

SUCCESSION PLANNING PLAYBOOK



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Our team would also like to acknowledge the following for their consultation and assistance during our project:

Taylor Brune, MoDOT

Chris Chinn, MDA

Dan Decker, Texas Travel Industry Association

Jennifer Eddy, DNR

Victoria Hillstrom, Lottery Commission

Dennis Hummel, Evolve 24

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Dennis Schulte, MDC

Laura Seabaugh, MoDOT

Melissa Theis, OA

Finally, we would like to extend our gratitude to Drew Erdmann for his support, feedback, and constant challenge to think creatively and strategically about how to best serve our colleagues and citizens of Missouri.

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INTRODUCTION

Welcome to the Succession Planning Playbook. The Playbook will assist and support department leaders in planning for succession in their organization.

With approximately 47% of the state's workforce eligible to retire by fiscal year 2024, Missouri's leaders face an unprecedented challenge. Missouri's executive departments must implement a statewide succession plan to ensure a pipeline of talent is ready to deliver agency strategies and goals and to address the departure of critical institutional knowledge.

This playbook includes information on how to get started with the process and contains the following:

- Succession Planning Processes, Instructions and Templates
- Frequently Asked Questions
- Agenda talking points for a kick-off meeting
- Additional resources

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

Sincerely,

Succession Planning Capstone Team



Capstone Project: Succession Planning

Executive Summary

The State of Missouri faces a management crisis across departments with approximately 47% of managers eligible to retire within the next five years (2020-2024). With these staggering numbers, we need a formal succession planning process based on proven best practices to plan for the future of Missouri state government.

Succession planning is the process of identifying critical positions within each department and developing individuals that are ready to step into those positions. Succession planning ensures a pipeline of talent to deliver agency strategies and goals, and safeguards against the loss of critical institutional knowledge.

Succession planning is inconsistent across Missouri state government. In order to eliminate inconsistencies and better plan for succession, the following best practices are recommended:

- **Identify Critical Positions (Step 1)** – Employ a risk assessment approach to identify positions most in need of succession planning based on their potential to impact business operations and strategic initiatives due to retirement, promotion, or turnover.
- **Identify Critical Success Factors (Step 2)** – Determine what factors are necessary for success in critical positions. Upon completion of this step, leadership will have a clearer picture of the experiences, knowledge, core and technical competencies that will contribute to future success in the position, as well as what knowledge needs to be documented and shared by the incumbent or others in the organization.
- **Assess Leadership Potential (Step 3)** – Use an approach commonly found in succession planning, the Nine Box Grid to evaluate employees' current and prospective roles in the agency, assessing their potential and performance.
- **Develop Leaders (Step 4)** – Outline the Professional Development Plans for employees identified in Step 3 and align development plans with the critical competencies and skills identified in Step 2.
- **Measure, Monitor and Evaluate Success (Step 5)** – Monitor and evaluate the strategies implemented to address succession. It is important to regularly evaluate the succession planning process to ensure effectiveness. We recommend succession planning efforts be measured and monitored quarterly, with an annual larger scale review of progress.

There is no time to lose; almost 25% of leaders across Missouri state government are currently eligible to retire. At any given time and without notice, each of us could face replacing team members in positions that are critical to the daily operations of our organizations. Given this state of urgency, we have developed a playbook with the tools necessary to begin a formal succession planning process as early as tomorrow morning.

WHAT IS SUCCESSION PLANNING?

- Succession planning is the process of identifying high-potential employees, honing their skills and abilities, and preparing them for advancement into positions that are key to the success of business operations and objectives.
- Succession planning is future-focused and supports department leadership to identify the people with the skills and potential to perform in future roles, to strengthen the overall capability of the department, and ultimately, to achieve business goals.
- Succession planning is a process to assist leadership to identify and capture 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 a department, 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 planning is business led and human resources enabled. It is of the utmost importance that the business owners – department executive leaders – own this process and participate actively in the alignment of creating a talent bench for the strategic direction of their organization.
- Succession planning is NOT a guarantee of promotion or advancement, and does NOT replace a competitive hiring process.

WHY SUCCESSION PLANNING IS IMPORTANT TO THE STATE OF MISSOURI

The “Why” for succession planning provides benefits to three key stakeholders:

- Thorough succession planning is good for our **citizens**, in that they do not experience a disruption in services provided by our state. Citizens will benefit from a growing, innovative, and competitive state government.
- Succession planning is an investment in our **employees**. The payoff of robust succession planning is a supply of talent that will continue to strengthen our state enterprise and promote continued growth and transformative change. Succession planning puts the State of Missouri on target for a bright, competitive future.
- Succession planning is good for the **business** of state government. It allows for adaptation to demographic changes and talent scarcity due to known factors in the labor market, such as the “Silver Tsunami” and competitive private sector labor market. The benefits include being able to retain institutional knowledge, identify relevant skills gaps and training needs for state leaders, plan for vacancies in mission critical positions, and boost morale and retention by investing in employees.

HOW TO USE THE SUCCESSION PLANNING PLAYBOOK

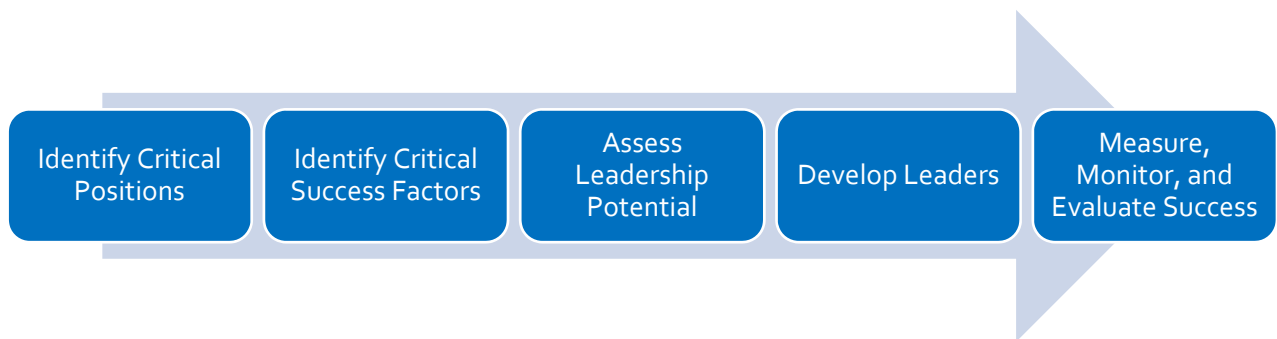
The *Succession Planning Playbook* provides departments with a framework to develop staffing strategies to ensure talent is available for critical positions.

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

1. Identify Critical Positions
2. Identify Critical Success Factors
3. Assess Leadership Potential
4. Develop Leaders
5. Measure, Monitor and Evaluate Success

Prior to beginning the five steps above, it is imperative that executive leadership members establish principles for succession planning and an implementation plan. See Appendix C for recommendations to include in the kick-off meeting. Additionally, departments should establish quarterly meetings to review their progress, which will be further discussed in Step 5.

THE SUCCESSION PLANNING PROCESS



STEP 1: IDENTIFY CRITICAL POSITIONS

PURPOSE:

This step employs a risk assessment approach to identify positions most in need of succession planning based on their potential to impact business operations and strategic initiatives due to retirement, promotion, or turnover.

Leadership has two options when using this form:

- Option 1: Begin with the top 2 to 4 levels in the department. As the succession planning process expands/evolves, use the forms to identify additional positions for succession planning.
- Option 2: Use forms to identify critical positions throughout the organization for succession planning.

RESPONSIBLE PARTY

Executive and/or senior management team

INSTRUCTIONS

Considering the department's strategic initiatives, executive leaders should inventory current positions that, if vacant, would create a disruption in work, service delivery, or critical business operations.

1. Indicate whether the position is vacant or filled.
2. Assess on a scale of 1 (Low) to 3 (High), the impact of the following for that position:
 - a. Urgent Need: How soon will this position be vacant?
 - b. Low External Candidate Availability: How hard will it be to fill this position with a candidate outside of the organization, or outside state government?
 - c. Poor Internal Bench Strength: How long will it take an internal candidate to be prepared to fill this role?
 - d. Strong Impact on Business Needs: If vacant today, how severe is the impact on the daily business of the organization?
 - e. Unique Skill Set or Knowledge Base: Does this role require specialized skills or knowledge?

SUCCESSION PLAN

Step 1

Critical Position Worksheet

Use this form to evaluate the impact each position has in achieving the strategic goals and objectives, as well as the vacancy risk of the incumbent. Also, consider including individual contributor positions that require a particularly unique skillset, are traditionally hard to recruit for or have a high turnover rate.

Position Title:

Position Status: Filled Vacant

Position Impact Rating: **3 - HIGH** **2 - MEDIUM** **1 - LOW**

URGENT NEED:

Based on past conversations and eligibility to retire, indicate how soon you anticipate needing to fill the position.

RATING COMMENTS:

3

Incumbent has reported plans to retire effective 1/1/2021.

LOW EXTERNAL CANDIDATE AVAILABILITY:

Rate how difficult you expect it would be to fill this position with an external candidate. Higher scores indicate greater difficulty in finding external hires.

RATING COMMENTS:

2

Current labor market provides competitive salary and experience opportunities.

POOR INTERNAL BENCH STRENGTH:

Evaluate how long you think it would take for an internal candidate to become ready to fill this position.

RATING COMMENTS:

1

There are several (3) team members that report to the incumbent with the institutional knowledge and experience to transition into the role, though their interest in the position is unknown.

STRONG IMPACT ON BUSINESS NEEDS:

Rate how immediately and severely your business would be affected if this position was made vacant today. Again, higher scores indicate a greater impact.

RATING COMMENTS:

3

This position holds daily decision making authority; vacancy in this position will create substantial delays in product output.

UNIQUE SKILL SET OR KNOWLEDGE BASE:

Evaluate not only the specialized skills needed to be qualified for the position, but also the institutional knowledge that is needed to be successful in this position.

RATING COMMENTS:

2

While "institutional knowledge" is preferable for this position, it is not a must. Some specialized skills required - e.g. project management skills.

STEP 1 SUMMARY: CRITICAL POSITION WORKSHEET SUMMARY

PURPOSE

This step summarizes the Critical Position Worksheets and gives leadership the opportunity to prioritize which positions will have the highest impact on business and strategic initiatives to begin the succession planning process.

RESPONSIBLE PARTY

Executive and/or senior management team.

INSTRUCTIONS

Enter the position titles from each individual Critical Position Worksheet and record the ratings in the respective boxes for each position based upon the individual sheet scoring. The scores are then totaled for each position. The positions with the highest impact score will indicate which roles may be prioritized first for the remaining steps of the succession planning process. Use the last column to indicate which positions are priorities for the succession planning process, with “1” indicating the highest priority.

DEPT NAME

SUCCESSION PLAN

Step 1-Summary

Critical Position Worksheet Summary

Use this form to summarize the ratings of each position on the Critical Position Worksheet, and indicate priorities for succession.

Position Impact Rating: 3 - HIGH

2 - MEDIUM

1 - LOW

Position Title	Urgent Need	Low External Candidate Availability	Poor Internal Bench Strength	Strong Impact on Business	Unique Skill Set or Knowledge Base	TOTAL	PRIORITY
	Based on past conversations and eligibility to retire, indicate how soon you anticipate needing to fill the position.	Rate how difficult you expect it would be to fill this position with an external candidate. Higher scores indicate greater difficulty in finding external hires.	Evaluate how long you think it would take for an internal candidate to become ready to fill this position.	Rate how immediately and severely your business would be affected if this position was made vacant today. Again, higher scores indicate a greater impact.	Evaluate not only the specialized skills needed to be qualified for the position, but also the institutional knowledge that is needed to be successful in this position.		
Operations Manager	3	2	1	3	2	11	1
Fiscal Manager	1	1	1	3	2	8	3
Chief Data Officer	2	1	1	1	2	7	4
Team Leader	3	2	1	1	2	9	2
						0	
						0	
						0	
						0	
						0	
						0	

STEP 2: IDENTIFY CRITICAL SUCCESS FACTORS

PURPOSE

This step identifies the experiences, knowledge, core and technical competencies that will contribute to future success in the position, as well as the knowledge and processes that need to be documented and shared by the incumbent or others in the organization.

RESPONSIBLE PARTY

Supervisor of the position and similar positions for initial assessment and incumbents of the position for documentation purposes.

INSTRUCTIONS

For the priority positions determined in the summary of Step 1, document all education, experiences, key competencies and other factors necessary for success in that position. Additionally, consider what institutional knowledge or relationships within the organization are critical for the success of an employee in that position and how to share this information with potential successors.

SUCCESSION PLAN

Step 2

Critical Success Factor Worksheet

Use this form to identify competencies, skills and institutional knowledge that are critical success factors for each of the positions.

Position Title:

Education:

Work Experiences:

Competencies:

Core

(select 5 or less)

- Communication
- Strategic Planning
- Building Productive Relationships
- Continuously Improving Quality
- Developing Self
- Focusing on Customers
- Valuing Cultural Diversity
- Managing Change
- Developing and Coaching Others

Technical

(select 5 or less)

- Project Management
- Policy Development Analysis
- Budget and Fiscal Management
- Human Resources Management
- Legal Compliance
- Computer Systems & Technology
- Program Development
- Data Analysis
- Grants and Contract Management

Other skills?

What unique institutional knowledge or relationships are inherent to the success of this position?

Who else within the organization has this knowledge?

How critical is it that this knowledge is documented and shared? High Medium Low

Plan for sharing knowledge:

- Process documentation
- Job aids
- Job shadowing
- Mentoring
- Job rotation
- Other:

STEP 3: ASSESS LEADERSHIP POTENTIAL

PURPOSE

This step uses an approach commonly found in succession planning - the Nine Box Grid. Use the Nine Box Grid to assess individuals to determine if they have the performance and potential to step into leadership roles.

RESPONSIBLE PARTY

Incumbents and supervisors of the position with review by executive or senior management team. It is important to use a team approach for this step to maintain consistency and to avoid potential bias.

INSTRUCTIONS

Consider all employees that could be successors for the identified role from Step 1.

Be sure to consider both current performance and future potential when completing this step - the vertical axis indicates the employee's potential for growth and the horizontal axis indicates how that employee is currently performing. The intersection indicates the employee's current status and where additional development may be needed. For rating employees' potential, please refer to the skills, competencies, and education required for the position (Step 2) and consider their prospective abilities in those areas. Also use the Engage 2.0 Growth Model to inform your assessment of both performance and potential. You can have more than one employee in each square.

After plotting employees on the grid, complete the bottom section of the form, indicating the location and name of the incumbent for the considered position. Using the employee names plotted on the Nine Box Grid, indicate who is ready now, ready in 6 to 12 months, ready in 1 to 2 years, or ready in 2 to 3 years. You may have more than one name in these boxes. The employees in the four top right boxes of the grid will generally be included in this section of the form.

SUCCESSION PLAN

Step 3

Leadership Potential / Nine Box Grid

Use this form to assess individuals to determine if they have the performance and potential to step into leadership roles. Plot individuals in the Nine Box Grid according to both their performance and their potential.

Position Title: Operations Manager

Potential / Performance	High Potential	Develop Focus on coaching to develop skills and increase performance. Ensure a solid development plan is in place.	Stretch/Develop A valuable individual. Help him/her increase performance contribution and give greater scope of work. Mary C Jacinda T	Stretch/Promote Future leader of the company. Has mastered current role and is ready for a new challenge, which may include promotion. Retention is critical. Travis T Ashley B
	Medium Potential	Observe Performance needs focus even though the individual shows some potential. Focus on why performance is lower and take action to improve it. Katie T	Develop Give increased responsibility and focus on performance expectations. Stretching assignments and providing a broader scope may challenge this individual to increase performance. Jane D	Stretch/Develop This is a good candidate for growth and development. Focus on developing specific skill gaps. Get this individual ready for a broadened scope of role and new responsibilities. Dan F
	Low Potential	Observe/Exit This individual is not meeting expectations and has limited potential. Focus should be on significant improvement, finding a better fitting role or moving this individual out of the organization.	Observe This individual shows consistent contribution, but has limited potential. Focus on maximizing performance. This may require moving into a different role. Review retention.	Develop This is a strong performer who you may not move into a higher role. Focus on this individual's continued motivation and commitment. Consider using this individual to develop others.
		Does Not Meet Expectations	Meets Expectations	Exceeds Expectations

Location (work)	Incumbent (name)	Replacement Ready Now (names)	Replacement Ready 6 to 12 Months (names)	Replacement Ready 1 to 2 Years (names)	Replacement Ready 2 to 3 Years (names)
Jefferson City, Truman Building	John D	Ashley B Travis T	Mary C Dan F Jacinda T	Jane D	Katie T

STEP 4: DEVELOP LEADERS

PURPOSE

This step outlines the development strategies for individuals identified in Step 3 and should align with the critical experiences, competencies, knowledge, and skills identified in Step 2.

RESPONSIBLE PARTY

Individual, supervisor, mentors, other leadership as appropriate to facilitate development of individuals.

INSTRUCTIONS

Design and implement career development strategies for employees identified in Step 3. Work with the employee(s) to create a career development plan to close the gaps and/or strengthen existing skills and competencies.

It will be helpful to incorporate your ENGAGE 2.0 and Growth Model conversations in this step. Discuss the individual's Growth Model level and how to develop and support them to grow to the next level.

Developing and preparing employees through continued professional development should inspire candidates to become future leaders for the department; however, it does not create a commitment or promise of future advancement opportunities.

In addition to the formal professional development activities listed on the form, other examples of activities include:

- On-the-job training, cross training, and participation in projects
- Participation on teams, task forces, or committees
- Specific MOLearning courses
- Work-related conferences
- Membership affiliation with industry specific associations and societies
- External leadership development programs and training courses

SUCCESSION PLAN

Step 4

Individual Development Plan

This form is used to identify and track individual professional development goals in light of succession needs. Completing professional development goals does not guarantee a promotion nor does it replace the competitive hiring process.

Employee Name Ashley B	Manager or Supervisor Name Gary Johnson
Division Director or Leadership Member Name Gwen Harris	Division or Bureau Licensing

REVIEW PERIOD

Professional Development Plan 0 1 / 0 1 / 2 0 2 0 to 0 1 / 0 1 / 2 0 2 1

Development Plan will be reviewed on 0 4 / 0 1 / 2 0 2 0

FORMAL PROFESSIONAL DEVELOPMENT

Development Goals	Target Date	Provider/Source	Competency Developed	Date Completed	Future Candidate?	Comments
Missouri Way Training				10/16/19	Y <input type="checkbox"/> N <input type="checkbox"/>	
Leadership Academy	12/31/2020	Governor's office	Project mgmt, communication		Y <input checked="" type="checkbox"/> N <input type="checkbox"/>	Nominated for 4th cohort of Gov LA
LEAN/Six Sigma			Black Belt	6/15/2019	Y <input type="checkbox"/> N <input type="checkbox"/>	Serving as department trainer now
360 Assessment				10/16/2019	Y <input type="checkbox"/> N <input type="checkbox"/>	Natural I, adapted S for DISC
Mentor/Coach	07/01/2020	Internal department program	Emotional Intelligence		Y <input checked="" type="checkbox"/> N <input type="checkbox"/>	Need to apply for program
Stretch Assignment	04/01/2020	Other department division	Budgeting, knowledge transfer		Y <input checked="" type="checkbox"/> N <input type="checkbox"/>	Connect with Sarah S for referral
Exposure to legislative session prep work	04/01/2020	Legislative Liason	Budgeting, process knowledge transfer		Y <input type="checkbox"/> N <input type="checkbox"/>	Director to assign specific tasks
					Y <input type="checkbox"/> N <input type="checkbox"/>	
					Y <input type="checkbox"/> N <input type="checkbox"/>	
					Y <input type="checkbox"/> N <input type="checkbox"/>	
					Y <input type="checkbox"/> N <input type="checkbox"/>	
					Y <input type="checkbox"/> N <input type="checkbox"/>	

STEP 5: MEASURE, MONITOR AND EVALUATE SUCCESS

PURPOSE

The final step in the succession planning process is to measure, monitor and evaluate implementation of the process. Regular evaluation of the succession planning process will ensure effectiveness. Succession planning work should be measured and monitored quarterly with an annual larger scale review of progress. Establishing and tracking metrics is a significant part of determining the effectiveness of the succession planning process.

RESPONSIBLE PARTY

The executive leadership team is responsible for identifying the overall succession planning metrics for monitoring the timeline, expected outcomes, and strategies.

INSTRUCTIONS

Establish metrics for the implementation of succession planning and monitor the metrics on a quarterly and annual basis. Use the questions listed in Step 5, Measure, Monitor and Evaluate Success, to help evaluate and monitor progress. In addition, the following outcome metrics can be used as performance measures:

- Critical positions filled from the identified succession planning bench (# and %)
- Management positions filled from the identified succession planning bench (# and %)
- Critical positions with a bench of 2 or 3+ potential successors (# and %)
- Number of succession candidates in the development pipeline
- Time to fill open positions

SUCCESSION PLAN

Step 5

Measure, Monitor and Evaluate Success

Start Date: 01/01/2020

Use this form as a guide to measure, monitor, and evaluate success of the Succession Plan on a quarterly basis. Continuous monitoring will provide necessary information as to whether the Succession Plan is meeting the department's needs.

	Comments
Has the owner of the succession plan process been identified?	Yes. Director of Division of Administrative Services.
Have timelines and deliverables been included?	Partially. Critical positions to be identified by 4/1/20.
Have critical positions been identified?	No, this step is currently in process.
Have detailed success factors for each critical position been identified?	No. Implementation of Step 1 is still underway.
Has the Leadership Potential/Nine Box Grid been completed for each critical position?	No. Implementation of Step 1 is still underway.
Have development plans been completed for each potential successor?	No. Implementation of Step 1 is still underway.
Are leaders held accountable for enabling the process?	Yes. All involved supervisors must report monthly on progress.
Is the department ready to expand succession planning to other positions?	Not at this time.
Is the succession plan aligned with the department's Strategic Plan?	Yes. Please see the workforce objectives on the strategic plan.
Are promoted candidates performing well in their new roles?	n/a
Are performance measures being tracked?	n/a

- **How does Succession Planning coordinate with ENGAGE 2.0?**

Succession planning should be done as a complement and guide to your ENGAGE 2.0 conversations with potential successors. It will help you frame professional development recommendations for potential successors.

- **Is Succession Planning the same thing as Continuity of Operations?**

Continuity of Operations is defined as an effort within individual executive departments to ensure that primary mission essential functions continue to be performed during a wide range of emergencies, including localized acts of nature, accidents and technological or attack-related emergencies. Succession planning is long-term and involves having the right leadership in place at every level of the department.

- **Is Succession Planning the same thing as the new Leadership Development Rule (Management Training Rule)?**

No, succession planning is a different process. But succession planning can help you stay in compliance with the new Leadership Development Rule which includes a requirement that departments provide for the development of employees in supervisory positions, and issue written policies to ensure they design and implement leadership development programs that identify and develop future leaders.

- **Is Succession Planning mandatory?**

While not mandatory, a Level 3 manager in the ENGAGE 2.0 Growth Model is expected to build a pipeline of talent that is ready to step into higher-level roles. The Leadership Development Rule also requires that departments implement leadership development programs that identify and develop future leaders.

- **Who is responsible for keeping the forms?**

Typically, the human resources office in an organization maintains the completed succession planning forms along with other employee documents and files. However, this is not a requirement, and it is up to each department to decide who will maintain the completed forms.

- **Who is responsible for filling out the forms?**

Responsibility for completion of forms varies from senior management to the employee. See instructions for each step above.

- **Why should I fill out all these forms? How is this better?**

Completing the forms will ensure that succession planning is done across state government in a consistent way using best practices.

- **How far down in the organization should we go with Succession Planning?**

While the succession planning steps provided in this playbook can be used at any level, we recommend that you initially plan for succession at the top two to four levels of the department. In addition, Step 1 can be used to identify other critical positions through a risk assessment process.

- **Are Succession Planning forms considered open records and subject to the Sunshine Law?**

It is generally thought that succession planning forms are personnel records and not considered open under the Sunshine Law. However, you should always consult your general counsel for legal questions and advice. Content within this guide may not take into account all relevant department, local, state, and/or federal laws and is not a legal document. Neither the authors nor the State of Missouri will assume any legal liability that may arise from the use of this guide or any of the examples in it.

- **Should we share the Succession Planning forms with potential successors?**

We recommend that Step 3, the Nine Box Grid, be kept as a confidential personnel record. Other forms are, also, not generally shared with potential successors; however, some departments may want to use the Individual Development Plan in Step 4 as part of the ENGAGE 2.0 process.

- **Can we complete the forms online?**

Currently, all forms are available as a fillable PDF. Web-based versions will be available at a later date.

- **Do we have to complete all the steps, or can we just do part of it?**

You should plan to complete all steps. Each step represents an important part of the succession planning process.

- **We already do succession planning. Do we need to change?**

The succession planning steps provided in this playbook can be incorporated into your current succession planning or used to enhance or supplement your current process.

The following pages contain templates for succession planning. The pages are intentionally not numbered so you can edit or customize and extract or print the templates for use.

SUCCESSION PLAN

Step 1

Critical Position Worksheet

Use this form to evaluate the impact each position has in achieving the strategic goals and objectives, as well as the vacancy risk of the incumbent. Also, consider including individual contributor positions that require a particularly unique skillset, are traditionally hard to recruit for or have a high turnover rate.

Position Title:

Position Status: Filled Vacant

Position Impact Rating: 3 - HIGH 2 - MEDIUM 1 - LOW

URGENT NEED:

Based on past conversations and eligibility to retire, indicate how soon you anticipate needing to fill the position.

RATING COMMENTS:

LOW EXTERNAL CANDIDATE AVAILABILITY:

Rate how difficult you expect it would be to fill this position with an external candidate. Higher scores indicate greater difficulty in finding external hires.

RATING COMMENTS:

POOR INTERNAL BENCH STRENGTH:

Evaluate how long you think it would take for an internal candidate to become ready to fill this position.

RATING COMMENTS:

STRONG IMPACT ON BUSINESS NEEDS:

Rate how immediately and severely your business would be affected if this position was made vacant today. Again, higher scores indicate a greater impact.

RATING COMMENTS:

UNIQUE SKILL SET OR KNOWLEDGE BASE:

Evaluate not only the specialized skills needed to be qualified for the position, but also the institutional knowledge that is needed to be successful in this position.

RATING COMMENTS:

SUCCESSION PLAN

Step 1-Summary

Critical Position Worksheet Summary

Use this form to summarize the ratings of each position on the Critical Position Worksheet, and indicate priorities for succession.

Position Impact Rating: 3 - HIGH

2 - MEDIUM

1 - LOW

Position Title	Urgent Need Based on past conversations and eligibility to retire, indicate how soon you anticipate needing to fill the position.	Low External Candidate Availability Rate how difficult you expect it would be to fill this position with an external candidate. Higher scores indicate greater difficulty in finding external hires.	Poor Internal Bench Strength Evaluate how long you think it would take for an internal candidate to become ready to fill this position.	Strong Impact on Business Rate how immediately and severely your business would be affected if this position was made vacant today. Again, higher scores indicate a greater impact.	Unique Skill Set or Knowledge Base Evaluate not only the specialized skills needed to be qualified for the position, but also the institutional knowledge that is needed to be successful in this position.	TOTAL	PRIORITY

SUCCESSION PLAN

Step 2

Critical Success Factor Worksheet

Use this form to identify competencies, skills and institutional knowledge that are critical success factors for each of the positions.

Position Title:

Education:

(degrees, certifications, licensure)

Work Experiences:

Competencies:

Core

(select 5 or less)

- Communication
- Strategic Planning
- Building Productive Relationships
- Continuously Improving Quality
- Developing Self
- Focusing on Customers
- Valuing Cultural Diversity
- Managing Change
- Developing and Coaching Others

Technical

(select 5 or less)

- Project Management
- Policy Development Analysis
- Budget and Fiscal Management
- Human Resources Management
- Legal Compliance
- Computer Systems & Technology
- Program Development
- Data Analysis
- Grants and Contract Management

Other skills?

What unique institutional knowledge or relationships are inherent to the success of this position?

Who else within the organization has this knowledge?

How critical is it that this knowledge is documented and shared?

High

Medium

Low

Plan for sharing knowledge:

- Process documentation
- Job aids
- Job shadowing
- Mentoring
- Job rotation
- Other:

SUCCESSION PLAN

Leadership Potential / Nine Box Grid

Use this form to assess individuals to determine if they have the performance and potential to step into leadership roles. Plot individuals in the Nine Box Grid according to both their performance and their potential.

Position Title: _____

Potential / Performance	High Potential	Develop Focus on coaching to develop skills and increase performance. Ensure a solid development plan is in place.	Stretch/Develop A valuable individual. Help him/her increase performance contribution and give greater scope of work.	Stretch/Promote Future leader of the company. Has mastered current role and is ready for a new challenge, which may include promotion. Retention is critical.
	Medium Potential	Observe Performance needs focus even though the individual shows some potential. Focus on why performance is lower and take action to improve it.	Develop Give increased responsibility and focus on performance expectations. Stretching assignments and providing a broader scope may challenge this individual to increase performance.	Stretch/Develop This is a good candidate for growth and development. Focus on developing specific skill gaps. Get this individual ready for a broadened scope of role and new responsibilities.
	Low Potential	Observe/Exit This individual is not meeting expectations and has limited potential. Focus should be on significant improvement, finding a better fitting role or moving this individual out of the organization.	Observe This individual shows consistent contribution, but has limited potential. Focus on maximizing performance. This may require moving into a different role. Review retention.	Develop This is a strong performer who you may not move into a higher role. Focus on this individual's continued motivation and commitment. Consider using this individual to develop others.
		Does Not Meet Expectations	Meets Expectations	Exceeds Expectations

Location (work)	Incumbent (name)	Replacement Ready Now (names)	Replacement Ready 6 to 12 Months (names)	Replacement Ready 1 to 2 Years (names)	Replacement Ready 2 to 3 Years (names)

SUCCESSION PLAN

Step 5

Measure, Monitor and Evaluate Success

Start Date: ____ / ____ / ____

Use this form as a guide to measure, monitor, and evaluate success of the Succession Plan on a quarterly basis. Continuous monitoring will provide necessary information as to whether the Succession Plan is meeting the department's needs.

	Comments
Has the owner of the succession plan process been identified?	
Have timelines and deliverables been included?	
Have critical positions been identified?	
Have detailed success factors for each critical position been identified?	
Has the Leadership Potential/Nine Box Grid been completed for each critical position?	
Have development plans been completed for each potential successor?	
Are leaders held accountable for enabling the process?	
Is the department ready to expand succession planning to other positions?	
Is the succession plan aligned with the department's Strategic Plan?	
Are promoted candidates performing well in their new roles?	
Are performance measures being tracked?	

The following page contains a template for the succession planning kick-off meeting agenda. The page is intentionally not numbered so you can edit or customize and extract or print the template for use.

SUCCESSION PLAN

Succession Planning Kick-off Meeting

Topics to Consider

- Review of Playbook and forms
- Establish principles for succession planning
 - Examples
 - Succession planning and management is aligned with business plans and broader human resources planning process and linked to performance management; training, learning and development; staffing and recruitment; diversity and employment equity.
 - Succession planning and management extends to all levels: Succession planning and management considers all key areas and positions within an organization: it is not limited to executive-level positions.
 - Succession planning and management is about creating a pool of talent: Planning for current and future needs involves helping employees to develop the skills and competencies to ensure that the organization has a pool of talent for key areas. It is not about identifying individual candidates for specific positions.
 - Succession planning and management is values-based and well communicated: There is collaboration among key players, the process is well communicated and fair, accessible and transparent.
 - Succession planning efforts are monitored, measured and evaluated: Processes are established to monitor performance and progress in achieving the objectives outlined in both the succession plan and employees' development plans.
- Decide on level of transparency
 - How, and to whom, will the process be communicated?
 - Will potential successors know that they have been identified?
 - Will potential successors be identified for specific positions?
- Decide who will oversee the process (person or group)
- Decide who will develop rollout plan
 - Establish deadlines for completion of first round of forms (Step 1 and/or Step 2 at a minimum). For initial implementation, decide whether to start with Step 1, or just go with specific levels/positions (skip Step 1). If skipping Step 1 for initial implementation, set time frame to revisit Step 1.
 - Establish deadlines for initial round of Step 3.
 - Set the schedule to review process/progress (monthly, quarterly).
- Determine performance measures to monitor the process. Suggested measures to consider are:
 - Critical positions filled from the identified succession planning bench (# and %).
 - Management positions filled from the identified succession planning bench (# and %).
 - Critical positions with a bench of 2 or 3+ potential successors (# and %).
 - Number of succession candidates in the development pipeline.
 - Time to fill open positions.

ENGAGE 2.0

MOLEARNING COURSES

[Finding and Retaining High Potentials](#) 1 hr.

[Human Resources: Strategic Workforce Planning](#) 57min, 4 sec

[Succession Planning](#) 50min, 7 sec

[Talent Management](#) 40min, 4 sec

MOLEARNING VIDEOS

[Alternative Approaches to Leadership Succession](#) 3 min, 17 sec

[Building Bench Strength and Succession Plans](#) 3 min, 45 sec

[Establishing Succession Metrics](#) 3 min, 15 sec

[Implement a Succession Plan Process](#) 3 min, 23 sec

[Should Leadership Succession Plans Be Secret?](#) 3 min, 9 sec

[Succession Planning in Small Businesses](#) 2 min, 39 sec

[Using Succession Planning](#) 4 min, 30 sec

[General Electric's Next Great CEO](#)

Government Accountability Office Reports:

[Human Capital: Insights for U.S. Agencies from Other Countries' Succession Planning and Management Initiatives](#)

[Human Capital: Selected Agencies have Opportunities to Enhance Existing Succession Planning and Management Efforts](#)

[Ohio's Talent for Tomorrow and Beyond](#)

[Oregon's Succession Planning Guide](#)

[Partnership for Public Service – Preparing the People Pipeline: A Federal Succession Planning Primer](#)

[Sigma Succession Planning Guide](#)