

Succession Planning

CLASSIFIED GROWTH AND DEVELOPMENT

PERSONNEL COMMISSION



Succession Planning

Training Objectives

- Define Succession Planning
- Describe a five-step process for creating a Succession Plan for your department
- Describe the purpose of each step, key principles, intended outcomes for the succession plan
- Learn the tools embedded in each step to help you begin your journey in developing future leadership and guarding institutional knowledge



“

29% of the entire United States' working population are Baby Boomers and 56% of those are managers.

”

INC. MAGAZINE (JENKINS, 2017)



“

the first wave of Baby Boomers to hit the retirement age of 65 happened in 2011. The last wave of them to hit age 65 will be in 2029.

”

CNN ARTICLE (“AMERICAN GENERATIONS FAST FACTS”, 2017)



Succession Planning

What is Succession Planning?



Succession Planning



Succession Planning

What is Succession Planning?



Succession Planning

Definition:

“...the process of identifying one or more successors for key positions and preparing them for expanded organizational responsibilities through job assignments and other developmental activities”

Developing Leadership Talent

A Guide to Succession Planning and Leadership Development, SHRM



Succession Planning

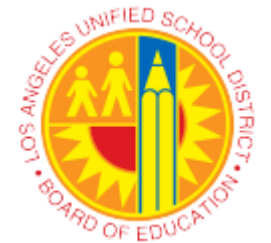
- ▶ Developing key talent for future leadership
- ▶ Guarding institutional leadership knowledge



Succession Planning

Critical Variables

- Direction of the organization or department.
- Key competencies at the positional level and vital departmental competencies critical to future operations
- A recruiting and developmental process to ensure there are NO timing lapses or gaps in needed future leadership



Succession Planning

- ▶ Succession Planning Focuses on the positions most critical for the future of the Organization
- ▶ It is **NOT** Replacement Planning
- ▶ It is a Continuous Process



The Five-Step Process – Step 1

STEP 1

Identifying
Key Positions

STEP 2

Identifying
Participants

STEP 3

Preparing
Participants

STEP 4

Developing
Participants

STEP 5

Monitoring
Progress &
Recognizing
Achievement



The Five-Step Process – Step 1

STEP 1

Identifying
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The Five-Step Process – Step 1

STEP 1

Identifying Key Positions

A **key position** is generally defined as a position that is **critical to the viability** and **continuity** of an organization, regardless of the incumbent occupying the position



The Five-Step Process – Step 1

STEP 1

Identifying Key Positions

Obtain leadership support and alignment

Identify Succession Plan Oversight Committee

Identify critical few positions

Define organizational & job-specific competencies



The Five-Step Process – Step 1

STEP 1

Identifying
Key Positions

Obtain leadership
support and alignment



The Five-Step Process – Step 1

STEP 1

Identifying
Key Positions

Identify Succession Plan
Oversight Committee



The Five-Step Process – Step 1

STEP 1

Identifying
Key Positions

Identify critical
few positions

Tool 1 –
Identifying Critical
Positions

Interviewees:

- **Executive Sponsor**
- **Senior Leadership**
- **Personnel Commission**



The Five-Step Process – Step 1

STEP 1

Identifying
Key Positions

Interviewees:

- **Executive Sponsor**
- **Senior Leadership**
- **Personnel Commission**



TOOLS



The Five-Step Process – Step 1

STEP 1

Identifying
Key Positions



TOOLS

Define organizational and
job-specific competencies

SWOT Analysis

Classified Performance
Framework

Competency
Identification Worksheet



Succession Planning

Summary

Defined Succession Planning

Overview of 5 Step Process

Step 1: Identifying Key Positions

Tools for Step 1



The Five-Step Process – Step 2



The Five-Step Process – Step 2

Selection Process

- **Create a transparent and competitive process**
- **Include Self Nomination**
- **Assess competencies and abilities of candidates**
- **Assess performance in current position**

Outcome: Invite identified employees to be a part of Key Talent Pool



The Five-Step Process – Step 2



Succession Planning Program Application Template

Position: Supervisor

Succession Program Candidate Name:



Competency Assessment Template

This form is intended for the applicant to assess his/her competencies important to the respective position. The supervisor should also assess the applicant using this form. This document is a template so the relevant competencies should be included.

Applicant Name: _____ Supervisor Name: _____
Applicant's Current Title: _____ Supervisor Title: _____

Example Leadership Competencies	Rating		
	Needs Improvement	Proficient	Mastery (Can Teach)
Strategic Focus			
Continuous Development			
Innovativeness			
Managing Performance			

Example Leadership Competencies	Rating		
	Needs Improvement	Proficient	Mastery (Can Teach)
Process and Product Improvement			
Presentation Skills			
Using Technology			

Example Leadership Competencies	Rating		
	Needs Improvement	Proficient	Mastery (Can Teach)
Determine Client Needs and Articulate			
Create a Budget			
Ability to Lead team through projects			



The Five-Step Process – Step 2

Assess level of performance in current position

KSA Assessment



Candidate Potential Rating Form

This form is meant to aid the review of a candidate's potential within your organization. This will assess a candidate's ability to grow within the organization and how much the organization will invest into the candidate. Each competency has a 5 point scale. At the end of the review of the candidate's potential, the average score of the candidate should be a 3 or higher. This is found by adding up the total points of the candidate and dividing by the total number of competencies/strategic goals/core values assessed.

Each potential rating category is defined below. Please score accordingly.

Low Performing Candidate	<ul style="list-style-type: none"> Candidate has a poor performance; spotty track record of delivering results; doing just enough to get by; and not considered ready, willing, or able for future roles. Candidate has had little to no training. Candidate shows little to no willingness to gain knowledge in this area and become an asset to the organization. Candidate may have potential to be an asset to the organization further down the line, but candidate may also be an anchor on the organization. Ensure investments in growth are not wasted.
Core Candidate	<ul style="list-style-type: none"> Candidate shows an above average/medium level performance in the referenced competency/core value/strategic goal. Candidate has had comprehensive training and is well-placed to grow within current role. Candidate will need further development over a 1-2 year period to be considered "ready" for performing organizational duties with little to no oversight. Candidate will be backbone to success of business and team.
Future Leader	<ul style="list-style-type: none"> Candidate is best of the best; exceptional performance; delivers consistent and sustainable results; possesses enormous drive for achievement and ambition; stellar role models for both "what" and "how" results are achieved. Candidate is a leader who is able to train others on this competency/core value/strategic goal. If applicable, candidate is certified and a trusted and active advisor within the professional community. Candidate realizes their full potential while at the same time performing at their peak. They are well-equipped to take on any assignment and poised to transform your organization into a better version of itself.

Name of Candidate: _____

Position Considered: _____



9-Box Tool



3	(1) General Manager and CEO
4	Specific knowledge required to satisfactorily perform the functions of the job include:
5	<ul style="list-style-type: none"> Extensive knowledge of electric, water, and wastewater utility operations, principles, and practices. Knowledge and experience in strategic planning and execution. Knowledge and experience in formulating policy, and developing and implementing new strategies and procedures. Knowledge of local, state, and federal law and city ordinances. Knowledge of contracting, negotiating, and change management. Knowledge of public relations principles and practices. Knowledge of budgeting methods and systems.
15	Specific skills required to satisfactorily perform the functions of the job include:
16	<ul style="list-style-type: none"> Skill in examining and re-engineering operations and procedures. Professional oral and written communication skills. Interpersonal skills to work effectively with a wide range of constituencies. Skill in handling conflict and uncertain situations.
21	Specific abilities required to satisfactorily perform the functions of the job include:
22	<ul style="list-style-type: none"> Ability to make sound decisions and take or guide courses of action in operations. Ability to analyze and interpret financial data. Ability to deliver public presentations. Ability to work with frequent interruptions and changes in priorities. Ability to analyze and resolve irregular events. Ability to work a flexible schedule and to travel.



The Five Step Process – Step 2

Summary of Identifying Participants

Assess potential future leaders through a transparent and competitive process

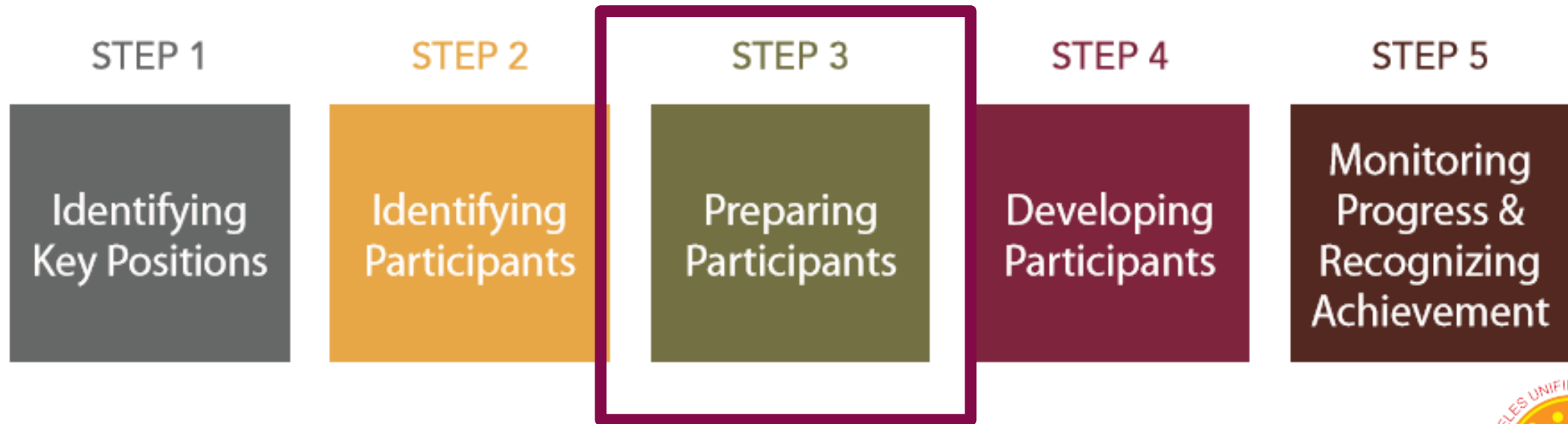
Assess competencies and abilities

Assess level of performance in current position

Invite selected participants to join the program



The Five-Step Process – Step 3



The Five-Step Process – Step 3

STEP 3

Preparing Participants

To set up the succession planning program for success, it is imperative that the expectations and criteria for the program are transparent to all involved, especially potential participants



The Five-Step Process – Step 3

STEP 3

Preparing
Participants

Discuss the purpose and
goals of the program

Discuss the demands the
program may have of them

Communicate Expectations

Communicate Resources
for Development



The Five-Step Process – Step 3

STEP 3

Preparing Participants



Succession Planning Expectations Form

This succession planning expectations form is designed to ensure the understanding of expectations from the employer as well as the program participant. This form should solicit active dialogue between the employer and the program participant regarding available resources, how performance will be measured, and the distribution of the participant's current workload. The participant will be asked through a survey/interview to provide feedback about his/her experience as a participant in the program. This exercise does not in any way constitute a promise of future employment or promotion.

Employer Expectations?	
Participant Expectations?	
How will the participant be measured?	
Who will measure the participant?	
Expected Time Frame for Development?	
Workload Implications?	
What work will be re-allocated (if any)?	
Staff members absorbing re-allocation of work?	



The Five-Step Process – Step 3

STEP 3

Preparing Participants



SAMPLE: Individual Development Plan

Individual Development Plan

The Individual Development Plan (IDP) provides a framework for continuous improvement and learning for employees and focuses on building your competencies for both your current job and/or future opportunities within the agency.

Employee Name: _____ Date: _____

Department/Division: _____

Job Title: _____

Supervisor: _____

Current classification: _____

Your competency strengths now: _____

Your priority areas for further competency development: _____

Learning and development objectives for enhanced performance in current position: (What competencies do you need developed this year to enhance your performance in your current job?)

Future Career Objective: (What are your career goals within the agency?)

Specific competency development objectives during the next year to support career goals:



The Five-Step Process – Step 3

STEP 3



Regional Training Development Providers – External

Institution	Technical/IT	Leadership, Management or “Soft Skills”	Other Programs or Certifications	Degree(s)	Website
CalHR: - Classroom training - Online training - Self-paced learning resources	IT Professional Classes: - Communication - Customer Focus - Fostering Diversity - General Government - Health Safety and Risk Mgmt.	Includes Executive and Managers & Supervisor core training	Analyst Training: - Analytical Thinking - Communication - Customer Focus - Fostering Diversity - General Government - Health, Safety and Risk Mgmt. - Personal and Professional Development	N/A	http://www.calhr.ca.gov/training/Pages/main.aspx
CA Department of Technology - Classroom training - Online training - PACE (state online e-learning site)	E.g., - MFRAME Intro to JCL - MFRAME INTRO TO TSO/ISPF - CA-PMM PORTFOLIO MGMNT. - MFRAME Z/OS JCL ADVANCED PROJECTS	IT Leadership Academy (one year program including focus on: -Strategic Planning -Collaborative Management -IT Procurement -State Budget Process -Contracting and Vendor Mgmt.		N/A	Office of professional development: http://www.cio.ca.gov/opd/

Preparing Participants



The Five Step Process – Step 3

Summary of Preparing Participants

Inform Participants of purpose, goals and demand of program

Communicate commitment required

Prepare Individual Development Plans

Communicate Resources for Development



The Five-Step Process

STEP 1

Identifying
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Progress &
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Achievement



The Five-Step Process – Step 4

STEP 4

Developing
Participants

Provide developmental opportunities to prepare participants to succeed in their current and future leadership positions



The Five-Step Process – Step 4

STEP 4

Developing
Participants

**Developmental Opportunities
Group Setting**

**A common base of knowledge, skills and
abilities across the key leadership ranks**



The Five-Step Process – Step 4

STEP 4

Developing
Participants

**Opportunities provided on an
individual basis**



The Five-Step Process – Step 4

STEP 4

Developing
Participants

Opportunities for participants to
operate in fellow leader workgroups



The Five-Step Process – Step 4

Knowledge management methods

STEP 4

Developing
Participants

Formal Training

Web Based Training

OE / MyPLN



The Five-Step Process – Step 4

Knowledge management methods

STEP 4

Developing
Participants

**Books, Journals,
Videos**

On the Job Training



The Five-Step Process – Step 4

Knowledge management methods

STEP 4

Developing
Participants

Action Learning

Mentoring Programs



The Five-Step Process – Step 4

Knowledge management methods

STEP 4

Developing
Participants

**Developmental
Assignments**

**Stretch
Assignments**



The Five-Step Process – Step 4

STEP 4

Developing Participants



Developmental Pathway Table

Example of table for determining current plus future needed developmental paths for closing competency gaps.

Competency	Internally Provided			Externally Provided	
	Courses , workshops, academies	OJT resources	Self-learning resources	Professional organizations	Courses, certificates, academies
+ Learning Desiring and making an effort to acquire new knowledge and skills for work. Concern for the acquisition of new job knowledge. Behavioral indicators: <ul style="list-style-type: none"> • Demonstrates an understanding of new information • Masters new technical and organizational concepts and information • Builds on strengths and addresses weaknesses • Curious • Pursues self-development on a continual basis • Seeks feedback from others and is receptive to new ideas and perspectives • Seeks opportunities to master new knowledge 					



The Five-Step Process – Step 4

Training Development Resource List

STEP 4

Developing Participants



Regional Training Development Providers – External

Institution	Technical/IT	Leadership, Management or "Soft Skills"	Other Programs or Certifications	Degree(s)	Website
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The Five-Step Process – Step 4

STEP 4

Developing
Participants

Summary

Provide developmental
opportunities to Participants

Provide Resources for Training
and Development



The Five-Step Process

STEP 1

Identifying
Key Positions

STEP 2

Identifying
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STEP 3

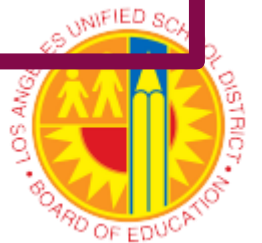
Preparing
Participants

STEP 4

Developing
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The Five-Step Process – Step 5

STEP 5

Monitoring
Progress &
Recognizing
Achievement

Outcome 1:
Individual Progress Report



The Five-Step Process – Step 5

STEP 5

Monitoring
Progress &
Recognizing
Achievement

Outcome 2:
Class Progress Report



The Five-Step Process – Step 5

STEP 5

Monitoring
Progress &
Recognizing
Achievement

Outcome 3:
Participant Satisfaction Survey



The Five-Step Process – Step 5

STEP 5

Monitoring
Progress &
Recognizing
Achievement

Continuing program support,
communication and recognition

Assessing Program Metrics



The Five-Step Process – Step 5



STEP 5

Monitoring
Progress &
Recognizing
Achievement

Sample: Succession Planning Oversight Committee (SPOC) Report

Sr. Leader	Goal Period	Competency	Development Assignment	Target completion	Current Status	Notes
Deputy Director X	FY16-17	Negotiation Skills	Negotiation Skills Workshop through CSUSB continuing education program	Q3 FY17	Enrolled to start September	Practical application will include involvement in upcoming labor agreement negotiation cycle
Deputy Director Y	FY16-17	Coaching Staff for Improved Performance	Executive Coaching program with Dr. S. Valdez, High Impact Consulting	Q4 FY17	Two sessions of the 12 session program have been completed	At program conclusion will conduct executive team briefing on coaching principles for managers



The Five-Step Process – Step 5



Core Competencies - Behaviorally Anchored Rating Scales

Competency - Adaptability/Flexibility: Reacts to change in a positive manner, quickly adapting work methods or learning and implementing new work methods or procedures. Adapts to changes in assignments and priorities. Maintains composure in the face of competing or conflicting demands, ambiguous assignments, interruptions and distractions. Makes effective decisions and achieve desired results in the midst of changes in responsibilities, work processes, timeframes, performance expectations, organizational culture or work environment. Maintains stable performance under pressure or opposition. Shows resilience.

Key Performance Indicator	1	2	3	4	5
	Unsatisfactory	Needs Development	Meets Expectations	Exceeds Expectations	Greatly Exceeds Expectations
Performance Amidst Change and Pressure	Resists change. Unable to maintain performance and composure under pressure; decision-making adversely affected.		Adapts as needed to get job done. Remains calm and focused amidst change and typical work pressures.		Anticipates, drives, and champions change. Proactively adapts to new challenges. Flourishes under unusual work pressures.

Applied Expertise: Produces high quality work products, services, and solutions through application of knowledge and expertise which uphold our standards of excellence. We do not settle for less than excellence in all that we do individually or organizationally.

Key Element	1	2	3	4	5
	Unsatisfactory	Needs Development	Meets Expectations	Exceeds Expectations	Greatly Exceeds Expectations
Job Knowledge	Fails to keep current and knowledgeable within core job.		Uses knowledge and expertise to produce quality deliverables.		Expands knowledge and expertise throughout year to produce outstanding deliverables.
Products and Services Excellence	Work products and services are of poor quality.		Work products and services are good.		Work products and services are exceptional.

STEP 5

Monitoring
Progress &
Recognizing
Achievement



The Five-Step Process – Step 5

Balanced Scorecard

STEP 5

Monitoring
Progress &
Recognizing
Achievement

	GOAL #1	GOAL #2	GOAL #3	GOAL #4	GOAL #5	GOAL #6	GOAL #7	GOAL #8	GOAL #9	GOAL #10
Objective	Employee Participation	# Activity Levels Completed	% Activity Levels Completed	Gap Closure	Development Ratio	# of Internal Applicants	# of Internal Applicants Promoted	Ratio of Internal Promotions	Time to fill Positions	High Potential Attrition Rates
Target	Have a minimum of 10 participants in the development program/month	Have a minimum of 150 development hours completed/month	Minimum of 20 total OJT Assignments completed for the year	Participants must complete a minimum of 75% of development activities per schedule on average for the year	Participants must close at least an average of 75% of identified gaps per schedule after development activities are performed	The ratio of OJT vs. external development must average at least 50% for upper level Executives	A minimum average of 30% internal applications for leadership openings	A minimum of 50% of leadership positions are filled internally	An average maximum of 45 calendar days to fill leadership positions	15% attrition rates among high potential employees
	< 5 Participants	< 100 Development Hours	< 10 Assignments completed	< 50% completed development activities	< 50% of identified gaps closed	< 33% OJT ratio	< 20% Internal Applications	< 33% Internal Promotions	> 60 days to fill leadership positions	> 20%
	5-9 participants	100 - 149 Development Hours	10-19 Assignments Completed	50% - 74.9% completed development activities	50% - 74.9% of identified gaps closed	33% - 49.9% OJT ratio	20% - 29.9% Internal Applications	33% - 49.9% Internal Promotions	46 - 60 days to fill leadership positions	16% - 20%
Goal	>= 10	>= 150 Development Hours	>= 20 Assignments	>= 75% completed development activities	>= 75% of identified gaps closed	>= 50% OJT ratio	>= 30% Internal Applications	>= 50% Internal promotions	<= 45 days to fill leadership positions	<= 15% High Potential
Oct. 2016	5	155	2	50.0%	60%	50%	N/A	75%	60	0%
Nov. 2016	4	150	4	65.0%	50%	75%	35%	50%	50	20%
Dec. 2016	7	165	3	80.0%	45%	50%	30%	50%	53	10%
Jan. 2017	10	90	2	78.0%	65%	80%	22%	60%	45	12%
Feb. 2017	12	170	5	65.0%	50%	60%	15%	75%	56	20%
Mar. 2017	4	122	4	60.0%	45%	68%	N/A	50%	43	0%
Apr. 2017	15	150	3	85.0%	45%	50%	40%	50%	50	14%
May 2017	8	169	1	70.0%	70%	50%	25%	50%	55	10%
Jun. 2017	9	106	5	40.0%	45%	100%	25%	50%	48	10%
Jul. 2017	12	115	2	90.0%	50%	45%	40%	33%	50	3%
Aug. 2017	11	145	3	80.0%	90%	40%	50%	33%	48	12%
Sep. 2017	11	180	4	80.0%	45%	35%	35%	75%	62	15%
FY2016 YEAR-TO-DATE	9	151	38	70.3%	54%	59%	32%	55%	52	14%



Succession Planning

Summary

- Defined Succession Planning
- Described a five-step process for creating a Succession Plan for your department
- Described the purpose of each step, key principles, intended outcomes for the succession plan
- Learned the tools embedded in each step to help you begin your journey in developing future leadership and guarding institutional knowledge



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Succession Planning

End of
Presentation

