INTERNATIONAL PUBLIC MANAGEMENT ASSOCIATION for HUMAN RESOURCES

HR-CENTER

April 2008

Succession Planning

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Solutions for **Public HR Excellence**

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HR Center Series

Succession Planning

The HR Center has compiled the following policies based on IPMA-HR member feedback and facts from the field. This publication provides an overview of a subject, with concrete examples to serve as models for your own work. The HR Center Series is available free to IPMA-HR members.

As we develop resources, we rely heavily on **your** insights, policies and other materials, so others may learn from your experience. Thank you to all who have contributed; we look forward to your continued support. If you have any questions or comments, please contact:

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If you have **additional information on succession planning**, please forward the material, via email, to IPMA-HR. Thanks in advance for your help.

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HENRICO COUNTY, VIRGINIA
SUCCESSION MANAGEMENT

According to the U.S. Department of Labor, the number of people between the ages of 16 and 34 will decline over the next decade, while the 55 and over age group will dramatically increase. Henrico County's Human Resources Department forecast in 2000 that 29 percent of upper managers would be eligible for full retirement by 2005. A review of this data in 2003 revealed a trend: 44 percent of upper managers would be eligible for full retirement by 2008.

It is because of these and other statistics that Henrico County researched and implemented a S*uccession Management Program*. This initiative addressed two concerns: 1) the loss of intellectual capital in key positions as upper managers become eligible to retire in record numbers, and 2) the decreasing number of younger adults in the workforce available to develop the skills necessary to move into higher-level positions. The program consisted of two phases. Phase One taught supervisors how to guide employees through a professional development process using Individualized Learning Plans. Phase Two provided information to upper managers on strategies for helping them develop subordinate managers for the purpose of planning for succession.

Five steps for an effective succession management program were described to upper managers. They were: 1) Identifying Key Positions for Succession; 2) Identifying Competencies of Key Positions; 3) Developing Employees; 4) Assessing Results of Development; and 5) Evaluating the Program. They also were given tools for employee development that addressed the unique learning needs of upper managers.

It was critical to the success of Henrico County that important knowledge and skills not be lost as key managers retire. This initiative was aimed at promoting a culture of learning and development throughout the County; to communicate the need for a structured developmental process for upper managers; and to provide practical tools to employees as they implemented learning plans. Using a developmental approach, a learning culture emerged with dramatic evidence that managers were effectively supervising the developmental activities of their employees, and that the managers themselves were involved in activities critical to the possession of the skills necessary to take over higher levels of responsibility. The results have been spectacular. In the two years leading up to the implementation of the succession management initiative, only two of seven upper manager positions were filled with internal candidates. During the first two years of this initiative, internal candidates filled all eight upper management position vacancies. This trend continues, with a total of 29 of 34 appointments of internal candidates to upper management County positions since the initiative was introduced. In November 2003, the County widened the impact of this initiative when middle managers were identified as "key position holders." These middle managers are now also involved in the process of knowledge transfer and development of subordinate managers.

The two components of this program -- *using individualized learning plans to prepare for upper management succession and promoting a culture of learning and development throughout the county* -- both represent an innovative way to prepare any organization for the challenges it faces on a daily basis and for the future challenges it will face. The term "learning organization" is heard often but rarely implemented with specific, measurable objectives as a key component. Providing learning opportunities for all employees in a structured, creative manner while planning for its upper management succession is quite an achievement for any organization. Providing these same opportunities in a way that is fair to individual employees, yet meets the needs of the greater organization, is considered exceptional and unique.

That is why the County of Henrico's Human Resources (HR) Department recently earned national and local recognition for its outstanding and innovative *Succession Management Program*. The National Association of Counties (NACo) honored Henrico with an Achievement Award—just one of 37 innovation awards that the County's HR Department has earned from NACo during the past 20 consecutive years. The Richmond Human Resources Management Association and Workforce One also presented the County with an *All Star Award*. This latter award recognized a single employer who best demonstrated a commitment to lifelong learning and employee development. Organizations across the United States and Canada have contacted Henrico County in an effort to learn from their phenomenal success. Numerous magazine and newspaper articles, and white papers have been written featuring the County's unique "develop then select" approach to succession management.

According to George H. Cauble, Jr., Henrico's Director of Human Resources, "…Henrico County is working hard to maintain leadership continuity both now and in the future so as to ensure the knowledge acquired by those in key positions in the County will not leave when these individuals do."

Sheryn Holinsworth is a human resources manager for the County of Henrico in Richmond, VA, in the Employee Development and Training Division. Sheryn also published a case study in the 2004 winter issue (Vol. #33-4) of the Public Personnel Management journal titled: Succession Management: A Developmental Approach.

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Succession Planning

October 2007

OPM Guidance

- **Succession Planning Process**
  http://www.opm.gov/hcaaf_resource_center/assets/Lead_tool1.pdf
- **Effective Succession Strategies**
  http://www.opm.gov/hcaaf_resource_center/assets/Lead_tool2.pdf
- **Leadership Succession Management Critical Success Factor**
  http://www.opm.gov/hcaaf_resource_center/4-3.asp

Public Sector

- **Executive Succession Reconsidered: Planning for Public Service Renewal (Public Service Commission on Canada)**
  http://www.psc-cfp.gc.ca/centres/reports-rapports/esr-rrd/index_e.htm
- **Succession Management Strategy (Government of Alberta, Canada)**
  http://www.pao.gov.ab.ca/?file=learning/framework/succession-management
- **Passing the Torch: Managing Succession in the Western Australian Public Sector (Government of Western Australia)**
  http://www.dpc.wa.gov.au/psmd/pubs/wac/managesucc/contents.html
- **Workforce and Succession Planning (New York State)**
  https://www.cs.state.ny.us/successionplanning/index.cfm
- **Workforce Status and Succession Planning Needs (New York State--Department of Motor Vehicles)**
  http://www.cs.state.ny.us/successionplanning/agyinitiatives/dmvworkforcereport.html

Studies & Reports

- **Posthearing Questions Related to Succession Planning and Management—November 14, 2003 (GAO-04-270R)**
  http://www.gao.gov/new.items/d04270r.pdf
- **Succession Planning and Management Is Critical Driver of Organizational Transformation—October 1, 2003 (GAO-04-127T)**
  http://www.gao.gov/new.items/d04127t.pdf
- **Retirement Trends Underscore the Importance of Succession Planning—May 12, 2000 (GAO/GGD—00-113BR)**
  http://www.gao.gov/archive/2000/gg00113b.pdf

Resources

- **Workforce and Succession Planning—Planning Guide (State of New York)** https://www.cs.state.ny.us/successionplanning/planning/index.html
- **Workforce and Succession Planning—Tools & Resources (State of New York)** https://www.cs.state.ny.us/successionplanning/resources/index.html

Articles

- **Strengthening Your Leadership Bench with External Succession Planning** Pt 1 & 2 by Dr. John Sullivan (ERE 1/24/05 & 1/31/05)
  http://www.ere.net/articles/db/CA25F01AEB9D4EB8838891D4FD4F8301.asp Pt 1
  http://www.ere.net/articles/printer.asp?d=H&CID={CA25F01A-EB9D-4EB8-8388-91D4FD4F8301}
  http://www.ere.net/articles/db/CC93E84770DD4990A09C3D123EFA6B70.asp Pt 2
  http://www.ere.net/articles/printer.asp?d=H&CID={CC93E847-70DD-4990-A09C-3D123EFA6B70}
- **3 Ways Recruiting Can Help Succession Planning** by Kevin Wheeler (ERE 4/14/04)
  http://www.ere.net/articles/db/ED7948AD25504BE88E24875C09419663.asp
  http://www.ere.net/articles/printer.asp?d=H&CID={ED7948AD-2550-4BE8-8E24-875C09419663}
- **From Succession Planning to Scenario Planning** by Kevin Wheeler (ERE 12/3/03)
  http://www.ere.net/articles/db/0855FDF16B274EA0B2AA8ACF52CE52BE.asp
  http://www.ere.net/articles/printer.asp?d=H&CID={0855FDF1-6B27-4EA0-B2AA-8ACF52CE52BE}
- **Workforce Succession Planning Helps Cultivate Leaders, Officials Say** by Tanya Ballard (GovExec.com 10/1/03)
  http://www.govexec.com/dailyfed/1003/100103t1.htm
- **Recruiting and Succession Planning: Three Tips on Getting Involved** by Kevin Wheeler (ERE 8/20/03)
  http://www.ere.net/articles/db/D13F187270EF4754B23A41898435EAEB.asp
  http://www.ere.net/articles/printer.asp?d=H&CID={D13F1872-70EF-4754-B23A-41898435EAEB}
- **Succession Planning—How (And Why!) To Make Yourself Obsolete** by Paula Gamonal (2003)
  http://www.ravenwerks.com/leadership/succession.htm
- **Identifying Top Performers For Succession and Workforce Planning** by Dr. John Sullivan (ERE 9/30/02)
  http://www.ere.net/articles/db/C59D339FE6AC40309CE4E4F5649C9F9A.asp
  http://www.ere.net/articles/printer.asp?d=H&CID={C59D339F-E6AC-4030-9CE4-E4F5649C9F9A}

Books

- **Grow Your Own Leaders: How to Identify, Develop, and Retain Leadership Talent** by William C. Byham, Audrey B. Smith, Matthew J. Paese
  http://www.amazon.com/exec/obidos/tg/detail/-/013009398X/ref=pd_sim_books_1/002-7657562-3254433?v=glance&s=books
- **CEO Succession: A Window on How Boards Can Get It Right When Choosing a New Chief Executive** by Dennis C. Carey, Dayton Ogden, Judith A. Roland, John A. Byrne
  http://www.amazon.com/exec/obidos/tg/detail/-/0195127137/ref=pd_sim_books_2/002-7657562-3254433?v=glance&s=books

- **Building Leaders : How Successful Companies Develop the Next Generation** by Jay A. Conger, Beth Benjamin http://www.amazon.com/exec/obidos/tg/detail/-/0787944696/ref=pd_sim_books_5/002-7657562-3254433?v=glance&s=books
- **The Center for Creative Leadership Handbook of Leadership Development** by Cynthia D. McCauley (Editor), Russ S. Moxley (Editor), Ellen Van Velsor (Editor) http://www.amazon.com/exec/obidos/tg/detail/-/0787909505/ref=pd_sim_books_3/002-7657562-3254433?v=glance&s=books
- **Effective Succession Planning: Ensuring Leadership Continuity and Building Talent from Within** by William J. Rothwell http://www.amazon.com/exec/obidos/tg/detail/-/0814402062/ref=pd_sim_books_1/002-7657562-3254433?v=glance&s=books
- **Systematic Succession Planning: Building Leadership from Within (50-Minute Series)** by Rebecca Luhn Wolfe http://www.amazon.com/exec/obidos/tg/detail/-/1560523808/ref=pd_sim_books_2/002-7657562-3254433?v=glance&s=books

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City of Modesto

Team for Tomorrow

Jan 11, 2008

INTRODUCTION:

Team for Tomorrow/Workforce Planning Program.

In the Management Partners Final Report on our Organizational Health Assessment (dated February 2007) several key issues were identified, specific to this document it was recommended the City of Modesto develop a succession and workforce planning program.

This report identified the root cause of concern being the significant turnover of key management positions in the last several years and the difficulty of filling these positions in addition, demographers are predicting a "perfect storm" of an aging workforce that cannot be replenished by the less populous generations behind them, especially without a formal human resources development program.

The implementation of a succession and workforce planning program will increase the City of Modesto’s ability to replace experienced managers with quality leaders and provide a trained workforce to continue providing quality and uninterrupted service to the Citizens of Modesto. It also will decrease the City’s vulnerability of worker shortages and competition for employees from the private sector and other local government agencies.

The direct impact on the City of Modesto will be seen in the next three to five years. The City of Modesto will be faced with the largest wave of retirements in its history. This situation will first be seen at the senior to middle leadership levels but will ultimately affect all levels. It is predicted that the City of Modesto will not have the required worker pool to recruit from to replace the departing workforce. This concern is not only a local or national issue but a world wide issue of a shortage of workers for current and future positions.

To address this unprecedented drain of human capitol, the City of Modesto will establish a succession and workforce planning program that will serve to develop, train, educate, mentor, and will include the establishment of an internship program and a retiree workforce program. We must focus our efforts to this process and support it from all levels of the organization and must consider this a vital issue that warrants proper funding and continuous monitoring and management. It must also support the City of Modesto’s Strategic Plan wherever applicable.

I am confident this program will prepare us for the challenges we will face in selecting, replacing, and managing not only our leaders but our entire workforce.

DEFINITONS:

Succession planning: is the process of developing all employees (on a voluntary basis) who wish to progress in their respective careers to both leadership and/or non-leadership positions requiring additional skills and responsibilities.

Workforce planning: is the process of reviewing and updating organizational structure (organizational charts) and job descriptions (classifications) at both the department level as well as citywide to increase and maximize efficiency of the entire City of Modesto workforce.

Team for Tomorrow (TFT): is the official title of the City of Modesto Succession and Workforce planning program.

Career Progression Road Map: The Career Progression Road Map is the actual individual succession plan. It is a graphic/visual plan that identifies what employees must accomplish to progress in their career to their desired goal. It also establishes a timeline for the completion of the listed tasks; however, this time line is for guidance only and will not affect the employee in anyway if the time table is not met. Roadmaps are working documents that can and will be adjusted as required throughout the employees' participation in the TFT program; however, the employee must accomplish all tasks as required on the road map before advancement, promotion or selection is approved. *Refer to Attachment #1 (Sample Career Progression Roadmap)*

Developmental Assignments: Developmental assignments can be either internal to the department or external to the department. Both internal and external developmental assignments are described as temporary assignments not to exceed 6 months and may be on a part-time basis. For example: An employee is allowed to work in another area in their department or in another department in any combination of days, times, or duration as agreed upon by the employee, supervisor and the Directors of Departments concerned. The purpose for this assignment is to allow employees the opportunity to gain experience in other areas that will benefit them and the City in future assignments. *Refer to Attachment #2 (Developmental Assignments)*

TFT Steering Committee (Steering Committee): The Steering Committee consists of Senior Representatives from each department.

TFT Department Workgroups (Workgroups): Workgroups consist of representatives from each division, section or office of each department. Workgroups may vary in size from department to department.

University Modesto: University Modesto is the educational component of the TFT program and consists of the Corporate Training Program and the Formal Education Program. *Refer to Attachment #3 (University Modesto)*

Corporate Training: Corporate training is the internal training program that supports the three levels of training for the TFT program. The three levels of training are the Supervisor, Manager and Senior Manager. This training will be conducted during normal work hours with all cost incurred by the City of Modesto.

Formal Education: Formal education is the external training program coordinated with local Colleges and Universities to provide onsite (TSP) Degree programs. These programs will be provided after work hours and all costs will be the individual's responsibility. The Educational Partnership Program can be used by the individual for this program.

Mentorship: The mentorship program is designed to provide mentors to those individuals in the TFT program to help them develop in their careers by providing profession guidance, support and transfer of knowledge from seasoned mentors. *Refer to Attachment #4 (Mentorship Program)*

Performance Evaluation: The current performance evaluation process will be utilized in direct support of this program. *Refer to Attachment #5 (Performance Evaluations)*

Internship: This program is designed to provide direct support to the Workforce Planning Program by providing opportunities for individuals from local Colleges and Universities to learn about local government, specifically the City of Modesto with the end result of creating a pool of qualified candidates to fill entry level positions. *Refer to Attachment #6 (Internship program)*

Retiree program: This program is designed to provide direct support to the Workforce Planning Program by retaining the valuable institutional knowledge the retiring workforce will take with them. This program will attempt to bring retirees back to the workplace in a part-time (960 hours) status to fill in any workforce gaps and to retain and provide a transfer of institutional knowledge to current employees. *Refer to Attachment #7 (Retiree Program)*

Succession Wizard: Is the computer program that will be used to manage the TFT program. *Refer to Attachment #8 (Succession Wizard)*

RESPONSIBILITIES:

Personnel Department:

The City Personnel Department will maintain overall responsibility for this program. This is a city wide program; however the program must take into consideration the diversity of each department and will be managed through a three level process as follows:

Level one: Organizational Development Specialist (ODS)

1. The ODS will develop, implement, and manage the TFT program and act as the TFT program manager.

2. The ODS will manage the Succession Wizard program. Develop and conduct training for Supervisors and Managers on a quarterly basis.

3. The ODS will develop and conduct training for all employees in the TFT program. During the initial program implementation period (the first 60-90 days) the ODS will schedule training for all employees. Training on the TFT program will also be conducted on a quarterly basis and a brief overview of the TFT program will be provided at all New Employee Orientations. *Refer to Attachment #9, Implementation Process.*

4. The ODS will be available to all employees, steering committee, and workgroups for any and all TFT questions or concerns.

5. The ODS will schedule and facilitate all Steering Committee meetings.

Level two: Steering Committee.

Succession planning: The Steering Committee will develop, establish and implement the following actions:

1. Establish policy and procedures for the city-wide program.
2. Develop and maintain the process that will allow employees to transfer, cross train and be promoted on a city wide basis to the extent possible by their respective Knowledge, Skills and Abilities (KSA), classification and other parameters established by this committee.
3. Develop career progression road maps for those classifications identified by the workgroups that can cross department lines.
4. Establish policy and procedures for the Developmental Assignment Program.
5. Establish policy and procedures for the Corporate and Formal Education programs.
6. Establish policy and procedures on how the current Performance Evaluation Process will be used to support this program.
7. Develop policy and procedures for the Mentorship program.
8. Develop policy and procedures for the Retiree (retainment and transfer of institutional knowledge) Program.

Workforce Planning: The Steering Committee will develop, establish and implement the following actions:

1. Review and update organizational structure (organizational charts)
2. Review and update Job descriptions (classifications) at both the department level as well as citywide in order to bridge any gaps/shortages in the workforce and to ultimately increase and maximize the efficiency of all City of Modesto employees.

Level three: Workgroups.

Workgroups will be chaired by the respective steering committee member or his/her designee. Workgroup chair will be responsible for scheduling and facilitating all meetings. The following process will allow each department the ability to manage employees who are unique to their department e.g. Police Officers at the Police Department, Firefighters at the Fire Department or skilled workers such as maintenance personnel.

Succession Planning: The Workgroups will complete the following actions:

1. Review all department classifications (Refer to wall to wall study results).

2. Create career progression road maps for each classification.
3. Complete other tasks as directed by the steering committee.
4. Provide completed career progression roads maps to the TFT Steering Committee.
5. Provide career progression road maps for those classifications that can cross department lines to the TFT Steering Committee.
6. Establish Developmental Assignments within their respective Departments.
7. Complete other tasks as directed by the TFT Steering Committee

Workforce Planning: The workgroups will accomplish tasks as directed by the Steering Committee.

Employee:

1. Each individual employee is responsible for notifying their respective supervisor of their desire to participate in the TFT program.
2. Make continued and satisfactory progress in the program as required by their career progression road map.
3. Keep their Supervisor informed of their status during participation in the TFT Program

Note: It must be remembered and acknowledged in writing that participation in the Team for Tomorrow program will not and does not guarantee advancement or promotion, however, completion of tasks as identified on the individual career progression roadmap and in conjunction with satisfactory performance evaluations will make the respective employee more competitive for future advancement and/or positions. *Refer to Attachment #10 (TFT Participation Agreement)*

Supervisor/Manager:

1. The supervisor in coordination with the employee will create a career progression roadmap.
2. Assist the employee in the completion of roadmap requirements.
3. Supervisors will at a minimum review with the employee their respective career progression roadmaps on an annual basis during the employees' annual performance evaluation.
4. The supervisor will enter the information from the roadmap and other respective information into the succession wizard program.

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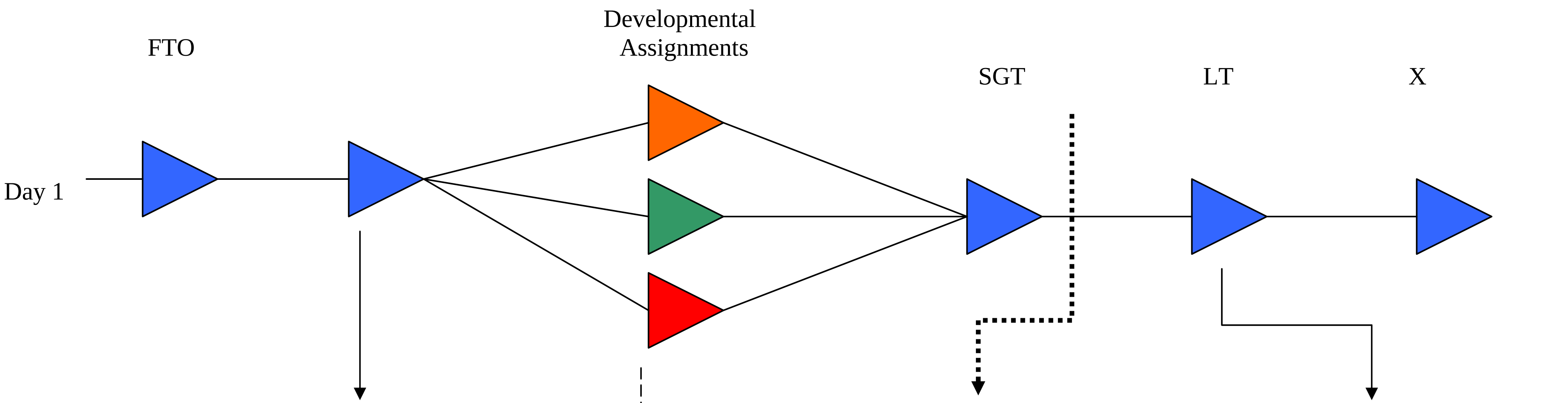
Attachment #1, Sample Career Progression Road Map



DEPARTMENT TRAINING

Supervisor Level Police Specific development training (POST/CALEA)

Manager Level Police Specific development training (POST/CALEA)

Sr Manager Level Police Specific development training (POST/CALEA)

UNIVERSITY MODESTO-
Team for Tomorrow

Track I

Supervisor Certificate City wide

Manager Certificate

Sr Managers Certificate

FORMAL EDUCATION

AA Degree/Modesto Junior College

BA Degree (Organization Behavior) University of the Pacific

MA Degree

Track II

Administrative Career Progression Road Map

Administrative Office Assistant II →	Administrative Office Assistant III →	Account Clerk I/II →	Senior Administrative Office Assistant →	Office Supervisor
Eighteen months clerical experience or twelve months as an Administrative Office Assistant I with City of Modesto.	Two years clerical experience of which one year at journey level or one year as AOA II with City of Modesto.	I - One year general clerical experience. II - Two years experience equivalent to account Clerk I with City of Modesto.	Three years office administrative support/clerical experience of which two years at the advanced level requiring exercise of independent judgment or two years as AOA III with City of Modesto.	Three years journey level administrative support experience; including one year providing technical and functional supervision over assigned personnel.
Equivalent to graduation from high school.	Equivalent to graduation from high school. Vocational or college level course work in business administration or a related field is desirable.	Equivalent to completion of twelfth grade.	Equivalent to graduation from high school supplemented by vocational or college level course work in administration and/or technical subjects related to area in which assigned.	Equivalent to completion of twelfth grade supplemented by specialized secretarial coursework.
Valid California Drivers License (specific positions only).	Valid California Drivers License (specific positions only).	Valid California Drivers License.	Valid California Drivers License.	Valid California Drivers License.

Created 01-04-08

Attachment #2, Developmental Assignments

Developmental Assignment Program

Developmental assignments can be either internal to the department or external to the department. Both internal and external developmental assignments are described as temporary assignments not to exceed 6 months and may be on a part-time basis. For example: An employee is allowed to work in another area in their department or in another department in any combination of days, times, or duration (not to exceed 6 months) as agreed upon by the employee, supervisor and the Directors of the Departments concerned. The purpose for this assignment is to allow employees the opportunity to gain experience in other areas that will benefit them personally and the City as a whole in future assignments.

When the initial Career Progression Roadmap is prepared, the supervisor and employee will agree upon the type of assignment, location, duration and schedule to be adopted.

The type of assignment will be determined by what the desired future goals of the employee are. There are no minimum or maximum number of required assignments. The intent is to provide the employee opportunities to experience and learn in other areas in either the same department or another department. The supervisor is responsible for coordinating assignments for the employee as required.

Supervisors will monitor the progress of assignments to insure that proper leaning environments are established and the desired learning objectives are accomplished. The succession wizard program will be used to record successful developmental assignment information.

Problems in coordinating developmental assignments will be addressed with the Personnel Office (Attention ODS). The ODS will work with the respective departments to resolve issues.

Attachment #3, University Modesto

Introduction:

University Modesto

The primary goal of University - Modesto is to have the highest trained employees providing the highest quality of service to the Citizens of Modesto. The name "University – Modesto" is significant because we want employees to know The City of Modesto has made employee training a priority and is taking it to a level not seen before by any city or local government.

University Modesto has two separate but intertwined components to the program. Component one (University Modesto - Team for Tomorrow) will be in direct support of the Team for Tomorrow succession planning program and Component two (University Modesto – Yearly Training) will consist of general training subjects conducted for all employees at all levels and will include mandated training requirements as well as general training subjects to be taught throughout the year.

The Personnel Department will manage University - Modesto and is responsible for creating college curriculum, class syllabus, recruiting (internal/external) instructors, training (internal/external) instructors, scheduling training, and coordinating classrooms.
The training programs will be continuously updated to meet the needs of the employees and will be flexible to allow training ranging from one time subjects to annual training requirements.

In developing this program, Modesto Junior College and the University of the Pacific have agreed to work with the City of Modesto in developing certificate and degree programs to be taught at Ten Street Place (TSP). In addition, these educational institutions have agreed to review our internal training programs with the possibility of awarding college credits for selected courses or offering certificate programs that will lead into a degree program.

University Modesto - Team for Tomorrow

This program will include training specific to City of Modesto employees and in coordination with local College's and Universities will provide Certificate and Degree programs at the AA/AS, BA/BS and MA/MS level.

University- Modesto will be an <u>all inclusive</u> employee development program. This program will consist of separate Academies that will provide tailored training for employees who choose to participate in the Team for Tomorrow program at three specific levels of the City of Modesto as follows:

Level 1 - Supervisor Academy
Level 2 – Managers Academy
Level 3 – Senior Managers Academy

Academies:

Supervisor Academy (Level I):

Level I will provide a certificate program to be taught during work hours “weekly, hour class meetings”. Completion of a certificate will meet the educational component of the Team for Tomorrow Career Development Roadmap. If an employee chooses to pursue an Associate of Arts Degree they will have the opportunity to attend evening classes (at their own expense and/or using Educational Partnership Program funding “if available”) at Ten Street Place conducted by Modesto Junior College. The respective degree programs will recognize and accept the 12 units earned in the Supervisor Academy Certificate Program.

Supervisor Certificate will be awarded by the City of Modesto and Modesto Junior College.

Course #	Course Title	Units
SUPR 106	Organizational Communication	3 units
SUPR 351	Elements of Supervision (Non-Transfer)	3 units
BUSAD 240	Principles of Management	3 units
BUSAD 248	Introduction to Business	3 units
	Total units for Certificate	12 units

AA Degree in Supervision Management will be awarded by Modesto Junior College.

Courses required for degree completion:		
Course #	Course Title	Units
BUSAD 274	Human Resource Management	3 units
SUPR 364	Total Quality Management	3 units
BUSAD 210	Business Communication	3 units
	Total	9 units

General Education Requirements:		
Course #	Course Title	Units
Guidance requirement	Guide 110, (Page 61, Catalog)	.5 unit
Activities Requirement	English 108, Creative Writing, Autobiography	2 units
Natural Sciences	Complete 3 units (Page 62, Catalog)	3 units
Social & Behavior and Sciences	Complete 3 units (Page 62, Catalog)	3 units
Humanities	Complete 3 units (Page 62, Catalog)	3 units
Language and Rationality	Complete 6 units (Page 62, Catalog)	6 units
Health Education	Complete 3 units (Page 62, Catalog)	3 units
	Total units for General Education	20.5 units

Grand total: 60.5

To complete this A.A. Degree an individual must complete the 12 units in the Certificate Program + 9 units in electives for a total of 21 units + 20.5 units of general education for a total of 60.5 units. Please note life experience, some corporate training, and other prior training may be accepted by MJC as credit for some of the above requirements.

Managers Academy (Level II):

Level II will provide a certificate program to be taught during work hours "weekly, hour class meetings". Completion of a certificate will meet the educational component of the Team for Tomorrow Career Development Roadmap. If an employee chooses to pursue a Bachelor of Arts Degree they will have the opportunity to attend evening classes (at their own expense and/or using Educational Partnership Program funding "if available") at Ten Street Place conducted by The University of the Pacific. The respective degree programs will recognize and accept the 12 units earned in the Managers Academy Certificate Program.

Managers Certificate awarded by the City of Modesto and The University of the Pacific.

Course #	Course Title	Units
	Introduction to Organizational Communication	3 unit
	Advanced Professional Writing	3 unit
	Accounting and Financial Statement Analysis	3 unit
	Professional Communication	3 unit
	Total units	12units

BA Degree in Organizational Behavior will be awarded by The University of the Pacific.

Course #	Course Title	Units
	Introduction to Ethical Theories	3 unit
	Organizational Structure and Design	3 unit
	Public Relations: Principles and Marketing	3 unit
	Applied Research	3 unit
	Issues in Decision Making	3 unit
	Introduction to Organizational Behavior	3 unit
	Social Psychology	3 unit
	Computer Applications Software	3 unit
	Economic Principles and Problems	3 unit
	Organizational Social Psychology	3 unit
	Organizational and Managerial Development	3 unit
	Semantics and Critical Thinking for Adults	3 unit
	Research Methods: Quantitative and Qualitative	3 unit
	Issues in Human Resource Management	3 unit
	Total Units	42 units

Managers Academy (Level II): ** Please see notes below.

Level III will provide a certificate program to be taught during work hours "weekly, hour class meetings". Completion of a certificate will meet the educational component of the Team for Tomorrow Career Development Roadmap. If an employee chooses to pursue a Master of Arts Degree they will have the opportunity to attend evening classes (at their own expense and/or using Educational Partnership Program funding "if available") at Ten Street Place conducted by Chapman University. The respective degree programs will recognize and accept the 12 units earned in the Senior Manager Academy Certificate Program.

Senior Manager Certificate will be awarded by the City of Modesto and Chapman University.

Course #	Course Title	Units
	Total units	12units

MA Degree in Organizational Leadership will be awarded by Chapman University.

Course #	Course Title	Units
	Total Units	42 units

**Note: The Senior Managers Certificate is still under development between the City of Modesto and Chapman University.

If funding is an issue (which is a high possibility) we will develop the certificate programs and host the respective organizations in the building to provide their respective degree programs in an evening class format. (This is our fall back plan)

Attachment #4, Mentorship Program

Mentorship Program

The mentorship program is a voluntary program for those employees interested in having and working with a mentor.

RESPONSIBILITIES:

The Organizational Development Specialist:

1. The ODS will develop and establish a list of those individuals who would be willing to be mentors.
2. The ODS will develop, schedule and conduct classes on the duties and responsibilities for mentors.
3. The ODS will develop, schedule and conduct classes for employees on what to expect from the mentor and the mentorship program

Supervisor and Employee:

Mentors will be assigned in one of two ways:

1. The supervisor may assign a mentor from within the employees respective department or from another department utilizing the list of volunteer mentors developed and published by the ODS.

2. The employee may select a mentor from within their respective department or from another department utilizing the list of volunteer mentors developed and published by the ODS.

Mentors will be available to assist employees with work related problems, concerns and/or processes. It is a program to transfer valuable knowledge and experience from the mentor on ethical, professional and procedural processes to the employees in the continued career progression.

The employee or mentor may terminate from the mentorship program at any time by notifying their supervisor. The supervisor will notify the mentor of the termination.

Attachment #5, Performance Evaluations

Performance Evaluations

Performance evaluations will be a vital and intricate part of the TFT Program. We will continue to use our current performance evaluation system.

Performance code of D – Does not meet expectations: This level of performance does not support the performance level required for continued participation in the TFT program. Employees in this situation will be required to correct work performance issues before returning to participation in the TFT Program.

Performance code M – Meets Expectations: This level of performance is an acceptable performance level for continued participation in the TFT program.

Performance code E – Exceed Expectations: This level of performance is an acceptable performance level for continued participation in the TFT program.

Only the final performance code of D, M. or E will be recorded in the succession wizard program (Assessments Tab). No other comments or notes will be entered into this tab. Specific information on performance comments/notes will be reviewed in the employees personnel file.

Attachment #6, Internship Program

Internship Program

This program is designed to provide direct support to the Workforce Planning Program by providing opportunities for individuals from local High Schools, Colleges and Universities to learn about local government, specifically the City of Modesto with the end result of creating a pool of qualified candidates to fill entry level positions.

The ODS will develop partnerships with local High Schools, Colleges and Universities to provide an ongoing program to have non paid interns in all departments. Interns will be trained in the respective department duties and responsibilities. Interns will have performance evaluations completed on them in the same manner as full time employees. These evaluations will be used to determine if the intern is trained and qualified should a fulltime position become open.

Interns will not be promised or guaranteed employment, however, this experience combined with satisfactory performance evaluations will make the intern more competitive during the selection process.

ODS will coordinate with Departments on their specific intern needs.

Attachment #7, Retiree Program

Retiree Program

This program is designed to provide direct support to the Workforce Planning Program by retaining the valuable institutional knowledge the retiring workforce will take with them. This program will attempt to bring retirees back to the workplace in a part-time (960 hours) status to fill in any workforce gaps and to retain and provide a transfer of institutional knowledge to current employees.

Select Retirees will be contacted and asked if they would like to participate in this program. Those who chose to do so will be put on a list and as funding and opportunities become available will be contacted to participate.

The ODS in coordination with the respective Department will create tasks and goals for the returning retires.

Supervision of Retires will be the responsibility of respective departments.

The Personnel Department/ODS will have overall responsibility for the Retiree program.

Attachment #8 Succession Wizard

Succession Wizard is the computer program that will be used to electronically manage the TFT program. Succession Wizard training will be part of the TFT training program.

The ODS will develop and conduct training for all employees on the TFT program. During the initial program implementation period (the first 90 days) the ODS will schedule training for all employees. Training on the TFT program will also be conducted on a quarterly basis and a brief overview of the TFT program will be provided at all New Employee Orientations.

Attachment #9, Implementation Process

Implementation

The plan for implementation is as follows:

Step	Action (✓ indicates action is complete)	Responsible Individual (s)	Date (s)
1	Present plan to Robin/Barbara for their review ✓	Larry	Jan 11, 2008
2	Review/provide comments/recommendations ✓	Robin/Barbara	Jan 11-28, 2008
3	Present to Steering Committee for review/comments ✓	Larry	Feb 20, 2008
4	Review provide comments/recommendations	Steering Committee	Feb 20-27, 2008
5	Present to SET	Robin/Barbara/Larry	Feb/Mar 2008
6	Meet with Employee Associations	Barbara/Larry	Mar 2008
7	Complete classification roadmaps *	Workgroups	Mar/Apr 2008
8	Conduct TFT Introduction Classes (Supervisors/Managers)	Larry	Mar/Apr 2008
9	Conduct TFT Introduction Classes (Employees)	Larry	Mar/Apr 2008
10	Implement program per department**	Respective workgroup	Apr/May2008

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SECTION 6: LEADER DEVELOPMENT & SUCCESSION MANAGEMENT

"No matter which future course you plot for your business, success will rely on flawless execution. And – in turn – flawless execution will largely depend on your organization's ability to choose and prepare the best possible leaders of tomorrow…. While a handful of organizations are making progress, most still need to close the gap between their current leadership bench strength and the sought-after talent to drive future success."

DDI Directions, September 2007

DART faces the same growing leadership challenges as Fortune 500 companies:

- Increasing expectations of leaders from board and stakeholders
- Increasing numbers of "Baby Boomers" retiring with resulting in loss of organizational knowledge and experience
- Employee disengagement and consequent loss of productivity
- Increasing frequency of change and need for "learning agility" to stay on course
- Rising turnover rates

On DART's Senior Management Team (SMT), 80% of members are at least 50 years old and 37% are over 55. The average DART salaried employee is over 45 with an average tenure of 11 years. In FY07 the Agency's annualized turnover rate – for years a dependable 8% – rose to 10%.

For the "handful of organizations" that makes it a priority, leader development gives a good return on investment. Best practices cited by the nonprofit "think tank" Human Capital Institute include the following:
Executive talent development and succession management must be…

- Owned and lead by top leaders, including the CEO;
- Considered a core business activity rather than an HR project;
- Linked to strategic planning, organizational change efforts and workforce challenges;
- Based on a thorough candidate assessment and regular talent reviews;
- Balanced between the needs of the individual and the organization;
- Focused on a high potential group rather than individual replacements; and
- Based on an understanding that work experience and stretch assignments – not training classes – provide the best development opportunities.

Geoff Colvin, a senior editor at Fortune magazine, offers these observations from public and nonprofit organizations that are successfully addressing future leadership needs:

- Invest time and money.
- Identify promising leaders early in their careers.
- Choose assignments strategically.
- Develop teams, not just individuals.
- Lead through inspiration.
- Encourage leaders to be active in their communities.
- Make leader development part of the culture.

A few public transit agencies are among those acting to ensure continuity of leadership and organizational knowledge. Utah Transit Authority has recently implemented an assessment and development planning process for all managers/project managers and up. Orange County Transportation Authority is in its second year of a complex program of selection, assessment, mentoring, assignments and training. Washington Metropolitan Area Transportation Authority is in its fifth year of a successful, sophisticated program designed to prepare a talent pool to fill superintendent positions (equivalent to DART's AVP level) in all operations areas.

This section of the Workforce Plan proposes a three-part approach to addressing DART's leader development and succession management, targeted to begin implementation by Quarter II FY08:

- **Leadership Risk Management Plan –** to ensure capacity to cover critical job vacancies on short notice
- **Leader Development Program –** to strengthen key competencies of all incumbent leaders
- ***Leadership DART* Succession Management Process –** to grow a pool of talented individuals capable of moving into senior management and executive positions over time

Though closely aligned, each initiative has a different purpose and target population. They are linked by two key elements which are described in greater detail in the Appendix to this Section:

- DART's *Executive Competency Profile* – key competencies required for success in DART's culture now and for at least the next five years
- *Individual Career Development Plan* form – structured support for individuals as they pursue career interests and for leaders as they develop future leaders

LEADERSHIP RISK MANAGEMENT PLAN

Purpose: To assess DART's capacity to fill – or at least bridge – vacancies in mission critical jobs with minimum notice and plan for addressing gaps in that capacity ("replacement plan")

Target audience: All current senior managers, AVP's, VP's (est. 70)

Proposed time lines: Approval by November; final plan-to-plan and procurement request by December; implement Phase I January 2008; complete Phase II by end of June; complete feedback discussions by September; review Plan annually and update as needed.

Owners: Executive Leadership Team, assisted by HR Management Services & external consultants

Implementation/Phase I: The Executive Leadership Team…

1. Agrees on set of criteria for identifying "critical jobs," for example
   - Impact on agency goals
   - Impact on service delivery
   - Legal risks to agency
   - Financial risk to agency
   - Difficulty recruiting/market competition

2. Evaluates all SMT positions against criteria and agrees on jobs to target for replacement planning. For instance, a quick review by HR staff using criteria suggested above resulted in this list:
   - President/Executive Director
   - Sr. VP Project Management
   - Chief of Police
   - Treasurer
   - AVP Rail Operations
   - AVP Facilities Engineering
   - AVP Systems Engineering
   - AVP Construction
   - AVP Fleet Services
   - AVP Bus Operations
   - AVP Ways, Structures & Amenities
   - AVP Information Technology

3. Ranks targeted jobs by both impact and likelihood of a vacancy.

4. Develops competency profile for each targeted job, with help of HR staff.

Implementation/Phase II:

1. Using 360° feedback instrument, personnel file review and other sources, assess all senior managers, Assistant Vice Presidents and Vice Presidents against the executive competency profile and the critical job competencies identified above.

2. With external facilitator and HR staff assistance, ELT analyzes availability of required competencies as revealed by assessment process, identifies gaps and answers the question: *Do we have one or more individuals available in our current talent pool who could successfully perform each mission critical job, at least in an acting capacity for up to a year?*

3. Staff develops and recommends for ELT approval a set of strategies and actions for closing the gaps. Approved strategies, together with the information developed in Phase I, constitute DART's Leadership Risk Management Plan.

Implementation/Phase III:

Each leader who is assessed receives from his/her manager basic feedback on strengths and needs for improvement identified in the process. Where either the individual or DART would benefit from improving an individual's competencies, he/she should be asked to complete an Individual Career Development Plan and pursue specific developmental opportunities, e.g., targeted assignments, executive coaching, training, participation in a professional association, etc.

Required resources:

In addition to executive time and staff support, the cost of this initiative includes external consulting contract(s)/fees for the following:

- Facilitation in Phases I and II
- Designing individual assessment process/instrument
- Advising/designing Phase III feedback process
- Providing executive coaching, as appropriate

LEADER DEVELOPMENT PROGRAM

Purpose: To strengthen critical leadership competencies so individuals most effectively contribute to DART's success; to support career development for the benefit of individual employees and succession management for the benefit of the agency

Target audience: Incumbent leaders who supervise salaried employees and "Leadership DART" participants (est. 200)

Proposed time lines: Approve by November; request for procurement in December; implement March 2008; phase in components through March 2009

Owners: Executive Management Team, assisted by HR Management Services with external resources as needed

Implementation:

Executive Management Team…

- Agrees on critical leadership skills/knowledge and leader competencies required for successful accomplishment of DART's goals through the next five years. *(See draft executive competency profile and research summary in Appendix to this section.)*
- Indicates which competencies to target for internal development and which to acquire by hiring from outside DART.
- "Walks the talk" by holding themselves and their direct reports accountable for using Individual Career Development Plans within their own work groups.

HR Management Services staff…

- Develops, communicates and implements **Individual Career Development Plan** (ICDP) form/process to provide a more formal, structured approach to individual career planning.
- Arranges for and administers **training contracts** and/or internally lead programs aligned with targeted skills/knowledge and competencies.
- Works with ELR/DEO representatives to design and implement an expanded **mentorship program**.

Required resources:

In addition to executive, staff support and participant time, the cost of this initiative potentially includes external consulting contract(s)/fees for primary or supplemental roles in developing the ICDP and/or mentorship program and for delivering training.

“LEADERSHIP DART” SUCCESSION MANAGEMENT PROCESS

Purpose: To develop an “acceleration pool” of competent experienced individuals who are prepared to move into senior management and executive positions as needed

Target audience:

Employees who meet criteria for “high potential,” apply, are recommended by their department heads and are selected for one of two tracks:

- Track 1 to prepare supervisors & individual contributors for manager role
- Track 2 to prepare managers & project managers for SMT role

Proposed time lines: Approve major components November; initial communication Quarter II; roll out application process Quarter III; implement assessment level Quarter IV; phase in additional components and integrate with Leader Development training and mentoring components beginning FY09; initiate second application process April 2009.

Owners: Executive Management Team, assisted by HR Management Services with external resources as needed

Proposed pilot design:

- Two groups moving simultaneously through three process levels, sharing in-house classroom sessions as appropriate.
- Track 1 prepares supervisors and individual contributors for manager roles
    - 5 applicants selected to start Quarter III FY08 to graduate FY10
    - 5 more applicants selected to start Quarter III FY09 to graduate FY11
- Track 2 prepares managers and project managers for SMT roles
    - 10 applicants selected to start Quarter III FY08 to graduate FY10
    - 10 more applicants selected to start Quarter III FY09 to graduate FY11
- Launch preceded by communication campaign
- Pilot evaluated March 2009 and March 2010 to determine effectiveness and decide future funding
- Failure to complete requirements and/or maintain eligibility criteria disqualifies candidate/participant from continuing participation
- Policy or procedure requiring that decision makers *consider* graduates (and current participants) for appropriate openings *before* posting internally or externally, though without guarantee to select from the pool.

LEVEL 1: SELECTION (approx. 12 hours over 2 months)

- Defined criteria: skills, knowledge, experience, competencies, tenure, performance
- Self-nomination endorsed through chain-of-command
- Nomination by department head (VP or EVP)
- Selection by committee of ELT/EMT members (approx. 5, serving 2 years)

LEVEL 2: ASSESSMENT & PLANNING (approx. 6 days over 3 months)

- “Class” orientation session of 4 to 8 hours
- Completion of several assessment instruments, including 360° survey aligned with DART executive competency profile, with individual debriefings
- Research and presentation assignment related to current job
- Writing assignments
- Evaluation of performance in Level 2 and decision to select for participation

LEVEL 3: DEVELOPMENT (approx. 18 days over 18 months)

- Individual Career Development Plan
- Mentor
- In-house training classes, aligned with executive competency profile
- Work assignments
- Project assignments
- DART Board meetings and Committee meetings
- Optional: interdepartmental internship, professional associations, APTA or other conference, outside training, credit courses
- Final individual evaluations

Resources required:

This initiative requires substantial staff support and participant time.

Direct costs include external consulting contract(s)/fees for development and implementation of assessments, a mentor program and training classes. (Some of these are shared with the broader Leader Development Program described in this section and career development strategies in the next section.)

Funds also will need to be budgeted in HR or all departments in FY09 to accommodate “outside” development opportunities as listed under Level 3.

DART INTEGRATED LEADERSHIP SUSTAINABILITY SYSTEM
(PROPOSED)

	LEADERSHIP RISK MANAGEMENT PLAN	LEADER DEVELOPMENT PROGRAM	"LEADERSHIP DART" SUCCESSION MANAGEMENT
PURPOSE/ DEFINITION	Assessment of DART's capacity to fill mission critical jobs with minimum notice, and the plan for addressing gaps	Program through which DART's leaders strengthen competencies required to be effective contributors to DART's success	Process of "filling the pipeline" with sufficient capable and experienced people to move into senior management and executive positions as needed
TARGET POPULATION	All current senior managers, AVP's, VP's (est. #)	All who have salaried direct reports and Leadership DART participants (est. #)	Employees who meet criteria for "high potential," apply, are recommended by dept. head and are selected: ▪ Tier 1 to prepare supervisors & individual contributors for manager role (pilot = 5/yr for 2 years) ▪ Tier 2 to prepare managers & project managers for SMT role (pilot = 10/yr for 2 years)
TIMEFRAME	▪ Finalize and implement by January ▪ Review and revise annually	▪ Present recommendations by 10/1/07 ▪ Adopt final plan by 11/1/07 ▪ Issue RFP by 12/1/07 ▪ Communicate & implement Q2	▪ Present recommendations by 10/1/07 ▪ Adopt final plan by 11/1/07 ▪ Communicate & implement Q3
OWNER(S)	ELT	EMT	All who manage salaried employees
FACILITATOR/ STAFF SUPPORT	HR Management Services staff & external consultants	HR Management Services staff	HR Management Services staff
COMPONENTS			
Application	NO	NO	YES
Recommendation	NO	NO	YES
Mandatory participation	YES	PARTIALLY	NO
Assessments	YES	NO	YES

Evaluation	YES	NO	YES
Executive coaching	IF NEEDED	NO	NO
ICDP	YES	YES	YES
Formal mentoring	NO	OPTIONAL	YES
In-house workshops	LEADER DEVELOPMENT SESSIONS, AS NEEDED	YES	YES (LEADER DEVELOPMENT SESSIONS)
Work assignments	IF NEEDED	IF NEEDED	YES
Project assignments	IF NEEDED	IF NEEDED	IF NEEDED
Formal internship	NO	NO	YES
Confs, pro assoc, ext trng	IF NEEDED	IF NEEDED	YES
Education	IF NEEDED	IF NEEDED	NO
Attend Board meetings	YES	IF NEEDED	YES

Refer to separate documents for detail of each of the following recommendations, including targeted leadership competencies.

SUCCESSION PLANNING

WORKFORCE PLANNING

fairfax county government

SUCCESSION PLANNING GUIDE

Fairfax County Government
Department of Human Resources
July 2007

To comply with the Americans with Disabilities Act, this publication will be made available in alternative formats upon request. Please notify the Department of Human Resources five to seven days in advance of your requirement.

CONTENTS

Overview

WHAT IS SUCCESSION PLANNING (SP)?

Succession Planning (SP) is a process that will provide managers and supervisors with a framework for effective human resource planning and employee development.

WHY IS SUCCESSION PLANNING IMPORTANT?

Implementation of a Succession Planning (SP) process will enable the county to sustain and improve its high level of service to citizens amidst the dramatic changes in the workplace anticipated over the next ten years. Beyond those years, SP will continue to provide a valuable method for management to identify and develop key employee competencies, encourage professional development and contribute to employee retention.

Like all employers, Fairfax County Government will encounter dramatic changes in the workplace over the next ten years. As the Baby Boom generation reaches retirement eligibility, the county faces the prospect of a significant loss in corporate knowledge, skills and experience. Additional challenges will affect the county's ability to provide consistent, quality services to citizens in a tumultuous era of change, including:

- Continuous technological changes impacting services, work environment and work processes
- Increasing diversity in citizen and workforce population
- Escalating demand for services due to population increases
- Full emergence of the multigenerational workforce
- Tight labor market for managerial and technical employees

The county has embraced these challenges and remains committed to the provision of superior service to citizens. Through initiative and creativity the county will improve the organization and develop employees personally and professionally at every opportunity.[1]

To help meet these extraordinary challenges, the county is implementing SP as a process that will provide managers and supervisors with a framework for effective human resource planning and employee development. Implemented correctly, the SP process will prepare employees to meet the challenges anticipated in tomorrow's workplace. SP will enable Fairfax County Government to continue providing consistent, quality services to citizens.

[1] Fairfax County Government Core Vision and Values

WHERE WE ARE TODAY

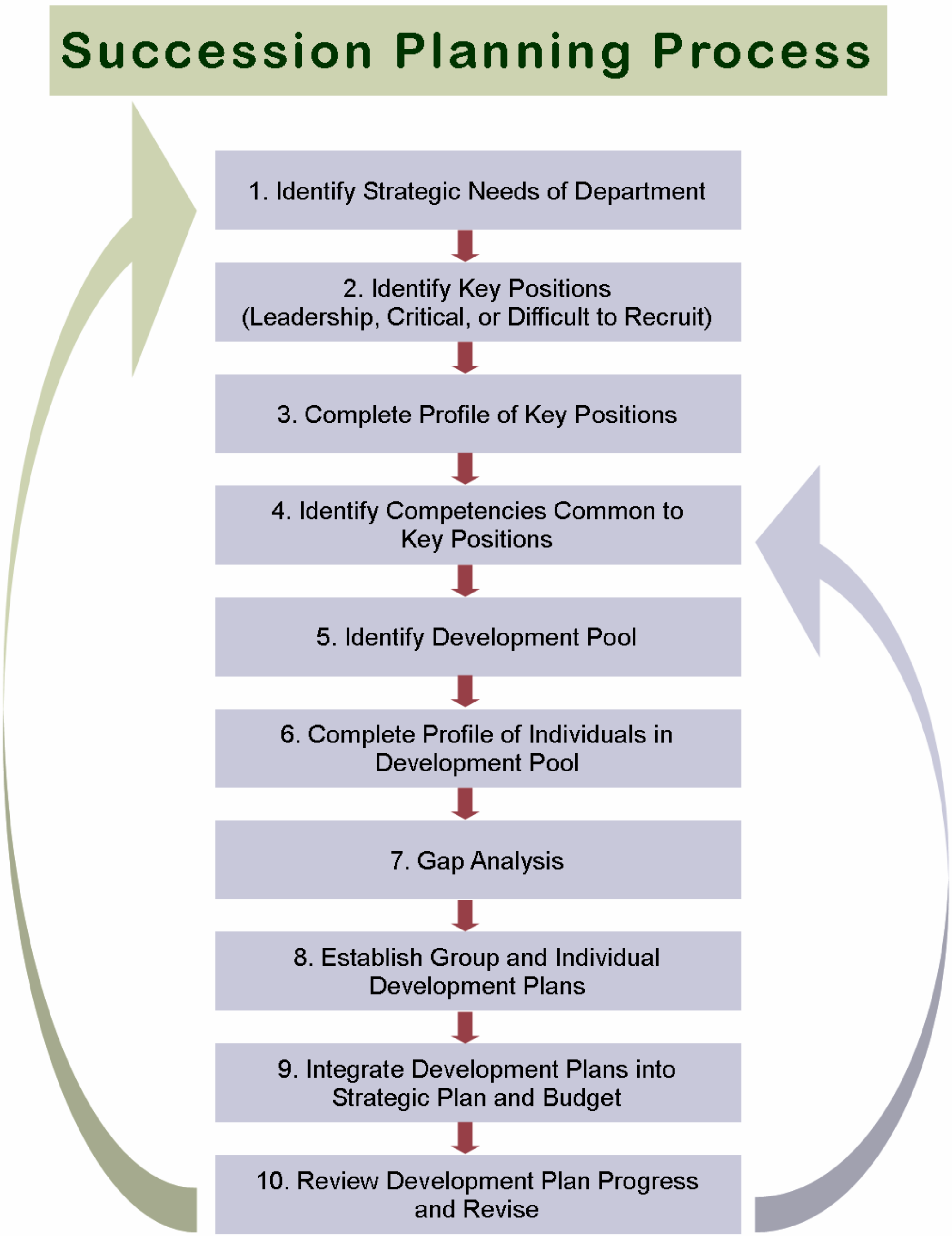
After studying various models, Fairfax County developed the SP model and process through a series of pilots involving various departments including:

- Information Technology
- Finance
- Human Services Administration
- Public Works and Environmental Services
- Tax Administration

In addition to the pilots, other departments, including Community and Recreational Services and Park Authority, engaged in succession planning and competency development. A Department of Human Resources (DHR) project team continued development of the competency model and SP process, engaging a consultant to refine and validate the model and develop SP training. An Advisory Group, representing the pilot departments, Department of Family Services, Department of Public Works and Environmental Services, and the Police Department provided perspective and insight to the team as DHR prepared to roll out SP to the county at large.

COUNTY'S SUCCESSION PLANNING PROCESS MODEL

As a result of the pilot projects and a review of best practices in government and the private sector, DHR staff developed the succession planning model shown on the next page.


Succession Planning Process
1. Identify Strategic Needs of Department
2. Identify Key Positions (Leadership, Critical, or Difficult to Recruit)
3. Complete Profile of Key Positions
4. Identify Competencies Common to Key Positions
5. Identify Development Pool
6. Complete Profile of Individuals in Development Pool
7. Gap Analysis
8. Establish Group and Individual Development Plans
9. Integrate Development Plans into Strategic Plan and Budget
10. Review Development Plan Progress and Revise

Foreword

PURPOSE OF THIS DOCUMENT

The information contained in this *Succession Planning Guide* was developed based on experiences and results gained through pilot programs conducted within the county and research. The information within the guide provides guidance and support for establishing and implementing succession planning within organizations.

The Guide is intended to provide managers with suggestions and recommendations and is not a 'one size fits all' approach to succession planning. Flexibility when implementing the process steps is encouraged so that the steps meet the needs of the organization.

SOFTWARE SUPPORT FOR SUCCESSION PLANNING

To enable easier implementation of SP, the county purchased off the shelf software that will interface with the county's HRIS system and enable an automated SP process. The succession planning software is designed to assist with:

Software Support

- Definition of key positions and critical competencies
- Employee competency assessment
- Identification of learning and growth opportunities
- Individual Development Planning
- User assistance through an imbedded "Help" menu
- Report writing capability to facilitate management and evaluation of the SP process
- Links to the county's existing HR software to enable access to employee information needed for SP implementation
- Links to other SP resources

Department of Human Resources (DHR) Support

- As SP moves from planning into implementation, DHR will provide departments with consultation and training. As departments begin to work through the SP process in order to develop strategies to meet future workforce needs, DHR will continue to provide coaching and support. Departments are encouraged to develop a level of expertise that will enable internal coaching and training.

Note: The county Succession Planning software is designed to enable managers to develop profiles on a fully automated basis, with the flexibility to build profiles that are customized to both county and departmental needs.

ROLES IN SUCCESSION PLANNING

To be successful, Succession Planning requires commitment from all levels of the organization:

- **Senior Management Team** should understand and embrace SP and provide support to managers engaged in learning and implementing the process. They also should work in partnership to identify key positions and competencies that cross departmental boundaries.
- **Managers and Supervisors** should participate in identifying key positions and competencies (skills, knowledge, and abilities) that are essential within their organization.
- **Employees** should partner with supervisors to assess the competencies required for key positions and to evaluate their current competency levels and create individual development plans.
- **Department Management** will prepare Succession Plans that focus on employee development of competencies that are important to successful performance of leadership responsibilities and functional competencies required for key positions.

There are two perspectives that need to be considered when doing succession planning.

- **Manager's Perspective**: Initially managers will be encouraged to focus on key positions in order to develop strategies to ensure a pool of employees are qualified to fill these positions as vacancies occur due to retirements or other means of attrition such as promotion, reassignment, or resignation.

Key positions are defined, within the context of succession planning, as "those leadership and technical positions that management determines are vital to continuity of operations."

More guidance on the identification and assessment of key positions can be found later in this document.

- **Employees' perspective**: From the employees' perspective, the succession planning process will provide information and tools that will help them assess their competencies and determine what steps they can take to enhance their qualifications and become competitive for advancement to key positions.
    - As the workplace and jobs evolve, due to technological advances or changes within business areas, the succession planning process may also identify new competencies that can be developed to improve performance in the employees' current positions. The benefit that employees will derive by using the succession planning tools is largely dependent on their personal commitment to professional growth and development.

IMPLEMENTATION OF SP

The SP process is designed to be open, fair, and flexible within the parameters of the County's Merit System that govern recruitment, hiring, promotion, training and development. SP can be implemented without modifying existing regulations. For example:

- Applicants will still participate in open competition for employment and promotional opportunities.
- Hiring managers will continue to base selection and hiring on a competitive process, whether a job vacancy is advertised as an open or promotional opportunity.

The county will continue to implement training and development with employees attending training and participating in developmental activities. However, departments who participate in SP will place an *increased emphasis on developing competencies aligned with their SP strategy*, either for key positions or for critical competencies aligned to departmental needs, such as:

- Technical competencies associated with business needs
- Technical competencies associated with changing business processes

For the purposes of SP, the county has defined technical competencies as those competencies that are:

- Specific to particular career fields, or occupations that require specific technical knowledge and experience
- Defined by stakeholders within that career field
- Required at some degree at every level within the organization

ESTABLISHING A DEVELOPMENTAL POOL FOR KEY POSITIONS

Department managers will have the option to establish a developmental pool for key positions. There will be no guaranteed promotions for those in a developmental pool. If managers elect to establish one of these pools, they will select employees to participate in the pools based on their:

- experience
- education
- training
- job performance
- interest and commitment to self-development and possible assumption of greater responsibility

▪ Employees in developmental pools will receive focused guidance on their development but ***will*** be required to compete for promotions using the established merit process—<u>there will be no pre-selection for any position</u>.

▪ Employees who are not in a developmental pool will have access to the same information and tools as those in a pool. Therefore, it is possible that an employee who thoughtfully guides his or her own development will achieve the same level of competency and competitiveness as employees in the pool.

▪ In some cases, selection for key positions may involve recruitment and selection from outside the current county workforce. This may occur even when a developmental pool exists if the selecting manager determines that it is advantageous to consider applicants from sources outside the county.

More detailed guidance on establishing developmental pools can be found in section 5 of this document.

SP TOOLS AND RESOURCES

This Guide provides a general overview of Fairfax County Government's approach to Succession Planning. Managers, supervisors and employees will need additional guidance and resources to successfully implement SP within their own departments. To facilitate the rollout of SP, the county also provides:

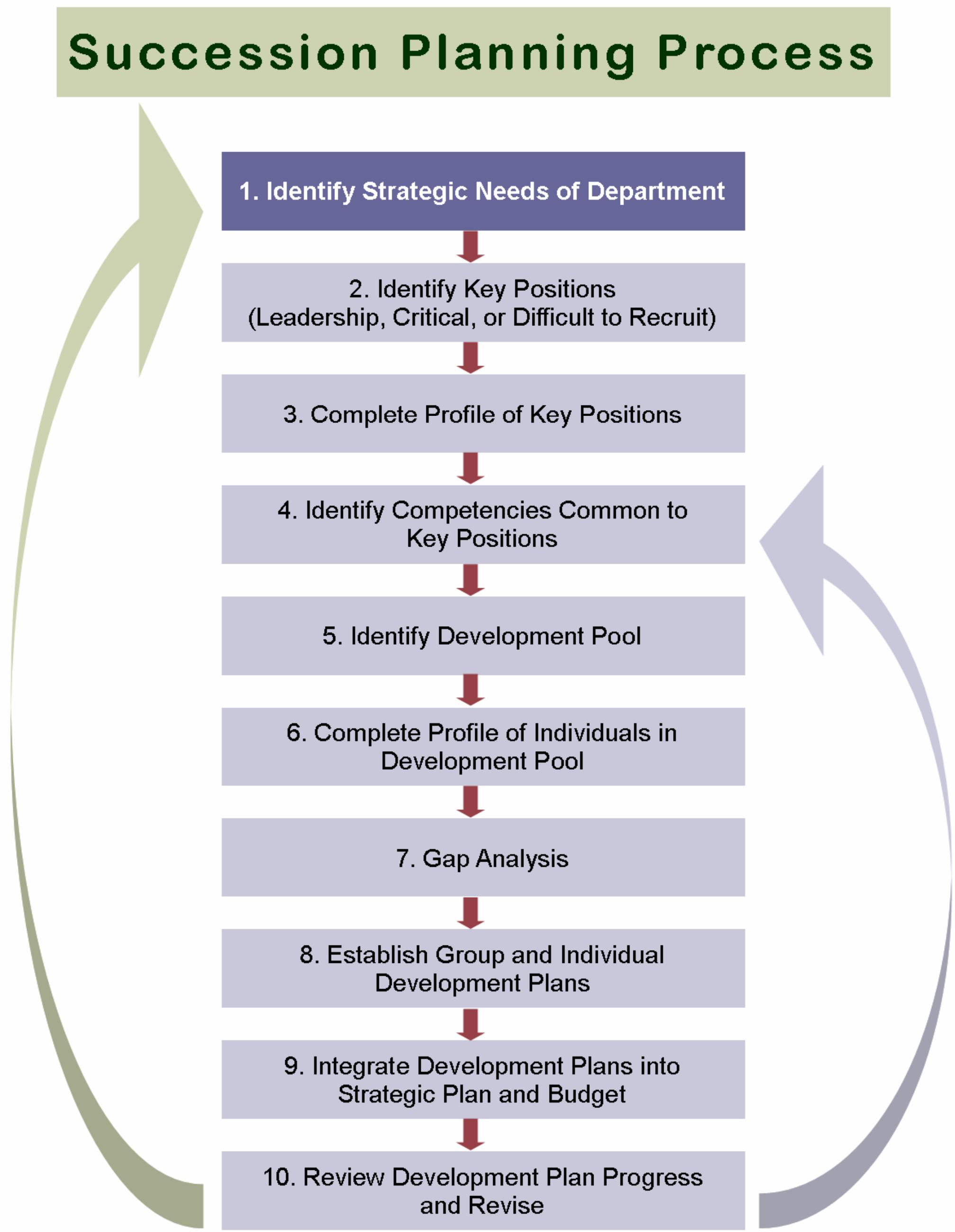
- **Consultation** - DHR will provide guidance and mentorship to department leadership. To most effectively implement SP, it is recommended that departments designate a Succession Planning Coordinator within their department to coordinate, manage and implement the process.
- **Software** - As described earlier in this section, the county has purchased software that will serve as a tool to support SP efforts.
- **Training** - DHR will provide Train the Trainer training on:
  - SP process and guidelines
  - Competency Models
  - How to develop technical competencies
  - Software functionality

SUMMARY

The county does not intend to regulate implementation or prescribe a one-size-fits-all approach to the SP process. Department Directors will implement SP based on their assessment of future staffing needs and may tailor their approach in order to meet specific department requirements, within the constraints of the merit system and accompanying ordinances.

When fully implemented, SP will help Fairfax County Government ensure continuity of operations necessary to provide consistent, quality services to citizens while recruiting, retaining and developing valued employees.

The following sections of this document provide detailed guidelines to help leaders implement SP within their organizations.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Step 1 – Identify Strategic Needs of Department

INTRODUCTION

Strategic plans identify the actions needed to address future challenges or take advantage of opportunities that will move the organization toward a desired outcome. Operational plans outline the actions needed to ensure successful execution of mission activities in the immediate future. Typically, implementation of strategic plans involves investments in human capital to ensure that the workforce is positioned to execute strategic initiatives. This section provides guidance to be considered to align workforce capabilities with the strategic and operational plan initiatives.

STRATEGIC AND OPERATIONAL PLANNING

Organizations use various methodologies to identify strategic and operational initiatives that are needed to move from the current operation to the desired future state. Assessing the human capital implications of the strategic plan will increase the probability that the strategic goals will be achieved. Some of the methodologies used include the following:

SWOT Analysis - One of the more common methodologies involves identification of Strengths, Weaknesses, Opportunities, and Threats (SWOT analysis). Usually SWOT analysis involves key stakeholders including the current workforce. The status of the capabilities of the current workforce is a key consideration in this process. Part of the SWOT analysis includes:

- Estimating changes that are likely to occur in the workforce due to normal attrition or super attrition due to a surge of employees becoming eligible for retirement.
- Considering the extent to which additional competencies, or increased proficiency of current competencies, will be needed to support:
  - new/changed work processes;
  - new technology; or
  - the need for increased productivity due to increased workload without commensurate staff increases.

Environmental Scan - Another strategic and operational planning methodology is the use of an *environmental scan process*. The scan is typically conducted by senior managers with appropriate staff support to assess the internal and/or external environment for trends that may drive the need for new strategies. Based on the environmental assessment, key decisions are made that influence future mission activities and drive the development of strategic and operational initiatives. An assessment of the workforce's capability to respond to environmental changes is a key factor to consider when developing strategies. The extent to which stretch goals are attainable is influenced by the capacity of the current staff or the ability to obtain new staff with different competencies.

<u>Gap Analysis -</u> A third methodology is to inventory current mission capacities and capabilities to identify gaps between the current and desired states. Some organizations use the Balanced Score Card (BSC) as a template for this analysis. BSC considers the following:

- financial;
- process;
- learning and growth assessment specifically targets human capital issues that are key to achieving strategic and operational initiatives;
- customer perspectives when developing strategic initiatives.

Regardless of the strategic or operational planning methodology used *it is almost always the case that human capital issues need to be addressed in the strategic and/or operational plans*. Some organizations have human capital issues as separate strategic initiatives while others imbed such initiatives in other operational initiatives.

ALIGNMENT PROCESS

Aligning human capital with strategic and operational goals can be pictured as three related steps that will lead to specific actions that will help to ensure that the right people are at the right place at the right time to achieve strategic goals. The Alignment Process is on the next page.

Strategic Alignment Model

Information

Workforce Characteristics

- Attrition
- Retirement eligibility
- Competency
- Performance
- Potential for Growth
- Leadership competency
- Technical competency
- Productivity

Workplace Trends

- Unemployment
- Demographics
- Technology Changes
- Financial projections
- Evolving customer needs

Structured/Business Process

- Organization structure
- Business Process changes

Analysis

Given the strategic goals what does the information about the workforce suggest?

Will there be enough people with the right skills to accomplish strategic goals?

If not, what actions are needed to ensure the workforce can accomplish the goals?

Action

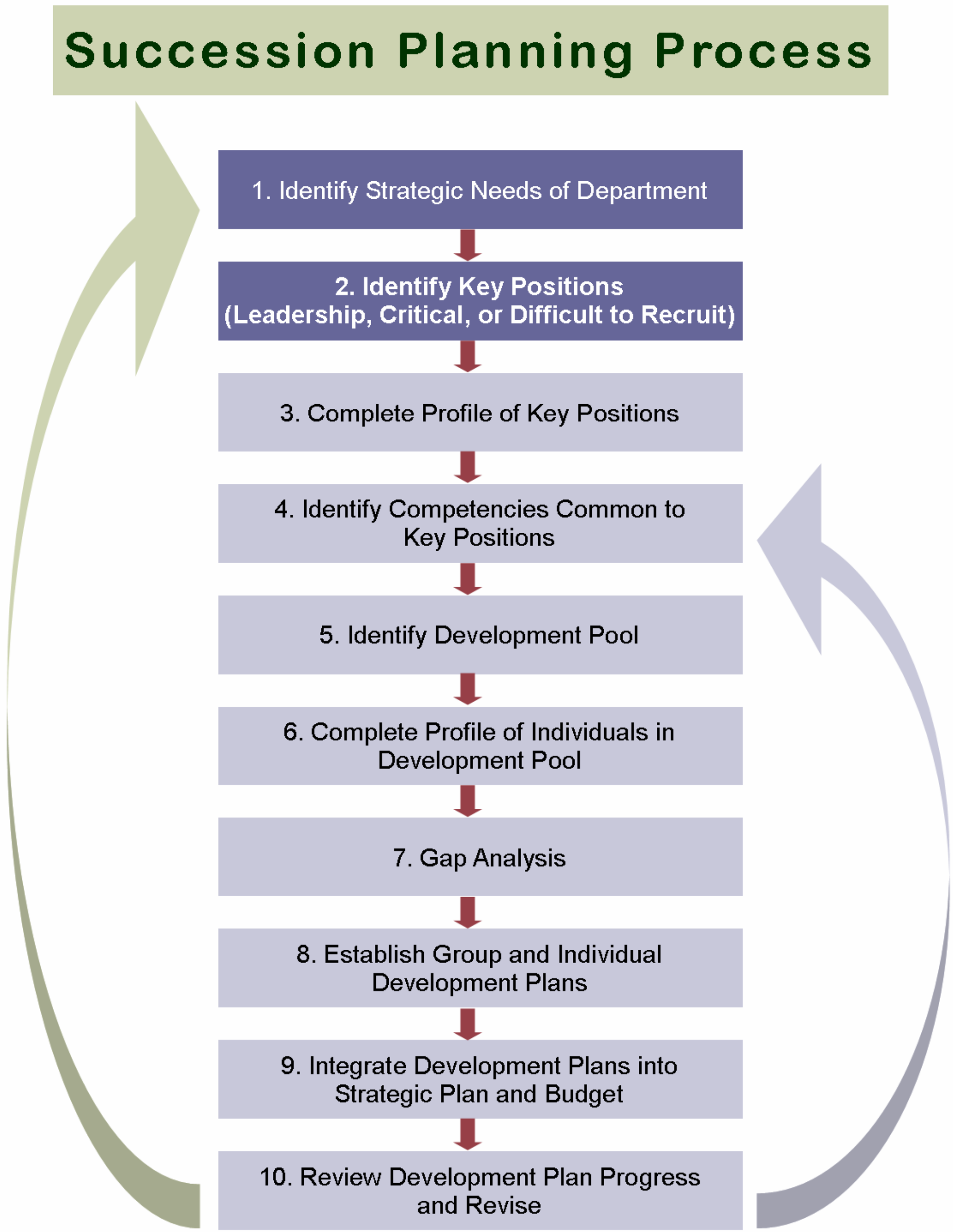
- Development pools
- Competency assessment
- Individual development plans
- Training and development
- Tailored Recruitment Plans
- Mentoring
- Coaching
- Transfers
- Contracting
- Career ladders
- Action learning
- Evaluation

SUMMARY

After completing the alignment model, a number of findings should result and certain situations taken into consideration, such as the following:

- The strategic and/or operational goals imply the need for new competencies due to changing technology, new service delivery model, or expanded mission due to legislation or policy changes. Competencies need to be defined including the proficiency levels for key positions. Consider using the "Developing and Assessing Competencies" Toolkit to help define and validate technical competencies.
- There is enough information to make judgments about the workforce's capabilities to accomplish strategic and/or operational goals. If information is missing, determine how to obtain the information.
- A determination is made as to whether the workforce possesses the competencies needed to accomplish the strategic and/or operational goals. The gaps between current and required goals are identified. The SP software can be used to evaluate workforce competencies.
- The gap may be closed by leveraging training, development of current staff or other options. Specific competencies are developed to close the gap. Management should identify available resources and use them to achieve the needed development or knowledge transfer.
- Employees and supervisors understand the developmental needs that have been identified. Employees and supervisors know how to access the needed training and/or development and translate the need into actionable goals.
- Attrition is expected during the strategic planning period due to normal staff turnover and or retirements are anticipated. Steps will be taken to reduce turnover of key personnel or mitigate the impact of losses if there is an adverse impact due to attrition.
- The organization will consider filling vacancies caused by attrition and turnover with internal staff and/or external recruitment.
- Based on current and projected labor market conditions the likelihood that external recruitment will provide candidates who are capable of accomplishing strategic and/or operational goals within an acceptable timeframe needs to be considered.
- The strategic and/or operational plans identify actions and resources needed to ensure that human capital needs are met.
- Performance plans reflect the actions needed to ensure the workforce is capable of accomplishing strategic and/or operational goals.
- Managerial behaviors are consistent with motivating employees to pursue development in addition to performance of daily tasks.
- County personnel policies support the ability to develop or acquire the needed human capital to accomplish strategic and/or operational goals. Policies that impede accomplishment of SP goals have been identified. Departments identifying other barriers should bring them to the attention of the Dept. of Human Resources.
- A process has been established that tracks progress toward accomplishing actions needed to align human capital development with strategic and/or operational goals.

Sections that follow will discuss in more detail specific actions that may be taken to prepare the workforce to achieve strategic and/or operational goals and sustain on-going operational excellence.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3. Complete Profile of Key Positions
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6. Complete Profile of Individuals in Development Pool
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Step 2 - Identify Key Positions

INTRODUCTION

Understanding the strategic direction of the organization and its business goals is essential for projecting human resource needs and the *identification of key positions* within the organization. Identifying key positions:

- Focuses management on what human resources are considered '*essential*' for continuity of operations and the achievement of strategic direction now and into the future.
- Ensures a clear focus on developing candidates for positions which are most critical to the future effectiveness of the organization, and the performance of key functions.

What is meant by a 'key position'?

Fairfax County defines a 'key position' within the context of succession planning as: *"those leadership and technical positions that management determines are vital to continuity of operations."* Succession planning focuses on those positions where sufficient attrition is anticipated so as to create a risk of a decline in mission performance or organizational capacity to respond to unanticipated demands.

A key position is one that exerts critical influence on the organization's activities - strategically, operationally, or both.

Note: A title or a high level/management position in an organization does not necessarily make a position a 'key position.' Key positions will vary from department to department. A position can become key because of its assigned duties, the importance of the work assigned to the position in the work flow/process, an incumbent's unique skills, etc. Also, keep in mind that two positions in the same office, division or department may have the same performance classification code or working job title, but *not* be of equal importance or be considered a key position.

Factors to consider

Managers have discretion in considering a variety of factors and situations that would support identifying a position as key. Although many key positions are at the senior levels, key positions may also include mid level managers, supervisors, and key technical and/or professional staff.

Factors to consider in determining whether or not a position should be identified as a key position for Succession Planning include:

***Critical task*:** Positions that would stop critical action from taking place if they were left vacant.

Example: The position is responsible for performing a task within the organization that is deemed critical because of its importance and relationship to other organizational processes/activities/tasks. When the critical task is not performed, processes/activities/tasks that are dependent upon it cannot continue forward. Operations cease or are delayed or strategic goal may not be met.

***Specialized Expertise*:** Any position that requires a specialty or unique expertise.

Example: A management position which requires specialized expertise which is in short supply in the labor market, a supervisory position which has proven difficult to fill in the past for economic or other reasons, or a technical position which requires highly specialized expertise such as that needed to administer a customized in-house data base.

***Strategic Importance*:** What are the functions to be in the future? Where is the agency/organization going and what type of skills or leadership will it need to get there?

Example: The position impacts the organization's ability to grow the vision, mission and strategic direction of the organization. Intellectual properties needed in the position, or maybe the institutional knowledge that must be acquired over the years may make this a key position of strategic importance.

***County vs. Organizational Perspective*:** Key positions should be assessed from a Countywide perspective, or an agency/departmental perspective.

Example: If the position analysis supports a set of competencies that reflect positions that exist throughout the county, there is generally more potential for developing a sufficient talent pool. Alternatively, there may be unique aspects to the position which require focusing succession planning efforts within the specific organization.

How are Key Positions Identified/Determined?

Consider the factors mentioned above when identifying and determining key positions within the organization. The following table shows some steps that organizations can take that will assist in identifying key positions. These factors are intended to be illustrative rather than all-inclusive. Managers may encounter other factors or situations that justify identifying a particular position as key for Succession Planning purposes.

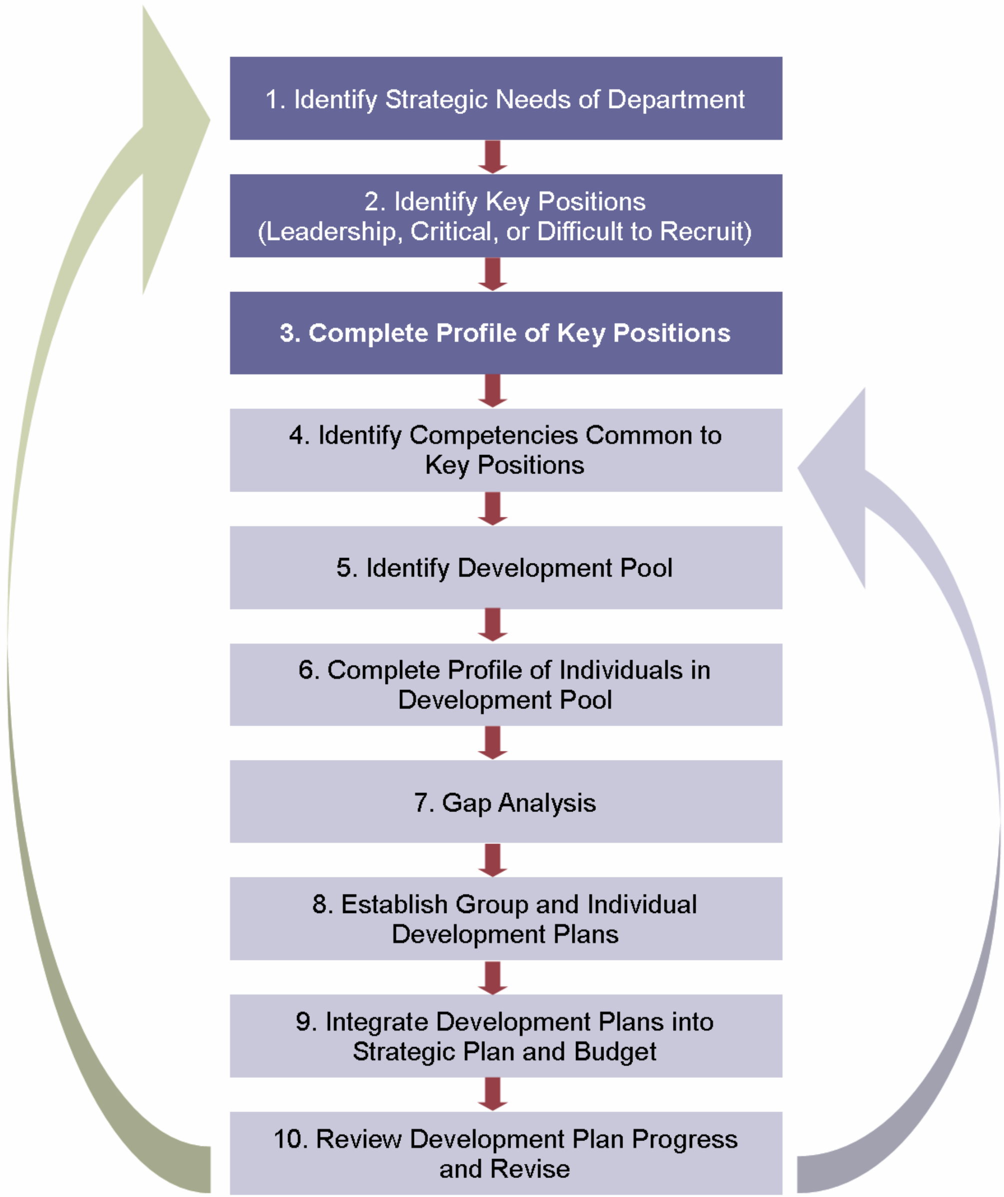
Step	Consider…
1.	Identify positions within the organization that would cause a mission performance decline if vacant for an extended period. Consider two perspectives when identifying key positions: • The *short term* to fill the immediate need and the operations of the organization (retirements, turnover, changes in project workload) • The *long term* strategic needs (total talent management) Also, consider mission support positions in addition to the positions that are assigned direct mission tasks. Address the gaps between the workforce of today and the workforce needs of tomorrow. It may be that a position that is not currently key may be so in the future due to changes in qualifications or mission scope.
2.	Assess whether staff is available in other county organizations that are <u>now</u> fully qualified to fill the position. If so, the position, while important, may not be considered key within the succession planning context.

Step	Consider…
3.	Prioritize key positions based on risk to mission performance and/or inability to perform key mission support activities. Those positions with the highest risk should receive top priority for inclusion in the succession planning pool.

SUMMARY

Following identification of key positions, department leaders will know which positions need to be included in the succession planning pool. These positions will then be profiled as discussed in the next step.

Succession Planning Process



Step 3 – Complete Profile of Key Positions

INTRODUCTION

Once the key positions have been identified, create a *key position profile*. This profile documents the essential competencies, technical skills, performance skills and criteria required by an individual to fill a key position within Fairfax County.

KEY POSITION PROFILE INFORMATION

A position profile should include the following kinds of information:

- Position number and job classification
- Working Title
- Supervisor's name and job classification
- Major roles and responsibilities, duties/tasks of the position (from the current position description)
- Job scope and impact
- Budgetary responsibilities
- Supervisory responsibility
- Accountability level
- Countywide competencies required
- Technical/professional job specific competencies required (See Appendix A, *Guide for Developing Technical Competencies)*
- Education requirements (pulled from Class Specifications)
- Experience requirements (pulled from Class Specifications)
- Desired/required language capability requirements

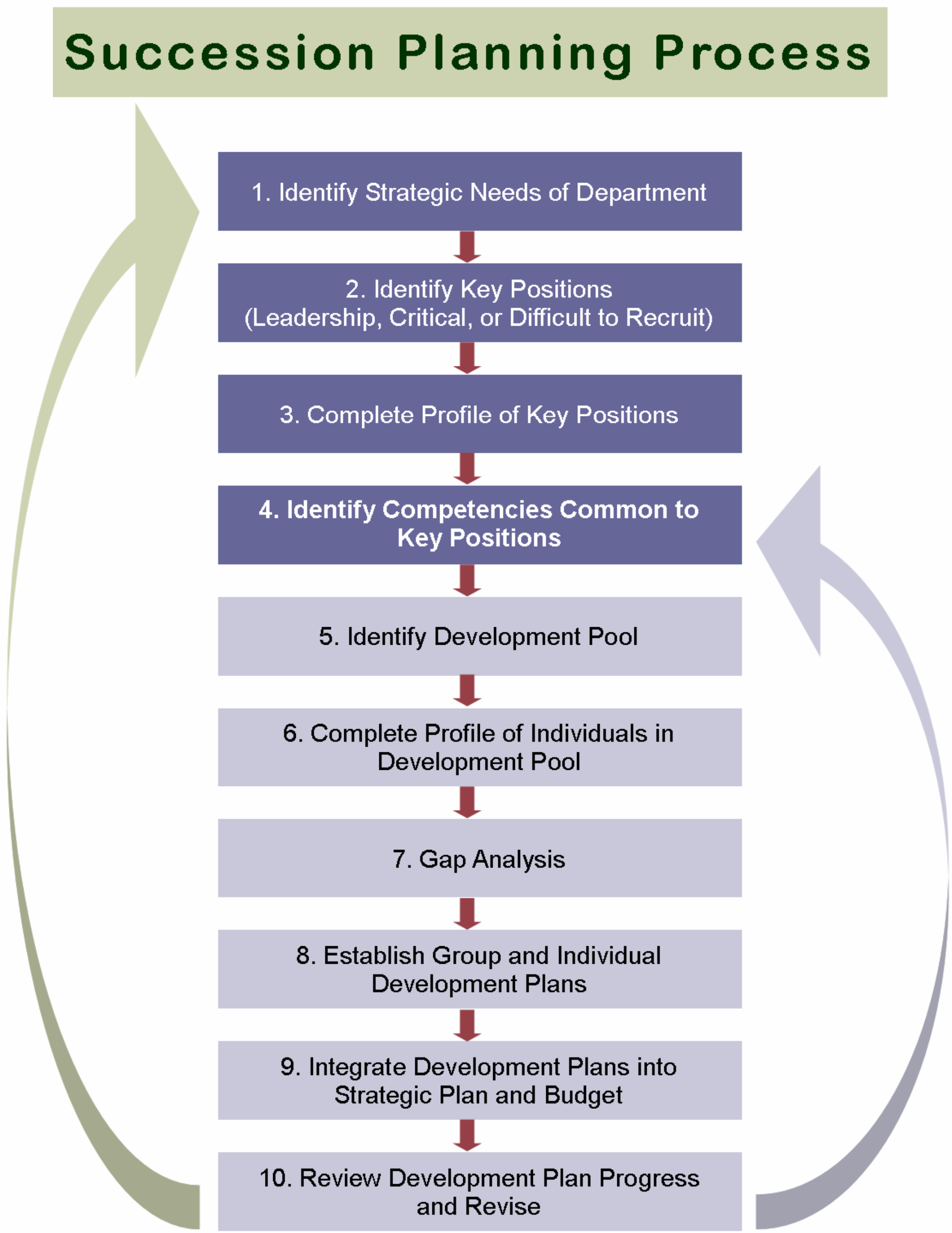
Create a 'Key Position' Profile

Step	Action
1.	Ensure that the *Position Description* (PD) for the key position is current and approved in the county's HRIS system. Also assess whether changes are anticipated in the future that will impact the duties and responsibilities of the position.
2.	Identify employees who have an understanding/can represent the key position and who have experience working in the job of the key position. Recommendations include: • Incumbent currently in the key position • Manager of the key position • Upper management who have a vested interest in the key position • Subject Matter Experts (SME) who have experience and knowledge about the job performed in the key position
3.	Develop a complete profile of the key position. The incumbent currently in the key position and the manager of the key position can work together to create this position profile. To assist in developing this profile, the county's SP software will link to the: • County's Human Resource Information System (HRIS) and populate the profile with some of the key information from the approved Position Description (PD). • County's Infoweb, enabling quick access to the Class Specifications applicable to the key position's job classification. • Countywide Competencies allowing for the selection of competencies related to the key position.
4	Identify the Countywide and technical/job-specific competencies necessary for success in the key position. Appendix A, Guide for Developing Technical Competencies and Appendix B, Countywide Competency Model are valuable tools that will help to identify these competencies. • Using the SP software, management can create a competency profile of the competencies and associated *proficiency levels* **<u>for the key position</u>**. **Note:** It is important to focus on the competencies required for the key position, <u>*not*</u> the competencies of the person in the position. • The SP software may ask for other pertinent information about the key position that may not be automatically prefilled from the HRIS system. *Recommendation:* Employees identified in <u>Step 2</u> can be leveraged as needed during the creation of the key position profile for their expertise and knowledge of the key position.

SUMMARY

At the conclusion of this step, department leadership will have defined and documented the essential competencies required for successful performance of key positions. In addition the proficiency level need for each competency will have been identified and documented using the succession planning software.

Figure 1. Countywide Competency Model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Step 4 - Identify Competencies Common to Key Positions

INTRODUCTION

Fairfax County's succession planning process focuses on development. *Job competencies*, those knowledge/skills/abilities critical for job success, are the foundation upon which personal/professional career development plans are made. By supporting employee development planning efforts, the county is building a workforce that is prepared to effectively demonstrate the job competencies essential to maintaining the county's continuity of operations.

Fairfax County has adopted a Countywide Competency Model (See Figure 1 on page 23) to help identify learning and development opportunities throughout the organization. The model was validated at all levels of the organization through a series of focus groups and an employee wide survey. The Competency Model can be used to assess the workforce in order to determine professional development needs. The analysis of these development needs will provide a foundation for identifying necessary training and development opportunities for the workforce and for aligning employee development plans with the requirements of succession planning.

What does the term competency mean?

A measurable pattern of skills, knowledge, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully. Competencies are used to measure proficiency in the various components (i.e., knowledge, skills, abilities, and behaviors) necessary for successful job performance.

Why is it important to know what the 'common' competencies are for the key positions?

Knowing what the '*common*' competencies are, and the gaps among the key positions, will facilitate the decision process to:

- Plan/prepare/develop the workforce mission performance in the short and long-term. Managers will be able to plan for potential vacancies as a result of increasing retirements and turnover and identify potential losses in competencies and skills.
- Forecast and prepare for continuity of operations and services during absences, vacancies, or emergencies
- Create learning strategies, training courses, developmental opportunities and/or training curriculums focused on groups of employees as contrasted with individual developmental needs
- Aggregate training/learning needs at the Department or Countywide level to optimize efficiency and cost effectiveness

- Provide information to employees about competencies that are *common* across a given organization and/or within the county; knowledge/application of the competency is transferable across one or more key positions. This will empower employees to manage their own development in partnership with their supervisors.
- Integrate competencies into the county's Human Resource processes such as recruiting, selection, hiring, performance evaluation, etc.
- Create development plans and identification of developmental activities that focus on the development of a competency rather then development for a specific key position
- Track the competencies common to key positions to show an organization when a competency may become obsolete (example: job is changing due to technology advancement) or when *new* competencies are required to perform the job.

How do we know what competencies are associated with key positions?

The Countywide competencies and technical/job specific competencies were identified using the SP software, during *Step #3 – Complete Profile of Key Positions provides this information*.

What/who is the best resource to identify competencies that are common to key positions?

Subject Matter Experts (SME), sometimes known as high-performers, are individuals recognized as being top performers who have successfully demonstrated the application of knowledge & experience in/with a key position. Capturing and leveraging the SME's knowledge, managers can ensure that the institutional knowledge and competencies for critical work are identified. Managers can identify SME's by doing the following for each key position:

- Identify individuals located within their organizations, in other organizations and/or throughout the county, who have demonstrated successful job performance in the key position.
- Identify other individuals throughout the county who have *in-depth knowledge* of the responsibilities and operational context of the key positions.

Using SMEs to identify competencies that are 'common' to key positions, ensures the *validity and defensibility* of the information captured. SME's offer the organization a depth of knowledge that includes competencies focused on:

- ***Explicit knowledge***: Knowledge that is 'rule-based', meaning knowledge that usually refers to practices, procedures or processes. Explicit knowledge includes *technical* knowledge, which is knowledge that relates to particular career fields or occupations.
    - o The Fairfax County Guide for Developing a Technical Competency Model (See Appendix #) provides a step-by-step process to guide managers within Fairfax County Government to develop technical competency models for specific career-fields within their organization.
- ***Tacit knowledge***: Knowledge that is 'cultural,' meaning knowledge that usually rests in one's mind that is intuitive, gained through experience and typically not part of capturing the 'facts' of experiences.

How do you identify competencies that are common to key positions?

Use the succession planning software to identify competencies that are common to key positions:

- Review the Countywide competencies in the Countywide Competency Model (Figure 1).
- Determine which Countywide competencies are common to key positions by seeking the input from the subject matter experts identified in *Step #3 – Complete Profile of Key Positions.*
- Identify technical/job specific competencies common to key positions.
- Determine which technical/job specific competencies are common to key positions by leveraging the input from the subject matter experts identified in *Step #3 – Complete Profile of Key Positions.*

How do we rank the importance of various competencies?

Ranking the importance of the Countywide competencies and the technical/job specific competencies is a combination of looking at the following information and discussing it with your SMEs and management team:

- Use the position descriptions to identify the essential functions of the job and link the competencies to the essential functions of the job. Consider changes that may occur as a result of strategic plans.
- Review the organizational goals and objectives and determine which key positions are essential to meet those goals.
- Use SMEs and appropriate managers to determine the relative importance of common competencies. This will establish a hierarchy for competency development strategies.

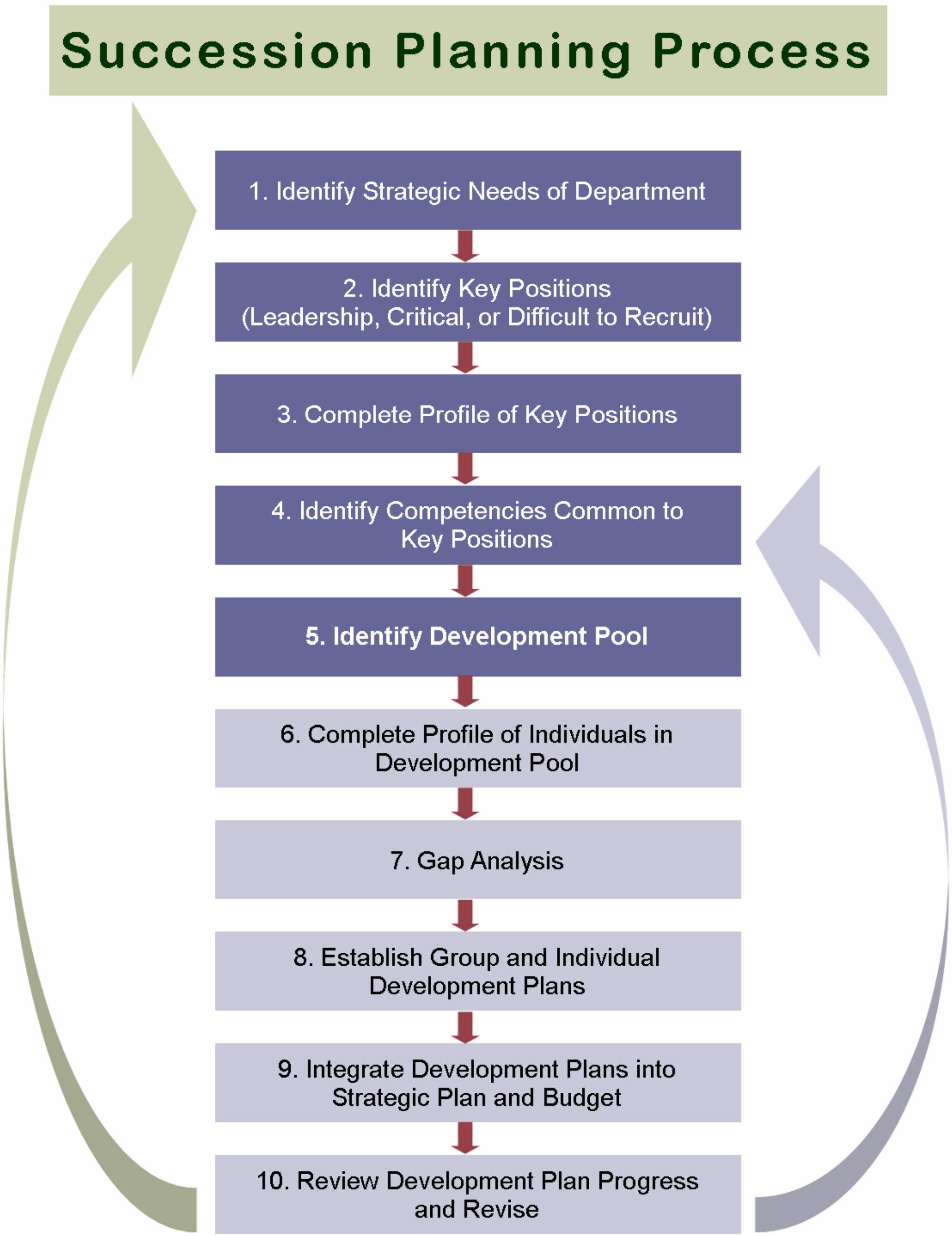
How do we determine the appropriate proficiency level of competencies for key positions?

The identification of appropriate proficiency levels required for the performance of competencies should be a result of direct input from SMEs and management. To identify the proficiency levels, the recommendation is as follows:

- Start with the 'core competency' information identified in prior steps.
- Conduct discussions with subject matter experts identified in *Step #3 – Complete Profile of Key Positions*. Use your SMEs to help determine the appropriate proficiency level of competency needed based on their personal experience and knowledge of the key position.
- Use the SP software to create a competency profile of the key positions. This profile will be used later in the SP process.

SUMMARY

At the conclusion of this step, departments will know which competencies are common across the organization. This information will be useful to establish learning and performance related development strategies for groups of employees who are being developed for key positions.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Step 5 - Identify the Development Pool

INTRODUCTION

After management has profiled key positions and identified their competencies, the next step is for management to identify a development pool for the key positions. It is important to exercise care during this step to avoid any appearance of pre-selection or favoritism.

Throughout the SP process, emphasis should be placed on employee competency development. Remember that the requirement to have full and open competition for promotion will remain in effect for all employees, whether or not they participate in the succession planning process. Participation in the succession planning process will enable employees to plan their career development and professional growth. Several approaches can be taken to establishing a development pool, including:

Options for Establishing Development Pools

Options	Description
Competitive Process	This approach may be best suited for situations in which management has identified a group of Key Positions. The department would establish criteria for selection into the development pool and outline a selection process. Management would then announce creation of a development pool to develop employee competencies required for the future. The selection process could include employee applications, supervisor review and endorsement of applications, and interviews.
Employee Self-Nomination	Employees not selected for or interested in participating in the Competitive Process could independently pursue development plans, without using the Succession Planning software. Based on personal career goals, individual employees may aspire to a particular position or job class. They may identify the competencies associated with these positions and work either individually or with their supervisor on Individual Development Plans (IDPs) to develop these competencies.
Management Invitation	Management may identify individual employees as potential pool members based on their work history and experience and invite these employees to participate in the Development Pool. Since individual motivation to be developed is an important consideration, managers should determine that an employee being considered for the pool is ready and willing to make the necessary commitment to be developed. This approach may be best suited to develop employees in

Options	Description
	positions within the same class series. *Example*: If the key position happens to be a senior analyst, it would make sense for potential successors to come from among a group of journeyman analysts.

Selection Criteria

Some of the factors that could be considered when selecting employees for the development pool include:

- Relevant experience
- Education
- Certifications and licensures
- Language and other pertinent skills
- Demonstrated performance in current and previous positions
- Demonstrated ability, or potential, to meet the competency and proficiencies identified for target key positions
- Track record of self-development
- Commitment to service in the development plan over a reasonable period

Selection Process

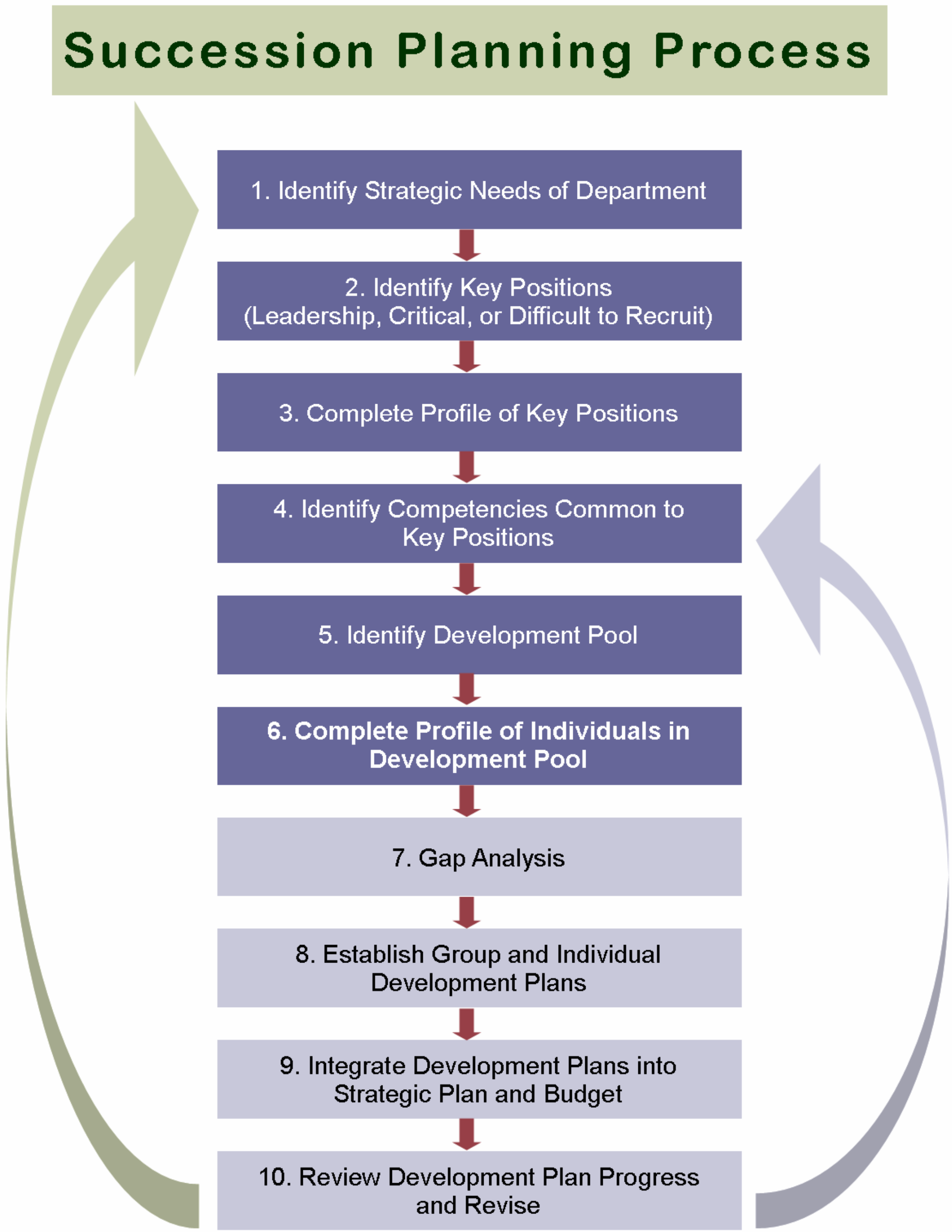
There is no prescribed selection process but it is necessary to obtain sufficient information to be able to accurately predict the probable success of participants to meet the competency requirements of the target key position. Standard procedures such as questionnaires, assessment exercises and interviews are appropriate.

Next Step

After selection into the pool by any of the methods described above, employees would participate in development and training activities designed to develop the competencies needed in key positions. Management may elect to combine the above approaches, tailoring them to meet their organizational need. Other methods to identify development pools may be developed based on organizational needs. In any approach, it is important to use fair, consistent and objective criteria when establishing development pools.

SUMMARY

At the conclusion of this step, a pool of candidates for the key positions within a department will be selected using one of the processes described here. To avoid the perception of inequity it is desirable to have an open process that allows all eligible employees to be considered. Assistance from DHR in designing the approach is recommended.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Step 6 - Complete Profile of Individuals in Development Pool

INTRODUCTION

After management has identified the development pool for a key position, employees in the development pool will be invited to participate in an assessment of their competencies compared to the key position. Individuals will use the SP software to complete an online competency assessment survey. Competencies in the survey will consist of competencies pulled from the Countywide Competency Model shown in Figure 1. The department may also include technical competencies as discussed in Appendix A.

Note: When completing the survey, employees should focus on their own competency levels, based on their entire work experience.

NEXT STEPS

After the employees have completed their competency assessments, the SP software will prompt the employees' supervisors to review the completed surveys and complete their own assessment of the individuals in the development pool. The software will produce an aggregate profile of the individual's assessed competencies.

Assessing and profiling an individual's competency level against those desired for the key position results in information that reflects the 'gap' that will be addressed through developmental opportunities. The following is a sequential process that guides you through the steps for completing a competency assessment.

Profiling the Competencies of the Development Pool

Step	Action
1	Assess pool participants' competencies. Be very rigorous and honest when assessing the individual's competencies so that true developmental needs are identified. • Employees and supervisors should agree on realistic proficiency levels possessed by the employees. • If the department has used the county's Technical Competency Development Tool, specific technical competencies will be included in the assessment. (See Appendix A for more information on developing technical competencies.)
2 (optional)	In some cases, higher levels of management may be involved in the discussion to determine the level of proficiency of the potential successor.
3	The SP software will produce a competency assessment of each employee in the Development Pool. This assessment will profile individual strengths and development needs in relationship to the key position, the Countywide Competency Model and technical/ job-specific competencies.
4	The SP software will produce a ***gap analysis*** report that will show the gap between the desired competencies for the key position and the current competency level of the individuals in the development pool. • Gap analysis will be discussed in more detail in the next section of this Guide. • Information from the competency assessments will be used to chart employee professional development.

SUMMARY

At the end of *Step 6 - Complete Profile of Individuals in the Development Pool*:

Managers will have:

- Provided guidance to employees and supervisors regarding the competency assessment process.
- Discussed the importance of being rigorous when assessing competency levels.

Employees in the Development Pool will have:

- Completed an online Competency Assessment.

Supervisors of the employees in the Development Pool will have:

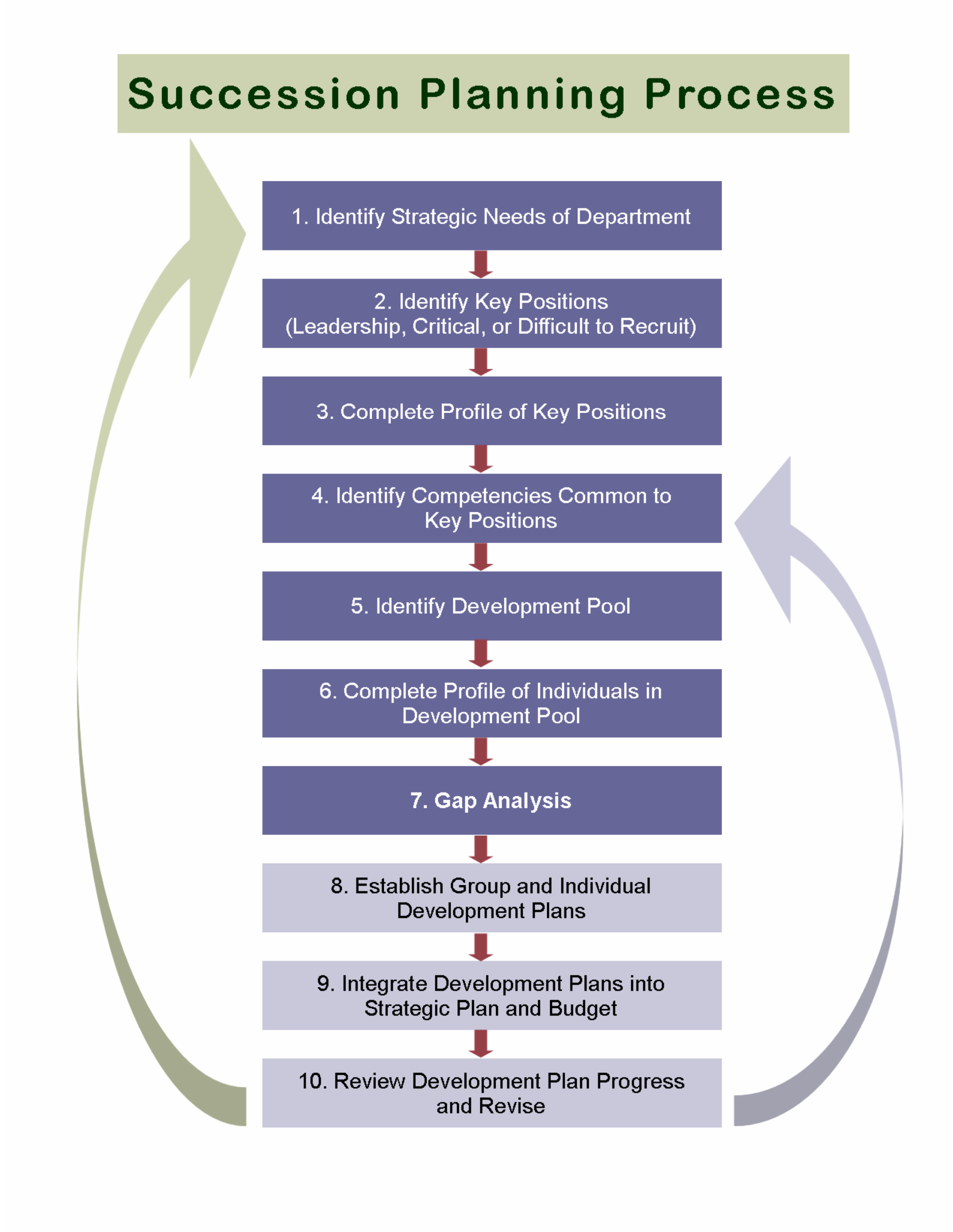
- Reviewed the Competency Assessment of employees in the Development Pool.
- Completed their assessment of the competency levels of employees in the Development Pool.

The SP software will have:

- Provided the results of the Competency Assessment to the employee and supervisor that profiles individual employees' competencies against the key position and the Countywide Competency Model and technical/job-specific competencies.

Next step:

Management will conduct a gap analysis between the competencies required for the Key Position and the competencies of employees in the Potential Development Pool.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Step 7 – Gap Analysis

INTRODUCTION

In Step 6, a gap analysis report was the result of assessing an individual's competencies against those of a key position. Analyzing the competency gaps is a key step prior to determining the specific developmental needs of employees in the development pool. The next step will be to develop a plan to assist employees in identifying and ultimately improving their competencies in their current position and/or to prepare for future roles in the organization. Information in this section is provided to help ensure clarity around gap analysis and its importance to the SP process.

Gap analysis is a method used to define the difference between the current situation and the desired/future/ideal situation. A competency gap analysis provides information that is critical to creation of an Individual Development Plan (IDP).

What is a gap analysis?

The effectiveness of the gap analysis process is dependent on a robust analysis of the competency requirements for the position that the employee's development is targeted toward and the current competencies demonstrated by the employee.

The Countywide Competencies are a good starting point for this analysis. Consideration of technical/job specific competencies is also important for certain positions where technical content is a major part of the duties assigned to the position. See Appendix B for more information.

Who is involved in the gap analysis process?

Departmental leadership, first line supervisors, and employees should be involved in the gap analysis process.

Prior to conducting a gap analysis it is important that both the employee and managers involved in the gap analysis have completed realistic assessments of proficiency levels required by the position and those possessed by the employee. The Countywide Competency Model shown earlier provides more information on proficiency levels and is described in more detail in Appendix #, the Countywide Competency Model. It will not serve the best interest of the individual or the county if the employee's assessment is inflated thereby minimizing the opportunity to plan and implement developmental experiences that will help the employee's growth. Unlike the performance evaluation and promotion processes where it is human nature to state outcomes in the most positive terms, when performing a gap analysis it is best to be very rigorous when assessing the individual's competencies so that true developmental needs are identified.

A gap analysis is a method used to define the difference between the current situation and the desired/future/ideal situation. A competency gap analysis provides information that is critical to creation of development plans.

What are the steps involved in conducting a gap analysis?

NOTE:
Steps 1 – 4 were completed as part of Step 6 – Complete Profile of Individuals in Development Pool, and resulted in a Gap Analysis Report.

Step 5 leverages the gap analysis information and relates it to the next step: Establish Group and Individual Development Plans

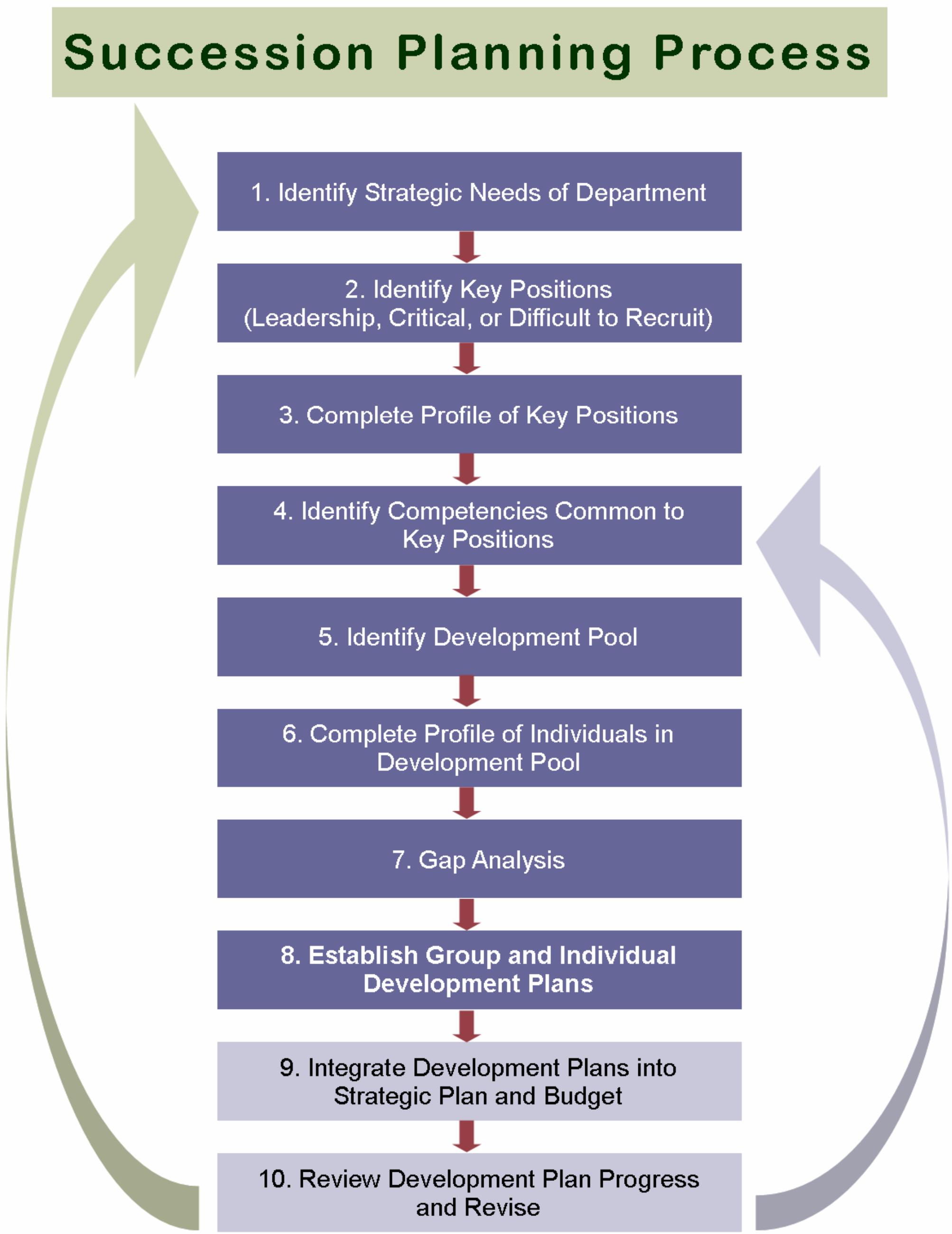
Step	Action
1. Identify target position	As discussed earlier, For succession planning purposes, the target position will be a position other than the employee's current position. **Note:** Employees interested in career development, outside of the formal succession planning effort may focus on growth in their current position.
2. Review critical competencies of the target position	Taking information from step 3 (Complete Profile of Key Positions) review the critical competencies for the target key position with employee(s) in the development pool to ensure a common understanding of the intent of the competency and proficiency level. The SP software can help to identify the most critical competencies of the Key Position.
3. Focus the gap analysis	Sometimes the list of critical competencies will be extensive. Assessing all the critical competencies is an option that will give a complete picture of the employee's readiness for a given position. However, if too many critical competencies are identified the developmental options may be overwhelming. For this reason, it may be advantageous to reduce the focus of the gap analysis to a smaller number of competencies. A general rule of thumb is to focus on 3-7 competencies that are the most important and/or represent the most likely areas for the employee to experience substantial growth. Should the employee and supervisor be prepared for the additional work required to assess all competencies there is no reason to preclude such an effort.
4. Assess the employees' competencies against the key position's profile	Once the critical competencies have been identified and the scope of the gap analysis focused, the employee and supervisor are ready to assess the employee's competencies against the requirements of the target positions. The SP software can assist in this process. A recommended approach is for the employee and supervisor to independently assess the individual's competency gaps as compared to the targeted position.

Step	Action
5. Analyze the results (Step 7) Gap Analysis	Once the gap analysis is completed the employee and supervisor should meet to review the results and agree to the most important area(s) for development. The analysis should be sufficiently tangible to yield actionable developmental needs. The use of the gap analysis information to design a specific developmental plan is discussed in step 8 of this guide.

SUMMARY

At this point in the process, management should ensure:

1. Competencies relevant to the target position were identified. The process involved someone who has in-depth knowledge of the position.
2. When the technical content of the job is significantly important, technical competencies were included in the analysis.
3. The employee and his/her supervisor focused the gap analysis on the most important competencies required in the target position.
4. The competency assessment was reviewed by employee and supervisor to ensure it represents a candid evaluation of the employee's competencies.
5. The gap analysis process involved input from the supervisor and the employee. The supervisor and employee met to review the results and identified areas for development.
6. The gap analysis identified developmental needs that are actionable.


Succession Planning Process
1. Identify Strategic Needs of Department
2. Identify Key Positions (Leadership, Critical, or Difficult to Recruit)
3. Complete Profile of Key Positions
4. Identify Competencies Common to Key Positions
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Step 8 - Establish Group and Individual Development Plans

INTRODUCTION

Once the development pool has been identified and assessed against key competencies the next step is to formulate individual and group development plans. This phase is critical to filling the gaps identified earlier during the gap analysis phase described in *Step 7 – Gap Analysis* in this guide.

The creation of Individual Development Plans (IDP) is facilitated by the succession planning software tool. This tool will enable employees and supervisors to create IDPs and monitor completion of the plan. Ultimately the success of individual development plans will hinge on initiative and commitment by employees and supervisors to accomplishing the development strategies that were jointly established.

When departments have identified gaps in competencies across the organization, they may decide to create a group development plan. A group development plan focuses on building strengths in competencies that are vital to the organization's success. A department may realize some savings by concentrating development in this manner. In some cases, departments could join together to achieve developmental goals that are common to both organizations. Such an approach maximizes gains across organizational boundaries.

PURPOSE OF AN INDIVIDUAL DEVELOPMENT PLAN

The purpose of the IDP is to identify specific developmental experiences that will prepare employees to compete for key positions within the succession plan. The same process can be used by individual employees not in the potential development pool to support their career development goals. The development and implementation of an IDP should be a joint effort of the employee, their supervisor, and a mentor if provided.

Employee and supervisory roles for developing individual development plans include:

Employee roles

- Assess competency level compared to the competencies and proficiency levels required for the target position. Use the process described in step 7 to perform a gap analysis.
- Identify specific developmental strategies that are necessary to improve competencies in areas where a gap exists between the level required in the target position and the employee's proficiency assessment. See below for a list of developmental strategies that may be employed.
- Complete development of the plan and seek to apply knowledge, skills, and abilities gained through development to demonstrate proficiency.
- Continually update the plan as competency development is completed and new competencies are identified for development.

Supervisory roles

- Assist the employee in assessing his/her competencies and proficiency levels in the context of the target position. Stress the need for realism in the assessment so that the resulting development plan will be effective in addressing proficiency gaps.
- Assist the employee in selecting appropriate developmental strategies and support the time and funding needed to complete the needed development.
- Monitor the completion of the development plan on a regular basis, at least every quarter and make adjustments as appropriate.

DETERMINING DEVELOPMENTAL STRATEGIES

The *key question* in selecting the appropriate developmental strategy for an employee is:

> *What are the learning and growth opportunities that will achieve the desired proficiency level to prepare the employee for the target position?*
> **Note:** Training is often considered as a quick fix solution if the issue is one of knowledge of a given subject matter. Classroom knowledge will diminish over time if the individual does not have an opportunity to apply the learning. Therefore, arrangements should be made prior to classroom training to provide the employee with the opportunity to apply the training knowledge as soon as possible.

OPTIONS FOR DEVELOPMENTAL STRATEGIES

Sometimes the knowledge and experience that will be required in the future is deeper than the knowledge that results from attending a formal classroom training program. When creating an IDP, employees are encouraged to use a combination of developmental strategies. These combinations will be dependent on the level of proficiency needed to perform the job.

The following table summarizes some of the potential developmental strategies that should be considered when establishing an IDP.

Developmental Strategy	Linkage to Developmental Needs
Classroom Training	Addresses need for additional information or knowledge of a given topic. Typically most effective in situations where the employee is not currently experienced in the subject matter being trained or needs a refresher due to changes in policies, processes, techniques or procedures. The county has an extensive array of training opportunities, which are listed in the Training Catalog. Functional competency training is often provided at the department level or through a professional organization or college/university department that specializes in a professional area. The Organizational Development and Training staff is available to consult about training that will help meet a specific training need.

Developmental Strategy	Linkage to Developmental Needs
Experiential Learning	Addresses need for proficiency in applying knowledge, skills or abilities to perform a given tasks or duties. Means of providing experiential learning are many but the most common include new job assignments, working as part of project team, or leading an effort to develop a new or revised policy, process, or procedure. Typically, experiential learning can be most effective when linked to a feedback process involving a supervisor, project manager, or mentor. When part of a development plan, experiential learning should have clearly developed learning goals and contain an evaluation process to assess if the goals were met.
Action Learning	Action learning is a form of experiential learning that is accomplished in a group problem solving setting. The purpose of action learning is to use the power of the group to address a specific strategic or operational challenge. Action learning is a powerful developmental tool that has payoff to the organization in terms of the solutions developed by the action learning group. Specific competencies that are utilized in action learning include communication, teamwork, group leadership, planning and analysis. Effective action learning projects are typically preceded by training on how to implement the process.
Shadowing	Shadowing can be an effective means to achieve knowledge transfer to employees participating in the succession planning process. Shadowing should be thought out in advance to identify the opportunities to focus the shadowing on gaps identified by the employee and supervisor during the assessment process in Step 7 - Gap Analysis.
Mentoring	Mentoring is a developmental tool in which a relationship is created between the person under development and a mentor from outside of the person's formal chain of command. The mentor provides career guidance and feedback to the individual. The mentor is typically a more experienced individual who has met with career success. Because the mentor is from outside the person's chain of command, the mentor's feedback and advice can sometimes be more open and honest. The relationship could be formal, with established goals and a structured plan, or informal. Some organizations use group mentoring, in which the individual has an opportunity to meet with several mentors in order to benefit from their experience and guidance.

Developmental Strategy	Linkage to Developmental Needs
Self-study	Addresses needs that are not met through classroom training or experiential learning. This could include college courses which may be funded through the county's tuition assistance program, individual guided research programs that analyze best practices in other organizations, readings from professional journals or books that provide information in an area related to a developmental goal. Self study development should have identified learning goals and be accomplished under the guidance of a supervisor or mentor.
Feedback	Feedback and coaching can be an effective developmental process. Typically feedback is provided by a supervisor or mentor. Feedback is a normal part of performance management which ideally includes a discussion of future development. In the context of succession planning feedback should include information relating to specific competencies identified during the gap analysis phase described in Step 7 of this guide. If appropriate, a 360 degree feedback process may be used to gain additional perspectives from customers and coworkers. The Organizational Development and Training staff can provide assistance in finding tools that complete the 360 degree feedback process.

MONITORING LEARNING

Once the IDP has been established and agreed to by all parties including the employee, his/her supervisor, and the mentor (if used) it is important to establish a process for tracking and updating the IDP.

- The employee and mentor should meet on a regular basis, typically at least monthly, to assess progress.
- A formal progress meeting between the employee and his/her supervisor may be held less frequently but a quarterly meeting is recommended. Depending on progress made the IDP may be updated following the formal meetings. Progress reports and revisions should be recorded using the succession planning software.

SUMMARY

As a result of completing *Step 8 – Establish Group & Individual Development Plans*, the following should be accomplished:

- The employee and supervisor assessed the employee's developmental needs compared to the proficiency levels required by the target position.
- The assessment produced a realistic picture of the employee's development needs.
- Specific developmental strategies were identified and documented on the IDP form.
- Resources, time and funds were available to support the employee's development strategies.
- The supervisor and employee agree with the development plan and commit to its completion.
- Follow-up meetings are scheduled on a regular basis.
- The process is in place for updating progress using the succession planning software.

- Assistance has been requested from the Organizational Development and Training staff to resolve questions about available resources to support the development plan.


Succession Planning Process
1. Identify Strategic Needs of Department
2. Identify Key Positions (Leadership, Critical, or Difficult to Recruit)
3. Complete Profile of Key Positions
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6. Complete Profile of Individuals in Development Pool
7. Gap Analysis
8. Establish Group and Individual Development Plans
9. Integrate Development Plans into Strategic Plan and Budget
10. Review Development Plan Progress and Revise

Step 9 - Integrate Development Plans into Strategic Plan And Budget

INTRODUCTION

As noted in *Step 1 – Identify Strategic Needs of Department* of this guide, the strategic and operational plans are major drivers in succession planning along with operational plans. Organizations live in a dynamic environment and strategic plans must be adjusted periodically to reflect changes that occur or new opportunities that emerge. Some of the factors that may impact strategic and operational plans include:

- New or expanded programs and/or facilities
- New technology will be used to support the mission
- New service delivery models
- Changes to resource levels or staffing models brought on by a change in staffing mix such as position counts and contracting decisions
- Reorganizations

These changes may impact succession planning in terms of the numbers and types of positions that need to be filled, emergence of new key positions and the requirement for different competencies.

Adjusting the Succession Plan to Reflect Strategic Changes

The job aid below illustrates how an organization might assess the impact of strategic plan changes on the succession plan.

Strategic Plan Change - *EXAMPLE*	**Impact on Operations - *EXAMPLE***	**Adjustment to Succession Plan - *EXAMPLE***
A new facility will open in 2009 to serve clients in the XXX region of the county.	Ten new positions will be established including a site manager and three managers on duty.	Site manager is considered a key position. The current succession plan identifies the need for two site managers to be developed through the succession planning process. As a result of the strategic plan change, an additional site manager will need to be developed. In addition, the addition of three managers on duty will require that that position be identified as a key position in the succession plan.

Strategic Plan Change - *EXAMPLE*	Impact on Operations - *EXAMPLE*	Adjustment to Succession Plan - *EXAMPLE*
The current software supporting Dept. XX is being replaced by a new enterprise system.	The staff responsible for operating the current system will need to develop new competencies. In addition, a new technical position will be needed to provide level three technical assistance to users.	The positions responsible for the new enterprise system will now be considered as key positions. Also, since it is unlikely that the competency to perform level three technical assistance can be developed in the current staff, a new position must be established or plans made to obtain contract support to perform this function. If a new position is established, an assessment should be made as to whether the position can be filled from within the county or if external recruitment is needed. If external recruitment is needed a recruitment strategy should be established in coordination with the Department of Human Resources.

RESOURCE IMPLICATIONS

Changes such as the examples shown above have obvious resource implications. There may be a need for position changes that need to be addressed through workforce planning. Technical competencies may be added as a result of this analysis. Resources for development of these new competencies should be identified as discussed in Step 9 of this guide. Funding to support positions and competency development should be addressed during the normal budgeting process.

SUMMARY

As a result of completing Step #9 – *Integrating Development Plans into Strategic Plan & Budget*, the following is accomplished:

- When appropriate, the strategic plan changed since the succession plan was developed. The human resources impact has been assessed.
- Changes to the list of key positions as a result of strategic plan changes have been identified and implemented.
- New competencies required to support the changes to the strategic plan have been considered. It has been determined that the competencies can be developed either internally or external recruitment or contract support will be needed.
- Any human resources changes resulting from the strategic plan changes have been integrated into the succession plan, as appropriate.
- Resource requirements to support changes to the succession plan, if any, have been identified and included in budget documents.


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Step 10 - Evaluating Succession Planning Implementation

INTRODUCTION

Succession Planning is a dynamic process which must be evaluated periodically to ensure that desired objectives are being achieved. Evaluation will help to identify areas that need improvement and provide a basis for efficient use of resources by highlighting processes that are effective and those that are not.

The evaluation process should be completed by a team made up of the various stakeholders involved in the succession planning process including the following:

- Human Resources County Succession Planning Coordinator
- Departmental Succession Planning Coordinator
- Key line managers who are involved in the succession planning process
- Employees who are being developed through the succession planning process

An annual evaluation process is recommended at a minimum, but a more frequent progress review may also be beneficial.

MEASURES

Measures to be used when evaluating the succession planning program may include those shown below. The measures are grouped into process and outcome measures. The assumption is that meeting the right process measures will result in achievement of the outcome measures.

Departments and agencies may choose to select from the following potential measures for their evaluation process. Obviously, the availability of data is a primary consideration as to which measures should be used. Developing information to determine whether the measures are being met can be obtained through one or more of the following techniques:

- interviews;
- focus groups;
- surveys; and
- review of training and development activities.

Process Measures	Assessment	Action Plan
Were key positions identified?		
Were core and technical competencies critical to performance in key positions identified?		
Did employees in the development pool assess their competencies and identify gaps/developmental needs?		
Did employees in the development pool develop individual development plans?		
Was progress made toward meeting the developmental objectives contained in the individual development plans?		
Are necessary resources available to support succession planning implementation?		
Is there a structure to support the implementation within the department/agency?		
Has the Succession Planning software added value to the Implementation process?		
Was consultative support from the Department of Human Resources and Organizational Development and Training staff available when needed?		
Is your staff sufficiently trained to implement the succession planning program?		

Process Measures	Assessment	Action Plan
Do you need additional information or support to improve implementation of the succession planning?		
Is the succession plan aligned with strategic plan? If not, what changes are needed to the succession plan?		

Outcome Measures	Assessment	Action Plan
Are employees in the development pool more qualified to compete for key positions than they were when they entered the program?		
Is the succession planning process understood and accepted by managers and employees?		
What percentage of employees who were originally selected to serve in the development pool is still participating in the succession planning process?		

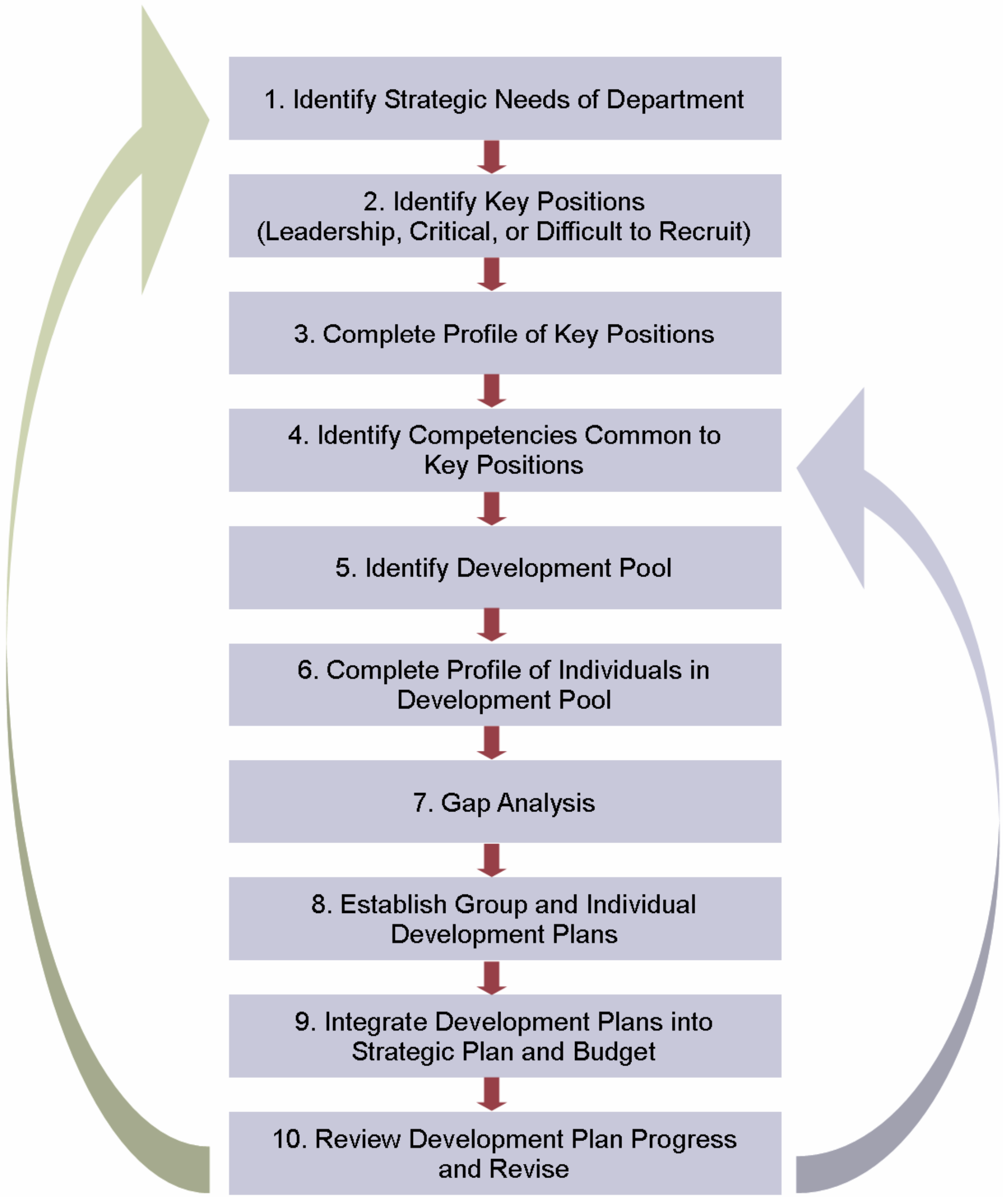
The following job aid will be useful to assess overall progress in meeting succession planning goals.

Key Position	Development Pool Participant(s)	Current Status		Developmental Plan
Example	Example	Fully Qualified	Under Development	
MA IV	Wannabe Boss	X		Shadowing assignment per IDP
MA IV	L. Climber		X Expect to be fully qualified 12/08	Attend HPO Course and assist preparation of Dept. Budget
MA IV	Going Places		X Expect to be fully qualified 6/09	Lead process improvement team for customer service improvement initiative

REPORTING

It is recommended that a formal report be prepared assessing the process and results measures and action plans needed to move toward succession goals. The report should be presented to the department/agency director and others in the chain-of-command. Action plans should be assessed for budgetary impact and considered during resource planning activities.

Succession Planning Process




Building Capacity
Systems Thinking
Political Awareness
Aligning Vision and Values
Flexibility and Resilience
Partnering
Innovation
Team Building
Collaborative Leadership
Managing Self
Information Sharing
Problem Solving
Continual Learning
Customer Service
Effective Communication
Interpersonal Conflict Resolution
Teamwork
TECHNICAL/CAREER FIELD
CORE
County Vision Elements
Employee Vision Statement
Guiding Principles, Ethics, and Leadership Philosophy
County-Wide Behaviors
Accountability
Diversity Awareness
COMPETENCIES
Managing People
Conflict Management
Managing Change
Leveraging Diversity
Talent Management
Performance Management
Workforce Planning
Managing Resources
Financial Management
Process Management
Strategic Management
Project Management
Leading Organizations
Entrepreneurship
External Awareness
Developing Leaders
Stewardship
Risk Taking
Strategic Thinking
Visioning
Strategic Communication