chairperson does not hold office for more than 5 consecutive years;
 - d) Once the Chairperson reaches 4 consecutive years identify a potential successor and train them for the role of Chairperson;

Succession Planning Policy (Board & Staff)

- e) **Where possible, at each AGM elect a Vice Chairperson (this person will not automatically become Chairperson);**
- f) Where possible on an annual basis and for all Office Bearers (outwith the Chairperson), identify another Board member who will succeed to, or provide cover in the absence of that Office Bearer and provide people with appropriate training and support;
- g) Carry out an annual Board recruitment drive to identify people with the appropriate skills and experience to meet the strategic objectives; fill skills gaps and ensure Board member numbers do not fall below 7; and
- h) Make the best use of co-opting additional members during the year as and when required due to vacancies, or to meet identified skills or experience gaps within the existing Board.
- i) The removal or resignation of a Board member for non personal reasons is a notifiable event.

7.4 Succession Planning: The position of Chief Executive:

- a) If the Chief Executive indicates their intention to leave the Association this is a Notifiable Event to the Scottish Housing Regulator (SHR) and an independent options appraisal must be carried out;
- b) Where the Chief Executive is planning to retire we would hope the CE would give up to a years' informal notice of their intention to retire;
- c) In all other instances, the CE should give the Board a minimum of 3 months' written notice of their intention to leave;
- d) If the CE is absent from work (unplanned) for a period exceeding 3 weeks the Board should consider appointing an Interim CE to carry out the role.**
- e) Prior to an Interim CE being appointed the Senior Management Team should provide cover for the CE and receive an appropriate responsibility allowance as per the agreed staff Terms & Conditions;
- f) If there is potentially an internal candidate who has aspirations and the ability to become CE they should be identified through the appraisal process and appropriate training and support put in place, and
- g) If the CE gives notice to leave the organisation reference should be made to the Recruitment Policy.
- h) Appendix 2 outlines the protocol for the appointment of an Interim Chief Executive.

7.5 Succession Planning: The Senior Management Team:

- a) If a member of the Senior Management Team seeks to leave the Association this **may** be a Notifiable Event and we should seek advice from SHR as such.;

Succession Planning Policy (Board & Staff)

- b) The CE will report this to the Board and seek approval to advertise the job externally (subject to the CE's recommendation on resource requirements at that point in time);
- c) The CE will arrange for internal or external cover if any unplanned absences extend beyond 3 weeks. Internal staff should provide cover until additional cover is brought in;
- d) If cover is provided internally the staff member covering the position should receive an appropriate responsibility allowance as per the agreed staff Terms & Conditions;
- e) Through the appraisal process the CE should identify any existing members of staff who have aspirations and the ability to become a member of the Management Team and provide appropriate training and support to allow them to be considered if such opportunities arose; and
- f) If a member of the Senior Management Team gives notice to leave the organisation reference should be made to the Recruitment Policy.

7.6 Succession Planning: For other members of the staff team:

- a) Same process (7.5c to 7.5f) should be followed as for the Senior Management Team
- b) For each position within the general staff team another member of staff will be sufficiently trained to provide cover and support to another colleague within their team eg the Housing Assistant will provide cover for the Housing Officer etc.
- c) Training and support needs will be identified through the appraisal process and one to one support meetings.

7.7 During recognised busy periods, temporary staff cover may be needed to cover for either unplanned absences or general office cover.

8. Talent Management

8.1 Underpinning our Succession Planning Policy is the concept of talent management. This refers to the ability to attract highly skilled workers and Board members, who share the Association's vision and values, and developing and retaining current talent to meet current and future business objectives.

8.2 In support of talent management relating to staff, any vacancies up to and including EVH Grade 7 will in the first instance be advertised internally. Any permanent member of staff will be entitled to apply for the position assuming they meet the

Succession Planning Policy (Board & Staff)

criteria specified within the person specification. If following interview the position is not filled, only then will the vacancy be advertised externally.

9. The Succession Plan

9.1 Although not exhaustive, the Succession Plan (see Appendix 1) will contain the following:

- Current Board and staff organisational structure.
- Possible future Board and staff structure (if required).
- A list of key Board and staff positions and how these could be filled in the short to medium term.

Succession Planning Policy (Board & Staff)

10. Annual Review of Succession Plan

10.1 The annual review of the Succession Plan will be as noted below:

Task	Target Date
Annual review of Business Plan	June – Staff Away Day October – Board Away Day
Board skills assessment & staff appraisals	October /November
Review Training Plans	November
Consider required amendments to Succession Plan	November (Board)
Advertise for new Board members	Throughout Year

11. Complaints

11.1 Anyone who is unhappy with the implementation of our Succession Planning Policy can raise their complaint through the Association's Complaints Policy.

12. Review

12.1 The Board will review the Succession Planning Policy every 5 years, although Appendix 1 will be reviewed on an annual basis.

Succession Planning Policy (Board & Staff)

13. Board & Staff Structure

			BOARD		
		AUDIT COMMITTEE	HR COMMITTEE		
SM GRADE 10			CHIEF EXECUTIVE		
SM GRADE 9	HOUSING MANAGER	FINANCE & IT MANAGER		TECHNICAL MANAGER	
SM GRADE 9	ASSISTANT HOUSING MANAGER				
PA GRADE 8		SENIOR FINANCE OFFICER (PT)		SENIOR CLERK OF WORKS	
PA GRADE 7	HOUSING OFFICER (X4)	FINANCE OFFICER (PT)	CORPORATE SERVICES OFFICER	TECHNICAL OFFICER (X2)	
PA GRADE 7	WELFARE BENEFITS OFFICER	BUSINESS DEVELOPMENT OFFICER (vacant)	WET PROJECT CO-ORDINATOR (Until Feb 2020)		
PA GRADE 7		IT OFFICER			

Succession Planning Policy (Board & Staff)

PA GRADE 6	HOUSING ASSISTANT (X2)	FINANCE ASSISTANT		TECHNICAL ASSISTANT (ASSET MAN)
PA GRADE 6	FACTORING ASSISTANT			TECHNICAL ASSISTANT(SERVICES)
PA GRADE 5				TECHNICAL CLERICAL OFFICER
TAS 4 UPPER				ESTATES TEAM SUPERVISOR
PA GRADE 4				
PA GRADE 3/ TAS 2	CLERICAL OFFICER (X 3)			ESTATES TEAM OPERATIVE ESTATE TEAM OPERATIVE (TEMP UNTIL NOV 19)
PA GRADE 2	CLERICAL ASSISTANT			CLERICAL ASSISTANT (Temp until Nov 2019)
			Development Services provided by WHA/ WEST DEV HUB	

14. APPENDIX 1: Key Board & Staff Positions

1. Board

Office Bearer Role	Cover Provided by
Chairperson*	Vice Chairperson
Vice Chairperson	Office Bearer
Secretary	Named Board Member
Other	
Board member (unplanned resignation/leave of absence)	Co-option from membership
Board member (specific skills/experience required)	Co-option from membership advertising need for specific skills/experience

*Chairperson cannot remain in position for longer than 5 consecutive years. At year 4, the Board should identify a Vice Chairperson or other Board member who is willing to be trained and supported to take on the role of the Chairperson, if elected after the following AGM.

2. Senior Management Team: Unplanned absence

Position	Unplanned absence under 3 weeks cover provided by	Unplanned absence over 3 weeks cover provided by
Chief Executive	Senior Management Team	Interim Chief Executive
Finance Manager	CE & Senior Finance Officer	Internal or External cover
Technical Manager	CE & Senior Clerk of Works	Internal or External cover
Housing Manager	Assistant Housing Manager	Internal or External cover
Assistant Housing Manager	Housing Manager	Internal or External cover

3. Staff Team: Planned absence e.g. terminating employment

Position	Notice Period	Recruitment (see Recruitment Policy)
Chief Executive	12 weeks' notice.	Notifiable event to SHR. Carry out independent options appraisal
	Retiring: Minimum 3 months' notice, but preferably longer up to 1 year.	As above. Official notice period not effective till 3 months before termination date.
Other SMT	4 weeks' notice period.	Advertise externally
	Retiring: Minimum 3 months' notice, but preferably longer.	As above. Official notice period not effective till 3 months before termination date.
Grade 8	4 weeks' notice period.	Advertise externally.
	Retiring: Minimum 3 months' notice, but preferably longer.	
Grade 7 posts and under	4 weeks' notice period	Advertise internally, if position not filled advertise externally
	Retiring: Minimum 3 months' notice, but preferably longer.	Official notice period not effective till 3 months before termination date.

If a vacancy arises, temporary cover for staff pending the vacancy being filled should be provided if required as per the terms mentioned under unplanned absences above. In all cases it should be considered if the vacancy needs to be filled or responsibilities can be redesigned with the existing staff structure.

Appendix 2

Protocol for recruitment of an Interim Chief Executive

1. This protocol should be adhered to in the event of the unplanned or long term absence of the current CE.
2. Once the long term absence of the CE has become clear the SMT should meet to discuss the division of daily responsibilities and agree what can be put on hold and what operations are essential to continue until the appointment of an Interim CE. This may involve the changing of some posts and any significant changes should be discussed with the OB's and any financial remuneration agreed.
3. Once established a meeting with the Office Bearers should be arranged as quickly as possible.
4. The OB's and SMT should meet and establish a course of action including agreeing temporary daily operations and activities, communication with SHR, Board, Staff, the public, FLAIR and recruitment of the Interim CE. The Board should be advised of the course of action.
5. EVH should be contacted to agree a timetable for the swift selection and recruitment of an Interim CE.
6. The Corporate Services Officer should act as a go between for Senior Staff and Office Bearers in these events dealing with minutes of meetings, arranging meetings, recruitment, communication to staff and customers via email, social media and dealing with EVH, etc.
7. Once a course of action has been agreed a report should be completed by the CSO to go to the next Board meeting.
8. Recruitment of the Interim CE should be by 1 Office Bearer and the Chair of the HR Sub, 1 SMT member and EVH.
9. EVH have advised that this process will take XXXXX from start to finish.