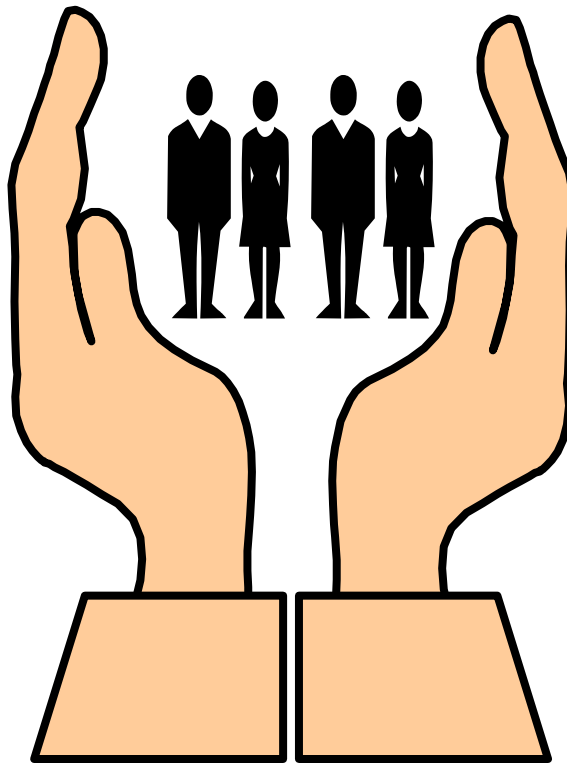


Georgia's Flexible Succession Planning Model

Growing Tomorrow's Leaders Today



GUIDELINES



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Georgia's Flexible Succession Planning Model

Guidelines

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Purpose of Guidelines

The Succession Planning Guidelines were developed as a supplement to the Workforce Planning Planning Guidelines. These guidelines provide managers and Human Resource professionals with a basic framework for developing and implementing succession plans in their respective organizations. The methods presented are based on extensive research and provide agencies with the flexibility to create customized plans to meet their specific needs.

The Georgia Merit System will offer support, tools, and training to help agencies prepare and implement effective succession plans. For more information regarding tools and resources referenced in this document, contact your Workforce Planning Representative. For general information or questions regarding the Succession Planning Guidelines, please contact

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Overview of Succession Planning

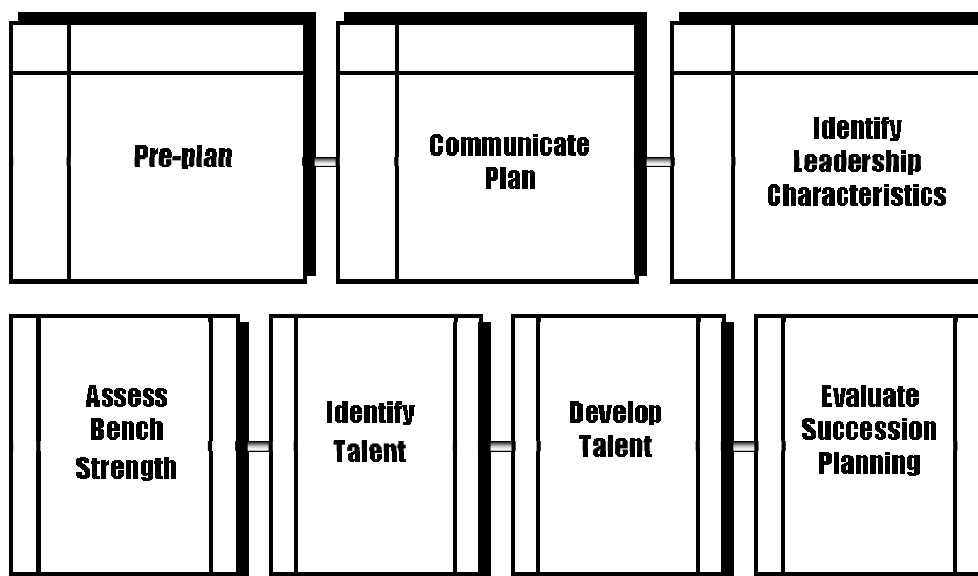
What is Succession Planning?

Succession Planning is an important element of workforce planning. The goal of workforce planning and succession planning is the same – to have the right people in the right place at the right time, but the focus of succession planning is more specific. Succession planning involves having the right leadership in place at every level of the organization. Simply stated, succession planning is a systematic effort and process of identifying and developing candidates for key managerial or professional leadership positions over time in order to ensure the continuity of management and leadership in an organization. Succession planning is accomplished by identifying people with high potential leadership talent and ensuring that they are given work experiences and training to prepare them to assume higher level leadership positions.

Why is Succession Planning Important in Georgia State Government?

There is an increasing challenge for state agencies to retain a workforce that provides quality and cost-effective services to the citizens of Georgia. With 38% of state employees eligible to retire this year 2005, many agencies will soon be confronted with a mass exodus of critical talent. Compounding this issue is the high turnover rate in state government. During FY 2003 and FY 2004, the turnover rate remained at 15%. To this end, it is essential for agencies to begin building a talent pool through training and development that can continue to run and enhance state government. Chart 1 outlines the steps in Georgia's Flexible Succession Planning Model. Each step and the output for each step in the model will be addressed more specifically in the appropriate sections of the guidelines.

Chart 1: Georgia's Flexible Succession Planning Model





Pre-Plan

Pre-planning is a very significant part of the succession planning process. During this step, the 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. Pre-planning also involves laying out the basic design of the program and establishing an Implementation Plan to ensure that the program is carried out effectively.

Method

Create a Succession Planning Team

A succession planning team consisting of human resource staff (HR) and executive level managers should be formed to establish the objectives and design of the program. The role of HR in this process will vary by agency. In some organizations, HR may take on an advisory role, where succession planning expertise is shared with members on the team and input and decisions are made collectively. In other agencies, HR may take a more hands on approach, where the succession planning program is developed by HR and approved by others. In either case, succession planning requires support from senior leadership, and one or more senior leaders should be accountable to oversee its planning and implementation.

Establish Program Objectives

Program objectives describe the purpose of, or what should be achieved by, implementing the succession planning program. When establishing the objectives, the succession planning team should consider the agency's mission, strategic goals, relevant workforce planning data, and the impact that the program will have on current HR practices and initiatives. Diversity efforts should also be incorporated into the objectives of the succession planning program as a means of ensuring that every employee has an equal opportunity for development and advancement. Program objectives should be measurable and used to evaluate the effectiveness of the agency's succession planning efforts (see Appendix A for examples of succession planning measures).

Establish Program Design

The next step in the pre-planning phase is to outline the major steps and methods that will be used to design and implement the program. The Georgia Succession Planning Model and these guidelines provide agencies with a basic framework for establishing a succession planning program. The steps in the model may be modified as necessary. The methods used to carry out these steps will vary based on an agency's needs and available resources.

While not all inclusive, the Decision Guide in Appendix B contains a list of decisions to be made when designing the major components of the program. As with any HR practice that affects one's employment status, the design and implementation of succession planning programs must adhere to current legal requirements. Primary considerations include disparate treatment, job-relatedness, and adverse impact. The processes, methods and tools described in these guidelines are designed to conform to these requirements. Compliance with legal standards, however, depends on specific execution of processes and use of tools. When in doubt, professional consultation and legal advice should be sought to avoid real or perceived employment discrimination against federally - protected groups.

Develop a Workforce Strategy Action Plan

A business or implementation plan is key to transitioning from planning to reality. Once the design and methods are established, a formal plan that identifies specific actions to be taken, persons responsible, and timeframes for completing each step in the succession planning process should be developed. Ancillary or additional information may also be provided as needed. See Appendix C for an example of a Workforce Strategy Action Plan.

Output

A workforce strategy action plan that outlines major action steps, persons responsible, and timeframes for completion of each step in the succession planning process.



Communicate Plan

Buy in at all levels within an agency is critical to implementing an effective succession planning program. In this step, a communication strategy is established to inform stakeholders about the purpose and value of succession planning and the objectives and specific contents of the agency's program.

Method

Determine Goals

Agencies will most likely have multiple communication goals. Important goals include reducing apprehension and fears among staff and influencing them to support and participate in the succession planning program. At a minimum, the agency's communication goals should include ensuring that stakeholders understand the definition of succession planning, the need for succession planning, and how it will be implemented within the organization.

Identify Target Audiences

Once the goals have been established, the next step is to identify target audiences (e.g., HR Professionals, Senior Level Managers, Managers, and Supervisors). It is important to envision each target audiences' perspective and current level of awareness to identify appropriate messages and how to deliver them. It is also important to anticipate key issues or concerns that various stakeholders may have about the program so that appropriate strategies can be formulated. The benefits of the program should also be communicated to each audience to ensure that stakeholders understand "what's in it for them".

Determine Communication Method

Various methods of communication exist in every agency. Therefore, the goal of the communication and targeted audiences should be taken into consideration when selecting the best approach for delivering a specific message. Methods employed may range from educating stakeholders through a series of forums to creating information packets or brochures about the succession planning program. Agencies are encouraged to work with their Marketing or Public Relations Department to create an effective Communication Plan.

Output

A Communication Plan. See Appendix D beginning on page 35 for a sample Communication Plan and related materials.



Identify Leadership Characteristics

Leadership occurs at multiple levels in organizations. The demands placed on leadership are found to be progressively more complex at each higher level in an organization. Different leadership characteristics are thus required in order to meet the demands and achieve success at each level.

In this step, leadership levels and corresponding leadership characteristics are identified. First, the appropriate leadership level is identified for each leadership position. Next, the leadership competencies and results required for success at each level are identified. These characteristics will be used as the basis for determining bench strength (See Assess Bench Strength, page 15) and for assessing, developing, and selecting future leaders.

Leadership Levels

The increasing accountability and the increasing complexity of information, problems, plans, tasks, projects, resources, employee groups, stakeholder groups, and timeframes that must be handled with increasing levels of leadership is described by the scale shown in Table 1. The actual number of *organizational* or *reporting* levels may vary across agencies, but when positions are evaluated using the critical characteristics described in the Table 1, five or fewer *leadership* levels are usually revealed. Only the largest organizations are found to have more than five leadership levels, and those are typically conglomerations or groups of diverse and relatively independent organizations, each with independent mission, goals, objectives, and budgets. In public sector organizations, executive leadership positions at the highest levels are almost always filled through a political appointment or election process. For the majority of agencies, it may be simpler to use a broad classification such as Senior, Mid-Level, and Front-line for the remaining levels of leadership.

Method

Assign Positions to Leadership Levels

Using the accountability and scope of operation descriptions contained in Table 1, each leadership position in the agency should be evaluated based on its responsibilities to determine the appropriate leadership level the position equates to within the organization. Assigning positions to a specific leadership level is a very important process, because later, the characteristics required for

success at each leadership level will be identified, and these will be used to identify and develop future leaders in the agency.

Table 1: Leadership Levels, Accountability, & Scope of Operation

Leadership Levels	Accountability	Scope of Operation
1 Individual Performer	Strict control; no variation, judgment, or decision-making	<ul style="list-style-type: none"> • Takes individual actions to fulfill team responsibilities and work results • Applies standard practices, procedures, and resources assigned by supervisor. • Executes assigned tasks and resolves routine problems. • Affect a few other customers, peers, or stakeholders. • Plans and completes short-term assignments within a 3 month or less time frame.
2 Frontline	Full-performance professional, first-line supervisor; team/project leader. Accountable for results of a single work unit. Instructs others on processes.	<ul style="list-style-type: none"> • Actions and work results affect several employees in a small work team, task force, functional unit, programmatic section, or a small group of customers. • Adapts or modifies standard practices to address exceptions to the rule or uncommon situations. • Applies specialized body of knowledge to improve existing processes, to diagnose and resolve non-routine problems, or to teach and guide others. • Plans and completes short-term projects within a 1 year time frame.
3 Mid-Level	Oversees discrete function or program, multiple work units, or a multi-unit project team. Manages other managers. Creates processes.	<ul style="list-style-type: none"> • Influences the behavior and activities of two or more closely related employee, customer, or stakeholder groups, work teams, programmatic sections, task forces, and/or functional work units. • Develops and implements standard practices and solutions for uncommon, diverse, and complex problems. • Provides expert advice or guidance in specialized technical and professional areas to employees, customers, and stakeholders. • Plans and completes complex projects spanning a 1-2 year time frame.
4 Senior	Integrates or manages a large division, program, function, or major multi-disciplinary project team; May manage small-sized agency.	<ul style="list-style-type: none"> • Actions affect several large, and/or diverse, stakeholder, customer, and employee segments. • Resolves highly complex and far-reaching problems; influences business strategies, allocation of resources, and interactions of multiple work groups, functional units, projects, or programs. • Creates major innovations in operations, services, or products. • Integrates multiple interactive complex plans and initiatives spanning a 2-5 year time frame.
5 and above Executive	Manages entire mid-or large-sized agency or major division of the largest, complex, multi-mission agencies (e.g., DHR, DOL, DNR)	<ul style="list-style-type: none"> • Drives entire organization, agency, or strategic group of businesses. • Actions impact entire stakeholder, customer, and employee populations. • Establishes strategic vision for programs, operations, and initiatives of an entire organization. • Transforms business models, systems, products, services, and customer markets. • Causes overall organizational performance and results realized in the long-term (i.e., 5-10 years in the future).

Top-Down Process

Best practices research has shown that, when implementing succession planning, it is imperative that agencies adopt a top-down process. Initial succession planning efforts should focus on the senior leadership level¹ within the organization, followed by the mid-level, then the front-line leadership level. Attempts to begin succession planning at lower levels are found to result in a lack of commitment at both higher and lower levels, and those attempts typically failed.

Due to the availability of resources and/or retirements, some agencies may find it necessary to target segments of the organization for initial implementation of succession planning. In such cases, the most critical positions at the targeted leadership level should be primary targets. A position is considered critical if it is essential to achieving the organization's mission and/or requires a depth of expertise or specialized knowledge that could make the position difficult to fill from within or outside the agency.

Output

A list of positions, scope of operation, and leadership levels.

Positions, Scope of Operation, & Leadership Levels

Positions	Scope of Operation	Leadership Level
<ul style="list-style-type: none">• Section Manager• Office Manager	2	Front-line
<ul style="list-style-type: none">• Program Manager• Operations Manager	3	Mid-Level
<ul style="list-style-type: none">• Division Director, Administration• Division Director, Finance	4	Senior

NOTE: The scope of operation and leadership levels assigned to the positions in the table above are for illustrative purposes only.

¹ This does not include elected or politically appointed positions.

Leadership Characteristic: Competencies and Proficiency Levels

Competencies are defined as underlying characteristics such as knowledge, skills, abilities, motives, traits, self-concept, and behaviors that allow people to effectively perform in a position. A different set of competencies and/or competency levels is required at each leadership level.

Competencies belong to one of two domains: career specific OR generic. Career specific competencies are often thought of as technical, professional, or managerial competencies, which apply to a particular function or occupational family. Generic competencies are often thought of as behavioral competencies, which apply cross-functionally in multiple occupational settings. Career specific and generic competencies are considered to contribute equally to job success, unless compelling information exists to the contrary.

Competencies have two dimensions related to job success, which can be measured: proficiency and scope. Competency proficiency refers to how much of a competency is needed for successful job performance. For example, in the area of problem-solving a job may require identifying root-causes of complex problems (Level 3 proficiency) instead of creating simple solutions (Level 2 proficiency). Competency proficiency for generic competencies is described and measured by the scales in G-Comps: Georgia's Competency Dictionary for Workforce Planning.

The scope of a competency refers to the effect or impact of the competency that is needed for successful job performance. For example, a job may require solving problems that affect an entire agency (Level 5 scope) instead of solving problems that affect a small group or team (Level 2 scope). This dimension is described and measured for generic competencies by the scales in G-Comps Scope Scales: An Addendum to Georgia's Competency Dictionary for Workforce Planning. Since a position or job is assigned to a leadership level based its responsibilities and scope, the scope for each competency required for job success is automatically identified.

The next step is to identify a set of **career specific** and **generic** competencies and competency proficiency levels that are required for success at each targeted leadership level. These competencies and levels, along with a number of other factors, described in the Assess Talent Section, provide a basis for assessing an individual's potential to take on higher leadership responsibilities. These competencies also provide a basis for acquiring, developing and retaining employees for these leadership positions.

Method

Identifying leadership competencies and proficiency levels is similar to the process for creating a competency model for a related group of jobs outlined in the FY 2003 Strategic Workforce Planning Guidelines². The approach to carrying out this process may vary, depending on the amount of resources that are available and the number of incumbents in leadership positions.

A competency model or list of competencies and proficiency levels should be identified for each leadership level. Agencies are advised to use Georgia's Leadership Competency Models found in Appendix F, which were empirically developed as part of The Leadership Challenge: A Study of Leadership Development Needs in Georgia State Government, November, 2003.

This assessment was very comprehensive in nature and involved almost 400 leaders ranging from front-line supervisors to agency executives throughout state government. With adherence to proper procedures, agencies may customize these models, or they may apply the process outlined in Appendix G to create a new leadership model. Consult with the GMS Workforce Planning Representative assigned to your agency for details or assistance with this process.

Output

A core competency model for each leadership level. See Appendix F for Georgia's Leadership Competency Models. Agencies may customize these models to reflect the competencies and competency levels that are needed for positions within their organization.

Competency models can be documented manually or through automated tools such as SWIFT (Strategic Workforce Tool), CHAMP (Competency-based Hiring, Assessment, and Management Program), or TAP (Talent Assessment Program). For additional information regarding these automated tools, please contact your Georgia Merit System workforce planning representative.

Since competencies will be used to assess, develop, and select individuals, sufficient documentation regarding the process and individuals involved in establishing competency model is needed. See Appendix E for additional details.

² FY 2003 Strategic Workforce Planning Guidelines:
<http://www.gms.state.ga.us/agency/services/wfplanning/stateplan.asp>

Leadership Characteristic: Key Leadership Results

Leadership results are outcomes that leaders must achieve in order for the agency to meet its strategic goals and objectives. Key leadership results are generally applicable across all leadership levels, and they are comparable within leadership levels.

Method

Leadership results may be identified in four specific areas: employee outcomes, process outcomes, customer outcomes, and business results. GMS has established a list of leadership results for each of these areas (see below). Agency leaders should review their strategic goals and objectives and the responsibilities of the positions at each leadership level to determine the results that leaders must achieve in order to be successful in their respective organizations. Keep in mind, results must be measurable and easy to assess.

Output

A list of key leadership results in four specific areas: employee outcomes, process outcomes, customer outcomes, and business outcomes. Since leadership results will be used to assess, develop, and select individuals, sufficient documentation regarding the process and individuals involved in identifying these results is needed (see Appendix E).

Key Leadership Results

Employee Outcomes
<ul style="list-style-type: none">- High Performing Teams- Increased Capability of Others- High Employee Performance Levels- Confidence in Others- Employees that are Inspired to Perform Beyond Normal- More trust from Others- Motivated Employees
Process Outcomes
<ul style="list-style-type: none">- Positive Change- Improved Business Strategies- More Effective Implementation of Change- Innovative Products and Service- Work that is High in Quality- Effective Solutions to Process Problems

Customer Outcomes
<ul style="list-style-type: none">- Increased Customer Satisfaction- Increased Numbers of Customers- Increased Customer Complaints- Increased Customer Retention Rates
Business Results
<ul style="list-style-type: none">- Positive Impact on Business Results- High Value to Achievement of Results- Objectives Under Tough Conditions- Results with Limited Resources- Greater Goal Contribution Levels- Regular Results that Exceed Typical- Goal Completion in Less Time and with Less Cost

Assess Bench Strength

Bench strength is defined as the number of critical leadership positions that have at least one person ready to successfully assume the role and responsibilities of each of these positions. Bench strength assessments can serve as a baseline measure of an organization's ability to fill positions from within. In such cases, organizations evaluate the effectiveness of a succession planning program by comparing the number of positions that have someone ready to successfully move into them before and after implementation of the succession planning program.

Bench strength assessments also allow organizations to identify strengths and vulnerabilities in maintaining leadership continuity and may be used in conjunction with an analysis of future vacancies to identify high priority targets for succession planning. Some agencies may find it beneficial to not only determine the number of employees who are ready now, but those who will be ready to take on the responsibilities of critical positions within a specified period of time (e.g., now, 1-2 years or 3-5 years). Agencies may also choose to list leadership positions that employees are ready to assume. Reviewing managers or managers who are two levels above the targeted position should conduct these assessments.

DO NOT STACK

Something to consider when assessing your bench strength is that an individual can only be assigned as the primary person to one position at any given time. Counting an individual against more than one position is called "stacking". To stack an individual as being deemed ready for more than one position artificially inflates bench strength because a person can only hold one position at a time.

NOTE: The goal of this assessment is not to identify or choose actual successors, but to identify where agency strengths and weaknesses lie. The bench strength assessment described above should be used for planning purposes only. This process should **not** be used to select individuals for positions.

Method

The reviewing manager conducts an assessment of candidates according to pre-established criteria (leadership results, competencies and scope of operation, derailers). Derailers are

characteristics that normal measures – such as coaching, or disciplinary measures or warnings - will not fix. These are characteristics that are disruptive to work & working relationships. This assessment is based on the reviewing manager's best judgment with little or no documentation to support the decision. This assessment is simply a "thumbs-up" or "thumbs down" decision.

Output

A list, which identifies the number of positions, that has at least one person ready to move into them. A Bench Strength Assessment Worksheet has been created to document this information. (See Appendix H.)



Identify Talent

This step involves assessing employees on multiple dimensions and comparing them with successful characteristics that have been determined to be associated with a specific leadership level. The results of these assessments provide useful information regarding employees' potential to take on greater leadership responsibilities and their strengths and areas for development. Employees who demonstrate appropriate competency proficiency and scope levels and a history of getting successful results are identified as having high potential and may be selected to participate in a structured set of activities to rapidly prepare them for higher leadership positions.

Method

Assessment 1: Pre-Screening

Due to limited resources, agencies may not be able to formally assess and prepare every employee for leadership positions. To address this issue, agencies may wish to establish a pre-screening mechanism to determine who will be assessed. Not every employee wishes to move into leadership positions. With this in mind, agencies may choose to establish a method for candidates to express their interest in participating in the talent assessment process. This may include submission of a letter of interest, resume and/or letters of recommendations. (See Appendix H for sample pre-screening materials).

Additional job-related criteria for screening interested candidates may include work experience, performance evaluations, training, education, certifications, awards, etc. Criteria for evaluating these factors should be established and clearly understood by raters and candidates. Keep in mind that the process of identifying those who will be assessed and the assessment process itself are considered selection events. Therefore, assessors should be trained on how to conduct these assessments, which includes rating candidates only on factors that have been observed. Assessments should also be conducted by multiple raters to enhance the validity of the ratings. The assessment process should be based on the Uniform Guidelines* and adhere to relevant employment laws.

Assessment 2: Formal Talent Assessment Process

A person's ability to take on a higher level of leadership responsibility is multi-dimensional; therefore, it cannot be assessed by a single measure. A three-tiered approach to measuring leadership potential involves an individual assessment of: a) competency levels against established

* Uniform Guidelines on Employee Selection Procedures: http://www.dol.gov/dol/allcfr/Title_41/Part_60-3/toc.htm

leadership competency models; b) the scope at which employees are currently operating, and c) leadership results. Although different factors are measured by each of these assessments, combined they provide valuable insight about an employee's capacity to handle the complexities and demands of different leadership levels. The number of individuals selected to participate in the development pool should be determined prior to conducting the formal assessment and will primarily depend on the agency's future leadership needs and availability of resources.

A. Competency Proficiency Assessment

Competency proficiency assessment involves rating the extent to which employees demonstrate core leadership competencies. Once competency models have been established for targeted leadership levels (see Identify Leadership Characteristics section), candidates can be assessed in relation to relevant models. Managers, supervisors, and/or customers through surveys, tests, or interviews can conduct competency assessments. To assist agencies with this process, GMS has developed a Talent Assessment Program, also known as TAP, which can be used to collect competency information from multiple raters. (See Figure 2). In the Talent Assessment Program, scores for each competency are obtained by simply averaging raters' scores for the competency being assessed.

Figure 2: Competency Proficiency Assessment

Rate Individual Competencies

Part 1 Page 1 of 3.

1. Oral Communication

Ability to communicate ideas, thoughts, and facts orally. Speaking using correct grammar, appropriate body language, proper tone and inflection, recognizing non-verbal cues, and respecting the audience to effectively communicate ideas.

2. Written Communications

Ability to communicate ideas, thoughts, facts in writing. Ability/skill in using correct grammar, correct spelling, sentence and document structure, accepted document formatting, and special literary techniques to communicate a message in writing.

3. Customer Service/Client Orientation

Degree to which an employee attempts to, or meets customer expectations. Concern with performing work to a level, which satisfies customer needs. Includes appropriately reacting to customer demands.

Scale: 1= low to 5= highest

Information

1 ☐ Difficulty communicating ideas orally.

2 ☐ Appropriately communicates most ideas.

3 ☐ Effectively communicates thoughts, ideas and facts orally.

4 ☐ Makes compelling oral presentations.

5 ☐ Makes dynamic oral presentations.

1 ☐ Difficulty communicating ideas in writing.

2 ☐ Appropriately communicates most ideas.

3 ☐ Generates compelling written documents.

4 ☐ Effectively communicates ideas and facts.

5 ☐ Generates dynamic wrtitten documents.

1 ☐ Ignores customer requests.

2 ☐ Uses "quick fix" approach.

3 ☐ Meets customer needs.

4 ☐ Goes beyond customer expectations.

5 ☐ Committed to quality service.

B. Scope of Operation Assessment

In this assessment, employees are evaluated on the scope at which they are currently operating. It is assumed that employees who operate at a higher scope than their current leadership level requires (See Identify Leadership Characteristics) have the potential to take on broader responsibilities that are associated with a higher level of leadership. The scope of operation assessments may also be conducted by managers, supervisors, and/or customers. The Talent Assessment Program can be used to assist agencies with this assessment. (See Figure 3.)

Figure 3: Scope of Operation Assessment

Section 2 - Scope Assessment

Items 6 to 6 of 31

Instructions: For each scope item, select the behavior that best describes the person you are rating. Indicate your answer by clicking the circle that is located next to your selection.

6. Scope of Operation - The operational environment and time frame within which one's work results are realized. Refers to the magnitude and complexity of the information, problems, plans, tasks, projects, or resources that are successfully handled by one's work behavior. Includes the scale, impact, and extensiveness of one's results, outcomes, outputs, innovations, solutions, or decisions. Also includes the size, number, and

- ☐ Contributes individually or in cooperation with others.
- ☐ Affects small work team, functional unit, programmatic section or customer group.
- ☐ Influences two or more closely related work teams, functional units, programmatic sections, and/or customer groups.
- ☐ Integrates various functional groups, project teams, or programmatic sections.
- ☐ Drives entire organization, agency, or strategic group of businesses.

[Quit This Survey](#)[Previous Page](#)[Next Page](#)

C. Leadership Results Assessment

Candidates are also rated on the extent to which they have successfully achieved leadership results. In order to assist agencies with this process, the Talent Assessment Program includes a survey, which measures candidates' achievements in four specific areas: employee outcomes, process outcomes, customer outcomes, and business results. (See Figure 4.) These assessments may be conducted by managers, supervisors, and/or customers. A similar process to that which was described to determine candidates' scores for each competency can be used to obtain candidates' scores on each results measure.

Figure 4: Results Assessment Survey

Section 3 - Results Assessment

Items 7 to 31 of 31

Instructions: For each outcome category below, use the scale to the right to rate the person in achieving the listed outcomes. Base your responses on actual results produced by the person you are rating.

1 Most other people are better at this	2 Below average in the bottom 30%	3 Average in the middle of the pack	4 Better than average, in the top 30%	5 Among the best, in the top 10%
--	--	--	--	---

Employee Outcomes

7. High Performing Teams	➡	<input type="text" value="0"/>
8. Increased Capability of Others	➡	<input type="text" value="0"/>
9. High Employee Performance Levels	➡	<input type="text" value="0"/>
10. Confidence in Others	➡	<input type="text" value="0"/>
11. Employees that are Inspired to Perform Beyond Normal	➡	<input type="text" value="0"/>
12. More trust from Others	➡	<input type="text" value="0"/>

Use Tab to control cursor

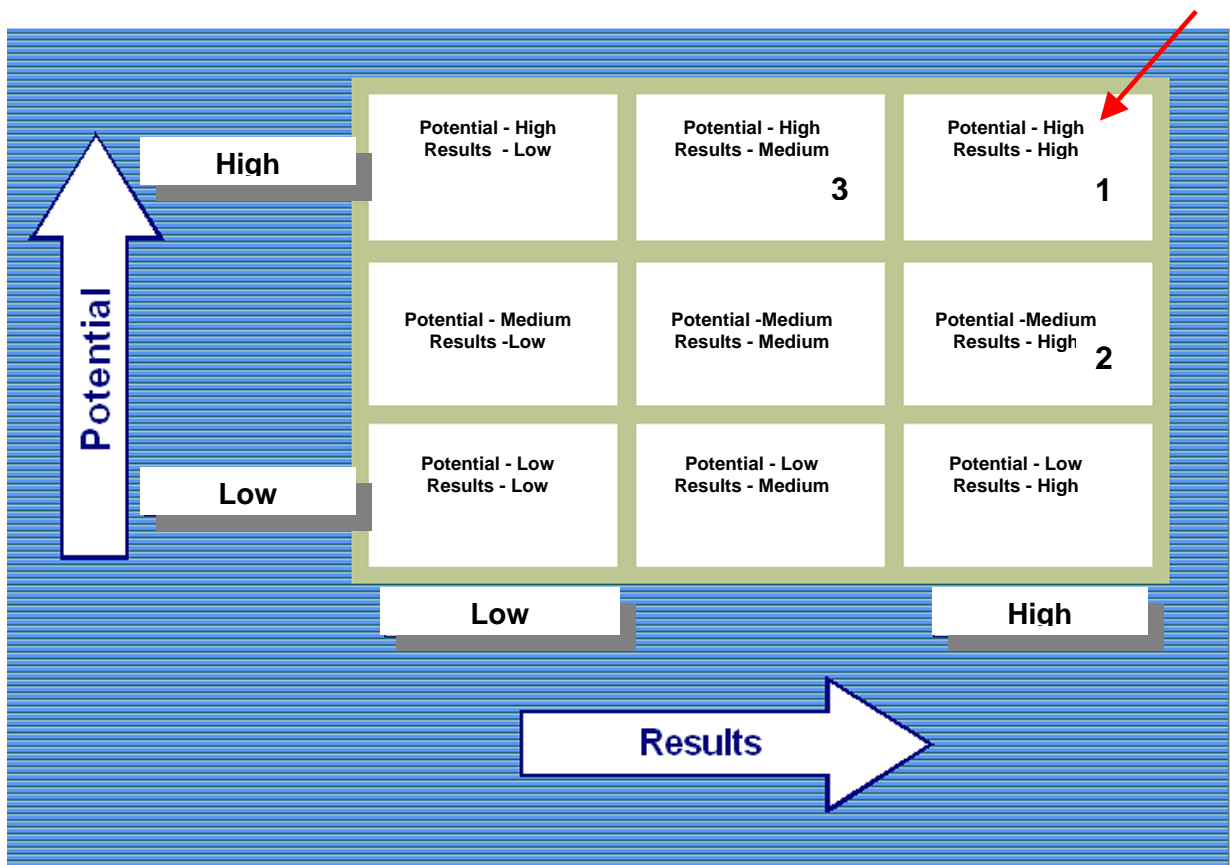
Scroll down after each block of responses are completed.

A Talent Matrix should be created for each leadership level, where employees are placed in one of nine cells based upon their potential score, which is the product of their proficiency and scope of operation score and their results score. The Talent Matrix provides a basis for identifying candidates for entry into the development pool, which is based upon their placement in the matrix. The most effective use of an agency's resources is to focus development efforts on employees who closely match the characteristics that are needed to be successful at the next leadership level.

According to the Talent Matrix these individuals will fall in the upper-right hand cell labeled “high potentials” due to their competency, scope of operation, and results score rank. (See Figure 5.) Depending upon agency resources, it may be feasible to include additional individuals in the development pool. In such cases, it is recommended that agencies **only** consider including in the development pool, individuals that fall into the cell labeled “2”, followed by individuals who fall into the cell labeled “3”. While not in the immediate future, individuals who fall into these cells also demonstrate the capacity to take on higher leadership responsibilities. The Talent Assessment Program automatically creates a Talent Matrix for each leadership level.

Figure 5: Senior Level Talent Matrix

High Potentials



The Talent Assessment Program automatically calculates competency proficiency, results, and scope of operation score for each candidate. The tool also allows provides an option to view a rank-ordered list of candidates' scores for each of these factors. (See Figure 6.)

Figure 6: Leadership Competency Proficiency, Results, and Scope of Operation Scores

Management Level: Senior Leadership				Sort by: <input type="text" value="Scope"/>			
Name	No. Times Assessed	Competency	Rank	Results	Rank	Scope	Rank
<u>Mike Rodriguez</u>	1	4.19	4	3.76	7	4.45	1
<u>Tina Davis</u>	1	3.16	16	4.48	1	4.36	2
<u>Amanda Carter</u>	1	2.59	21	4.08	5	4.36	2
<u>Davis Mitchell</u>	1	4.21	3	3.72	8	4.27	4
<u>Jerry Stephens</u>	1	4.72	2	4.40	2	4.18	5
<u>Cindy Ritter</u>	1	3.14	17	4.16	3	4.00	6
<u>Jimmy Ritch</u>	1	3.29	12	2.88	18	3.73	7
<u>Chris Templeton</u>	1	2.88	20	3.72	8	3.64	8

The succession planning team should have a formal discussion regarding the results of the Talent Matrix and any other relevant criteria in order to establish a list of employees who will enter the development pool.

Output

The output for this step is a list of employees who will enter the development pool.

Develop Talent

In this step, development strategies are outlined for members of the leadership development pool based upon the results of their assessment in the previous step.

Method

Development strategies for each leadership development pool should be based on information gathered during the talent assessment process. Different approaches to development may be necessary to address proficiency or scope of operation issues versus issues related to results. Although many strategies are available to develop employees, the key is to identify the right combination of strategies that prepares them to successfully take on higher leadership roles within the organization.

Major Approaches for Developing Leaders

Four major approaches have been shown to be very effective in developing future leaders: key assignments, formal classroom training, mentoring, and coaching.

Key Assignments

Research has shown that key assignments are the **primary** source for developing future leaders. By taking on challenging projects, individuals are afforded rich learning opportunities to prepare them for leadership responsibilities. Key assignments expose individuals to areas in which they have little or no experience. Assignments may include position rotations, task force memberships, managing a group without direct authority over the group, or taking on roles that involve a higher level of responsibility. Through these assignments, leaders are able to learn by doing and work on real problems within the organization. Since key assignments are performed on the job, they may play a significant role in the leadership development process - particularly for organizations with limited training dollars. By nature, key assignments are few in number. Thus, careful consideration should be given when determining who receives these assignments.

Formal Classroom Training

Classroom training is another method that is often used to develop future leaders. By obtaining formal education, employees can learn basic leadership concepts and theories. Classroom training may also enhance employees' understanding of the importance of leadership competencies and

ways to achieve them. Classroom-type training is most effective when experience sharing and role-playing are critical to the learning process.

Mentoring

Mentoring is defined as accelerated learning that is achieved through the relationship between an employee and a manager at least two levels above the employee. Mentors help employees understand their potential and how it may be applied to achieve full career growth within the organization. The role of the mentor may vary depending on the structure of the mentoring program. In a well-structured mentoring relationship, the mentor acts as an advisor and plays a critical role in guiding and supporting the employee's growth and development. As with key assignments, mentors are typically few in number and should be assigned to individuals with the greatest potential.

Coaching/Feedback

Coaching involves observing an employee at work and providing feedback to enhance performance. It is typically performed by the employee's direct manager and centers on specific outcomes that can be attained in a relatively short period of time. Coaches focus on a specific set of problems, or the "results of the position," exploring solutions and opportunities for the employee to use.

Keep in mind that development strategies **should not be identified or implemented haphazardly**. Instead, they should be structured and carefully orchestrated to create optimal learning experiences. (See Appendix J.) Development strategies should be identified for the entire pool based on commonalities in strengths and growth needs found within each leadership pool. Strategies should also be tailored to meet individual needs. An Individual Development Plan or IDP (see Appendix K), which contains a customized set of structured activities, should be created for each member in the pool. These activities may also include a common set of strategies that every participant in a specific leadership pool must engage in.

Output

The outputs for this step are a list of leadership development activities and an Individual Development Plan for each member in the development pool. GMS has created a Development Guide which contains suggested activities and training for developing the 32 competencies listed in G-Comps: Georgia's Competency Dictionary for Workforce Planning.

Evaluate Succession Planning

This step involves measuring the impact of the succession planning program upon established objectives. After sufficient time following implementation, program processes and results should be periodically reviewed to assess whether program objectives have been achieved and to identify areas for improvement. Once the evaluation has been completed, modifications to the program should be made as appropriate.

Method

There are many approaches to program evaluation, which vary in complexity. Measures used to evaluate the effectiveness of programs may range from simple methods such as an assessment of stakeholder satisfaction to more sophisticated processes, such as a return on investment or cost-benefit analysis. The evaluation of the program may be conducted by the succession planning team or an independent team with program evaluation experience.

A measure for evaluating the effectiveness of succession planning has been incorporated into the Georgia Succession Planning Model – Assess Bench Strength Section. In this step, the number of critical leadership positions that have at least one person ready to assume the roles and responsibilities of these positions are identified before implementing the succession planning program. Once the program has been up and running for a sufficient amount of time, readiness assessments are conducted again to determine if the number of positions with someone ready to move into these positions has increased (see Appendix A for additional succession planning measures).

Keep in mind that evaluation will involve less work if measures and measurement processes are identified during the Pre-Planning Phase of the succession planning process.

Output

The output for this step is a summary of the effectiveness of the succession planning program which includes recommendations for improvement.

Appendix A

Succession Planning Measures

Succession Planning Measures

Program Objectives

- One or more well-qualified internal candidates are prepared and ready to assume each key leadership positions (same as Bench Strength)
- A record of successful promotions (or lateral placements); few people fail
- Few superior performers leave the organization because of lack of opportunity or lack of development
- Turnover rates for high potentials and high performing employees

Additional Measures

- How well does succession planning match up to individual career plans?
- How satisfied is targeted staff with each program component?
- How satisfied with the succession planning program are its chief clients?
- How well are individuals progressing through their developmental experiences in preparation for future advancement into key leadership positions?
- How well is each part of the succession planning program working compared to its stated objectives?
- What savings, if any, can be demonstrated from not filling key positions for which alternate and more innovative approaches were used to maintain equivalent results?
- How quickly are internal replacements for key leadership positions able to perform at the level required for the organization?
- What percentage of vacancies in key leadership positions is the organization able to fill successfully (without avoidable turnover in the first two years in the position)?
- How quickly is the organization able to fill vacancies in key leadership positions?
- What percentages of vacancies in key positions is the organization able to fill internally?
- What organizational successes and failures, if any, can be attributed solely to succession planning?
- How is succession planning contributing to documentable organization results?

Appendix B

Decision Guide

Decision Guide

Associated Action Steps	Decisions	Considerations
Pre-plan	<p>Who will serve on succession planning steering committee?</p> <p>_____</p> <p>Basic timelines</p> <p>_____</p>	<ul style="list-style-type: none"> Internal Confidentiality Known best practices Multiple perspectives are needed Program design expertise <p>_____</p> <ul style="list-style-type: none"> Time vs. Resources- The shorter the time, the greater the needed resources <p>_____</p>
Communicate	<p>Who will facilitate and serve on communications team?</p> <p>_____</p> <p>Will the succession candidates know they are in the succession pool? OR, will only the succession planning steering committee have access to that information?</p> <p>_____</p>	<ul style="list-style-type: none"> Public relations experts, technical experts, and marketing experts needed <p>_____</p> <ul style="list-style-type: none"> Internal confidentiality Halo effect Low morale issues for those not selected for succession pool Management appears “sneaky” if information remains confidential <p>_____</p>
Identify Leadership Characteristics	<p>Determine Subject Matter Experts (i.e., supervisors and/or incumbents) for selected management level (i.e., executive leadership) to profile.</p> <p>_____</p> <p>Determine approach for profiling:</p> <ul style="list-style-type: none"> Survey Focus Group Interviews Hybrid <p>_____</p> <p>How will leadership results be defined?</p> <p>_____</p> <p>How will competencies and candidates be collected and tracked?</p> <p>_____</p>	<ul style="list-style-type: none"> Involvement of incumbents would satisfy the Uniform Guidelines on Selection Procedures Does your organization want supervisors as Subject Matter Experts? Supervisors may have a different perspective Interviews: internal confidentiality <p>_____</p> <ul style="list-style-type: none"> Survey & Focus Groups: 50% accuracy Interviews & Focus Groups: 50%-90% accuracy Interviews: internal confidentiality; resource and time intensive; training your own people to conduct the interviews <p>_____</p> <ul style="list-style-type: none"> Did results from any projects impact team goals and strategies? Divisional? Organizational? Statewide? <p>_____</p> <ul style="list-style-type: none"> Who will maintain the information? Who will have access to the information? Will software be compatible with other widely used software? Will software be developed in-house or purchased? How will the transfer of information (knowledge management) be handled? <p>_____</p>
Assess Bench Strength	<p>How will the agency define who is “ready” now? Will the agency also identify who will be ready in 1-2 years and/or 3-5 years?</p> <p>_____</p> <p>Determine approach for assessing bench strength</p> <ul style="list-style-type: none"> Will employees be assessed against all competency models in G-Comps? Will employees be assessed against identified leadership competencies and selected, relevant competencies for certain positions? Will agency use a global assessment in identifying bench strength? 	<ul style="list-style-type: none"> Current possession of all leadership characteristics (or within 6 - 9 months) Varied percentages of leadership characteristics (e.g. 100% scope of operation demonstrated, 80% competencies and leadership results within 6 months) <p>_____</p> <ul style="list-style-type: none"> Size of agency Desired level of rigor Time and resources to devote to a more rigorous process Lack of credibility in a less rigorous assessment

Associated Action Steps	Decisions	Considerations
Assess Bench Strength (Continued)	Evaluate the criteria for determining bench strength	<ul style="list-style-type: none"> Pre-determined percentage range for adequate bench strength (i.e. At least 3 different people are currently ready to move into 3 different positions out of 5 available positions—or 60% bench strength.)
Identify Talent	<p>Who will conduct or facilitate assessments?</p> <p>Determine approach for assessing candidates:</p> <ul style="list-style-type: none"> Multi-rater survey Global assessment (e.g., focus group) Interviews Hybrid <p>Frequency of talent pool identification</p> <p>Will entrance into the program begin with self-nomination? OR, will management select succession candidates?</p>	<ul style="list-style-type: none"> Internal Confidentiality Multi-rater surveys: 50% accuracy Interviews & Focus Groups: 50%-90% accuracy Interviews: internal confidentiality; resource and time intensive; training your own people to conduct the interviews; too many incumbents to interview The number of people in the pool How frequently will people be added to the pool? Real time update of competency evaluation vs. annual update of competency evaluation Required resources Low morale issues for those not selected for succession pool Management appears “sneaky” if selection process remains confidential Possibly large numbers of employee self-nominations Perceptions of management having a “chosen few”
Develop Talent	<p>Who will facilitate and serve on developmental strategy team?</p> <p>Develop succession candidates</p>	<ul style="list-style-type: none"> Known best practices Need a structured set of developmental activities Need multiple developmental strategies Should everyone go through the same developmental strategies? OR, will developmental strategies be customized based on individual gaps? (Structured, sequential activities vs. cafeteria-style activities; also allows people to “test out” if proficient) How will annual competency updates be obtained?
Evaluate Succession Planning	<p>Who will serve on the program's evaluation team?</p> <p>How will the succession planning program be measured (i.e., process and outcome measures)?</p>	<ul style="list-style-type: none"> Pre and post measurements? Or, post measurements only? Multiple perspectives are needed Some instruments/tools may be needed Who has access to measures? Who has expertise in creating/ collecting measures? How many people have been promoted as a result of their being a part of this succession pool? How many people received a favorable appraisal/feedback after 6 months in their new positions? After 12 months?

Appendix C

Sample Workforce Strategy Action Plan

Sample Workforce Strategy Action Plan

What is the HR strategy?

Succession Planning

What is the problem?

Fifty-four (54%) percent of our senior managers and sixty-seven (67%) percent of our mid-level managers will be at-risk for retirement by FY 2006

What critical positions in the workforce plan are or will be affected by this problem?

Senior and Mid-Level Managers

Which agency programs are or will be affected if this problem is not addressed? Describe the impact. How will program goals, results measures, and performance measures be affected?

The Business Financial Protection Program and the Business Investment Program will be greatly impacted by retirements in key leadership positions. These positions provide strategic direction and oversight to program areas that forecast Georgia's financial and business needs. Through years of experience in our agency, individuals in these key positions gained great insight about the unique business climate in Georgia. This critical knowledge and leadership help sustain Georgia's existing companies and attract new businesses to our state, thus it has a direct impact on a key result of this program. If we do not begin work now to ensure that effective leaders are in place to assume these key roles, Georgia's ability to attract and retain new business and jobs may become weakened in years to come.

What is the objective of the strategy?

To have one or more qualified internal candidates prepared to assume each key leadership position.

How will success be measured?

The number of qualified internal candidates prepared to assume each leadership position.

What are the primary action steps?

Succession Planning:

Action, Persons Responsible, Projected Completion Date, and Progress/Updates

Step 1:

Preplan:

Identify succession planning team members, determine methods for establishing competency profiles, employee assessments, development and evaluating succession planning program

Persons Responsible

Succession Planning Team

Projected Completion Date

3/1/XX

Progress/Update

Completed – Identified team. Conducted a series of meeting to establish methods for administering and evaluating the program

Step 2:

Communicates Plan:

Develop a communications strategy, which describes when and how the program will be unveiled

Persons Responsible

Marketing/Public Relations Team

Projected Completion Date

5/12/XX

Progress/Update

Completed – Developed a communication plan and materials that are targeted towards each stakeholder group

Step 3:

Identify Leader Characteristics:

Identify Leadership positions and competencies

Persons Responsible

Executive Team/HR Staff

Projected Completion Date

6/12/XX

Progress/Update

Meeting scheduled for 5/28/XX to identify leadership results and competencies for senior leadership positions. Meeting scheduled for 6/3/XX to identify leadership competencies for mid-level leadership positions.

Step 4:

Assess Bench Strength:

Determine the # of people who are able and ready to assume each critical leadership position

Persons Responsible

Executive Team

Projected Completion Date

8/15/XX

Progress/Update

Step 5:

Assess Talent:

Collect and evaluate assessment data, identify members of succession pool

Persons Responsible

HR Staff/Line Managers

Projected Completion Date

9/12/XX

Progress/Update

Step 6:

Develop Talent:

Determine set of developmental activities, track progress

Persons Responsible

Executive Team/HR Staff

Projected Completion Date

9/12/XX

Progress/Update

Step 7:

Evaluate Succession Planning: Examine competency improvements. Measure employee perceptions

Persons Responsible Executive Team/HR Staff

Projected Completion Date 4/2/XX

Progress/Update

Appendix D

Sample Communication Materials

Sample Communication Materials

COMMUNICATION PLAN

The communication plan provides a comprehensive framework for actions that will support the implementation of our succession planning efforts. The communication plan will confirm target audiences and best approaches to inform and engage all stakeholders in the program.

The primary objective of the Succession Planning program is to ensure that effective leadership exists in our organization for years to come. The succession planning process will help us to identify individuals with talent, and ensure that they are given the experience and training to prepare them to take on greater leadership responsibilities.

Targeted Audiences (Stakeholders):

- Senior Leadership
- HR Professionals
- Managers and Supervisors
- Employees

Communication Goals:

1. Inform targeted audiences of the purpose and objectives of the succession planning program in general and about the specific contents of the agency's succession plan.
2. Gain the support and participation of the targeted audience.
3. Coordinate information about the program in an effective and timely manner.

Key Communication Objectives:

1. Increase stakeholder awareness of succession planning:
 - A. Inform stakeholders of the succession planning initiative.
 - B. Define succession planning and address the need for it and its purpose.
 - C. Educate employees on guidelines of the succession planning & management program and eligibility requirements for potential succession pool candidates:
 - D. Provide an overview of the agency's customized approach to succession planning.
 - E. Relay how potential candidates will be identified and assessed for entry into the pool.
2. Inform employees that membership in the succession pool does not guarantee promotion for succession planning pool participants:
 - A. Explain to all stakeholders the difference between succession planning and pre-selection.

- B. Relay to stakeholders that promotions will not be restricted to only those individuals selected to participate in the structured development activities for succession planning.
- C. Educate stakeholders on the process by which participants will enter the development pool and considered for promotion to key position vacancies. Also, educate stakeholders regarding expectations in completing development activities.

Action Steps for Senior Leadership Communications

Date	Activity	Purpose	Responsible Persons
1/6/XX	Establish Communication Plan	Ensure effective implementation of succession planning program	John Dixon, Jessie Walker, Lisa Johnson
2/15/XX	Finalize Communication Plan	Ensure effective implementation of succession planning program	John Dixon, Jessie Walker, Lisa Johnson
2/28/XX	Begin developing "Overview of Succession Planning" Presentation	Get buy-in and support for succession planning program	Marie Parker, Aaron Harris
3/20/XX	Draft memo to senior leadership team	Announce the succession planning program and upcoming presentation	Janice May, Michael Grayson
4/1/XX	Send memo to senior leadership team	Announce the succession planning program and upcoming presentation	Janice May
5/4/XX	Present "Overview of Succession Planning"	Get buy-in and support for succession planning program	Marie Parker, Aaron Harris
8/15/XX	Prepare 3-month progress report	Provide status update and maintain support for the program	John Dixon, Lisa Johnson
8/30/XX	Distribute report	Provide status update and maintain support for the program	John Dixon
10/15/XX	Develop communication evaluation form	Identify opportunities for improvement	Jessie Walker, Janice May
11/15/XX	Prepare for formal meeting (6-month progress report)	Provide status update and maintain support for the program	John Dixon, Jessie Walker, Lisa Johnson, Aaron Harris, Marie Parker, Janice May
11/30/XX	Formal Meeting	Provide status update, maintain support for the program, identify areas for improved communications	Marie Parker, Aaron Harris
12/18/XX	Review evaluations and provide recommendations	Identify opportunities for improvement	Jessie Walker, Janice May
2/15/XX	Prepare 9-month progress report	Provide status update and maintain support for the program	John Dixon, Lisa Johnson
2/28/XX	Distribute report	Provide status update and maintain support for the program	John Dixon
5/15/XX	Prepare for formal meeting (12-month progress report)	Provide status update and maintain support for the program	John Dixon, Jessie Walker, Lisa Johnson, Aaron Harris, Marie Parker, Janice May
5/30/XX	Formal Meeting	Provide status update, maintain support for the program, identify areas for improved communications	Marie Parker, Aaron Harris
6/18/XX	Review evaluations and provide recommendations	Identify opportunities for improvement	Jessie Walker, Janice May

Evaluation Criteria

Of people attending forums

Of hits on succession planning portion of the agency's intranet

Survey targeted audiences

Communications Team (Contacts)

John Dixon
404-612-0989, jdixon@dept.org
Jessie Walker
404-612-7654, jwalker@dept.org
Lisa Johnson
404-612-7493, ljohnson@dept.org

Aaron Harris
404-612-1245, aharris@dept.org
Marie Parker
404-612-5673, mparker@dept.org
Janice May
404-612-7689, jmay@dept.org

Sample Communication Materials

MEMO

Department of ABC

433 West Avenue

Atlanta, Georgia 30012

MEMORANDUM

TO: Division Directors

FROM: Teresa L. Harrison ^{TLH}
Commissioner

DATE: February 1, XXXX

SUBJECT: *Succession Planning Initiative*

The agency is pleased to announce the kick-off of our succession planning program. With the upcoming retirement wave of baby boomers, this new program will ensure the continuity of leadership in our organization. Maintaining critical leadership talent will be central to our future success.

Our agency has adopted a best practice approach to implementing succession planning, where our initial efforts will focus on senior and mid-level leadership positions. Specifically, we will begin by preparing interested and qualified mid-level managers for the senior leadership level. In the coming weeks, our succession planning team will provide an overview of our agency's approach to succession planning along with the program's guidelines and eligibility requirements.

Your participation in this initiative is vital to maintaining our high quality of leadership. Not only will you help our agency continue providing high quality services to our citizens, but also *you* will play a key role in shaping the future of our organization.

Thank you for your continued dedication and excellence in serving the citizens of Georgia. I sincerely hope that you consider this wonderful opportunity.

TLH:mp

cc: Deputy Commissioner
Succession Planning Program Chairperson

Sample Communication Materials

AGENDA

Senior Leadership Team Meeting

March 4, XXXX

10:00 – 10:10	Welcome Succession Planning Committee Chairperson
10:10 – 10:30	Remarks Agency Commissioner
10:30 – 11:15	Presentation: Succession Planning Program Speaker(s): Succession Planning Chairperson(s) <ul style="list-style-type: none">• What is succession planning?• Why is succession planning important?• What's our approach to succession planning? Our guidelines?• What will be your role in succession planning?• What's in it for you?• Wrap – up
11:15 – 11:30	Questions & Closing

Appendix E

Leadership Characteristic Documentation Sheets

Leadership Characteristic: Scope of Operation Documentation Sheet

Please circle the targeted

Leadership Level: _____

Front-line

~~Mid-level~~

Senior

Date: 2/10/XXXX

Name	Title	Yrs as Incumbent/ Supervisor	Field of Expertise	Gender	Age	Ethnicity
John Doe	Accounting Director	5	Accounting	M	35	White
Marie Fernandez	HR Director	3	Human Resources	F	41	Hispanic
James Livingston	Accounting Manager	2	Accounting	M	50	Black

Total Subject Matter Experts: 3

Decision Rule Used (e.g. majority, consensus, etc.): majority

Notes:

Leadership Characteristic: Competency Documentation Sheet

Please circle the targeted

Leadership Level: _____

Front-line

Mid-level

Senior

Date: 2/17/XXXX

Name	Title	Yrs as Incumbent/ Supervisor	Field of Expertise	Gender	Age	Ethnicity
John Doe	Accounting Director	5	Accounting	M	35	White
Marie Fernandez	HR Director	3	Human Resources	F	41	Hispanic
James Livingston	Accounting Manager	2	Accounting	M	50	Black

Total Subject Matter Experts:

3

Decision Rule Used (e.g. majority, consensus, etc.): majority

Notes:

Leadership Characteristic: Leadership Results Documentation Sheet

Date: 2/17/XXXX

Name	Title	Yrs as Incumbent/ Supervisor	Field of Expertise	Gender	Age	Ethnicity
John Doe	Accounting Director	5	Accounting	M	35	White
Marie Fernandez	HR Director	3	Human Resources	F	41	Hispanic
James Livingston	Accounting Manager	2	Accounting	M	50	Black

Total Subject Matter Experts: 3

Decision Rule Used (e.g. majority, consensus, etc.): majority

Notes:

Appendix F

Georgia's Leadership Competency Models

Leadership Competency Model

Front-Line Manager

Based on GMS Training and Organization Development Statewide Leadership Learning Needs Assessment. Competencies and Levels have been adapted for G-Comps: Georgia's Competency Dictionary.

COMPETENCY	PROFICIENCY LEVEL
Conflict Management Ability to effectively resolve disputes among others. Manages disagreements. Methods and style of dealing with disagreements. Requires the ability to remain impartial and unbiased.	Level 4: Facilitates to resolve disputes. Successfully facilitates among others to resolve disputes. Defuses situations before they escalate uncontrollably. Maintains composure when faced with escalating conflict.
Customer Service / Client Orientation Degree to which an employee attempts to, or meets customer expectations. Concern with performing work to a level, which satisfies customer needs. Includes appropriately reacting to customer demands.	Level 3: Meets customer needs. Sufficiently works and communicates to meet clients' needs. Works to understand nature of problem before taking action. Follows-up to assure customer satisfaction.
Diversity Management Ability to work harmoniously with others in an environment where diverse cultures, religions, philosophies, genders, and races exist.	Level 3: Works well with diverse workforce. Works well with individuals from diverse backgrounds. Understands the value of diversity in the workplace. Respectful of coworkers' rights to be different.
Human Resource Management The effective distribution of employee assignments with respect to ability and overall goals. Management of influences which effect performance and motivation.	Level 3: Appropriately delegates tasks. Appropriately delegates tasks by considering employee ability. Evaluates and provides feedback on performance. Employs tracking mechanisms to assure attainment of overall goals. Uses rewards to improve performance.
Interpersonal Skills (Working With Others) Extent to which an individual gets along and interacts positively with co-workers. Degree and style of understanding and relating to others.	Level 3: Respectful and considerate. Utilizes multiple approaches in dealing with others. Respectful and considerate of others' point of view. Objective doesn't interact using a hidden agenda.
Leadership Ability to effectively manage and guide group efforts. Includes providing appropriate level of feedback concerning group progress.	Level 3: Effectively sets goals and direction. Provides constructive criticism. Provides explanations to minimize confusion. Seeks opportunities to motivate others.
Negotiation and Influence The ability to facilitate positive dialogue between others with the goal of resolving differences and reaching compromises. Working cooperatively with others to resolve issues, which impede organizational or personal success.	Level 3: Uses give and take. Works to resolve issues using give and take. Reaches compromises through free and open communication. Persuades through appeals to others' sense of right and wrong.
Self-Management The extent to which one plans, prioritizes, sets goals, establishes standards, coordinates tasks, shows concern for deadlines, and tracks progress with respect to personal performance.	Level 3: Prioritizes tasks. Prioritizes tasks with respect to importance and time available. Uses realistic estimates in creating timelines for project completion. Categorizes tasks to increase efficiency. Takes steps to improve methods or procedures in order to increase productivity.
Teaching Others Overall concern for the developmental level of an individual or group. Takes steps to explain and provide guidance.	Level 3: Concerned for the development of others. Identifies need for training and coaching. Provides instruction to promote others' development. Offers constructive feedback about errors.
Teamwork Ability to effectively work and complete assignments in-group settings. Works cooperatively with others to achieve common goals.	Level 4: Encourages team members. Identifies needs and provides assistance to team members. Conducts team-building exercises. Involves everyone on the team.

Career Specific Expertise

Extent to which an individual possesses and applies job-related knowledge in the completion of work tasks and activities. Includes knowledge gained through formal and informal education or training.

Level 3: Proficient knowledge. Has proficient knowledge and abilities required for the job. Independently applies skills in completing job tasks. Stays current on new information, which applies to job. Demonstrates a depth of knowledge within a specific area.

Leadership Competency Model

Mid-Level Manager

Based on GMS Training and Organization Development Statewide Leadership Learning Needs Assessment. Competencies and Levels have been adapted for G-Comps: Georgia's Competency Dictionary.

COMPETENCY	PROFICIENCY LEVEL
Conflict Management Ability to effectively resolve disputes among others. Manages disagreements. Methods and style of dealing with disagreements. Requires the ability to remain impartial and unbiased.	Level 3: Listens to all sides. Listens to all sides before offering suggestions. Remains impartial, doesn't allow personal bias to interfere. Remains calm and present balanced opinions and alternatives.
Decisiveness Ability to work harmoniously with others in an environment where diverse cultures, religions, philosophies, genders, and races exist.	Level 4: Makes well-informed decisions. Makes well-informed decisions utilizing multiple sources of information. Weighs risk against possible gain. Persists with decisions unless reliable and credible information is offered.
Diversity Management Ability to work harmoniously with others in an environment where diverse cultures, religions, philosophies, genders, and races exist.	Level 4: Respects and appreciates similarities and differences. Demonstrates model behavior for working with diverse populations. Respects and appreciates the similarities and differences among coworkers. Relates to others based on their job performance.
Flexibility Degree to which an individual accepts change in job requirements, schedules, or work environments.	Level 4: Willing and open to change. Accepts change as part of job. Develops new procedures in response to change. Maintains productivity when implementing new or altered procedures. Adjusts schedules and timelines to accomplish goals and objectives in response to change.
Human Resource Management The effective distribution of employee assignments with respect to ability and overall goals. Management of influences which effect performance and motivation.	Level 4: Assess staff abilities when assigning/delegating tasks. Utilizes reinforcement strategies. Implements comprehensive staff-development strategies.
Leadership Ability to effectively manage and guide group efforts. Includes providing appropriate level of feedback concerning group progress.	Level 4: Provides guidance to groups, team members, or other employees. Establishes mentoring relationships. Uses multiple leadership styles depending on situation. Takes an active role in developing motivational strategies.
Manages Resources Ability to appropriately allocate a variety of resources, which may include, materials, money, facilities, and equipment. Requires the ability to assess needs and track progress.	Level 4: Resource allocation determined by analysis. Performs analysis to determine proper allocation of resources. Continually monitors resource needs in relationship to overall goals.
Negotiation and Influence The ability to facilitate positive dialogue between others with the goal of resolving differences and reaching compromises. Working cooperatively with others to resolve issues, which impede organizational or personal success.	Level 3: Uses give and take. Works to resolve issues using give and take. Reaches compromises through free and open communication. Persuades through appeals to others' sense of right and wrong.
Planning and Evaluation The concurrent management of projects, time, self, and other resources including prioritizing, planning, goal setting, and coordinating with respect to goals and objectives. Ability to create and follow a set path in order to achieve a goal. Ability to determine the effectiveness of a given plan.	Level 4: Coordinates plans for multiple projects. Uses systems to coordinate many projects. Plans for events/situations, which could disrupt a project.

Reasoning Ability to breakdown complex items or problems into their component parts. Analyzes and uses information in order to gain understanding or solve problems. Uses information to gain insight into time sequences, causality, varying contingencies, etc.	Level 3: Deciphers information. Solves problems by breaking down items into their component parts. Deciphers information using appropriate rules or methods. Breaks down items and understands relationships among pieces of information. Thinks through problems before developing a solution or taking action.
Teaching Others Overall concern for the developmental level of an individual or group. Takes steps to explain and provide guidance.	Level 3: Concerned fro the development of others. Identifies need for training and coaching. Provides instruction to promote others' development. Offers constructive feedback about errors.
Teamwork Ability to effectively work and complete assignments in group settings. Works cooperatively with others to achieve common goals.	Level 4: Encourages team members. Identifies needs and provides assistance to team members. Conducts team-building exercises. Involves everyone on the team.
Career Specific Expertise Extent to which an individual possesses and applies job-related knowledge in the completion of work tasks and activities. Includes knowledge gained through formal and informal education or training.	Level 3: Proficient knowledge. Has proficient knowledge and abilities required for the job. Independently applies skills in completing job tasks. Stays current on new information, which applies to job. Demonstrates a depth of knowledge within a specific area.

Leadership Competency Model

Senior Manager

Based on GMS Training and Organization Development Statewide Leadership Learning Needs Assessment. Competencies and Levels have been adapted for G-Comps: Georgia's Competency Dictionary.

COMPETENCY	PROFICIENCY LEVEL
Applies Technology to Tasks The use of technology in the performance of one's job. Includes the integration and acceptance of new technology.	Level 5: Proficient in multiple applications. Develops and implements strategies to integrate technology into multiple business areas. Proficient in use of multiple technology applications.
Collects and Organizes Information Manner by which an individual addresses and handles the flow of information. Ability to identify, systematically collect, and organize information for use by self or others in an organization. Information may be new or updated procedures and policies, business contacts, etc.	Level 5: Synthesizes and applies information. Synthesizes and applies information from multiple sources. Determines procedures for maintaining and evaluating information. Develops methods for information sharing.
External Awareness Understanding the impact of external trends and influences on organizational functioning.	Level 5: Extensive knowledge and insight. Extensive knowledge and insight into external environment and its impact on the organization. Develops formal procedures for tracking/evaluating trends and influences. Is recognized as the point-of-contact for external items affecting organization.
Human Resource Management The effective distribution of employee assignments with respect to ability and overall goals. Management of influences which effect performance and motivation.	Level 4: Assess staff abilities when assigning/delegating tasks. Utilizes reinforcement strategies. Implements comprehensive staff-development strategies.
Leadership Ability to effectively manage and guide group efforts. Includes providing appropriate level of feedback concerning group progress.	Level 5: Challenges others to succeed. Inspires others to exceed expectations. Maintains organizational objectives in guiding others. Creates positive morale among all employees.
Manages Resources Ability to appropriately allocate a variety of resources, which may include, materials, money, facilities, and equipment. Requires the ability to assess needs and track progress.	Level 4: Resource allocation determined by analysis. Performs analysis to determine proper allocation of resources. Continually monitors resource needs in relationship to overall goals.
Oral Communication Ability to communicate ideas, thoughts, and facts orally. Speaking using correct grammar, appropriate body language, proper tone and inflection, recognizing non-verbal cues, and respecting the audience to effectively communicate ideas.	Level 4: Effectively communicates thoughts, ideas and facts orally. Considers audience, subject matter, etc., when preparing oral presentations.
Organizational Awareness Understanding of the formal and informal structures within an organization, and the ability to operate effectively within them.	Level 4: Forms alliances to achieve goals. Uses formal and informal organizational systems to meet objectives. Uses political networks to initiate and cause change.
Planning and Evaluation The concurrent management of projects, time, self, and other resources including prioritizing, planning, goal setting, and coordinating with respect to goals and objectives. Ability to create and follow a set path in order to achieve a goal. Ability to determine the effectiveness of a given plan.	Level 5: Considers organizational goals in planning process. Considers current and future goals in developing and coordinating plans. Evaluates outcomes in relation to organizational goals.
Teaching Others Overall concern for the developmental level of an individual or group. Takes steps to explain and provide guidance.	Level 5: Develops others using personal mentoring. Creates learning environment. Challenges others to seek opportunities to learn. Uses assessment to identify short and long term developmental needs.

Teamwork Ability to effectively work and complete assignments in group settings. Works cooperatively with others to achieve common goals.	Level 5: Manages group dynamics. Cultivates unity and commitment among team members. Forms positive relationships with team members. Unselfishly gives credit to others for accomplishments.
Vision Understanding of where an organization is headed in light of internal and external trends and influences.	Level 5: Maintains long-range perspective. Maintains dynamic vision of the organization's long-range perspective. Understands both internal and external elements, which effect the organization. Communicates direction to all levels of the organization.
Career Specific Expertise Extent to which an individual possesses and applies job-related knowledge in the completion of work tasks and activities. Includes knowledge gained through formal and informal education or training.	Level 3: Proficient knowledge. Has proficient knowledge and abilities required for the job. Independently applies skills in completing job tasks. Stays current on new information, which applies to job. Demonstrates a depth of knowledge within a specific area.

Appendix G

Steps for Establishing Core Competency Models

Steps for Establishing Core Competency Models for Leadership Positions

1. Identify Subject Matter Experts

Incumbents, supervisors, or other individuals with in-depth knowledge of the positions and their requirements should serve as subject matter experts (SMEs). These SMEs will review the responsibilities of all leadership positions at each level and develop a list of the most important competencies from G-Comps: Georgia's Competency Dictionary.

2. Define Common Responsibilities

SMEs should generate a list of common responsibilities or tasks (normally 5-9) for positions in each leadership category. Existing documents such as position descriptions or performance management forms can be used assuming the information is current and accurate.

3. Identify Competencies Associated with Common Responsibilities Across All Positions Assigned to a Specific Leadership Level

Once responsibilities have been identified, SMEs should review G-Comps: Georgia's Competency Dictionary or the generic leadership competency models in Appendix F to select competencies related to important position responsibilities.

4. Determine the Most Important Competencies

SMEs should identify the most important competencies with particular emphasis on those (5-9) behavioral or generic competencies needed for success in the position. The technical/professional expertise competency should also be included in each leadership profile. The results will comprise the core competency model associated with each level of leadership.

5. Identify Proficiency Levels Needed for Each Competency

Once the most important competencies have been identified (as described in step 4), SMEs should determine the level of proficiency that is needed in each competency for successful performance at each leadership level.

Appendix H

Sample Bench Strength Assessment

Sample Bench Strength Assessment

Please fill in the form below. List each leadership position by position name, position number, leadership level, and the number of people who are ready to move into these positions within your agency. Place an "X" in the appropriate column to indicate which positions have at least 1 person ready to move into them. Reprint this form as needed.

Targeted Positions	Position Number	Leadership Level	Number of People Ready Now	Positions with at least 1 person Ready Now	Number of People Ready in 1-2 years (Optional)	Positions with at Least 1 person ready in 1-2 years (Optional)
HR Director	00000001	Mid-Level	0		1	X
Director of Construction	00000002	Senior	3	X	4	X
Customer Service Manager	00000003	Front-Line	2	X	3	X
HR Manager	00000004	Mid-Level	0		0	

Appendix I

Sample Pre-Screening Materials

Pre-Screening Application

Senior Leadership Succession Planning Program

APPLICATION PROCESS

The purpose of the Succession Planning Program is to give participants opportunities to develop new experiences, competencies, and relationships. The program is designed specifically to address the problem of preparing the next generation of senior managers in public agencies and is an excellent opportunity for employees to gain essential skills for maximum career potential.

Minimum Entry Requirements

- Demonstrate successful performance through merit evaluations over the past 2 years.
- Must have 5 years of supervisory experience with at least 1-year experience in a mid-level manager position.

Candidates for the Succession Planning Program must submit a completed application and be recommended by a manager within the agency. The Succession Planning Committee will review applications. The application packet consists of two parts:

☐ Application

☐ Recommendation Letter

Application: The application provides the basis for evaluation by describing the candidate's background and career goals.

Recommendation Letter: The letter of recommendation provides insight into the candidate's potential to take on higher leadership responsibilities. All signatures must be obtained prior to submission.

Submit completed applications by January 12, XXXX, to:

Department of ABC
Marie Parker
Human Resource Director
2 Martin Luther King Jr. Dr.
Atlanta, Georgia 30334

Pre-Screening Application

Senior Leadership Succession Planning Program

APPLICATION

Candidate Information

Name: _____

Title: _____

Phone: _____

E-mail: _____

Supervisor Information (Immediate)

Name: _____

Title: _____

Phone: _____

E-mail: _____

Please respond on a separate sheet of paper to the following statements. Please keep your response to no more than two pages.

- Brief narrative about how your background and experience has prepared you for these positions.
- Brief statement about where and when you obtained five years supervisory experience (with at least one year experience in a mid-level position).
- Brief description of other accomplishments including awards, presentations, or publications.

Attach a copy of current resume including work experience, educational background, and relevant certifications

Pre-Screening Application

Senior Leadership Succession Planning Program

LETTER OF RECOMMENDATION

I recommend _____ to participate in the Succession Planning Program. The candidate and I have discussed the program objectives, and agree to make the following commitments to support the success of the program.

Please provide a written evaluation regarding the potential of this candidate to enter or advance in the Senior Leadership Succession Planning Program and why you are recommending the candidate for this program. Also, include the length of time you have known the candidate and in what capacity. Please use an additional sheet of paper, if necessary.

Recommended by (Print Name)

Date

Recommended by Signature

Appendix J

List of Development Activities

LIST OF DEVELOPMENT ACTIVITIES (SENIOR POOL)

Development Goal	LIST OF DEVELOPMENT ACTIVITIES (SENIOR POOL)											
	Key Assignments	Required	Optional	Mentoring/Coaching	Required	Optional	Formal Training	Required	Optional	Other	Required	Optional
EXAMPLE Develop ability to effectively manage multiple functions	Serve as coordinator for the agency's annual statewide conference <ul style="list-style-type: none">Coordinate efforts between divisions to create profitable and well received HR conference	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Assigned to work with a project manager who has successfully managed projects in order to coached in the project management process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Take a class on project management software to be able to apply knowledge to project and significantly improve the probability of success	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Sequence of events	3			2			1					
Develop ability to effectively manage multiple functions		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>						
Sequence of events												
Sequence of events												

Appendix K

Sample Individual Development Plan

Sample Individual Development Plan (IDP)

Employee: Craig Johnson

Organization: ABC

Manager: Amy Clarke

Date: 1/13/XX

Areas to Be Developed	Learning Goal	Current Level	Needed Level	Developmental Activities	Timeframe to be Completed	Review Process	Actual Completion Date
Organizational Awareness	To increase awareness of organizational operations.	3 Has basic knowledge of formal and informal systems within an organization	4 Understands political forces within the organization	Accompany your manager to 4 meetings and/or volunteer to "stand in" for your manager when she or he cannot attend.	3/10/XX	Discussion of meeting with manager	3/4/XX
				Identify someone who has been with the organization for a long time. Ask the person about the organization's history, how things get done, how decisions are made, how to get buy-in, and the political culture of the organization.	6/15/XX	Written summary of what was learned and how it can be applied in current job	6/15/XX
				Assume lead role in developing and rolling out the agency's succession planning initiative.	8/25/XX	Review of work plan, progress, climate survey results	8/25/XX

1. Were the learning goals achieved? If not, why?
2. Did the learning activities assist in achieving the learning goal(s)? Explain.
3. Identify any follow-up actions that are needed. Will you continue development in this competency?

Individual Assessment Summary Profile

Personal Information	
Name of Pool Participant:	Current Position
Employee ID #	Date

	<i>Needs Development</i>	<i>Opportunity for Growth</i>	<i>Strengths</i>	Document Experiences related to strengths and opportunities (Provide brief summary)
COMPETENCIES				
Applies Technology to Tasks				
Career Specific Expertise				
Collects and Organizes Information				
External Awareness				
Human Resources Management				
Leadership				
Manages Resources				
Oral Communication				
Organization Awareness		X		
Planning & Evaluation				
Teaching Others				
Teamwork				
Vision				
RESULTS				
Employee Outcomes				
Process Outcomes				
Customer Outcomes				
Business Results				

Current Position (Suggested Reviewers)	Reviewer Names	Date
<i>Direct Report</i>		
<i>Manager Once Removed</i>		
<i>HR</i>		
<i>Succession Planning Team Member</i>		

Appendix L

References

References

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Appendix M

List of Succession Planning Outputs

List of Outputs for Georgia's Flexible Succession Planning Model

Pre-plan

A workforce strategy action plan that outlines: major action steps, persons responsible, and timeframes for completion of each step in the succession planning process.

Communication Plan

A sample communication plan

Identify Leadership Characteristics: Scope of Operation

A list of positions, scope of operation, and leadership levels

Identify Leadership Characteristics: Competencies and Proficiency Levels

A core competency model for each leadership level

Identify Leadership Characteristics: Key Leadership Results

A list of key leadership results in four specific areas: employee outcomes, process outcomes, customer outcomes, and business outcomes

Assess Bench Strength

A list, which identifies the number of positions, that has at least one person ready to move into them

Identify Talent

A list of employees who will enter the development pool

Develop Talent

A list of leadership development activities and an individual development plan for each member in the development pool

Evaluate Succession Planning

Summary of the effectiveness of the succession planning program which includes recommendations for improvement