



## National Association of State Retirement Administrators

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### Results of Survey on Disaster and Succession Planning Conducted June 2004 27 Systems Responded

1. **Does your System have a succession plan, either in place or under development?** *(A succession plan involves the preparation, through education and training, of employees to replace senior staff members in the event of their incapacitation, retirement, or termination.)*

**Yes: 11      No: 16**

*Questions 2 – 5 pertain only to those systems responding “Yes” to Question 1.*

2. **Did you work with external vendors to develop your succession plan?**

**Yes: 2 No: 9**

3. **Does your succession plan identify procedures to be followed in the event of the incapacitation or termination of one or more senior staff members?**

**Yes: 5      No: 5      No response: 1**

4. **What positions are covered by your succession plan?**

- All staff will be covered by the plan.
- Executive Director, Deputy Executive Directors, General Counsel, Director of Government Relations, IT Auditor position was eliminated in 2003
- Administrator
- Limited to short-term.

5. **Please provide any comments, suggestions, or observations regarding your succession plan or its development.**

- Until we tested the plan we did not realize all its omissions.
- Our human resources office continuously supports workforce planning efforts with existing practices, plans, policies, and procedures. A formal Succession Management Plan is under development. At this time, the system is using internal resources to develop the Succession Management Plan. We will rely on internal staff and existing partnerships with various organizations to complete the development of the Succession Management Plan. We anticipate that it will take 1-2 years to complete and document the Succession Management Plan.
- Planning to include new policies on Board member interest in open executive-level positions at the pension fund and a policy on any limitations dealing with vendors who hire former Board members or staff members after leaving the pension fund.

- The succession plan is in process of development. The delegation of authority for business units is defined but the procedures for notifying staff members has not been approved.
- Get started - the first attempt may be very simple: 1) Identify the goal you are trying to meet; 2) Define the objective; 3) Make assumptions (i.e., the organization will stay the same, etc); 4) Identify skills needed in the position; 5) Review each person who could compete for the position; 6) Evaluate each person against the needs of the position 7) Capture a picture by placing a color code next to each name (i.e., green means the person is ready; yellow means needs training, mentoring, and/or experience and red needs analysis - perhaps the individual is adding value even without leadership potential?) 8) Take action - don't lose the green dots; bring your yellow dots along as quickly as you can; make decisions on the red dots and hire to fill a leadership void if one was identified
- It is an informal plan.
- We have identified jobs as (1) critical and (2) at risk for vacancy due to retirement. We have developed a competency and skills inventory which is currently being finalized and will be submitted for completion next month. The inventory will be completed by the employee, his/her supervisor, and a peer or subordinate. This information will be used to help build the curriculum for the agency university. Also, it will be used to help identify individual development plans, and for career counseling. This is our initial phase. We plan to role this process out to cover all our positions.

**5. Does your system have a disaster plan either in place or under development?** *(A disaster plan involves preparation of circumstances that could affect the physical plant and operations of the retirement systems, including communication systems, databases, hardware/software, and other equipment.)*

**Yes: 26      No: 1**

**6. Did your system work with external vendors to develop your disaster plan?**

**Yes: 9      No: 17**

**7. Please provide any comments, suggestions, or observations regarding your disaster plan.**

- When the plan is tested omissions will be discovered and more detail will be added to the plan.
- Being updated to reflect changes in processes, technology, and functional operations at business recovery facility.
- Our disaster plan currently consists only of backing up the office computer system each evening and storing the tape off-site every two weeks or so. We do not administer benefits and do not manage investments in-house. Our investment information is kept by our master custodian. Our accounting information is duplicated on the city's master financial system. These redundancies also are part of the disaster planning.
- The basic plan is being developed and covers risks & threats, immediate disaster recovery procedures, emergency operations & business resumption. As revisions are made to the plans, multiple CDs are burned and kept by designated staff at off-site locations. A few paper copies of the plan are also stored off-site.
- We worked extensively with the State's Division of Information Systems to develop the plan.

- It is currently under development as coordinated across the state by the State's emergency management office.
- We're in the early stages of attempting to do this in-house for now - initial steps require developing the elements of the plan and prioritizing critical business processes - once the processes are prioritized assess vulnerabilities and business impact on the top 2 or 3 then define detailed requirements develop contingency plans and test
- We considered not only the physical elements of the plan, but the human factors as well. Thought was given to how each type of disaster might impact our workforce, and how we could assist our employees with any transition caused from it.
- We established our disaster recovery plan in conjunction with the state data center. We have a complete backup system established at our remote customer service office approximately 60 miles away. We have tested it to ensure it is fully functional. We will ensure data is maintained to remain current on the backup system.
- I answered yes that we have a disaster plan, but it's not very good. We are embarking on a reorganization of our IT Dept. and it will be a top priority.
- Ensure critical vendors are identified and current contact information maintained; test plan frequently; document recovery steps thoroughly; keep all needed materials offsite, including copies of the plan & other documentation; authorize alternate leadership in case primary leaders are unavailable.
- Update regularly.
- Testing revealed major areas that required further preparations.
- The disaster recovery plan is part of the state treasurer's office.
- The vendor should have a clear role and workable solution to the Business Continuity Plan (BCP). 2. The organization must be committed to maintaining the BCP.
- The state administrative branch has adopted a disaster plan in which we participated.

**The following NASRA member systems participated in this survey:**

Arkansas State Highway Employees Retirement Plan	New Mexico PERS
CalPERS	Ohio PERS
Colorado PERA	Oklahoma PERS
DC Retirement Board	Retirement Systems of Alabama
Illinois Municipal Retirement Fund	South Carolina Retirement Systems
Iowa Public Employees' Retirement System	South Dakota Retirement System
Kansas Public Employees Retirement System	Teachers Retirement System of Georgia
Kentucky Retirement Systems	Teachers' Retirement System of Louisiana
Maryland State Retirement and Pension System	Texas County & District RS
Michigan Office of Retirement Services	Tennessee Consolidated Retirement System
Minnesota State Retirement System	Virginia Retirement System
Missouri State Employees' Retirement System	Wisconsin Retirement System
Missouri LAGERS	Wyoming Retirement System
Nevada PERS	

**Thank you for participating.**