Succession Planning Tool Kit

Succession planning is the process of identifying the key leadership positions within each department and developing employees within state government to assume these positions. It is a comprehensive plan to address both current and future leadership needs while maintaining the existing merit principles.

This tool kit is intended to provide a framework for developing succession strategies utilizing the following 5 Steps:

Step 1-   *Identification of Key Leadership Positions*

Step 2 –   *Identify Competency, Skills and Success Factors of Leadership*

Step 3 –   *Assess Current Bench Strength*

Step 4 –   *Design and Implement Career Development Strategies*

Step 5-   *Monitor and Evaluate Strategies*

Step 1 – Identification of Key Leadership Positions

To begin the process of succession planning, the department's strategic leadership team should identify their key leadership positions by evaluating the impact each position has in achieving its strategic goals and objectives. We recommend the Human Resources (HR) Director be included as a part of the strategic leadership team for these discussions.

There is more than one approach to identifying key positions.

- For a small department, the team could begin with a review of positions at the division level and above to determine which positions are key. Larger departments may want to focus on the bureau and office level.

- If the department leadership wishes to conduct a broader succession planning initiative, or finds they have not captured the key positions, they may go a step further by including mid-managers or specialists for example, to determine which positions are key.

Department leadership should then evaluate the impact each position has in achieving the strategic goals and objectives, as well as the vacancy risk and marketability of the incumbent.

Worksheets on the following pages provide a choice of evaluation tools for use by the Strategic Team and HR Director.

Positions should be prioritized for succession planning based on this analysis. Department's may assign a numerical value to the High, Medium and Low assessments in order to create a rank order of positions for succession planning. Alternatively, departments may choose to focus on positions rated high for both vacancy risk and impact.

Position Impact / Risk Assessment

Assessment of "Position Impact" should be based on a prioritized list of the department's mission, goals, objectives and strategic plan.

Assessment of "Vacancy Risk" should be based on factors such as the incumbent's retirement eligibility, marketability, etc.

Position	*Impact/Risk Assessment*

Position Title:
Classification & Level:
Incumbent:
Bureau:
Location:
	Position Impact:
	      High Med Low
	
	Vacancy Risk:
	      High Med Low

Position Title:
Classification & Level:
Incumbent:
Bureau:
Location:
	Position Impact:
	      High Med Low
	
	Vacancy Risk:
	      High Med Low

Position Title:
Classification & Level:
Incumbent:
Bureau:
Location:
	Position Impact:
	      High Med Low
	
	Vacancy Risk:
	      High Med Low

Position Title:
Classification & Level:
Incumbent:
Bureau:
Location:
	Position Impact:
	      High Med Low
	
	Vacancy Risk:
	      High Med Low

Position Title:
Classification & Level:
Incumbent:
Bureau:
Location:
	Position Impact:
	      High Med Low
	
	Vacancy Risk:
	      High Med Low

Position Title:
Classification & Level:
Incumbent:
Bureau:
Location:
	Position Impact:
	      High Med Low
	
	Vacancy Risk:
	      High Med Low

Position Impact / Risk Assessment Description

A more detailed assessment of each position could be conducted utilizing this worksheet.

Position Impact

Position Title:	*Classification & Level:*
Incumbent:	
Bureau:	*Location:*

Function ~
Responsibility ~
Authority ~
Priority of strategic objectives ~

Position Impact: *High* ☐ *Medium* ☐ *Low* ☐

Vacancy Risk

Retirement eligible ~
Marketability ~
Other factors ~ (e.g., life events)

Vacancy Risk: *High* ☐ *Medium* ☐ *Low* ☐

Position Impact / Risk Assessment Attrition Factor

Using workforce data reports and other turnover data to identify your current and projected human capital (supply) attrition factoring of each position could be conducted utilizing this worksheet.[1]

Position Title: *Classification & Level:*

Incumbent:

Bureau: *Location:*

<u>*Position Impact Factor*</u> – Manager's/Supervisor's estimate of difficulty or effort required based on the function, responsibility, authority, priority of strategic objectives to replace position incumbent.

3-Critical and unique knowledge (e.g., Specialist, ECP 3, 4)
2-Important, proceduralized, knowledge and skills (e.g., ECP 1, 2, 3)
1-Common knowledge and skills (e.g., Entry-Level, ECP 1, 2, 3)

<u>*Vacancy Risk Factor*</u>-The projected retirement dates from the Workforce Retirement Forecast Reports, marketability, and other factors for position turnover.

3-Projected Retirement date or other turnover factors w/in 1 year
2-Projected Retirement date or other turnover factors w/in 5 years
1-Projected Retirement date or other turnover factors greater than 5 years

Position Impact Factor	X	Vacancy Risk Factor	=	Total Attrition Factor

<u>*Total Attrition Factor*</u> – Estimated effort and urgency to the delivery of programs and services.

☐   *High (6 and higher)*

☐   *Medium (4-6 points)*

☐   *Low (1-3 points)*

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[1] TVA Authority Model

Step 2 – Identify Competency, Skills and Success Factors of Leadership

Now that the leadership team has identified the priority positions, the next step is to document the education, experiences, key competencies, and other factors necessary for success for each key leadership position.

CS-1801
7/2007

Position Success Profile

Position Title:	*Classification & Level:*
Bureau:	*Location:*

Education:
(Degrees, Certifications, Licensure, etc.)

Experiences:

Competencies:
(Check the key competencies for the position. It is suggested to limit your selection to a maximum of 5 key competencies.)

Group 4/SES	*Group 3*
☐ Adaptability	☐ Adaptability
☐ Aligning Performance for Success	☐ Aligning Performance for Success
☐ Building Partnerships	☐ Building Partnerships
☐ Building Trust	☐ Building Trust
☐ Communication	☐ Coaching
☐ Customer Focus	☐ Communication
☐ Decision Making	☐ Customer Focus
☐ Delegating Responsibility	☐ Decision Making
☐ Developing a Successful Team	☐ Delegating Responsibility
☐ Facilitating Change	☐ Developing a Successful Team
☐ Innovation	☐ Managing Conflict
☐ Leading Through Vision & Values	☐ Planning & Organizing Work
☐ Planning & Organizing Work	☐ Safety Awareness
☐ Strategic Planning	☐ Stress Tolerance
☐ Technical/Professional	☐ Work Standards
	☐ Technical/Professional

Additional Factors:

If you elect to expand the pool of targeted leadership positions to non-managerial positions, the following profile may be used:

CS-1802
7/2007

Position Success Profile

Position Title:	*Classification & Level:*
Bureau:	*Location:*

Education:
(Degrees, Certifications, Licensure, etc.)

Experiences:

Competencies:
(Check the key competencies for the position. It is suggested to limit your selection to a maximum of 5 key competencies.)

Group 2
- ☐ Adaptability
- ☐ Building Strategic Working Relationships
- ☐ Building Trust
- ☐ Coaching
- ☐ Continuous Learning
- ☐ Contributing to Team Success
- ☐ Communication
- ☐ Customer Focus
- ☐ Decision Making
- ☐ Follow-Up
- ☐ Initiating Action
- ☐ Innovation
- ☐ Planning & Organizing Work
- ☐ Technical/Professional
- ☐ Work Standards

Additional Factors:

Step 3- Assess Current Bench Strength

The third step in the succession planning process is knowing your bench strength. In order to gauge bench strength, the department needs to determine whether critical leadership positions have one person or more ready to successfully assume the role and responsibility of the position. Knowing the depth of talent within the organization will allow department leaders to focus on strategy development and measurement where it is needed.

As leaders evaluate the depth (strength and/or weakness) of the available talent for each prioritized key position, it is important not to inflate your preparedness assessment. That is, leaders should not rely on the same person as their bench strength for multiple positions, especially if the positions for which they would be relying on this individual are both high impact and high risk. While it may be unlikely that multiple high impact/high risk positions would be vacated within a given short period of time, it is possible. For example, any type of early retirement legislation would result in vacancies occurring not only to the high impact/high risk positions, but to others currently rated as low impact/low risk.

Following is a sample worksheet to assist departments with an aggregate review of their bench strength.

CS-1803
7/2007

Position Bench Strength Assessment

The strategic leadership team, reviewing manager, and Human Resources should utilize this form to indicate the number of current employees who, in their judgment, are either currently eligible or may be eligible within 3-5 years for each of the prioritized key leadership positions.

Position Title: *Classification & Level:*

Bureau: *Location:*

# Ready *Now*	# Ready *within 1 year*	#Ready *within 2 years*	#Ready *within 3-5 years*

Action Plan:

Position Title: *Classification & Level:*

Bureau: *Location:*

# Ready *Now*	# Ready *within 1 year*	#Ready *within 2 years*	#Ready *within 3-5 years*

Action Plan:

Position Title: *Classification & Level:*

Bureau: *Location:*

# Ready *Now*	# Ready *within 1 year*	#Ready *within 2 years*	#Ready *within 3-5 years*

Action Plan:

EXAMPLE

CS-1803
7/2007

Position Bench Strength Assessment

The strategic leadership team, reviewing manager, and Human Resources should utilize this form to indicate the number of current employees who, in their judgment, are either currently eligible or may be eligible within 3-5 years for each of the prioritized key leadership positions.

Position Title: Chief Financial Officer **Classification & Level:** State Office Administrator 17

Bureau: Finance   **Location:** Lansing-Central Office

# Ready *Now*	# Ready *within 1 year*	#Ready *within 2 years*	#Ready *within 3-5 years*
		3	2

Action Plan: *The Chief Financial Officer is a key leadership position with a high position impact and vacancy risk. The current incumbent is eligible to retire. Career development assignments and shadowing will be done. The current Officer will develop a plan to be presented to the Strategic Leadership Team within 30 days. The plan is to consider Division Heads, mid-Managers.*

Position Title: **Classification & Level:**

Bureau: **Location:**

# Ready *Now*	# Ready *within 1 year*	#Ready *within 2 years*	#Ready *within 3-5 years*

Action Plan:

Position Title: **Classification & Level:**

Bureau: **Location:**

# Ready *Now*	# Ready *within 1 year*	#Ready *within 2 years*	#Ready *within 3-5 years*

Action Plan:

Step 4 – Design and Implement Career Development Strategies

Now that the strategic leadership team has evaluated the bench strength for the prioritized key leadership positions, attention shifts to the continued career development of the employees determined to be eligible, or potentially eligible, for these positions. This step in the succession planning process is focused on helping these employees and their managers discuss career development plans.

Discussing and encouraging the career development of all employees is an important part of management. However, for the purpose of succession planning and increasing bench strength in specified areas, the selection of a subset of employees upon which to focus career development efforts may be necessary.

The annual performance review session provides an excellent opportunity to begin discussions of career development goal and opportunities. However, managers need to keep in mind and clarify to the employee that the goals and purpose of the career development discussion are separate and distinct from those of the just-completed performance review. Performance management is focused on the past year's goals and objectives, while the career development discussion is focused on future career opportunities.

Upon completing an employee's annual performance review, the manager should initiate a discussion about the employee's career interests, as well as career development options and possible barriers to career movement. Managers can assist employees in setting appropriate career goals by providing feedback based on observation and assessment of the employee's abilities and potential. The assessment should be based on actual experience and observation of the employee's knowledge, skills and experience, and not on assumption or personal biases.

Based on these discussions, managers should work with their HR office to choose appropriate career development activities for the employee. Examples of activities include:

- on-the-job training/cross training
- participation in projects
- participation on teams, task forces, or committees
- Civil Service training courses
- computer-based training
- course work from external providers
- attending work-related conferences
- membership and participation in professional organizations
- working with a mentor
- coaching or consulting others
- leadership development programs
- self-study or reading assignments

Participation in associated career development programs is not a guarantee of promotion and/or job selection. The following worksheets may be used to guide these discussions between managers and their employees.

Guidance for Managers

As part of our workforce planning process, the Department of _____ is currently developing a high-level succession plan.

Succession planning is the process of identifying the key leadership positions within each department and developing employees within state government to assume these positions. Participation in associated career development programs is not a guarantee of promotion and/or job selection.

You, your employees, and HR, each have a role to play in the career development activities associated with succession planning.

You are responsible for:	*Your employees are responsible for:*
fairly assessing the career potential of your direct reports *having open and honest career discussions with your employees* *working with individuals on career development plans and providing growth opportunities* *providing ongoing coaching* *ensuring the current and future needs of the department are met*	*expressing their interest in pursuing a new role to you* *creating and keeping up-to-date career development plans* *working with you to identify career development opportunities* *being open to, and acting on, feedback* *taking opportunities and/or risks to further their career development*

HR is responsible for:
- *facilitating career development moves to provide individuals with growth opportunities*
- *defining appropriate types of training and development based on the career path*

The annual performance review session provides an excellent opportunity for discussing career development plans with your employees. Upon completing an employee's annual performance review, you should initiate a discussion about career development opportunities and possible barriers to career movement. However, you need to keep in mind and clarify to the employee that the goal and purpose of the career development discussion is separate and distinct from that of the just-completed performance reviews.

Managers should assist employees in setting appropriate career goals by providing feedback based on observation and assessment of the employee's abilities and potential. The assessment should be based on actual experience and observation of the employee's knowledge, skills and experience, and not on assumption or personal biases.

Prior to each discussion, please take the time to assess the employee's career goals and development options by answering the following questions:

- *Do you know the employee's career goals? When did you last discuss career goals and development opportunities with the employee?*

- *Are the employee's career goals and target dates realistic?*

- *What do you see as the individual's career development options?*

- *What do you see as strengths and areas for development?*

- *Are there additional competencies or technical skills for the individual's desired future role that need attention?*

- *Are the required resources available? (e.g., training, mentor, project assignment, budget, time etc.)*

- *Can you provide the needed job experience? How? Consider potential assignments/projects/experiences that might be needed for further career development.*

Based on these discussions, you should work with your HR office to choose appropriate career developmental activities for your employees considering the department's needs, time and budget. *Examples include: on-the-job training/cross training, participation in projects, participation on teams, task forces, or committees, Civil Service training courses, computer-based training, course work from external providers,*

university course work, attending work-related conferences, membership and participation in professional organizations, working with a mentor, coaching or consulting others, leadership development programs, and self-study or reading assignments.

It is very important that you as manager clearly communicate to your employee that participation in these career development programs is not a guarentee of promotion. Rather, it provides an opportunity for your employee to demonstrate their career potential.

Guidance for Employees

As part of our workforce planning process, the Department of _____ is currently developing a high-level succession plan.

Succession planning is the process of identifying the key leadership positions within each department and developing employees within state government to assume these positions. Participation in associated career development programs is not a guarantee of promotion and/or job selection.

You, your manager, and HR, each have a role to play in the career development activities associated with succession planning.

<table>
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You are responsible for:
- *expressing your interest in pursuing a new role*
- *creating and keeping up-to-date career development plans*
- *working with your manager to identify career development opportunities*
- *being open to, and acting on, feedback*
- *taking opportunities and/or risks to further your development and career*

</td>
<td>

Your manager is responsible for:
- *fairly assessing their direct reports*
- *having open and honest career discussions with their employees*
- *working with individuals on career development plans and providing growth opportunities*
- *providing ongoing coaching*
- *ensuring the current and future needs of the department are met*

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HR is responsible for:
- *facilitating career development moves to provide individuals with growth opportunities*
- *defining appropriate types of training and development based on the career path*

Your annual performance review session provides an excellent opportunity for discussing career development plans with your manager. While this is an opportunity to discuss career planning, this discussion is <u>not</u> part of your performance review. Prior to your career development discussion, please take the time to assess your career goals and development options by answering the following questions:

- *What are my career goals? Am I interested in a leadership position within this department? Which position?*

- *Are my career goals and target dates realistic?*

- *What are my strengths? What are my areas for career development?*

- *Are there additional competencies or technical skills for a desired future role that need my attention?*

- *What types of career development opportunities do I prefer? (e.g., training, mentoring, project assignments, etc.)*

Based on these discussions, you should work with your manager to choose appropriate career development activities considering the department's needs, time and budget. *Examples include: on-the-job training/cross training, participation in projects, participation on teams, task forces, or committees, Civil Service training courses, computer-based training, course work from external providers, university course work, attending work-related conferences, membership and participation in professional organizations, working with a mentor, coaching or consulting others, leadership development programs, and self-study or reading assignments.*

Participation in these career development programs is not a guarantee of promotion. Rather, it provides an opportunity for you to demonstrate your career potential.

Step 5 – Monitor and Evaluate Strategies

The final step in the process is monitoring and evaluating the effectiveness of strategies implemented to close the high priority talent gap(s). Succession planning strategies are designed to be an inclusive opportunity to increase the available talent pool of candidates for key leadership positions and the future needs of state government. Continuous monitoring and data collecting by Human Resources and the Strategic Leadership Team will provide necessary information as to whether the strategies are meeting the department's needs.

As in the previous steps, this process may be a simple assessment of the number of candidates ready to compete for key leadership positions or as complex as doing a pre and post organizational skills assessment. At minimum, the measurements should identify the timetable, expected outcome, and strategy.

Succession planning has the overall goal of providing *"the right leadership at the right place at the right time with the right skills."* This guide is intended for the use of state agencies as an outcome of their Strategic Workforce Planning activities. Departments should use this guide as a reference as you begin assessing your individual needs. The Civil Service Commission stands ready and available to assist you with your human resources needs, in addition to the following workforce planning areas:

- demographic data of the State of Michigan workforce;
- recruitment needs assessment and strategies;
- succession planning/career management; strategies consistent with the merit principles;
- identification of training needs and support; and
- knowledge transfer strategies.