



SUCCESSION PLANNING

Ohio's Talent for Tomorrow and Beyond

The right person, in the right place, in the right position, at the right time.

DEPARTMENT OF ADMINISTRATIVE SERVICES (DAS)
LEARNING AND DEVELOPMENT
PROJECT MANAGEMENT PROGRAM

2011



Acknowledgements...

Governor of Ohio

The Honorable John Kasich

Agency Executive Leadership

Robert Blair, Director, Department of Administrative Services

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Special Acknowledgements:

To the Lisa Springer, Nelson Gonzalez and the Department of Administrative Services, Learning and Development team for their ongoing support of this project.

To Lisa Klancher, Ohio Department of Health, Creative Services for the graphic design of the toolkit and presentation template.

Succession Planning

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Introduction Letter...

Welcome to the *Ohio's Talent for Tomorrow and Beyond, Succession Planning Manager's Toolkit*. This toolkit has been developed to assist and support agency leaders in planning for succession management.

With approximately 16% (6,989 employees) of the State's aging workforce eligible to retire within the next 5 years (2011-2016), Ohio's leaders face an unprecedented challenge. Ohio's government agencies must begin to formulate a statewide succession strategy to address the departure of critical institutional knowledge.

The toolkit includes information on how to get started with the process and contains the following:

- Succession Planning Processes, Instructions and Templates
- Frequently Asked Questions
- Executive Overview Presentation

We encourage each government agency to consider the information and resources that have been made available.

Sincerely,

Ohio's Talent for Tomorrow and Beyond - Project Team

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Setting the Foundation

Business Case

The State of Ohio is facing unprecedented fiscal shortfalls, and as a result of these phenomena, agency leadership is being challenged in the deployment and development of its employee base for business continuity. The need for a comprehensive succession planning process to identify and mobilize Ohio's resources is more apparent and necessary today due to the pending exodus of 6,989 employees statewide, or approximately 16% of the state's total workforce. With the potential loss of critical institutional knowledge and skills, an improved way to prepare individuals for future roles and responsibilities is clearly needed.

Succession Planning is a process that will support offices in identifying critical positions, the current and future competencies (i.e., knowledge, skills, and abilities) individuals need to be successful in that position, and assessment of current talent to fulfill those roles to ensure business continuity. At the end of this process each agency will have a comprehensive pool of talent to draw upon to meet current and future agency needs to ensure that *the right person is in the right place, in the right position, at the right time.*

Common Succession Planning Objectives

To ensure success of any succession planning effort, the main objectives should include the following:

- Identifying significant agency business challenges in the next 1-5 yrs;
- Identifying critical positions that will be needed to support business continuity;
- Selecting the competencies individuals will need to be successful in positions and to meet identified business challenges;
- Developing a pool of talent to step into critical positions; and
- Reviewing potential position vacancies and capturing the knowledge that individuals possess before departing the agency.

Defining Success Criteria

In order for a succession planning initiative to be successful for supporting business strategies and goals, the following items should be understood and addressed:

- Succession Planning is closely tied to business strategy and goals;
- Executive and senior leaders should be vested in the process to ensure its success;
- Development of key talent is clearly defined, focused, and managed throughout the process; and
- Employees understand their role in the process and know what is expected of them.

Setting the Foundation *Cont'd...*

Strategic Direction

The first step in determining the talent an agency will need to be successful is to clearly define where the agency is currently and where it may be in the next 1-3 years from a business perspective. The succession plan needs to strongly correlate with anticipated challenges the agency may be facing and what talent is needed to successfully address them. Completing an Environmental Scan to identify external and internal business trends is required to fully understand and anticipate the competencies needed to ensure leadership and business continuity.

Conducting the Environmental Scan

The environmental scan is a leadership exercise to quickly and succinctly define the current state of the agency and anticipate where the agency may be in the next 1-3 years. This exercise is a way to ask leaders specific and challenging questions in topical areas such as:

- External environmental concerns (e.g., economic, geo-political, funding, customer expectations, etc.);
- Internal challenges (e.g., restructuring, workforce changes, process improvement, competency deficiency, etc.); and
- Current agency culture (e.g., labor relations, values, leadership style).

It is paramount that leadership has the right individuals involved in the process to get a complete picture of the agency and its challenges. This will provide the agency leaders with a concise and agreed upon picture of the future, as well as jointly develop action plans on how to address challenges. The results of the environmental scan gives context to succession planning activities and helps agency leadership to define the people specific challenges it is facing and helps them to decide how to get started in addressing issues.

Succession Planning Eligibility

Succession planning in the public sector may presents challenges which private organizations may not experience. Steps have been taken to modify the current model and expectations from what might be found in the literature geared towards the private sector.

Setting the Foundation *Cont'd...*

Some differences may include the following:

- **No Pre-selection or Pre-Positioning**

State agencies operate under some form of a civil service system and collective bargaining agreement whereby employees are selected for positions based on their qualifications. It is understood in this type of system that no determinations of who will succeed any given person will be made until all qualified candidates are provided an equal opportunity to apply for and be considered for the job.

Situations where one individual is "pre-determined" as the successor long before the person being succeeded leaves with no competitive selection process could be considered "*pre-selection*" or "*pre-positioning*" and are to be avoided in the public sector. This is considered an unfair advantage to some over others. However, a distinction can be made when there is situation for an opportunity for "*knowledge transfer*" to occur.

- **Transfer Provisions Based on Seniority**

In the State of Ohio, which has collective bargaining, not all vacancies are filled through a competitive process. Individuals in the same position classification, in the same bargaining union with the most seniority may transfer to a position before any other method of filling the position may be considered, including promotion.

- **Retirement and Employee Privacy Rights**

It will be helpful in filling critical positions to know exactly when the individuals in those positions plan to retire to better support succession planning efforts. If there are known situations where a retirement is imminent, individuals have a right to privacy and confidentiality about their retirement plans. The employer cannot force the employee to disclose his/her retirement plans until the person decides to start the retirement process. However, Human Resources can do retirement projections based on eligibility.

Talent Pool

Succession planning in the public sector also differs from the private sector in how pool of talent are created and used in the process of selecting future talent. A "*Talent pool*" is individuals who may succeed a current incumbent in a critical position and have indicated an interest in being considered for the position. These are internal competitors for the position.

Setting the Foundation *Cont'd...*

Some of these individuals may currently be ready to step into a position without any additional development. The “*talent pool*” is made up of these current individuals, because they may be ready to step into a position and successfully perform the duties and responsibilities at any time. Others may have “potential” to perform the position if developed appropriately. How candidates are developed and in what may differ in the public sector versus the private sector.

Talent Pool / Employee Development

All employees have different level of competencies, even if the individuals have the interest and desire, to compete for critical positions. While employee development of any kind is desirable and should be pursued, a “*talent pool*” is not established for everyone, but for those who show the most potential for critical positions. It should be noted, participation in the “*talent pool*” process is not the selection process for the position or a guarantee that any participants will eventually be selected. All employment decisions must be based on position relatedness, equity and fairness.



What is Succession Planning?

Succession Planning Definition

Succession Planning is the process of identifying the critical positions within each agency and developing action plans for individuals within state government to assume those positions. It is a comprehensive plan that addresses both quarterly and future staffing requirements to ensure a pipeline of talent available to execute agency strategies and goals.

Succession planning is future-focused, and supports agency leadership in assessing, evaluating, and developing a pool of talented individuals who are willing and able to fill critical positions. Succession planning is a process to assist leadership in identifying and capturing necessary institutional knowledge that may be lost due to retirement, promotion, and general attrition. Succession planning is a tool to meet the necessary staffing needs of an agency, taking not only quantity of available candidates into consideration, but also focusing on the quality of the candidates by addressing competencies and skill gaps.

Succession plans identify the people with the skills and potential to perform in future roles, to strengthen the overall capability of the agency, and ultimately, to achieve business goals. Succession plans also highlights the most pressing future staffing needs.

In conclusion, succession planning supports the agency in:

- Identifying critical positions and highlighting potential vacancies;
- Selecting key competencies and skills necessary for business continuity;
- Focusing development of individuals to meet future business needs; and
- Safeguarding the departure of critical institutional knowledge.



What is Succession Planning?

Why is Succession Planning Important?

With pending retirements and other anticipated changes, Succession Planning is a key process and tool in helping agency leadership identify what competencies are needed to execute the agency business strategies, and how to best develop and retain talent. Succession Planning is a living process and should be used as a continual checks and balances by the agency to identify what talent is currently available, what talent may be leaving, and how to prepare to capture necessary knowledge and disseminate to it to future successors. A good succession plan is supported by other key HR systems such as Learning and Development of key talent, Recruitment and Selection of internal/external talent and Performance Management to drive competency excellence in identified talent. These HR systems will enable a successful execution of the succession plan.

How to Use the Succession Planning Manager's Toolkit

The *Succession Planning Manager's Toolkit* is intended to provide agencies with a framework to develop staffing strategies to ensure talent is available for critical positions.

The following steps will help agencies to plan for future vacancies and ensure business continuity:

1. **Identify Critical Positions:** a list of key positions and when they may become vacated.
2. **Assess Leadership Potential:** assess key competencies that the individuals will need to be successful in the position.
3. **Develop and Retain Talent Pool:** a listing of individuals who are ready for a specified position in a given period of time and action plans for developing succession candidates for critical positions.
4. **Develop Knowledge Transfer Strategies:** a listing of key knowledge/experience that an individual has and how to catalog it for future use.
5. **Measure, Monitor and Evaluate Progress and Outcomes:** utilizing identified metrics to execution of office succession plans and business continuity.
6. **Capture Lessons Learned:** capture/document mistakes and lessons learned for improving the program in the future.

The Succession Planning Process

Establishing a Succession Planning Team

As an agency considers succession planning, it is essential to form a cross-agency succession planning team consisting of executive leadership, senior managers and HR staff, in order to establish the objectives and design of the program components.

Succession planning requires support from the executive and senior leadership team; the executive/senior leaders serve as the sponsor and overseer for the program planning, reviewing, and implementation of the agency's succession planning process. HR plays an integral role in the succession planning process and may assume various roles depending on the size of the agency or resources available within an agency. HR may take on the role of a succession planning consultant and share the expertise with members on the succession planning team. The succession planning team will be responsible for planning the kickoff of succession planning, which means sharing the business case for the succession planning initiative, outlining the process and reviewing the responsibilities and commitment level of the succession planning team.

Succession Planning Framework Design

The basic design for establishing a succession planning framework is one that is adaptable and flexible to the agency's business needs. The steps in the model can be modified as necessary by each agency based on need and available resources.

Primary considerations when designing a succession planning framework includes:

- Disparate treatment
- Job-relatedness
- Adverse impact
- Collective Bargaining Union contracts

Since succession planning has the potential to impact an employee's employment status, the framework should be in compliance with current legal requirement or regulations.

The Succession Planning Process *Cont'd...*

Defining the Communication Strategy/Key Stakeholders

As an agency considers implementation of a succession planning framework, it is important that the succession planning team seeks the buy-in and support at all levels within an agency. A communication strategy will help inform key stakeholders, employees and management about the purpose and value of succession planning as well as the objectives, specific framework content and how it will be implemented.

The succession planning team should develop an effective communication plan to educate and raise the level of awareness regarding succession planning efforts, key issues and concerns, and benefits. To help in developing a sound communication strategy, the succession planning team may utilize agency climate surveys and/or focus groups to identify concerns and benefits for each of the targeted audiences.

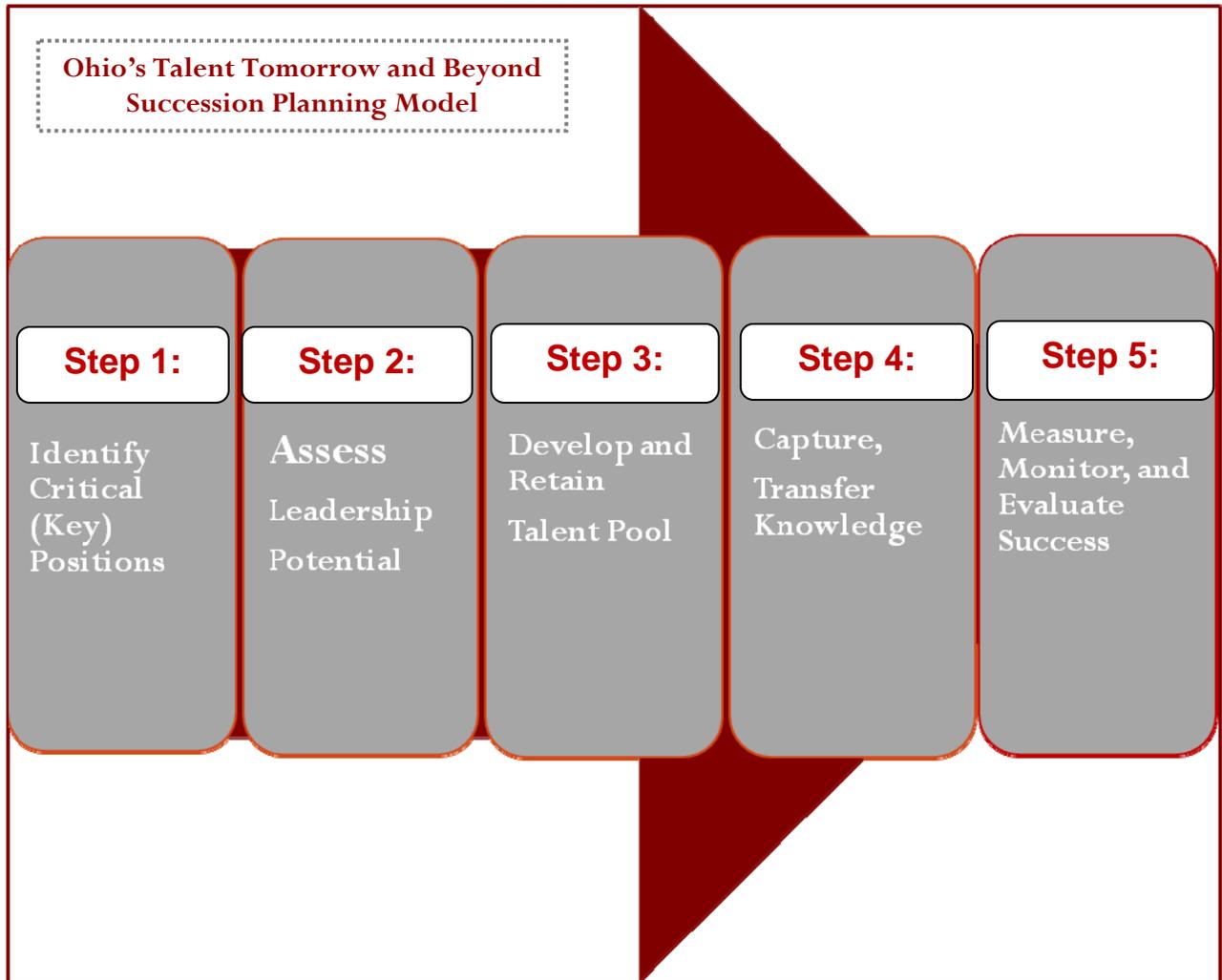
The succession planning team will determine the facilitators in communicating the messages to the target audiences. The succession planning team will also determine the target audiences (e.g., Executive/Senior Leaders, HR Professionals, Managers, Supervisors, employees, unions, etc.), the type of message to communicate and the best approach for delivering messages. This team will anticipate key issues or concerns that various stakeholders may have about the framework, as well as develop Frequently Asked Questions (FAQs) that can be shared agency-wide (see sample FAQs in the Appendices).

Overall, the team's primary objective for the communication strategy or plan is to reduce fear or apprehension, influence support from the workforce and solicit participation in the succession planning framework.



Succession Planning Framework

The chart below illustrates **Ohio's Talent for Tomorrow and Beyond, Succession Planning Model**. The steps and the outputs for each of the steps in this model will be specifically addressed in the appropriate sections of the managers' toolkit.



STEP 1: Identify Critical Positions *Cont'd...*

Purpose:

To identify critical positions that can potentially impact business operations (e.g., financial operation, process efficiencies, loss of institutional knowledge, etc) due to retirement, attrition and voluntary/involuntary separation. A critical position is one that, if it were vacant, would have a significant impact on the agency's ability to conduct normal business. These positions may be managerial, technical or a support in nature that can be occupied or vacant.

Instructions

Using the Table of Organization and the definition provided within this document, agency leaders should inventory current positions. The following process may be helpful when going through the inventorying process and may be helpful in deciding if a category in the Position Inventory is applicable:

- Evaluate impact of each position to ensure the agency achieves strategic goals and objectives;
- HR director should be included in strategic leadership team discussions;
- Begin review of positions at division level and above to determine which positions are critical;
- Larger agencies may want to go a step further by including mid manager or specialists; and once critical positions are identified prioritize them based on analysis.

Sample Template - Position Inventory

POSITION INVENTORY Copy & paste data from XXX Estimated Retirement spreadsheet that lists all EEs. You must save the document before the formula entry changes.															
Ohio's Talent for Tomorrow and Beyond Succession Planning for State Agencies															
Bureau	Section	Unit	Name	Description	Estimated Retirement Date	Single Incumbent	Extensive experience/ knowledge in their field/ area of expertise	Difficult to replace from inside or outside the agency	Difficult to Retain	Retirement Vulnerable	Risk of Attrition - Value	Notes	Key Position	Succession Plan	Knowledge Plan

STEP 1: Identify Critical Positions *Cont'd...*

Position Inventory Categories / Definitions / Questions

1. ***Single Incumbent:*** only one person can perform unique positions and duties in the office. What are the unique duties and why did you identify them as such? Can anyone else complete these functions if the incumbent is absent?
2. ***Specialized Knowledge and Expertise:*** incumbent has specialized knowledge and/or experience that is only acquired over time or through specialized education and training. Does the agency have the capacity to provide the required training or development to grow the specialized knowledge? Is there limited bench strength of individuals that can perform the function(s) that utilize this expertise?
3. ***Difficult to replace from inside or Outside of the Agency:*** position or classification for which the agency has difficulty finding qualified candidates, despite recruitment efforts. Is a skill set needed that can only be gained by working within the agency? Has it historically been difficult to attract a qualified applicant pool?
4. ***Difficult to Retain:*** position or classification for which the agency has difficulty retaining employees due to factors such as environment, position stressors, wage issues, shift issues, travel or type of client base. Is there a high amount of turnover in the position? Is the position entry level and used to get a “foot in the door”? Is this position used as a “feeder pool” for other positions?
5. ***Risk of Attrition:*** individuals that are at risk of leaving the agency due to a lack of developmental and/or promotional opportunities. Are there high performers or critical functions that are at risk of leaving due to role dissatisfaction or have high demand skill sets? Are their retirement vulnerable individuals who have expressed intent to retire?
6. ***Retirement Vulnerable:*** employees are or will become eligible to retire within five years. Has the employee started the retirement process or provided notice of retirement?

STEP 1: Identify Critical Positions *Cont'd...*

Interpretation of Position Inventory Data

The interpretation of the position inventory data needs to be viewed and considered in light of factors such as agency strategic priorities, challenges and trends. In general, the following interpretations can be made about critical positions:

- Single Incumbents
- Specialized Knowledge
- Retirement Vulnerable
- Risk of Attrition

Succession Planning Priorities

- Single incumbent with specialized knowledge and risk of attrition.
- Trend of high retirement eligibility and/or risk of attrition within one functional area.



STEP 2: Assess Leadership Talent

Purpose

Assessing employees against critical competencies will help focus individual learning and development opportunities in order to prepare the person for future roles in the agency. It is also important for management to identify success factors for critical positions to assess position impact and vacancy risks. Determining whether there are one or more succession candidates ready to successfully assume the role and responsibilities is *the* primary function of assessing leadership talent.

Instructions

Review the critical positions identified from the Position Inventory and complete critical position success profile. Document all education, experiences, key competencies and other factors necessary for success of each critical position. The position success profile will be used to evaluate current and potential successors and the types of development that will be needed for successful transition.

Review and update position description to identify specific technical competencies. Define competencies and identify behaviors that demonstrate them. A few points to remember when identifying competencies are:

- Do not inflate preparedness assessment;
- Do not rely on same person for bench strength for multiple critical positions; and
- Employees should demonstrate appropriate competency level and scope of impact with a history of achieving successful results.

As the agency leaders consider the practical scope of any position, valid identification of competencies is necessary for:

- Establishing minimum requirements success;
- Creating a baseline for assessing potential candidates; and
- Identifying appropriate learning and development opportunities.

The following is a sample competency assessment profile to get started in identifying, assessing, and documenting common competencies possessed by potential leaders:

STEP 2: Assess Leadership Talent *Cont'd...*

Sample Template Competency Assessment Profile

Position Title:	Classification / Level:
Agency:	Division / Bureau:
Location:	City, State:
Education (degrees, certifications, licensure):	
Work Experiences:	
Core Competencies	Technical Competencies
<ul style="list-style-type: none"> ▪ Communication 	<ul style="list-style-type: none"> ▪ Project Management
<ul style="list-style-type: none"> ▪ Strategic Planning 	<ul style="list-style-type: none"> ▪ Policy Development and Analysis
<ul style="list-style-type: none"> ▪ Building Productive Relationships 	<ul style="list-style-type: none"> ▪ Budget and Fiscal Management
<ul style="list-style-type: none"> ▪ Continuously Improving Quality 	<ul style="list-style-type: none"> ▪ Human Resources Management
<ul style="list-style-type: none"> ▪ Developing Self 	<ul style="list-style-type: none"> ▪ Legal Compliance
<ul style="list-style-type: none"> ▪ Focusing on Customers 	<ul style="list-style-type: none"> ▪ Computer Systems & Technology
<ul style="list-style-type: none"> ▪ Valuing Cultural Diversity 	<ul style="list-style-type: none"> ▪ Program Development
<ul style="list-style-type: none"> ▪ Managing Change 	<ul style="list-style-type: none"> ▪ Data Analysis
<ul style="list-style-type: none"> ▪ Developing and Coaching Others 	<ul style="list-style-type: none"> ▪ Grants and Contract Management

STEP 3: Develop / Retain Talent

Purpose

This step outlines the development strategies for identified talent pool based on required business needs and leadership potential. Development of strategies for each member of the “*talent pool*” should be based on information gathered during the assessing of leaders (Step #2) process.

Different approaches may be used to address issues related to determining competency levels. Although many strategies are available to develop employees, the intent is to identify the right combination of strategies that prepares succession candidates to successfully take on higher leadership/ business roles within the agency. To be effective in developing future leaders, key assignments, developmental feedback, mentoring, coaching, formal classroom training, and professional memberships must be made available. Identifying key assignments and the removal of blocks to assignments are highly emphasized and must be supported at the executive leadership level.

Instructions

Design and implement career development strategies. Work with the employee to create a career development plan to close the gaps and/or strengthen existing skills and competencies. The following are essential actions to be considered when implementing career development plans:

- Individual takes ownership for career and prepare a formal career developmental plan;
- Provide development opportunities;
- Formalize objectives/long term and short term goals (define stretch assignments);
- Identify developmental needs, activities, target dates and resources;
- Offer cross-agency job rotation, enhancement, shadowing, action and experiential assignments;
- Tailor opportunities to develop necessary competencies required;
- Document competencies developed;
- Hold ongoing coaching sessions between managers and employee to assess progress; and
- Ensure that annual performance review process is integrated with succession planning goals.

Using the career development plan will help track, monitor and facilitate development discussions with the succession candidate (see sample career development plan).

STEP 3: Develop / Retain Talent *Cont'd...*

Ohio's Talent for Tomorrow and Beyond
Succession Planning for State Agencies

CAREER DEVELOPMENT PLAN					
Employee's Name		Class Title		Employee's Signature /Date	
Agency		Employee Number		Supervisor's Signature/Date	
Section A: Long Term Goals What are your long-term goals for employment over the next five years?					
1.					
2.					
What skills and competencies do you need to accomplish these long term goals? How do your goals fit in with future needs and direction of the agency?					
Section B: Short Term Goals					
What specific goals would you like to accomplish w/in the next year in your current position?					
1					
2					
What skills and competencies do you need to accomplish these short term goals?					
Section C: Reaching Goals & Timeline					
How/when do you plan to reach your goals (classes, training, reading, activities, mentoring, etc.)?					
Developmental Needs	Activities	Target Date	Provider/Source	Competency Developed	Results (Date Completed)
1					
2					
Note: Training and development that includes travel expenses is contingent upon the availability of funds and management approval.					

Agency leaders should work with HR staff 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;
- Computer-based training and course work from external providers;
- Attending work-related conferences;
- Membership affiliation with industry specific associations and societies;
- Working with a mentor, coaching or consulting others; and
- Leadership development programs and training courses.

Benefits of Developing Succession Candidates

- Reduces agency risk: increases leadership readiness by identifying successors for critical positions and helping agencies proactively develop talent.
- Improves employee morale and engagement: enables employees to take ownership of their careers.
- Improves employee development and retention: clearly defines development goals and provides targeted learning activities.
-

STEP 4: Capture/Transfer Knowledge *Cont'd...*

Purpose

To provide tools and resources to capture, retain, and transfer institutional knowledge. This ensures that key institutional knowledge and information is transferred appropriately to successors.

Instructions for Templates

Identify the positions from the Position Inventory that are the greatest priority for knowledge transfer (e.g., single incumbents with extensive knowledge and retirement vulnerable, etc) and complete the following actions:

- Employee retain copy of this form and provides a copy to manager;
- Manager and employee independently rate importance for each area; and
- Employee discusses with manager specific priorities, difference of opinions and agrees to target transfer dates.

Sample Template Knowledge Identification

Name of Knowledge Holder:			
Projected Separation Date:			
Areas of expertise and/or knowledge	Who else has this expertise?	Priority Rating (Consider complexity of task, urgency to have knowledge transferred, etc) 1 = Highest priority 2 = Mid level priority 3 = Lowest priority	Target Transfer Date
1.			
2.			
3.			
4.			
5.			
6.			

STEP 4: Capture / Transfer Knowledge

Identify the topic requiring knowledge transfer and the possible recipients of the knowledge. Review the strategies below and select those that will best capture and transfer the knowledge. Then the Knowledge Transfer Plan is completed.

Sample Template Knowledge Transfer Strategy

Topic Requiring Knowledge Transfer:		
Name(s) of the current process owner(s):		
Name(s) of transfer recipients:		
Knowledge Transfer Strategies	X if Applicable	If applicable, indicate A = Available Now D = Will Develop
1. Job Aids: Low tech tools such as check lists, desk manuals, and process maps designed to help people perform a task in real time with minimal to no training.		
2. Process Documentation: A flowchart that captures from beginning to end, how the work is performed. These may take the form of a process map or linear outline and may include deviations from the norm.		
3. Best Practices: Processes and practices that have worked well in other settings that might be transferable. These practices may be identified from meetings, polling employees, or studies.		
4. Job Shadowing: Pair a less experienced employee with a veteran performer who will share knowledge, demonstrate processes, and answer questions.		
5. Document Repositories: May combine both electronic and paper documents and store them in a place that can easily be retrieved and interpreted by others.		
6. Job Rotation: A formalized program in which one or more people are assigned to a different role offering exposure to a variety of tasks and responsibilities and an opportunity to increase one’s knowledge, responsibility and/or scope.		
7. Skill/Knowledge/Task Inventories: A list of staff members and an assessment of their proficiency on a range of task or skills needed to do the job. Process owners can use the inventory to evaluate individuals and themes that require support.		
8. On- the-Job Training: Instruction takes place at the learner’s work station with a focus on teaching skills, procedures, processes with hands-on structured support.		
9. Action Plan: Keep track of knowledge transfer milestones		

STEP 5: Measure, Monitor, Evaluate

Purpose

The final step in the succession planning process is to monitor and evaluate the strategies implemented to close identified and prioritized talent gap(s). It is important to regularly evaluate the succession planning process to ensure effectiveness. It is recommended that the succession planning efforts be measured and monitored: the relationship between inputs, activities, outputs, and outcomes; and impact of the process based on stated goals and objectives. Additional measures may focus on the framework functional strengths and weaknesses, and assessing gaps in developing succession candidates.

Instructions

Establish metrics that can measure succession planning, these metrics can be measured on a quarterly and/or annual basis. The following are evaluative questions to help establish outcome metrics that the succession planning team may want to consider:

- Are succession candidates performing well in their new roles?
- What is the impact of learning and development efforts?
- Is the “*talent pool*” diverse and reflective of the labor market?

Sample Quarterly Metrics

- How well are individuals progressing through their development assignments?
- Progress toward development goals and career development plans.
- Percent of candidates in a rotational position with a formal action plan.
- Percent of candidates in cross-functional assignments.

Sample Annual Metrics

- Number of successful promotions into key leadership positions.
- Percent of open positions filled.
- Percent of turnover.
- Diversity demographics of “*talent pool*”.
- Percent of talent pool candidates that are “ready now”.



STEP 5: Measure, Monitor, Evaluate *Cont’d...*

Key Roles and Responsibilities

The succession planning team must continuously monitor and collect data to whether the strategies are meeting the department’s needs. The following are key roles and responsibilities of the team:

- Holds quarterly Succession planning review meetings;
- Tracks selections from “*talent pool*”;
- Receives leader’s feedback on success of internal talent and internal hires;
- Analyzes satisfaction surveys from customers, employees, and stakeholders;
- Assesses response to changing requirements and needs; and
- Evaluates succession planning outcomes based on established metrics.

The succession planning team is responsible for identifying the overall succession planning metrics and measures that identify the timetable, expected outcomes, and strategies. A system for tracking the metrics is a significant part of determining the return on investment of the success planning process.

Sample Template Quarterly Staffing/Succession Meeting	
Purpose: To identify and plan for all staffing and succession implications for the office area.	
Data to consider for Meeting	
<ul style="list-style-type: none"> ▪ Retirements Report ▪ Separations Report ▪ Position Inventory ▪ Succession Plan 	
Guiding Questions	
<ol style="list-style-type: none"> 1. What is the agency’s plan for critical positions as employees separate or retire? 2. Do you have or anticipate any resignations? Are they critical positions? 3. Is there a business need for office restructuring? Will this impact positions? Will new positions be created? 4. What necessary recruitment is anticipated? Internal or external? 	
Succession Planning Implications	
<ol style="list-style-type: none"> 1. Are there any voluntary/involuntary separations that will impact the agency’s succession plan? If so, describe in detail. 2. Are individuals in your talent pool ready when separation happens? 3. What will the agency’s action plan address? 	

Learning and Development Resources *Cont'd...*

Learning and Development Opportunities/Resources

Once the succession candidates have been identified, based on their interest and potential for success in a key position, the agency must ensure that these employees have access to the appropriate learning and development opportunities and resources. The focus should be on strengthening or removing gaps between expected competencies and the current knowledge, skills and abilities of candidates.

As part of the career development planning with the employee, performance should be documented and goals included in the career development plan. Various training activities and options will need to be considered and identified, to allow a succession candidate ample time to participate in needed training and development opportunities. Training does not have to be the traditional classroom setting or instructor-led, but it must be meaningful and provide value.

Development opportunities may include a targeted job assignment, a project (departmental or inter-departmental), a formal training program, or an external activity. Seek out the appropriate resources through agency HR offices or the Department of Administrative Services (DAS), Learning and Professional Development.

The following are the DAS management and leadership development programs that may be available options to consider for an agency succession candidate:

- **Ohio Certified Public Manager**
The Certified Public Manager® program is a nationally accredited, comprehensive management and leadership development program. It is designed for high-achieving, career public managers in mid and senior-level government positions. Public managers who successfully complete the challenging program are equipped with the expertise and competencies to maximize performance and effectiveness within their agency.
- **Project Management Program**
Project Management is designed for State employees who need a practical and applied approach to learning the foundations of managing projects, with the focus of applying the acquired knowledge to projects currently being managed, or soon to be managed.

Learning and Development Resources

- ***Supervisory Excellence Certification***

This program will provide current and vital supervisory education to State employees by offering a wide range of topics with the flexibility of only taking those courses that will benefit the person the most.

- ***State Library of Ohio***

Learning Express Library's resources can help individuals to succeed. The Learning Centers offers the practice tests, exercises, skill-building courses, eBooks, and information needed to achieve the results—at school, at work, or in life.

- ***University System of Ohio***

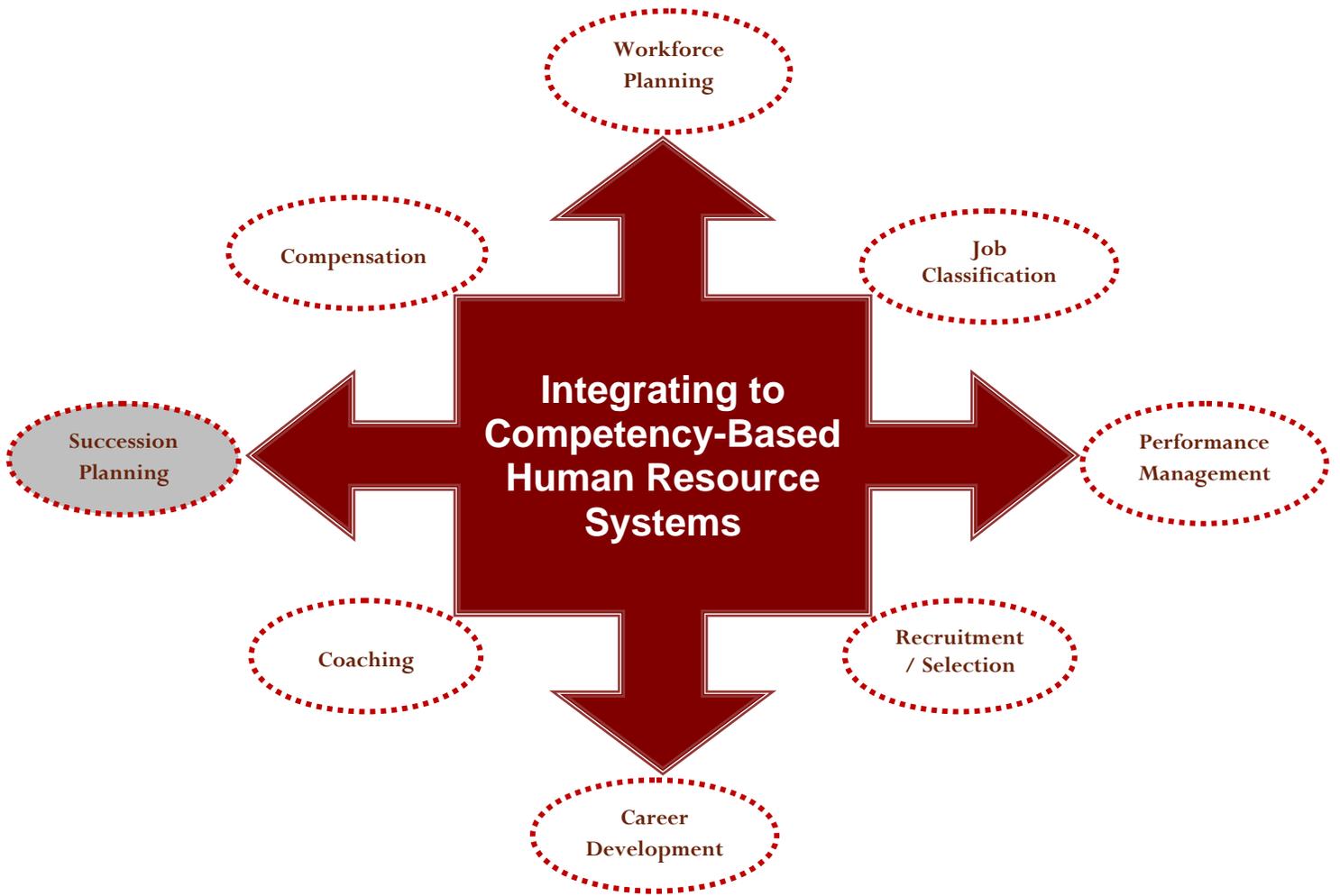
*The Ohio Board of Regents recently unveiled the **Ohio Higher Ed** website, an online resource connecting future Ohio college students with detailed information on how to prepare, apply and pay for an education at Ohio's public universities, community colleges and adult career centers.*

Link to DAS Resources

das.ohio.gov/Divisions/HumanResources/LearningandProfessionalDevelopment.aspx



Integrated Human Resources Systems



A good Succession Plan is supported by HR systems such as Learning and Development of key talent, Recruitment and Selection of internal/external talent and Performance Management to drive competence excellent in identified talent. These key HR systems will enable a successful execution of the succession plan.

Capturing Lessons Learned *Cont'd...*

Purpose

To establish a *“lessons learned”* process to help the agency to improve and enhance succession planning activities in the future. Capture and document *“lessons learned”* along the way.

#

Instructions

Important steps to consider when documenting *“lessons learned”* as a result of implementing a succession planning framework include:

- Assigning a person to this role (usually a good facilitator);
- Capturing lessons learned upon implementation of succession planning and tracked throughout the process;
- Developing focus group questions;
- Using a facilitator and keeping the process simple;
- Holding focus groups with succession planning team and key stakeholders;
- Summarizing the outcome of the meeting(s);
- Maintaining the *“lessons learned”* report in a location where it can be easily retrieved and accessed (via SharePoint, intranet site, etc.);
- Distributing a copy of the report to executive leadership and management team; and
- Documenting improved effectiveness and efficiencies for future projects.

Conducting *“Lessons Learned”* Focus Group Meetings

- Send focus group questions to participants in advance of the meeting to allow participants to prepare for the meeting.
- Ensure that all participants understand that the focus group meetings will not be “blame or fault finding” sessions.
- Remind focus group participants (succession planning team and key stakeholders) to fully participate; the meetings are intended to gain honest feedback regarding the succession planning process (what worked well and what didn't); and
- Discuss missed opportunities that may happen and remember this is a journey; the goal is to improve the succession planning process.

Capturing Lessons Learned *Cont'd...*

Sample Focus Group Questions

1. What did we do right?
2. What things seem to matter the most to the stakeholders?
3. What things surprised us that weren't in our succession plan?
4. What things did we anticipate happening that didn't?
5. Where could we improve the process/plan?
6. What mistakes did we successfully avoid making?
7. What did we learn from doing succession planning?
8. What could we automate or simplify that we do repetitively in succession planning?
9. What skills did we learn from this project?
10. What value did we gain from a formal succession planning process?

Examples of Areas for Capturing *“Lessons Learned”*

- How critical/key positions were identified.
- Risks regarding readiness of succession candidates and whether risks were mitigated or not.
- Trends in key positions which have few succession candidates.
- Career developmental plans were sufficient to implement and allow for tracking of progress.
- Feedback from learning assignments, training, and developmental opportunities.
- Succession candidate's career development plan; revisited during the regular periodic performance evaluation.
- Specific project components such as: teamwork/team performance, problem solving/issue resolution processes, communication management, change management process, etc).

In summary, capturing *“lessons learned”* is extremely importance and it usually a part of the framework that is often overlooked.

Key Roles and Responsibilities

- Assign a person to this role.
- Conduct focus groups.
- Track and document *“lessons learned”* throughout process.
- Make accessible to the agency management and employees.

Summary

Succession Planning has the overall goal of providing *“the right leadership at the right place at the right time with the right skills.”* The manager’s toolkit will assist state agencies in developing strategies that support the outcome of its Workforce / Succession Planning activities. Agencies should use this toolkit as a reference when beginning to assess individual talent and leadership needs.

The Department of Administrative Services (DAS) supports succession planning and is available to assist agencies or Human Resources staff in the following workforce planning areas:

- Demographic data of the State of Ohio workforce.
- Recruitment needs assessment and strategies.
- Succession planning/career development.
- Identification of leadership training and development needs and support.
- Knowledge transfer strategies.



Appendix A: Frequently Asked Questions

What is Succession Planning?

Succession Planning involves having the right leadership in place at every level of the agency. Simply stated, succession planning is a systematic effort and process of identifying and developing candidates for key managerial or professional leadership positions to ensure business continuity. Succession planning is accomplished by identifying people with leadership potential or talent and ensuring that they are given experiences and training to prepare individuals for higher level leadership positions or critical positions.

How often should the agency perform Succession Planning?

Succession Planning is a continual process that is constantly evolving and changing. Succession Planning is a journey, not a destination. It is important that the Succession Plan is regularly reviewed and adjustments made to address any identified agency issues.

Why is Succession planning important in Ohio Government?

With the beginning wave of baby boomers getting ready to retire, Ohio leaders face an unprecedented challenge. It is essential for agencies to begin building a talent pool and providing training and development opportunities that can continue to lead and enhance state government.

Does participation in the Succession Planning initiative guarantee a future promotion?

No, participation in the succession planning initiative does not guarantee promotion. While participation in the initiative may enhance promotional opportunities, agencies will select the best qualified candidate through the selection process for a leadership position. The best qualified candidate may or may not be a current employee.

What is necessary for a successful program?

It requires an ongoing commitment of top executives, management, human resources, employees, DAS, and the Governor's Office.

Is Succession planning a short-term project that is receiving temporary emphasis?

Succession Planning requires a long-term investment in staff. In many cases, it will take years, not months, to prepare staff for higher leadership level positions. Pending retirements of the baby-boom generation will significantly impact state agencies. As a state, we must take a proactive approach to resolving this issue.

Appendix A: Frequently Asked Questions *Cont'd...*

What is the difference between Succession Planning and Workforce Planning?

Succession Planning is a significant element of workforce planning; it places more emphasis on having the right leadership in place at every level of the agency. Workforce planning is appropriately identifying staffing levels and justifying budget allocations to meet agency business objectives.

How do I measure long-term success?

When there is an adequate pool of skilled leaders and professionals prepared to meet future performance needs. When the gaps between current competency levels and the levels required to be an effective leader have been reduced and highly qualified leaders are ready when vacancies occur.

What are the initial steps involved in getting started?

Pre-planning is a very significant part of the succession planning process. A succession planning team is identified and the objectives of the program are defined to ensure that they are aligned and integrated with the agency's strategic goals and other human resource practices. During pre-planning, the design of the succession planning framework and communication plan for implementation is developed to ensure the agency staff is aware of the framework.

Isn't succession planning a form of pre-selection for a particular position?

No, best practices for succession planning focuses on preparing staff for assuming a higher leadership level, not a particular position. For example, there are competencies that agency/division/office directors and assistant division directors have in common. If we enhance these competencies in current staff, there will be a better chance of identifying internal candidates to fill these positions as they become vacant in the future.

Why do current managers have the first opportunity to be developed for higher leadership levels?

Best practices call for a top-down approach to succession planning. Agencies are encouraged to start at the top level of leadership in the agency that is not appointed or elected and work throughout the agency in successive leadership levels. Best practices support this method as a proven process.

Will training and development opportunities be offered to employees as part of succession planning process?

Each agency should work with its Human Resources office or the Department of Administrative Services to identify training and development opportunities for succession planning candidates.



Appendix B: Sample Succession Plan Templates



“A Succession Planning Process Made Simple”

Appendix C: Executive Overview (PPT)

Ohio's Talent for Tomorrow and Beyond
Succession Planning for State Agencies

"The right person, in the right position, at the right time."

Ohio

Executive Overview

Appendix D: References

<p>1. <i>Department of Administrative Services, Learning and Development Services</i></p>	<p>das.ohio.gov/Divisions/HumanResources/LearningandProfessionalDevelopment.aspx</p>
<p>2. <i>Georgia's Flexible Succession Planning</i></p>	<p>http://www.gms.state.ga.us/agencyervices/wfplanning/index.asp</p>
<p>3. <i>NC Office of State Personnel</i></p>	<p>www.performanceSolutions.nc.gov/staffingInitiatives/successionPlanning/SuccessionPlanningGuide.pdf</p>
<p>4. <i>Government of Newfoundland and Labrador</i></p>	<p>http://www.gov.nl.ca/</p>
<p>5. <i>Iowa Department of Administrative Services - Human Resources Enterprise</i></p>	<p>http://das.hre.iowa.gov/documents/publications/succession_planning_guide.pdf</p>
<p>6. <i>Michigan's Succession Planning Toolkit</i></p>	<p>http://www.michigan.gov/documents/mdcs/SuccessionPlanningCareerPipelineToolkit_213235_7.pdf</p>
<p>7. <i>Ohio Department of Job and Family Services – Succession Planning Toolkit</i></p>	<p>PDF document</p>



Sample Template Knowledge Identification

Name of Knowledge Holder:			
Projected Separation Date:			
Areas of expertise and/or knowledge	Who else has this expertise?	Priority Rating (Consider complexity of task, urgency to have knowledge transferred, etc) 1 = Highest priority 2 = Mid level priority 3 = Lowest priority	Target Transfer Date
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Sample Template Quarterly Staffing/Succession Meeting

Purpose: To identify and plan for all staffing and succession implications for the office area.

Data to consider for Meeting

- Retirements Report
- Separations Report
- Position Inventory
- Succession Plan

Guiding Questions

1. What is the agency's plan for critical positions as employees separate or retire?
2. Do you have or anticipate any resignations? Are they critical positions?
3. Is there a business need for office restructuring? Will this impact positions? Will new positions be created?
4. What necessary recruitment is anticipated? Internal or external?

Succession Planning Implications

1. Are there any voluntary/involuntary separations that will impact the agency's succession plan? If so, describe in detail.
2. Are individuals in your talent pool ready when separation happens?
3. What will the agency's action plan address?

Sample Template Knowledge Transfer Strategies

Topic Requiring Knowledge Transfer:

Name(s) of the current process owner(s):

Name(s) of transfer recipients:

Knowledge Transfer Strategies	X if Applicable	If applicable, indicate A = Available Now D = Will Develop
1. Job Aids: Low tech tools such as check lists, desk manuals, and process maps designed to help people perform a task in real time with minimal to no training.		
2. Process Documentation: A flowchart that captures from beginning to end, how the work is performed. These may take the form of a process map or linear outline and may include deviations from the norm.		
3. Best Practices: Processes and practices that have worked well in other settings that might be transferable. These practices may be identified from meetings, polling employees, or studies.		
4. Job Shadowing: Pair a less experienced employee with a veteran performer who will share knowledge, demonstrate processes, and answer questions.		
5. Document Repositories: May combine both electronic and paper documents and store them in a place that can easily be retrieved and interpreted by others.		
6. Job rotation: A formalized program in which one or more people are assigned to a different role offering exposure to a variety of tasks and responsibilities and an opportunity to increase one's knowledge, responsibility and/or scope.		
7. Skill/Knowledge/Task Inventories: A list of staff members and an assessment of their proficiency on a range of task or skills needed to do the job. Process owners can use the inventory to evaluate individuals and themes that require support.		
8. On the job Training: Instruction takes place at the learner's work station with a focus on teaching skills, procedures, processes with hands-on structured support.		
Action Plan (Keep track of knowledge transfer milestones):		

Sample Template Lessons Learned Focus Group Questionnaire

Date of Focus Group Meeting:

Facilitator:

1. What did we do right?

2. What things seem to matter the most to the stakeholders?

3. What things surprised us that weren't in our succession plan?

4. What things did we anticipate happening that didn't?

5. Where could we improve the process/plan?

6. What mistakes did we successfully avoid making?

7. What did we learn from doing succession planning?

8. What could we automate or simplify that we do repetitively in succession planning?

9. What skills did we learn from this project?

10. What value did we gain from a formal succession planning process?

Sample Template Competency Assessment Profile

Position Title:	Classification / Level:
Agency:	Division / Bureau:
Location:	City, State:

Education (degrees, certifications, licensure):

Work Experiences:

Core Competencies	Technical Competencies
<ul style="list-style-type: none"> ▪ Communication 	<ul style="list-style-type: none"> ▪ Project Management
<ul style="list-style-type: none"> ▪ Strategic Planning 	<ul style="list-style-type: none"> ▪ Policy Development and Analysis
<ul style="list-style-type: none"> ▪ Building Productive Relationships 	<ul style="list-style-type: none"> ▪ Budget and Fiscal Management
<ul style="list-style-type: none"> ▪ Continuously Improving Quality 	<ul style="list-style-type: none"> ▪ Human Resources Management
<ul style="list-style-type: none"> ▪ Developing Self 	<ul style="list-style-type: none"> ▪ Legal Compliance
<ul style="list-style-type: none"> ▪ Focusing on Customers 	<ul style="list-style-type: none"> ▪ Computer Systems & Technology
<ul style="list-style-type: none"> ▪ Valuing Cultural Diversity 	<ul style="list-style-type: none"> ▪ Program Development
<ul style="list-style-type: none"> ▪ Managing Change 	<ul style="list-style-type: none"> ▪ Data Analysis
<ul style="list-style-type: none"> ▪ Developing and Coaching Others 	<ul style="list-style-type: none"> ▪ Grants and Contract Management

**Sample Template
CAREER DEVELOPMENT PLAN**

Employee's Name	Class Title	Employee's Signature /Date
Agency	Employee Number	Supervisor's Signature/Date

Section A: Long Term Goals
What are your long-term goals for employment over the next five years?

1.

2.

What skills and competencies do you need to accomplish these long term goals? How do your goals fit in with future needs and direction of the agency?

Section B: Short Term Goals
What specific goals would you like to accomplish w/in the next year in your current position?

1.

2.

What skills and competencies do you need to accomplish these short term goals?

Section C: Reaching Goals & Timeline
How/when do you plan to reach your goals (classes, training, reading, activities, mentoring, etc.)?

Developmental Needs	Activities	Target Date	Provider/ Source	Competency Developed	Results (Date Completed)
1.					
2.					

Note: Training and development that includes travel expenses is contingent upon the availability of funds and management approval.

