


LSC LEADERSHIP WORKSHOP

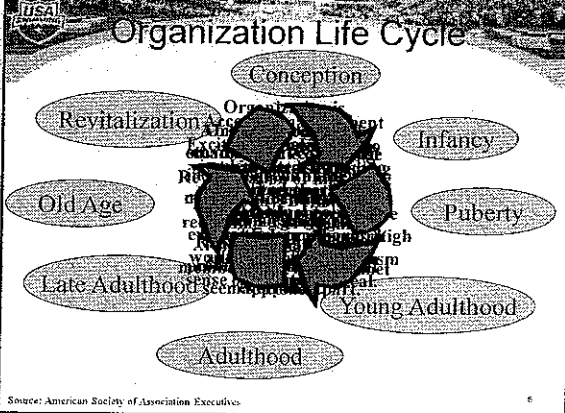
USAS CONVENTION
ATLANTA, GA
SEPTEMBER 26, 2008

Why is it always me?

- 2% "Leaders"
- 5-10% "Doers"
- 15-20% "Do Somethings"
- 68-78% "Belongers"



Organization Life Cycle




Source: American Society of Association Executives

USA

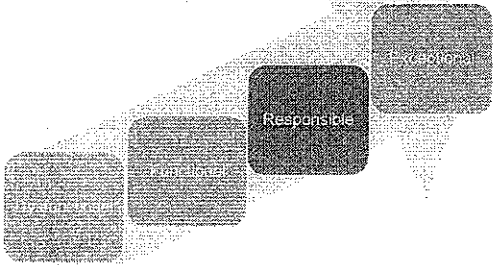
The Key Questions

- Ask yourself:
 - What is the purpose of our LSC?
 - Do we have a clear mission?
 - What does our LSC value?
 - What is my motive for being involved?
 - What is our vision for the future?
 - What are our future challenges?
 - Are we prepared for our future challenges?



USA

Our Goal... More Effective Boards




And LSCs....

USA


The Working of the LSC Board

- I. Board Basics
 - A. Governing principles
 - B. Legal Duties
 - C. Basic Responsibilities
- II. The Functioning Board
 - A. Board Meetings
 - B. Staff and Board Member Responsibilities
 - C. Board Building



USA


I. Board Basics



USA

I. Board Basics


- A. Governing Principles
- B. Legal Accountability
- C. Basic Responsibilities
 - Finances
 - Assessment and Evaluation



USA

A. Governing Principles

- Mission
 - Shared vision
 - Primary responsibility
 - Reviewed annually

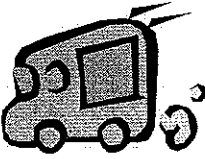


The Mission Statement

- Guide and roadmap
- Indicates focus and purpose
- Necessary for:
 - Planning
 - Board and staff decision-making
 - Allocating resources
 - LSC assessment

Doesn't USA Swimming already have one?

If you don't know where you're going, it doesn't matter how you get there!




- Is a mission statement necessary?
- Can it be generic?
- Does it reflect your desired theme?


Do we even have one.

Examples of LSC Themes


- We provide equal competitive opportunities for all swimmers
- We provide a high caliber competitive experience for Nationally ranked swimmers
- We have a lot of fun
- Number 1 at Zones
- We service a very large number of athletes
- Mediocrity at its finest
- Our clubs make lots of money running meets
- We're run by the LSC Mafia
- Lots of athletes, nobody at Nationals
- Zones, Zones, Zones...it's all about Zones
- Doing what we've always done because "it works."
- Age Group Swimming is where "it's at."

 **Creating a Mission Statement**

- A retreat of interested people
- Time to reflect: SWOT
- Why bother?
 - Road map
 - Evaluate and plan
 - Constant reference
- Not in conflict with USA-S




18


 **"True Life" Examples.....**

- Middle Atlantic Swimming:
 - Middle Atlantic Swimming advocates the growth and development of a diverse swimming community through education, innovation and a commitment to excellence.
- Lake Erie Swimming:
 - LESI provides leadership to foster an environment of competitive and personal excellence through education, support and opportunities for participation.
- North Carolina Swimming:
 - Inspiring excellence by providing resources and services to support, educate and empower the North Carolina Swimming community

19

 **Strategic Planning**


- Future oriented
- How are we going to do this?
 - Goals
 - Objectives
 - Strategies
 - Tactics
- Who is going to do this?



20


A Board Retreat

- Annually: board members and key personnel
- 'Single focus'
- Issues requiring more time and in depth study




Action Steps: Middle Atlantic

- Recruit and orient board members: nominating committee
 - What do we need? How many? Skills
 - Updated job descriptions
- Program evaluation/development
 - Organizational audit
 - Strategic and long term planning
- Public relations and advocacy
- Liability and risk management



Action Steps: Lake Erie

1. Task force on Officials
2. Public Relations Task Force
3. 4 Year Plan Task Force on Program Evaluation (Incentives, clinics, schedule, standards, formats, HDD meetings)
4. Nominating committee: Job descriptions, orientation of members



USA


North Carolina. Priorities and Key Issues to Attack

- **Education**
 - Officials:
 - Regional areas set up for mentorship
 - Assign officials chair
 - Spring 08 meeting
 - **Meet Directors**
 - Training
 - Updated handbook
 - Certification process, requirements, enforcement
 - Role
 - Spring 08 announcement
 - **Clubs**
 - Survey the clubs?
 - Coach mentoring?
 - Brainstorming board session on club assistance
 - Parent education
 - **Coach education at HOD**
 - Speaker, panel
 - Safety cards
 - Coach rep: Kit
 - Spring Meeting: David Marsh
- **Communication**
 - **Better information to members**
 - Board meetings: minutes on web: Janet and Richard
 - Monthly newsletter: Jonathan
 - Emailed to list serve
 - Web site
 - Emailed to clubs
 - Has copies at meets
 - Trade show at meets? Discussion item
 - **Policy manual**
 - Peter
 - Scheduling and medal sanctions is first step: Spring 08
 - **Recognition**
 - Awards Banquet restructure with Hall of Fame
 - Age Group
 - Spring 08
 - Ongoing Top 10: Suzanne to Richard
 - Collegiate: where are they now: Mark
 - **Meet Philosophy**
 - Tech planning: Aaron

USA

Achieving Mission Success

- Measure: quality of services
- Measure: outcomes
- Identify: needed resources
- How do we know?
 - Talk to leaders and staff
 - Interview members
 - Observe
 - Conduct formal evaluation activities



USA


Moving from Constituency Based to Vision Based

Constituency Based	Vision Based
1. Analyze membership	1. What is our vision and mission?
2. Marketing approach to members	2. What programs and services do we need to put in place to accomplish our vision and mission?
3. What programs and services do our members want	3. What people will want to be part of this?
4. What then should be our mission	4. Membership adheres to mission and vision: reason for joining
5. Board decisions and planning driven by the membership	

USA

Governing Principles for Boards

- **Oversight**
 - Establish checks and balances
 - Legal, ethical, & responsibilities
 - Staff
 - Conflict of interest
 - Governance vs. management
 - Evaluation




28

USA

Governing Principles for Boards

- **Resource Development**
 - Financial
 - Human
- **Outreach/PR**
 - Articulate voice




32

USA

B. Legal Accountability


- Governance means.....
- Nonprofit organization must have governing board.
- Board is authorized by state to act and govern
- Board is accountable to the public trust and to its members
- Protect and pass on the assets
- Must meet expectation of accountability and openness

36


 **Board Structures-Bylaws**

Bylaws determine:


- the organization structure
- the rights of the membership
- procedures




20

 **Your LSC Bylaws**


- Read them....
- Understand them.....
- Follow them exactly.....
- Make sure every board member has a copy




21

 **Board Legal Duties**

- Duty of Care
- Duty of Loyalty
- Duty of Obedience
- *Duty of Transparency*




22



Strongly Recommended Policies

- Conflict of Interest Policy
 - Disclosure
 - Clear removal from discussion and voting
- Whistleblower Policy
- Document Destruction Policy


07




C. Board Responsibilities

<ul style="list-style-type: none"> • Determine LSC's mission and purpose • Ensure effective LSC planning • Ensure adequate resources • Manage resources effectively • Select executive office staff person • Support and evaluate executive staff person 	<ul style="list-style-type: none"> • Determine, monitor, and strengthen the LSC's programs and services • Enhance the LSC's public standing • Ensure legal and ethical integrity and maintain accountability • Recruit & orient new board members and assess board performance.
--	---

Adapted from Ingram, Richard, *The Basic Responsibilities of Nonprofit Boards* (BoardSource, Revised 1996) 55




Fulfilling the Responsibilities: Policy Setting




- Establish Objectives
- Formulate Statements
- Implement
- Evaluate

Written policies in an up to date policy manual!!


10

 Fulfilling the Responsibilities:
Financial Aspects
Nonprofit is a tax status, not a business plan.


- Fiduciary Responsibility
- Financial Basics
- Monitoring
- Adequate Controls
- Overseeing Legal Obligations




41

 Financial Oversight

- Financial Statements
- Tax Forms
- Financial Oversight
 - Key Questions
 - Assessment
- Written investment policy




42

 New 990....effective 2009

- Questions about governance
- State your mission
 - Significant accomplishments
 - New programming since last 990
- Board must see and sign off
- Document destruction, whistleblower, conflict of interest, etc.

Budgeting and Finance

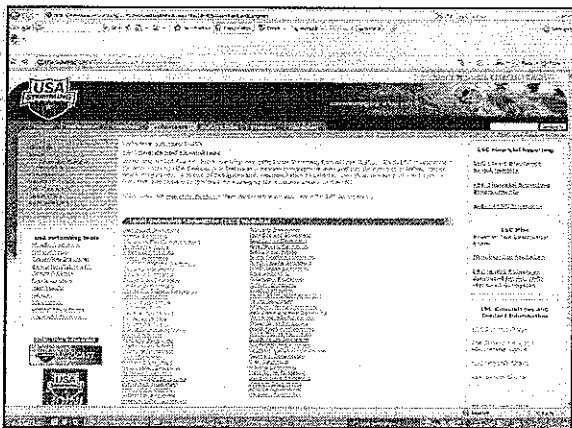
- Basic Understanding: cash management and bookkeeping
- An accountant
- A bank




DON'T KEEP IT IN A SHOEBOX!!

**Financial Reporting/
Crime Insurance**

- Required controls to qualify for LSC Crime Insurance:
 - Dual signatures on checks over \$5,000
 - Check issuer cannot be same person who balances monthly statement
 - Audit committee required to review books semi-annually




Budgets



- Budgeting
 - Project income, profit, losses
 - Fixed expenses, variable expenses
 - Hard money budget vs. program enrichment budget
 - Variable revenue

Budgeting

- WHAT YOU PLAN TO ACCOMPLISH
 - How much do we need to reach our goals?
 - NOT: how much do we have?
 - Refer back to the mission



*Are we budgeting to do what our mission tells us to do?
Are we spending our money to achieve our mission?*


Budgeting According to Mission: Examples

- Mission says "education".....
 - Does budget reflect education?
- Mission says "excellence".....
 - Does budget reflect a commitment to excellence?
- Mission says "support to highest levels".....
 - Does 10 year old going to Zones get more \$\$ than swimmer going to Olympic Trials?

USA Swimming

Hard Money Budget


- Items you can't afford to be without
- Covered by basic fees and guaranteed income
- Examples:
 - Basic Administrative/staff costs
 - Registration
 - Basic Zone expenses
 - Other?



50

USA Swimming

Program Enrichment Budget



- Plan and dream
- Immediate & long term needs
 - Immediate: Necessary to make progress this year towards your mission and vision
 - Long term: what do we need in future to meet strategic plan?
- Surcharges, sponsorships


Examples:
•LSC Training Camp
•Travel to Dual Meet with another LSC
•Coach education and clinics
•Minority/disadvantaged scholarships

51

USA Swimming


Resource Development

- USA Swimming corporate sponsors
- Finding a local sponsor
- Adequate reserves



**Fulfilling the Responsibilities:
Assessment and Evaluation**


- Assess/evaluate the LSC regularly
- The standards are:
 - the mission statement
 - the strategic plan
 - stated goals



50

Evaluation of the Board


- regularly and constructively
- Times when evaluation is beneficial:
 - LSC in transition
 - LSC examining their roles and responsibilities
 - LSC undergoing strategic planning



56

Evaluation of the Office/Staff

- Who evaluates?
- Regularly and constructively
- Staff support of LSC goals
- Measurable objectives related to LSC goals and to leadership and management qualities.
- Relationship with the board and the members
- Based on job description and written contract



USA

Key questions for LSC Assessment

- If we were to establish the LSC today, would we choose to do exactly what we are doing now?
- Are the priorities explicit in our programs consistent with those expressed in the mission statement?
- Of the various LSCs like ours, which are the best?
- Who are the persons we most want to serve?
- What are the circumstances that most affect our work (needs, funding, technology, competition), and how are they likely to change over the next 3-5 years?

58

USA

Communication Effectiveness

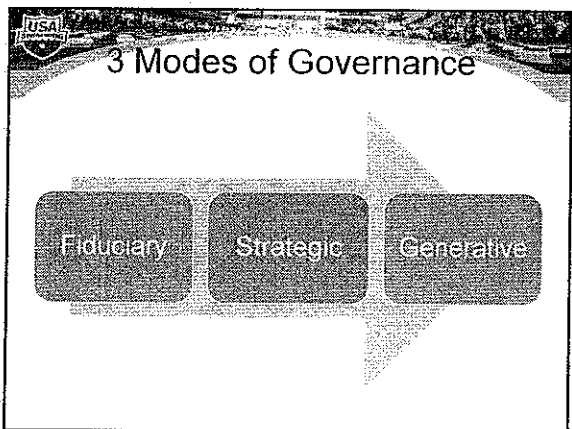
Two Way	One Way
One on One	Speech
Small Group	Handwritten Note
Large Group	Less Personal Message
Telephone	Memo
Mail	Form Letter
Fax	Electronic Mail
	Special Report
	Opinion
	Interoffice
	Proposition Contract
	Weblog

Source: NCNE, Sandy Hughes

59


USA

II. The Functioning Board



II. The Functioning Board
A. Board Dynamics


- Meeting Preparation
- The Agenda
 - Prepare and send in advance
 - Prioritize agenda items
 - Relate agenda items to goals of the LSC
 - Consent agenda for package approval
- Executive Sessions
- Minutes



92

Making Strategic Thinking a Part of Your Board Meeting

- Allow sufficient time for thinking and debate (prioritized consent agenda)
- Use meeting devices to promote debate (next slide)
- Challenge others' thoughts and behaviors
- Strengthen the board's composition for energy and creativity




From *Thinking Outside the Boardroom*, BoardSource, March/April 2006.

63

USA

Stimulate thinking and debate....
get the party started!

- Silent Starts
- One Minute Memos
- Counterpoints
- Role Plays
- Surveys
- Index cards
- Around the table...what do you think?
- 5 Finger Consensus




84

USA

B. Board Member Responsibilities
Individual Board Members

- General Expectations
- Prepare for and attend Meetings
- Relationship with the Staff
- Conflict of Interest
- Fiduciary Responsibility




Do homework, be open to ideas, speak up, stay on the subject, act on your responsibilities after the meeting
Do Your Job!

85

USA

Conflicts




- Wearing the "Board Hat"
 - Leave personal interests out
 - (remove self from vote)
 - 3 Hats a Board Member wears:
 - Governance: only during Board Meetings
 - Volunteer: just like every other member
 - Implementer: no power except at direction of BOD
- Removal from the Board

86

USA Swimming

The Board Member and Committees

- Permanent (Executive, Finance, Nominating, Fundraising)
- Ad Hoc/Task Force (Planning, Program, Marketing)
- Advisory Groups
 - *Specific Assignment*
 - *Short Term*
 - *Bringing in "new blood."*




67

USA Swimming

The Role of the Chair

- Build Participation
- Acquire and Communicate Information
- Evaluate Performance
- Delegate
- Be Visible in the Swim Community
- Develop Board Leaders
- Focus the Board on **Important Issues**
 - Set the tone
 - Design the agenda



*Is this issue significant enough for the whole board's attention?
Is this level of detail worth our time?*


Developed by NATA

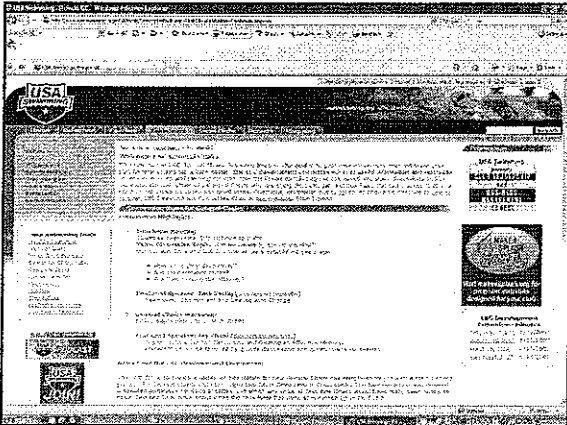
95


USA Swimming

The LSC Development Committee

- General Chairs' Workshop
- General Chairs' Orientation Notebook
- General Chairs' Web Page
- LEAP









Other Officers

- Written job descriptions: by-laws
- Duties of Care, Loyalty, Obedience
- Do your job
- Bring in new blood




71



The "Permanent Office" Staff


- Leads and manages
- Communicates
- Educates
- The "face" of the LSC
 - The person who deals with the public



72

C. Board Building


- **Identify** board needs
- **Cultivate** potential board members
- **Recruit** prospects
- **Orient** new board members
- **Activate** all board members
- **Educate** the board
- **Rotate** board members
- **Evaluate** the board and individual members
- **Celebrate** successes!



Board Recruitment

- Job descriptions and manuals
 - Written
 - BOD member manual
 - BOD policy manual
- Honesty in recruitment

Oh, it won't take much of your time.....




Board Recruitment

- Two skills on every board
 - Attorney
 - CPA
- Also consider
 - PR and Marketing
 - Technology
 - Entrepreneur
- The value of Diversity on your Board


Who do we have? Who do we need?



 Orientation: About the LSC


- Program: Offer new board members a feel for the work of the LSC-What it does, whom it serves
- Finance: Help new board members become informed about where money comes from, how it is spent and the state of the LSC's financial health.
- History: What have we accomplished?
- Strategic Direction: Clarify the mission, vision, values, and goals
- LSC Structure: Help new board members understand who does what and what the lines of accountability are.

76


 Orientation: About the Board

- Board Roles: Assure that new board members understand the roles of the Board as a whole
- Board Member Responsibilities: Assure that new board members understand their individual responsibilities
- Board Operations: Help new board members understand how the board operates (manuals, committee lists, etc)
- Board Members: List of board members, board member biographical data, social interaction

77

 Managing Conflict


- Not always bad
- Three types
 - Substance
 - Process
 - Personality
- Solutions?
 - Self-assessment
 - Evaluation
 - Negotiation and mediation
- Unsolvable?



USA

Future Challenges

- Older board members; finding new blood
- Time and stress
- Strategic vs day to day
- Coordination and communication
- LSC growth; complexity




SWIM

USA

Managing Change


- Tips
 - Build a team
 - Shared vision
 - Strategic thinking and planning
 - Flexibility and communication
 - Baby steps
 - Education and training
 - Take your time!!



USA

Conclusions: Hallmarks of an Effective Board


1. Clarity about roles & responsibilities
2. Focus time & attention on important things
3. Restructures board work to get important things done
4. Views board composition as strategic
5. Uses evaluation to learn rather than criticize



22

Hallmarks of an Effective Board

- 6. Has the confidence to take risks
- 7. Has constructive relationship with the LSC staff/office personnel
- 8. Open and honest communication
- 9. Board works together as an effective unit



22

Principles of Governance That Power Exceptional Boards

1. Constructive Partnerships	7. Compliance with Integrity
2. Mission Driven	8. Sustaining Resources
3. Strategic Thinking	9. Results-Oriented
4. Culture of Inquiry	10. Intentional Board Practices
5. Independent-Mindedness	11. Continuous Learning
6. Transparency	12. Revitalization

From The Source: Ten Principles of Governance That Power Exceptional Boards. BoardSource, 2006.

54
