Succession Planning Guide

Planning for the Right Person for the Right Job
at the Right Time

For: Position
Pay Plan, Series, Grade

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References:

OPM Guide: Workforce & Succession Planning:
http://www.opm.gov/services-for-agencies/workforce-succession-planning/succession-planning/#url=Leadership

OPM: A Guide to the Strategic Leadership Succession Management Model
http://archive.opm.gov/hcaaf_resource_center/assets/Lead_Guide.pdf

OPM: Effective Succession Strategies:
http://www.opm.gov/policy-data-oversight/human-capital-management/reference-materials/leadership-knowledge-management/successionstrategies.pdf

OPM: Succession Planning Process:
http://www.opm.gov/policy-data-oversight/human-capital-management/reference-materials/leadership-knowledge-management/successionplanning.pdf

OPM Succession Management:
http://www.opm.gov/wiki/training/Succession-Planning.ashx

OPM Leadership Succession Management:
http://www.opm.gov/policy-data-oversight/human-capital-management/reference-materials/leadership-knowledge-management/leadershipsuccession.pdf

OPM Strategic Leadership Succession Planning Training Slides
http://www.chcoc.gov/Documents/Attachments/Document296.pdf

5 CFR 412.201 Management Succession:

The head of each agency, in consultation with OPM, must develop a comprehensive management succession program, based on the agency's workforce succession plans, to fill agency supervisory and managerial positions.
http://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=5:1.0.1.2.59#sp5.1.412.b

Basic Principles of Successful Succession Planning

- Do not wait until the employee will be leaving. Start planning now.

Succession planning is a matter of strong practices in personnel management, not a matter of sudden crisis management. Start attending to those practices now.

- Focus on policies, procedures and practices, not on personalities.

Succession planning is being able to effectively and promptly re-fill a role, not replacing a certain person. Be sure all key positions are defined well, and then look to find the best person to fill the position. Do not look for someone who is just like, or a lot different than, the previous employee.

- Succession planning is a responsibility of the management, not just the employee.

The best succession planning results from 1) a working partnership between management and employees to accurately define the employee's role and current priorities, and 2) the employee ensuring that management has the information and resources to refill the role.

- Succession planning should be in accordance with up-to-date personnel policies.

Hiring of new employees must be in accordance with up-to-date personnel policies to ensure fair, equitable and legally compliant employment practices.

- Quality in managing succession is proportionate to the quality of the new employee.

The best way for management to promptly convey expectations of high quality to a new employee is to convey that high-quality in how the employee was hired. The more thorough and careful that management does the succession, the more likely that the organization will get a new employee who successfully fills the position for the long-term.

Key Practices in Successful Succession of Managers

If the organization has already established strong practices in governance, leadership and management, then succession planning often is a matter of using current practices, rather than establishing many new ones. Key practices include having:

- A strategic plan that clearly conveys the organization's mission and current strategic priorities. Ideally, that plan also includes specific action plans that specify who is going to do what and by when in order to address each priority.
- Up-to-date and management-approved personnel policies about hiring, supervising and firing personnel in a fair and equitable manner that complies with employment laws.
- An up-to-date job description for each of the roles, and that explains the general duties and responsibilities of the positions.
- Suitable compensation for the roles (often this is a major challenge for new organizations because they often have very limited resources).

- An annual calendar of the role's most important activities, for example, when the person in that role evaluates personnel, does any staffing analysis, updates job descriptions and participates in important committees.
- Regular reports from the person in the role. These reports should include the trends, highlights and issues regarding the person's activities.
- Evaluation of the person on an annual basis, including in reference to the job description and any performance goals established for that role.
- Arrangements with the person when he or she goes on vacation so that others have an opportunity to effectively replace the employee if only for a temporary period of time.
- A complete list of major stakeholders – of people who have an interest in, or will be influenced by, the employee's leaving and being replaced by someone else. Get a list, including contact information and also how each is approached and who does that, in case that information is needed when/if the employee leaves. This is true especially if the employee is a high-level executive. In that case, get a complete list of other stakeholders, for example, collaborators and suppliers.
- Fiscal policies and procedures to ensure strong oversight of finances, including that financial numbers are correct and tracked accurately and also that there are sufficient funds to pay near-term expenses.
- At least annual discussions with key employees regarding succession planning, including how to manage effectively in the employee's absence. (Be sensitive in raising this topic with the employee so that he or she is not overly concerned that executives somehow want a change now). This discussion can be an opportunity to hear about the employee's career plans and desires, too.

Reference: http://managementhelp.org/staffing/succession-planning.htm

OPM Helpful Tips

The way in which positions are filled can also play a vital role in change management and culture transition. If an organization's culture is described as stagnant, safe, and lacking creativity, a strategic decision to consider may be to fill more leadership roles from outside the organization rather than from inside progression. If an organization's leadership is perceived to be highly effective, motivational, thriving and customer focused, then the strategic decision may be to promote from within. Both recruiting and development strategies would be developed to compliment the desired organizational culture. The list below depicts the breakdown of this structure:

1. Accelerate development of candidates ready to move into leadership positions.
2. Retain people in the leadership positions until candidates are considered ready to compete for those positions.
3. Recruit individuals with technical and management experience to move immediately into the leadership positions.
4. Reorganize functions and positions to meet the mission with the talent from the first three options.

Creating a Succession Plan

Recruitment Strategies

First, review your UMD to ensure there is a valid, funded position that can be used for recruitment.

Second, contact your HR specialist to determine; is the position description (PD) up-to-date and is it in the SCPD format. If not, work with your HR Specialist to create an updated PD.

Third, check with your HR Specialist if the position is covered under the Career Field Teams and the PCS costs will be paid from a central salary account or if the unit has to pay for the PCS.

Fourth, check with your HR Specialist to determine the best course of recruitment, such as promotion, reassignment, etc., and the type of employees/applicants, such as MSP, VEOA, etc.,

Fifth, discuss any recruitment bonuses that could be offered.

Succession Risk Analysis

Topics to review include:

- Internal bench strength: the readiness and turnover risk of staff members
- External recruitment opportunities: the strength of external networks
- Training and development opportunities available to staff members
- Strengths, weaknesses, opportunities, and threats to succession planning at the agency
- Strategies and recommendations to lessen the impact of institutional knowledge loss as employees separate, and to maximize current talent utilization by closing leadership staffing and competency deficiencies

Succession Planning Strategies

Your plan will recommend strategies to lessen the impact of institutional knowledge loss as employees retire or leave and to maximize current talent utilization by closing leadership staffing and competency gaps/deficiencies

Leadership

Succession planning products and services help agencies plan for and address issues relating to the loss of key leaders and personnel within any level of the organization. Along with our individual succession planning, risk assessment, and agency succession planning services, we

will conduct leadership potential assessments to further identify staff ready and available to take on more leadership responsibility.

Spreadsheet/Worksheets

ATCH 1: Skill Sets

Generic Skills Sets
Competency in certain skills formed a basis for all positions, regardless of position description. As shown, the working group ranked general communications and analytical skills higher than specific, technical skills. The rationale behind this approach is that entry-level employees with good communications and analytical skills can be hired and then given on the job training to gain experience in the technicalities of the business field. You can add your own skill sets are required by the position description:

Skills	Current Employee; required skills; why need to keep longer	Gap Analysis Compare workforce needs against available skills	Timeline/Goal to mentor employees, decrease gap analysis,	Planned Recruitment
Example: Project Lead	Critical need: Current employee is working multiple host nation contracts; expertise required to complete project	Current employee is creating continuity information for the work center. Training is ongoing to ensure good turn over when the employee departs in Jan 2016	Project est. complete date is Jan 2017	Position is valid and funded through 2018 and beyond. The PD is current, and we are working with the Career Field teams on a replacement. Also working with the CPS HR specialists on recruitment options, PCS costs, and recruitment bonus. This position is not hard to fill. Will

				start the recruitment RPA in Jun 2016
Communication				
Presentation Skills				
Computer Skills				
Problem Solving				
Interpersonal Relationships				
Customer Service				
Team Building				
Analytical Skills				
Business Acumen				
Financial Analysis				
Building/Real Estate				
Appraisal Skills				
Acquisition/Disposal Skills				
Management Skills				
Partnership Skills				

Core Competencies/Skills Sets for Managerial Positions
Competency in certain skills built on the concept of the generic skills set and developed a similar set for the following managerial positions: Building Manager, Project Manager, Asset Manager, etc. You can add your own skill sets are required by the position description:

Analytical				
Communication (Oral and Writing)				
Working with Contracts				
Customer Service				
Creative Thinking				
Customer Service				
Decisiveness				
Flexibility/Resilience				
Influencing/Negotiating				

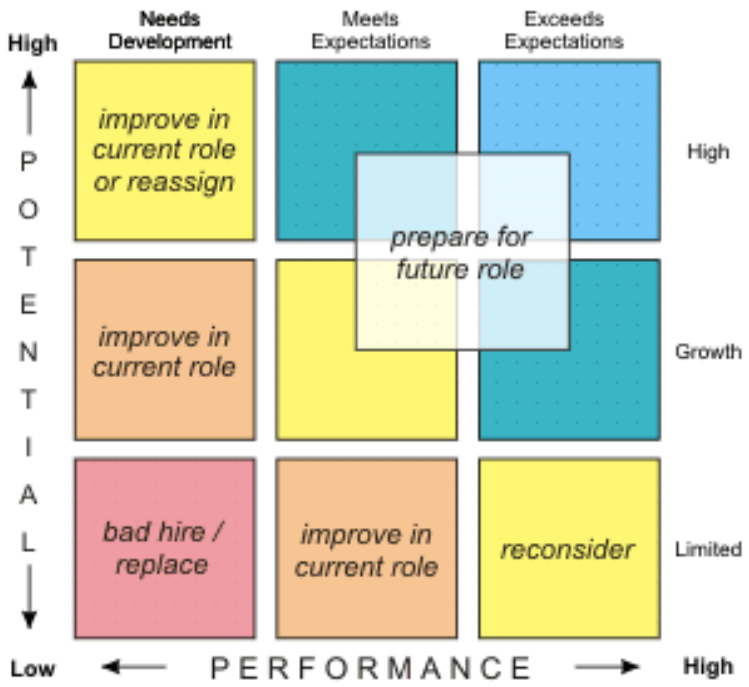
Information Management				
Integrity/Honesty				
Interpersonal				
Leadership				
Organizational Awareness				
Planning/Evaluating				
Stress Tolerance				
Vision				
Teamwork				

ATCH 2
Nine Box Grid

The more you understand about an employee's strengths and weaknesses, the better you can use his talents to your best advantage. A nine-box grid allows you to record specific information about an employee's performance, skill-development level or other evaluation criteria according to where it falls on a three-point rating scale, such as low, medium or high. Although a nine-box grid only displays information, the variety of ways you can use the grid is what makes this such a useful tool.

The goal of succession planning is to name, train and prepare a successor to transition into a management position without disrupting the department. Comparing required competencies to those an employee currently has via a nine-box grid is an objective way to identify and choose a successor. Once you've chosen a successor, a nine-box grid can help you create a training program that addresses specific training and development needs.

The X axis (horizontal) assess leadership performance and the Y axis (vertical) assess leadership potential. A combination of the Y and X axis makes up the box within the grid that the leader is placed. 1A is High Performance/High Potential, 3C is Low Performance/Low Potential, etc.



Source: Greatleadershipbydan.com

Potential	Satisfactorily Placed	High Professional	High Potential
→ → →	Remain at current level of organization, in current or similar role; has likely achieved highest career level.	Able to do the work of bigger jobs at the same management level in the next 1 to 2 years.	Able to do the work at the next management level in 3 to 5 years or sooner.
↑	**Box 4**	**Box 2**	**Box 1**
Outstanding/ Excellent	Highly valued, seasoned professional in current role; remain at current level.	Does extremely well at current job with potential to do more, give stretch assignments to help prepare leader for next management level.	Consistently performs well in a variety of assignments, prime targets for recruitment by other companies.
↑	**Box 7**	**Box 5**	**Box 3**
Effective	Probably solid performers in current roles. Could progress higher in specialty and become a box 4.	These individuals should be considered for a bigger job at the same level if they can deliver better results.	Current role may still provide opportunity for growth/ development; focus should be on helping them improve performance.
↑	**Box 9**	**Box 8**	**Box 6**
Needs Improvement	Consider reassignment, reclassification or exit.	Tight performance management is crucial, consider helping leader manage time more effectively.	Maybe job mismatch, new hire with lots of potential, or new assignment. May require coaching to improve performance.

***Source: SHRM and Motorola 9 Box Grid Definitions**

Sample Readiness Level Chart

Key Position Title	Incumbent Name	*Position Vulnerability*			*Succession Candidate Names*		
		Open in < 1 Yr	Open in 1–3 Yrs	Open in 3 + Yrs	Ready in < 1 Yr	Ready in 1–3 Yrs	Ready in 3 + Yrs

***Source: SHRM**

Template

MEMORANDUM FOR 86 FSS/FSE

FROM:

SUBJECT: Tour Extension Succession Plan

1. The following succession plan justification is provided for (Employee) at (Organization) for a tour extension from (years).

2. (Employee) has the mission essential skills in organizational awareness, large project event management, financial analysis, business acumen, and acquisition that are required for upcoming base-wide events.

3. Her successor recently arrived overseas and does not currently possess the skills and knowledge to handle these complex, large events, with high-level military and public scrutiny. We have a succession and training plan in place and have planned for a scheduled movement of employees to minimize a gap in future knowledge in skills.

4. This job is not considered to be hard to fill; however, with the current constraints in position reductions and PCS funding, we need to keep this employee for an additional two years.

5. This is/is not a centrally managed position and the MAJCOM Career Functionalist and the AFPC Career Field Management Team approve this request. They will also provide career advice and placement actions near the end of the tour. Eighteen months prior to the DEROS date, we will begin recruitment for this position and will not request another tour extension.

6. If you need information, my POC is

Signature Block

NOTES: