

CITY OF BELLEVUE, NEBRASKA

# City of Bellevue Succession Plan

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## Overview

### *What is Succession Planning (SP)?*

Succession Planning 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 City of Bellevue 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, the City of Bellevue will encounter dramatic changes in the workplace over the next ten years. As the Baby Boom generation reaches retirement eligibility, the City of Bellevue faces the prospect of a significant loss in organizational knowledge, skills and experience. Additional challenges will affect the city'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 City of Bellevue has embraced these challenges and remains committed to the provision of superior service to citizens. Through initiative and creativity the city will improve the organization and develop employees personally and professionally at every opportunity.

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

### *Where we are today?*

After studying various models, the City of Bellevue has adopted the SP model designed by Fairfax County, VA. This model was developed through a series of pilots involving various governmental areas including:

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

Great appreciation should be expressed to Fairfax County, VA for the generosity of sharing their model via the International City/County Managers Association (ICMA).



**Figure 1. Succession Planning Process Steps**

## Foreword

### *Purpose of this document.*

The information contained in this SP guide was developed based on experiences and results gained through extensive research. The information within the guide provides guidance and support for establishing and implementing SP within organizations.

This guide is intended to provide managers with suggestions and recommendations and is not a ‘one size fits all’ approach to SP. Flexibility when implementing the process steps is encouraged so the steps meet the needs of the organization.

### *Department of Human Resources Support*

As SP moves from planning into implementation, Department of Human Resources (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.

### *Roles in Succession Planning*

To be successful, SP 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. Senior management should also work in partnership to identify key positions and competencies that cross departmental boundaries.
- **Managers and Supervisors:** should participate in identifying key positions and competencies (knowledge, skills and abilities) essential within their organization.
- **Employees:** should partner with supervisors to assess competencies required for key positions, evaluate key positions’ current competency levels and create individual development plans.
- **Department Management:** will prepare Succession Plans that focus on employee development of competencies 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.
- **Employees’ Perspective:** From the employees’ perspective, the succession planning process will provide information and tools to assess competencies and determine what steps employees can take to enhance their qualifications and become competitive for advancement to key positions.

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

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

As the workplace and jobs evolve due to technological advances or changes within business areas, the SP process may also identify new competencies that can be developed to improve performance in the employees’ current positions. The benefit employees will derive by using SP tools is largely dependent on 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 City’s personnel policies governing 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 City will continue to implement training and development with employees attending training and participating in developmental activities. However, departments participating 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:

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- Technical competencies associated with business needs
- Technical competencies associated with changing business processes
- For the purposes of SP, the city 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 establish a developmental pool for key positions by encouraging employees to join voluntarily. There will be no guaranteed promotions for those in a developmental pool. Department Managers will identify employees and encourage them to participate in the pools based on their ability to meet a position's minimum qualifications and their measurable levels in the following areas:

- 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 hiring process — there will be no pre-selection for any position.

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 any employee who thoughtfully guides his or her own development will achieve the same level of competency and competitiveness as employees in the pool.

All open position postings will be done internally. However, in some cases, selection for key positions may involve recruitment and selection from outside the current city workforce if administration and the department manager determine it advantageous to consider applicants from sources outside the city.

More detailed guidance on establishing developmental pools can be found in Step 5.



*SP Tools and Resources*

This guide provides a general overview of the City of Bellevue’s approach to (SP). 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 city 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.
- **Spreadsheets** - The city has developed spreadsheets that will serve as a tool to support SP tracking efforts.
- **Training** - DHR and administration will provide training on:
  - SP process and guidelines
  - Competency models
  - How to develop technical competencies
  - Spreadsheets usage and other resources

*Summary*

The City of Bellevue does not intend to over regulate implementation or prescribe a rigid approach to the SP process. Department Directors will have the flexibility to 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 existing policies. When fully implemented, SP will help City of Bellevue 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.

## Step 1 – Identify Strategic Needs of Department

### *Introduction*

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

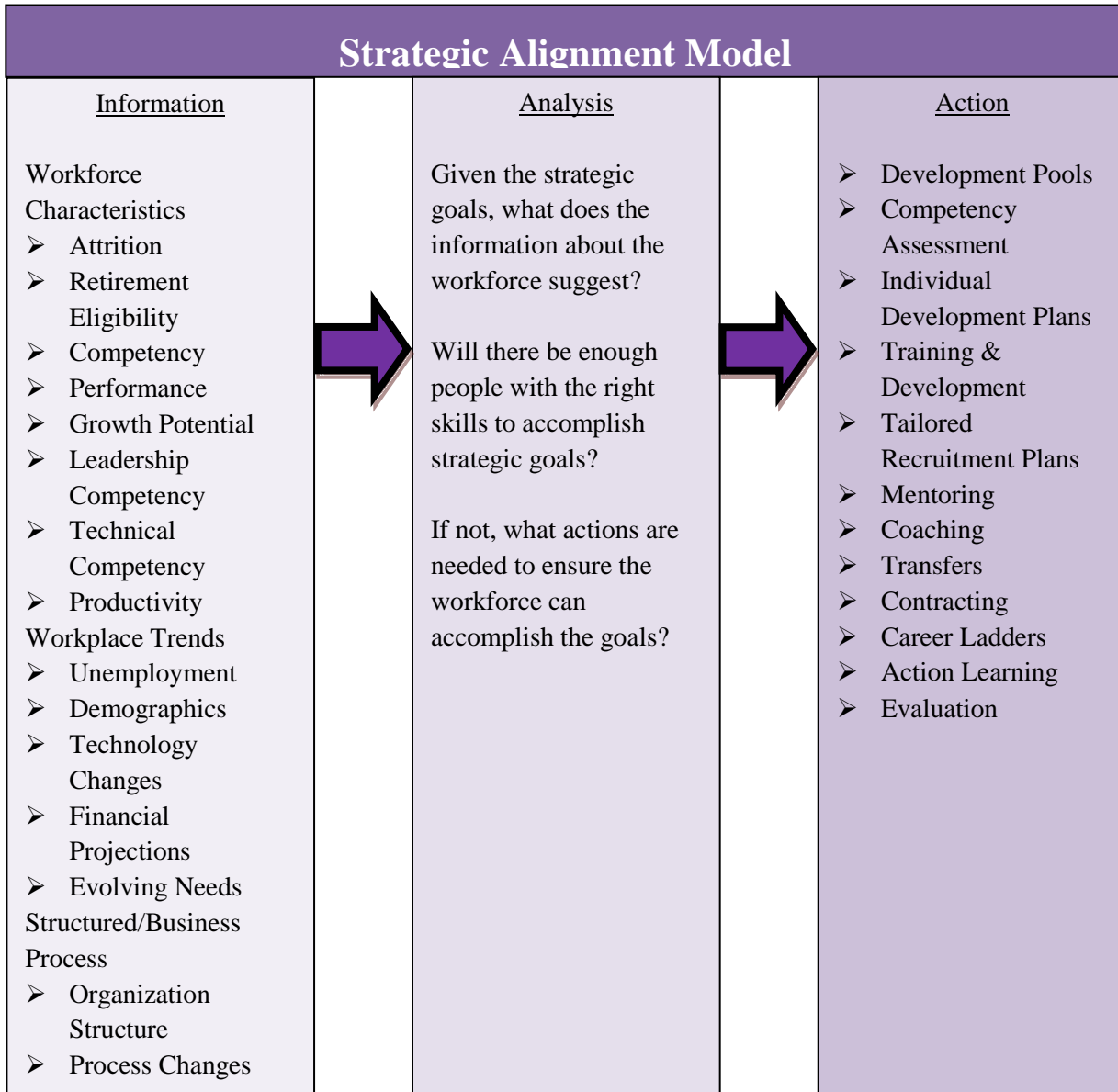
- Estimating changes that are likely to occur in the workforce due to normal attrition or super attrition due to a surge of employees becoming eligible for retirement.
- Considering the extent to which additional competencies, or increased proficiency of current competencies, will be needed to support:
  - New/changed work processes.
  - New technology.
  - 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.

Regardless of the strategic or operational planning methodology used *it is almost always the case that human capital issues need addressed in the SP*. 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 Strategic Alignment Model is graphically described in Figure 2.



**Figure 2. Strategic Alignment Model.**

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### *Summary*

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

- The strategic 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 minimum requirements and proficiency levels for key positions.
- There is enough information to make judgments about the workforce's capabilities to accomplish strategic 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 strategic goals. The disparities between current and required goals are identified.
- Specific competencies are developed to adjust this difference. 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 plan identifies actions and resources needed to ensure human capital needs are met.
- Performance plans reflect the actions needed to ensure the workforce is capable of accomplishing the strategic goals.
- Managerial behaviors are consistent with motivating employees to pursue development in addition to performance of daily tasks.
- City personnel policies support the ability to develop or acquire the needed human capital to accomplish strategic goals. Policies that impede accomplishment of SP goals have been identified. Departments identifying other barriers should bring them to the attention of the DHR.
- A process has been established that tracks progress toward accomplishing actions needed to align human capital development with strategic goals.

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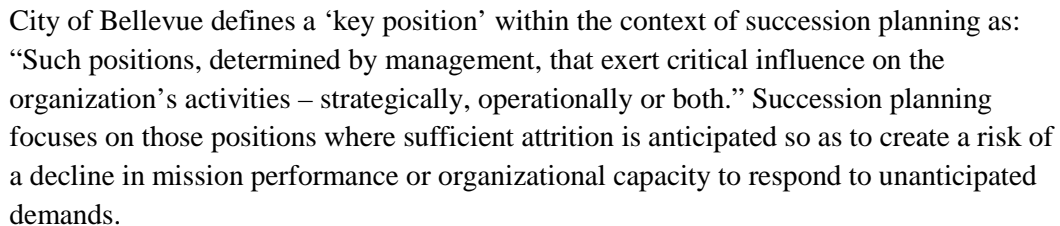
Sections to follow will discuss in more detail specific actions that may be taken to prepare the workforce to achieve strategic and/or operational goals and sustain ongoing operational excellence.

## Step 2 - Identify Key Positions

### *Introduction*

Understanding the strategic direction of the organization and its 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 achievement of strategic direction now, into the future and ensures a clear focus on developing candidates for positions which are most critical to future effectiveness of the organization and performance of key functions.

### *What is meant by a ‘key position’?*



City of Bellevue defines a ‘key position’ within the context of succession planning as: “Such positions, determined by management, that exert critical influence on the organization’s activities – strategically, operationally or both.” 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.

**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, importance of the work assigned to the position in the work flow/process, an incumbent’s unique skills, etc. Also, keep in mind the possibility 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 when determining whether or not a position should be identified as a key position for SP 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 or tasks. When the critical task is not performed, processes, activities or tasks that

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are dependent upon it cannot continue forward. Operations are ceased, delayed and strategic goals 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, perhaps to administer a customized in-house data base.

**Strategic Importance:** What are the functions to be in the future? Where is the 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.

**City vs. Organizational Perspective:** Key positions should be assessed from a citywide perspective, or a departmental perspective.

*Example:* If the position analysis supports a set of competencies that reflect positions that exist throughout the city, 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: <ul style="list-style-type: none"> <li>➤ The <i>short term</i> to fill immediate needs and operations of the organization (retirements, turnover, changes in project workload)</li> <li>➤ The <i>long term</i> strategic needs (total talent management)</li> </ul> Also, consider mission support positions in addition to positions assigned direct mission

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	tasks. Address gaps between the workforce of today and workforce needs of tomorrow. A position not currently a key position may be so in the future, due to changes in qualifications or mission scope.
2.	Assess whether staff is available in other city departments that are now fully qualified to fill the position. If so, the position, while important, may not be considered key within the succession planning context.
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 plan.

*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.



### Step 3 – Complete Profile of Key Positions

*Introduction*

Once key positions have been identified, create a *key position profile*. This profile documents essential competencies, technical skills, performance skills and criteria required by a candidate to fill a key position within the City of Bellevue.

*Key Position Profile*

A position profile should include the following kinds of information:

- Job classification and working title
- Supervisor’s name and job classification
- Major roles and responsibilities, duties/tasks of the position (from the current position description)
- Budgetary responsibilities
- Supervisory responsibility
- Accountability level
- Citywide competencies required
- Technical/professional job specific competencies required
- Education requirements
- Experience requirements

*Create a ‘Key Position’ Profile*

Step	Action
1.	Ensure the <i>Position Description</i> (PD) for a key position is current and approved by the City Administrator. 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 of the position, can represent the key position and who have experience working in the job of the key position. Recommendations include: <ul style="list-style-type: none"> <li>➤ Incumbent currently in the key position</li> <li>➤ Manager of the key position</li> <li>➤ Upper management who have a vested interest in the key position</li> <li>➤ Subject Matter Professionals (SMP) who have experience and knowledge about the job performed in the key position</li> </ul>
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. <ul style="list-style-type: none"> <li>➤ Citywide should be established prior to identification of a key position.</li> </ul>
4.	Identify technical/job-specific competencies necessary for success in the key position.

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*Figure 3* diagrams the *Citywide Competency Model* and is a valuable tool which can help identify critical competencies.

*It may be possible that* employees identified in Step 2 can be leveraged as needed during the creation of the key position profile for their expertise and knowledge of the key position.

**Note:** It is important to focus on the competencies required for the key position, *not* the competencies of the person in the 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.

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Figure 3. Citywide Competency Model.

## Step 4 - Identify Competencies for Key Positions

### *Introduction*

The City of Bellevue's SP process focuses on development. *Job competencies*, those knowledge, skills, and abilities critical for job success, are the foundation upon which career development plans are made. By supporting employee development planning efforts, the city is building a workforce prepared to effectively demonstrate the job competencies essential to maintaining the city's continuity of operations.

City of Bellevue has adopted the Citywide Competency Model to help identify needed learning and development opportunities throughout the organization. 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 needed training and development opportunities for the workforce and for aligning employee development with the requirements of SP.

### *What does the term competency mean?*

A measureable pattern of knowledge, skills, abilities, behaviors and other characteristics 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 '**common**' competencies are, and the gaps among the key positions, will facilitate the decision process to:

- Plan, prepare or develop the workforce mission and enhance performance in the short and long-term. Managers will be able to plan for potential vacancies as a result of increasing retirements and turnover by identifying 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 to optimize efficiency and cost effectiveness.
- Provide information to employees about competencies that are *common* across all departments within the city; knowledge/application of the competency is transferable across one or more

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key positions. This will empower employees to manage their own development in partnership with their supervisors.

- Integrate competencies into the city’s Human Resource processes such as recruiting, selection, hiring, performance evaluation, etc.
- Create developmental activities that focus on the development of a competency rather than development for a specific key position.
- Track competencies common to key positions in order to recognize 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 Citywide competencies and technical or job specific competencies identified during **Step #3 – Complete Profile of Key Positions** provides the associated information.

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

Subject Matter Professionals (SMP) sometimes known as high-performers, are individuals recognized as being top performers who have successfully demonstrated the application of knowledge & experience within a key position. By capturing and leveraging the SMP’s knowledge, managers can ensure institutional knowledge and competencies for critical work are identified. Managers can identify SMP’s by doing the following for each key position:

- Identify individuals located within their departments, in other departments and/or throughout the city, who have demonstrated successful job performance in the key position.
- Identify other individuals throughout the city who have *in-depth knowledge* of responsibilities and operational context of key positions.
- Using SMPs to identify competencies ‘common’ to key positions, ensures *validity and defensibility* of information captured. SMP’s offer departments 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.
  - **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.

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### *How do you identify competencies common to key positions?*

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

- Review the citywide competencies in the Citywide Competency Model (Figure 3, p. 17).
- Determine which city-wide competencies are common to key positions by seeking input from the subject matter professional identified in **Step #3 – Complete Profile of Key Positions**.
- Determine which technical or job specific competencies are common to key positions by leveraging the input from the subject matter professional (SMP) identified in **Step #3 – Complete Profile of Key Positions**.
- Identify technical or job specific competencies common to key positions.

### *How do we rank the importance of various competencies?*

Ranking the importance of the citywide competencies and the technical or job specific competencies is a combination of looking at the following information and discussing it with your SMPs and management team:

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

### *Summary*

At the conclusion of this step, departments will know which competencies are common across all departments within the city. This information will be useful to establish learning and performance related development strategies for groups of employees who are being developed for key positions.

## 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 of candidates meeting key positions’ minimum requirements. 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 and key positions’ minimum requirements. Remember the requirement to have full and open competition for promotion will remain in effect for all employees, whether or not they participate in the SP process. Participation in the SP process will enable employees to plan their career development and professional growth. The employee self-nomination plan is what the City of Bellevue will utilize.

### *Employee Self-Nomination*

<b>Method</b>	<b>Description</b>
Employee Self-Nomination	Based on personal career goals, individual employees may aspire to a particular position or job class. They may identify the competencies associated with target position and work either individually or with their supervisor on Individual Development Plans (IDPs) to develop these competencies once the minimum requirements for a target position are met.

### *Employee Development*

Some minimum requirements to be considered when determining development needs for employees 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*

All employees who meet a position’s minimum requirements and self-nominate will be placed in the development pool. It is necessary to obtain sufficient information to accurately predict the probable

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success of participants to meet the competency requirements of the targeted key position. Standard procedures such as questionnaires, interviews and other assessment tools may be used when necessary.

### *Next Step*

After entering the development pool, employees will participate in development and training activities designed to develop the competencies needed in key positions. It is important to use fair, consistent and objective criteria when establishing employee developmental needs.

### *Summary*

At the conclusion of Step 5, a pool of candidates for key positions within a department will be selected using the process described. To avoid the perception of inequity it is desirable to have an open process that allows all eligible employees to be considered. Assistance from Succession Plan Coordinators in designing the development plan for key positions may need to be utilized.



## Step 6 - Complete Profile of Individuals in Development Pool

### *Introduction*

Employees in the development pool meeting the minimum requirements of a key position will be invited to participate in an assessment of their competencies compared to the key position. Individuals will complete a competency assessment survey. Competencies in the survey will consist of competencies from the Citywide Competency Model shown in Figure 3 and Appendix A. The department may also utilize assessment survey templates found in Appendix B.

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

### *Next Steps*

After employees have completed their competency assessments, the employees' supervisors will then review completed surveys and complete their own assessment of the individuals in the development pool. DHR will then 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 reflecting the 'gap' to be addressed through developmental opportunities. The following is a sequential process that guides managers/supervisors through the steps for completing a Competency Assessment.

### *Profiling the Competencies of the Development Pool.*

<b>Step</b>	<b>Action</b>
1.	➤ Meet the key position minimum requirements.
2.	<ul style="list-style-type: none"> <li>➤ Assess pool participants' competencies. Be very rigorous and honest when assessing the individual's competencies so true development needs are identified.</li> <li>➤ Employees and Supervisors should agree on realistic proficiency levels possessed by the employees.</li> <li>➤ If the department has used the Citywide Competency Model, specific technical competencies will be included in the assessment. (See Appendix A for more information on technical competencies).</li> </ul>
3.	➤ In some cases, higher levels of management may be involved in the discussion as an option to help determine the level of proficiency of the potential successor.
4.	➤ DHR will produce a competency assessment of each employee in the Development Pool. This assessment will profile individual strengths and

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	developmental needs in relationship to the key positions, job-specific competencies and technical competencies.
5.	<ul style="list-style-type: none"> <li>➤ DHR will produce a <i>gap analysis</i> report that will show the gap between the desired competencies for the key positions and the current competency level of the individuals in the development pool. <ul style="list-style-type: none"> <li>○ Gap analysis will be discussed in more detail in the next section of this guide.</li> <li>○ Information from the competency assessments will be used to chart employee professional development.</li> </ul> </li> </ul>

*Summary*

At the end of *Step 6 - Complete Profile of Individuals in the Development Pool*, the following will have been completed:

**Managers will have:**

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

**Employees in the Development Pool will have:**

- Met the minimum requirements
- Completed a Competency Assessment upon meeting minimum requirements.

**Supervisors of the employees in the Development Pool will have:**

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

**The DHR will have:**

- Provided profiles of individual employees' competencies against the key position's technical or job-specific competencies.

Next, management will conduct a gap analysis between competencies required for the Key Position and competencies of employees in the Development Pool.

## Step 7 – Gap Analysis

### *Introduction*

In Step 6, a gap analysis report was the result of assessing the development pool members' competencies against those of a key position. Analyzing 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 city or department. Information in this section is provided to help ensure clarity around gap analysis and its importance to the SP process.

### *What is a gap analysis?*

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

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

The Citywide Competencies are a good starting point for this analysis. Consideration of technical or job specific competencies is also important for certain positions where technical content is a major part of the duties assigned to the position.

### *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 Citywide Competency Model shown earlier provides more information on proficiency levels and analysis information is described in Appendix A.

It will not serve the best interest of the individual or the city 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 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 developmental needs are identified.

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*What are the steps involved in conducting a gap analysis?*

NOTE:

*Steps 1 – 4 were completed as important elements 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
<p><b>One:</b> Identify target position.</p>	<p>As discussed earlier, for succession planning purposes, the target position will be a position other than the employee’s current position. <b>Note:</b> Employees interested in career development, outside of the formal succession planning effort may focus on growth in their current position.</p>
<p><b>Two:</b> Review critical competencies of target position.</p>	<p>Taking information from step 3 (Complete Profile of Key Positions) review critical competencies for 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 DHR can help identify the most critical competencies of the Key Position.</p>
<p><b>Three:</b> Focus the gap analysis.</p>	<p>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 most important and/or represent the most likely areas for 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.</p>
<p><b>Four:</b> Assess the employees’ competencies against the key position’s profile.</p>	<p>Once 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. A recommended approach is for the employee and supervisor to independently assess the individual’s competency gaps as compared to the targeted position.</p>
<p><b>Five:</b> Analyze the results (Step 7) of the Gap Analysis.</p>	<p>Once the gap analysis is completed, 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.</p>

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### *Summary*

At this point in the process, management should ensure:

- Competencies relevant to the target position were identified. The process involved someone who has in-depth knowledge of the position.
- When technical content of the job is significantly important, technical competencies were included in the analysis.
- The employee and his/her supervisor focused the gap analysis on 3-7 of the most important competencies required in the target position.
- The competency assessment was reviewed by employee and supervisor to ensure it represents a candid evaluation of the employee's competencies.
- The gap analysis process involved input from the supervisor and the employee. The supervisor and employee met to review results and identified areas for development.
- The gap analysis identified developmental needs that are actionable.

## **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 Department of Human Resources (DHR), Department Managers and Administration. All will assist employees and supervisors in the creation of IDPs, approval of the IDPs, and monitor completion of the plan. However, success of IDPs will ultimately 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 city, they may decide to create a group development plan. A group development plan focuses on building strengths in competencies vital to the city'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 departments. Such an approach maximizes gains across departmental boundaries.

### *Purpose of an Individual Development Plan (IDP)*

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 IDPs 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 necessary to improve competencies in areas where a gap exists between the level required in the target position and the employee's proficiency assessment. Read ahead for a list of possible developmental strategies.
- Complete development of the IDP and seek to apply knowledge, skills, and abilities gained through development to demonstrate proficiency.
- Continually update the IDP 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 needed to complete the needed development.
- Monitor the completion of the IDP 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 knowledge and experience 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.

<b>Developmental Strategy</b>	<b>Linkage to Developmental Needs</b>
<b>Classroom Training</b>	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. Functional competency training is often provided at the department level or through a professional organization or college/university department that specializes in a

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	professional area. The Organizational Development and Training staff is available to consult about training that will help meet a specific training need.
<b>Experiential Learning</b>	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.
<b>Action Learning</b>	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 city 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.
<b>Shadowing</b>	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 <b>Step 7 - Gap Analysis</b> .
<b>Mentoring</b>	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.
<b>Self-study</b>	Addresses needs that are not met through classroom training or experiential learning. This could include individual guided research programs that analyze



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	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.
<b>Feedback</b>	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. 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 feedback process using multiple perspectives may be useful to gain additional perspectives from customers and coworkers. The DHR, Department Managers and Administration can provide assistance in finding tools that complete 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 formal meetings. Progress reports and revisions should be recorded with DHR assistance (if needed).

*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 within the IDP.
- Resources and time 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.

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- The process is in place for updating progress using DHR progress report forms.
- Assistance requested (if needed) from the DHR, Department Managers and Administration to resolve questions about available resources to support the IDP.

## Step 9 - Integrate Development Plans into Strategic Plan and Budget

### *Introduction*

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

- New or expanded programs and/or facilities
- New technology 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 numbers and types of positions to be filled, emergence of new, key positions and requirements for different competencies.

### *Adjusting the Succession Plan to Reflect Strategic Changes*

The following job aid examples illustrate how a city might assess the impact of strategic plan changes on the succession plan.

#### *Example 1*

<b>Strategic Plan Change – EXAMPLE</b>	<b>Impact on Operations – EXAMPLE</b>	<b>Adjustment to Succession Plan – EXAMPLE</b>
A new facility will open in 2009 to serve clients in the XXX region of the city.	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.

*Example 2*

<b>Strategic Plan Change – EXAMPLE</b>	<b>Impact on Operations – EXAMPLE</b>	<b>Adjustment to Succession Plan - EXAMPLE</b>
<p>The current software supporting Dept. XX is being replaced by a new enterprise system.</p>	<p>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.</p>	<p>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 city 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.</p>

*Resource Implications*

Changes such as the previous examples have shown have obvious resource implications. Position changes may need to be addressed through workforce planning. Technical competencies may be added as a result of analysis. Resources for development of new competencies should be identified as discussed in Step 9 of this plan. 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 is 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.

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- New competencies required to support 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 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.

## Step 10 - Evaluating Succession Planning Implementation

### *Introduction*

Succession Planning is a dynamic process which must be evaluated periodically to ensure desired objectives are being achieved. Evaluation will help identify areas needing 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:

- City Succession Planning Coordinators
- Departmental Directors and Supervisors
- 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 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
- Review of training and development activities

The following tables may be useful when measuring progress and developing action plans.

### *Process Measures*

<b>Process Measures</b>	<b>Assessment</b>	<b>Action Plan</b>
Were key positions identified?		

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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?		
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?		
Was consultative support from the Succession Plan Coordinators available when needed?		
Is city staff sufficiently trained to implement the succession planning program?		
Is additional information or support needed 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*

<b>Outcome Measures</b>	<b>Assessment</b>	<b>Action Plan</b>
Are employees in the development pool more qualified to compete for key		

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positions than they were when they entered the program?		
Is the succession planning process understood and accepted by managers and employees?		
What percentage of qualified employees who originally volunteered to serve in the development pool are 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 Progress Report*

Key Position Example	Development Pool Participant(s) Example	Current Status		Developmental Plan
		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 necessary to produce a formal report assessing the process and results measures and action plans needed to move toward succession goals. The report will be presented to the department director and others in the chain-of-command. Action plans will be assessed for budgetary impact and considered during resource planning activities.



## **Appendix A**

### **Competencies**

## Model Components

The City of Bellevue Citywide Competency Model consists of the following components:

1. **Focus Areas.** Major categories of performance that are important for success in all City positions. The focus areas in this model are organized into seven areas of importance. They include:
  - *Core:* Located strategically in the middle of the model, these competencies are central and essential to all employees. These competencies are generally the first to be developed in new hires.
  - *Technical/Career Field:* This focus area, which surrounds the core of the model, encompasses those competencies that are specific to an employee’s career field. These are the competencies needed to complete the technical/occupational work of the City.
  - *Managing Self:* This focus area includes the skills employees need to manage themselves in their day-to-day work. The competencies address the ability to grow and develop as City employees and to communicate and build relationships with others.
  - *Building Capacity:* This focus area encompasses the skills one needs to begin taking a leadership role on teams or projects. These competencies will enhance an employee’s ability to view the organization as an interrelated system and to work across boundaries to accomplish goals.
  - *Managing People:* This focus area involves the ability to design and implement strategies that maximize employee potential in meeting the City’s vision, mission, and goals.
  - *Managing Resources:* This focus area involves the ability to acquire and administer human and financial resources in a manner that accomplishes the City’s mission. It also encompasses the skills needed to think strategically and to manage projects.
  - *Leading Organizations:* This focus area encompasses the skills needed to be a leader at the highest level of the organization. It includes competencies such as developing other leaders, creating and securing support for the City vision, and communicating and thinking strategically.
2. **Competencies.** Specific work activities and knowledge, skills, and abilities that, when combined, define a focus area. For example, the Managing Resources area has four associated competencies, Financial Management, Process Management, Strategic Management, and Project Management.
3. **Tasks/Behaviors.** Specific actions that combine to define a competency. For example, one of the behaviors under the Problem Solving competency is, “Anticipates potential problems, issues, and opportunities.”

**Figure 1: The Citywide Competency Model**



**Core**

***1. Vision Elements and Employee Vision Statement***

***2. Guiding Principles, Ethics, and Leadership Philosophy***

***3. Citywide Behaviors***

***4. Accountability***

1. Takes responsibility for own decisions, judgments, and actions (and for those of the work unit/team).
2. Takes responsibility for own work from beginning to end.
3. Seeks to continuously improve the quality of services, products, and or processes to increase the City's overall effectiveness.

***5. Diversity Awareness***

1. Seeks input from others with unique cultures, skills, interests, values, gender and orientation, personal styles and preferences.
2. Recognizes and respects individuals' differences.

**Managing Self**

***6. Interpersonal Conflict Resolution***

1. Recognizes and takes appropriate action to resolve conflicts in a constructive and timely manner.
2. Identifies the interests of others in order to reach common agreement during conflict.
3. Addresses issues, not people.

***7. Customer Service***

1. Identifies and meets customers' needs within agency guidelines.
2. Shapes customers' expectations by educating them about available products and services.

***8. Effective Communication***

1. Determines and uses the best methods of communication based on the situation (e.g., face-to-face, email, telephone, meeting, interpreters).
2. Communicates clearly and professionally using a style and tone appropriate to the audience and occasion.
3. Actively listens by asking clarifying questions, paraphrasing, and reading body language in order to gain an understanding of what is being communicated.
4. Speaks confidently and concisely to individuals and in front of groups (e.g., performance discussions, informal meetings, briefings, presentations).

***Managing Self*** (continued)

<b><i>9. Problem Solving</i></b>
1. Anticipates potential problems, issues, and opportunities.
2. Considers benefits, risks, costs, and implications of decisions, and evaluates alternatives before making decisions.
3. Uses insight into situations to develop and implement innovative solutions to solve problems.
4. Makes timely decisions.

<b><i>10. Teamwork</i></b>
1. Works cooperatively with other individuals, departments, and/or cross-functional teams to produce targeted results.
2. Contributes fully and actively to team activities, inter-work group projects (e.g., by responding to requests in a timely manner to avoid being a barrier for team performance).
3. Values contributions of all team members.
4. Demonstrates the understanding that being on and participating with a team is an integral part of an individual's job function.

<b><i>11. Information Sharing</i></b>
1. Accurately delivers information to individuals and groups.
2. Shares knowledge, experiences and best practices openly with others.
3. Keeps others informed at all levels of the organization.

**Managing Self** (continued)

<b><i>12. Continual Learning</i></b>
1. Assesses and recognizes own strengths and development needs.
2. Invests time and energy in self-development and professional growth.
3. Seeks and makes use of feedback from others.

***Building Capacity***

***13. Aligning Vision and Values***

1. Identifies and completes work that is aligned with the City’s vision and values.
2. Seeks clarification when it is not apparent whether work is aligned with the City’s vision and values.
3. Acts as a role model for others by encouraging that all work be aligned with the City’s vision and values.

***14. Collaborative Leadership***

1. Facilitates open communication among team members, stakeholders, and customer groups.
2. Encourages others to participate in work processes and solutions by seeking constructive feedback, ideas, and suggestions.
3. Coaches employees in a developmental phase of employment.

***15. Innovation***

1. Identifies when improvement is needed with programs and services.
2. Develops and applies new insights, innovative solutions, or nontraditional approaches to improve efficiency and effectiveness.

***16. Flexibility and Resilience***

1. Maintains a professional demeanor (e.g., maintains self-control, focus, perspective, optimistic, and persistent) in stressful or difficult situations.
2. Recovers quickly from setbacks.



3. Adapts behavior, work methods, and resources in response to changing work demands, new information, or unexpected obstacles.

### ***17. Partnering***

1. Develops professional networks with individuals and groups, both internal and external to the organization.
2. Collaborates across organizational boundaries to find common ground with a widening range of stakeholders.
3. Manages competing interests among individuals or groups to eliminate barriers to building partnerships.

### ***18. Systems Thinking***

1. Demonstrates seeing and understanding the “big picture” of the program, Agency, or City.
2. Identifies the interrelationships between different positions, organizational work units, and teams, and their roles in meeting the vision and mission of the organization (e.g., interconnectedness).

### ***19. Team Building***

1. Builds a cohesive team by promoting commitment, fostering strong relationships between team members, facilitating common understanding, using strengths of team members, and valuing all members’ contributions.
2. Ensures that team members and sponsor(s) have a shared understanding of the goals, desired outcomes, and timeframe for deliverable(s).
3. Works to achieve the team’s goals and desired outcomes (i.e., coordinating events or deliverables, facilitating team meetings when appropriate, utilizing problem-solving techniques as needed, etc.).

**Building Capacity** *(continued)*

<b><i>20. Political Awareness</i></b>
1. Keeps current with internal and external politics and issues that impact one's own work and the work of the organization.
2. Assesses the internal and external implications of one's statements or actions and tempers behaviors appropriately.

**Managing Resources**

<b><i>21. Financial Management (Recommended Changes)</i></b>
1. Participates in the preparation, justification, and/or administration of budget for program area.
2. Monitors expenditures and the budget to ensure cost-effective support of programs and policies.
3. Ensures alignment of the budget to the strategic initiatives of the City and department.

<b><i>22. Process Management</i></b>
1. Documents tasks and procedures (e.g. maps, outlines, flow charts).
2. Measures and monitors process performance so that necessary improvements to the system can be identified and implemented.
3. Implements improvements when needed.

<b><i>23. Project Management</i></b>
1. Formulates goals, objectives, schedules, and priorities for activities that support the accomplishment of projects and programs.
2. Makes necessary adjustments to the plan in response to changes in resources and priorities.
3. Selects appropriate people or teams (considering knowledge, skills, and abilities) needed to achieve program/project goals.
4. Tracks project expenses and monitors budget to ensure cost-effective resource management.
5. Evaluates project outcomes to identify success measures and strategies for improvements.

**Managing Resources** *(continued)*

<b><i>24. Strategic Management</i></b>
1. Creates strategies to integrate vision, mission and performance management.
2. Evaluates measures of success in meeting desired outcomes.

**Managing People**

<b><i>25. Conflict Management</i></b>
1. Identifies and acts to prevent situations that could result in destructive conflict.
2. Facilitates the constructive expression and resolution of individual and group confrontations and disagreements.
3. Promotes an environment where conflict is openly addressed and results in the most positive outcome possible for the circumstances.

<b><i>26. Managing Change</i></b>
1. Elicits support for organizational change by effectively communicating, educating employees on reasons for change, etc.
2. Develops and implements a change management strategy that ensures change goals are met.
3. Implements temporary systems during times of change to ensure a smooth transition and to help employees remain positive and productive.

<b><i>27. Leveraging Diversity</i></b>
1. Creates and supports an environment in which individuals are equally respected and recognized for their perspectives and contributions.
2. Provides employment and development opportunities to foster a diverse workforce.
3. Addresses individuals' differing needs by modifying work products, systems, and supports when needed.
4. Supports the organization's EEO and ADA policies and programs.

**Managing People** (continued)

<b>28. Talent Management</b>
1. Assesses strengths and development needs of workforce.
2. Works with employees to create development plans based on strengths, development needs, interests, and Agency needs.
3. Seeks, identifies, and, if necessary, creates resources and opportunities for employee development.

<b>29. Performance Management</b>
1. Identifies and communicates performance expectations, assesses employee performance, and conducts periodic formal performance appraisals.
2. Inspires, positively motivates, guides, and supports others toward goal accomplishment.
3. Recognizes and rewards performance based on individual and organizational goals.
4. Provides timely, specific and appropriate formal and informal performance feedback (e.g., reviewing authority).
5. Takes appropriate progressive disciplinary action with employees when needed.

<b>30. Workforce Planning</b>
1. Plans for needed or mandated changes in size and composition of workforce.
2. Ensures hiring process results in selection of candidates who have the right skills and knowledge to be successful as a City employee (i.e., recruitment, wording of position announcements, interview strategies, etc.).
3. Identifies and applies strategies to retain talented employees (e.g., creates an environment where employees can be successful).

**Leading Organizations**

<b><i>31. Entrepreneurship</i></b>
1. Identifies opportunities to develop and promote new services for the City’s employees, businesses and constituents.
2. Takes appropriate action to develop and promote new services to benefit the City’s constituents, workforce, and businesses.
3. Leverages City resources by developing partnerships.

<b><i>32. External Awareness</i></b>
1. Demonstrates an understanding of and takes action on key economic, political, and social trends and policies that affect the City.
2. Determines how to be best positioned to achieve a competitive business advantage in a regional, national, and global economy.

<b><i>33. Developing Leaders</i></b>
1. Establishes, develops and models the values and behaviors that inspire others towards leadership and engagement in the City.
2. Empowers others by sharing power and authority commensurate with delegated responsibilities.
3. Dedicates the resources necessary to develop leadership on a continual basis at all levels of the organization.
4. Develops leadership in others through coaching and mentoring.

<b><i>34. Risk Taking</i></b>
1. Takes calculated risks, based on sound judgment, to balance and integrate innovation.
2. Creates an environment in which thoughtful risk-taking and innovation are encouraged as a means to improve the organization and drive business forward.
3. Works and speaks courageously.

**Leading Organizations** (continued)

<b>35. Stewardship</b>
1. Demonstrates diligent and responsible management of the City’s resources (e.g., stays within budget and sets effective performance measures).
2. Makes decisions consistent with the best interests of the City’s stakeholders.
3. Communicates decisions and impact of those decisions to stakeholders.
4. Ensures employees act in the best interest of the City.

<b>36. Strategic Thinking</b>
1. Identifies the current status of the organization, the environment in which it operates, and potential threats and opportunities that may arise.
2. Establishes long term goals that will allow the City to achieve its mission as envisioned.
3. Incorporates the impact of economic, political, social, and technical trends in planning and decision-making.

<b>37. Visioning</b>
1. Creates a vision of the organization's future.
2. Communicates the City’s vision to build commitment at all levels of the organization to the goals, values and strategies.
3. Ensures that actions (e.g., decisions) by self and senior leadership team are consistent with and support accomplishment of the vision.
4. Takes advantage of opportunities to move the organization toward meeting its long-term goals through personal actions and motivation of others.



*Leading Organizations* (continued)

<b><i>38. Strategic Communication</i></b>
1. Communicates appropriately with the media based on City policy and training (i.e., builds relationships, responds to inquiries, addresses FOIA issues, etc.).
2. Develops and implements organization-wide communication plan.
3. Takes appropriate steps to reduce the negative impact of intended and unintended consequences of messages or actions.

## **Appendix B**

### **Competency Assessment**

## **Developing a Profile for Management Competency**

Departmental leadership, first line supervisors and employees should be involved in the gap analysis process by identifying 4-7 competency areas critical to a specific position.

Prior to conducting a gap analysis it is important employees and managers involved in the gap analysis have completed *realistic* assessments of proficiency levels required by the position and those possessed by the employee.

It will not serve the best interest of the individual or the city 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 developmental needs are identified.

The following Competency Assessment Survey *sample* can be used to develop individual surveys. The survey is developed according to the three Model Components illustrated in Appendix A.

The Model Components are as follows:

- 1) Focus Area** – *Managing Self* in sample
- 2) Competencies** – #8 *Effective Communication* in sample
- 3) Tasks/Behaviors** – *Questions 8.1 – 8.4* in the sample

All survey assessments can be modeled in this manner.

**Focus Area: Managing Self**

- 4 – Exemplary**
- 3 – Proficient**
- 2 – Progressing**
- 1 – Needs Assistance**
- NA – Not Applicable**
- DK – Don't Know**

**8. Effective Communication**

8.1 *Determines and uses the best methods of communication based on the situation (e.g., face-to-face, email, telephone, meeting, interpreters).*

**4 3 2 1 NA DK**

Evidence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8.2 *Communicates clearly and professionally using a style and tone appropriate to the audience and occasion.*

**4 3 2 1 NA DK**

Evidence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8.3 *Actively listens by asking clarifying questions, paraphrasing, and reading body language in order to gain an understanding of what is being communicated.*

**4 3 2 1 NA DK**

Evidence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8.4 *Speaks confidently and concisely to individuals and in front of groups (e.g., performance discussions, informal meetings, briefings, presentations).*

**4 3 2 1 NA DK**

Evidence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Profile for Management Competency – Managing Self: Effective Communication**

4 Exemplary				
3 Proficient				
2 Progressing				
1 Needs Assistance				
	Q #8.1	Q #8.2	Q #8.3	Q #8.4
Don't Know				
Not Applicable				
	Q #8.1	Q #8.2	Q #8.3	Q #8.4
<b>Indicators</b>				

 **Competency**  
**Average**

CITY OF BELLEVUE, NE – SUCCESSION PLAN

**Focus Area: Enter Area Here**

**4 – Exemplary**  
**3 – Proficient**  
**2 – Progressing**  
**1 – Needs Assistance**  
**NA – Not Applicable**  
**DK – Don't Know**

? **Enter Competencies Here**

?.1 *Enter Tasks/Behaviors Questions Here*

**4 3 2 1 NA DK**

Evidence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

?.2 *Enter Tasks/Behaviors Questions Here*

**4 3 2 1 NA DK**

Evidence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

?.3 *Enter Tasks/Behaviors Questions Here*

**4 3 2 1 NA DK**

Evidence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

?.4 *Enter Tasks/Behaviors Questions Here*

**4 3 2 1 NA DK**

Evidence: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Profile for Management Competency – Focus Area: Competencies**

4 Exemplary				
3 Proficient				
2 Progressing				
1 Needs Assistance				
	Q#	Q#	Q#	Q#
Don't Know				
Not Applicable				
	Q#	Q#	Q#	Q#
<b>Indicators</b>				

 **Competency Average**