



# 2015 Sample Succession Plan



## **2015 Sample Succession Plan**

### **Table of Contents and Checklist:**

<b>✓</b>	<b><u>Item</u></b>	<b><u>Page</u></b>	<b><u>Requirement</u></b>	<b><u>Additional Information</u></b>
	2014 Succession Plan Progress Report	3	Required	Provide progress toward implementing last year's Succession Plan.
	9-Box	4	Required	Template and instructions available on WFP Toolkit.
	Knowledge Transfer Plan	Appendix A	Required	Template and instructions available on WFP Toolkit. At least one plan example is required.
	Career Development Plan	Appendix B	Required	Template available within ePerformance. At least one plan example is required.
	Future Action Form	<i>To be reviewed as part of the overall Talent Management Strategy submission.</i>		

**Agency:** ABC

### **Succession Planning Position(s):**

1. Administrative Staff (Finance Director, PN 20001000)\*
2. Deputy Director 2 (Communications, PN 20002000)
3. Human Capital Management Administrator 1 (PN 20003000)

\* For the purposes of this plan submission, Agency ABC has chosen to focus on the Administrative Staff position.

## **2015 Sample Succession Plan**

### **2014 Succession Plan Progress Report**

Based upon the constructed Knowledge Transfer Plan and subsequent Career Development Plan, the below progress has been made for each succession planning position.

#### 1. Deputy Director 2 (PN 20007000)

All strategies outlined in Step 3 of the Knowledge Transfer Plan have been implemented.

Broadly, these strategies include:

- Job shadowing
- Meeting attendance
- Key contact introduction

Of the Career Development Plan items, significant progress has been made, with approximately 70% of all identified items completed.

Progress toward completion is measured via biweekly meetings between the Succession Planning Position's incumbent and each potential successor. The incumbent then reports results to central HR for tracking and monitoring.

#### 2. Human Capital Management Administrator 2 (PN 20008000)

All strategies outlined in Step 3 of the Knowledge Transfer Plan have been implemented.

Broadly, these strategies include:

- SOP review
- Job shadowing
- Completing project component leadership duties with incumbent support

Of the Career Development Plan items, significant progress has been made, with approximately 85% of all identified items completed.

Progress toward completion is measured via weekly touchpoint meetings between the Succession Planning Position's incumbent and each potential successor. The incumbent then reports results to central HR for tracking and monitoring.

#### 3. Human Capital Management Manager (PN 20009000)

Approximately 50% of the strategies outlined in Step 3 of the Knowledge Transfer Plan have been implemented. Broadly, these strategies include:

- SOP review
- Job shadowing
- Key contact introduction

Of the Career Development Plan items, little progress has been made, with approximately 35% of all identified items completed.

## **2015 Sample Succession Plan**

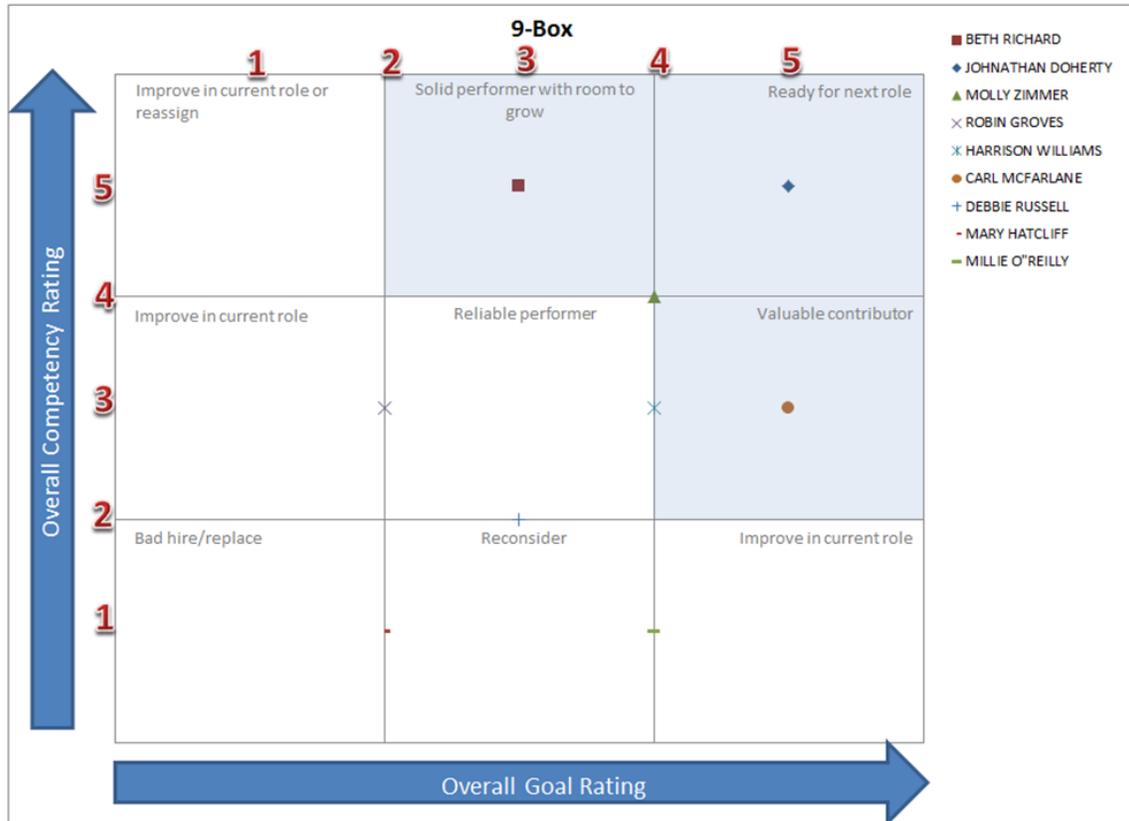
Progress toward completion has not yet been measured. Our plan to do so includes a weekly progress report emailed from the potential successors to the incumbent, with the incumbent providing additional coaching as needed. This process will be reevaluated after six weeks.

**2015 Scenario:** Agency ABC is working to identify its positions to be succession planned within the Administration Division.

1. The Deputy Director of Administration works with the appropriate Workforce and Succession Planning staff member to review the Future Action Form, on which each position's criticality is documented. Please refer to the overall Future Action Form submitted as part of Agency ABC's overall Talent Management Strategy.
2. The Deputy Director of Human Resources gathers performance evaluation data for the entire Administrative Division staff and charts the placement of each employee on the department's 9-Box (pictured below). Each employee's placement determines his or her current readiness to be developed for a possible succession opportunity.

In this example, the five charted employees that touch or are within the blue shaded area could be developed into one of the succession planning positions. This is based upon their current performance evaluation ratings, reported via OAKS BI (ePerformance's PM-80, Ratings Trend Analysis Report).

## 2015 Sample Succession Plan



3. Working with the incumbent, the Deputy Director of HR constructed a Knowledge Transfer Plan for each indicated position (see Appendix A), tailoring Step 3 to each potential successor's needs.
  
4. Working with the potential successors, the Deputy Director of HR evaluates each potential successor's current knowledge, skills and abilities as well as the competencies identified as required for the succession planning position(s) to identify needed development areas. This is documented within ePerformance using a Career Development Plan (see appendix B for an example).



**Knowledge Transfer Plan**

**Administrative Staff (Finance Director)**  
3 Key Steps

**Step 1: Identify Critical Tasks and Activities**

There are probably some aspects of your work that only you know how to address. In this step you are developing a list of those tasks and activities. Use questions below to help guide you in creating your list.

?	What are you known for? What are you the “go to” person for?
?	What do only you know how to do?
?	If you left your position today, what wouldn’t get done because no one else knows how to do it?
?	When you return from vacation, what work is usually waiting for you because no one else knows how to do it?
?	When you have to be away from work, what do you worry about (what work isn’t getting done or what work isn’t being done well)?
?	What does your office rely on you for?

List the tasks and activities below, using as many blanks as necessary.

1	Oversees the agency’s finance operations.
2	Plans and manages budget development and compliance activities.
3	Maintains agency’s OAKS FIN data.
4	Ensures compliance with federal, state, and local regulations.
5	Supervises, develops, and coaches staff.
6	
7	
8	
9	
10	

**Examples:**

1. *Customer complaints are not addressed. (Addressing customer complaints)*
2. *New initiatives lay on your desk until you return. (Developing new business processes)*
3. *Special requests are not processed. (Processing special request forms)*
4. *IT ticket requests are not resolved. (Resolving IT ticket request)*



## APPENDIX A

### Step 2: Define Each Task and Activity

Complete this section on each task or activity identified in Step 1. You will be identifying in more detail the knowledge and experience required to complete each task or activity. What information or experience do you need to have in order to carry out this responsibility or task? Focus especially on the things only you know and that others need to learn. Consider the areas below:

	Knowledge key contacts (customers, other state agency contacts, federal government contacts, universities, etc.)
	Having strong relationships with key customers or coworkers
	Knowing logistics or locations (training rooms, field offices, etc.)
	Knowing past history (court cases, customer requests, business decisions, etc.)
	Knowing locations of critical files or information
	Knowing how to carry out a task or responsibility

Think through the steps necessary to complete the task and work to discover the parts that are critical to your success. What do you know that others need to learn from you in order to be able to serve your customers as well as you do?

### Example

<b>Task or Activity (from Step 1):</b>  <i>Special requests not processed</i>
<b>List the critical knowledge, skill or ability needed for this task:</b>  <ol style="list-style-type: none"><li><i>1. Knowing how to enter special request into the computer system</i></li><li><i>2. Knowing how to assign requests, based on each person's experience</i></li><li><i>3. Knowing which information to ask customer for when they make a special request</i></li><li><i>4. Knowing the history of a customer's special requests, and being able to judge what their true need is</i></li></ol>

See next page for blank **Critical Knowledge and Experience** worksheet.



## APPENDIX A

### **Task or Activity (from Step 1):**

Task 1: Oversees the agency's finance operations.

#### **List the critical knowledge, skill or ability needed for this task:**

1. Knowledge of strategic planning.
2. Knowledge of project planning principles and techniques.
3. Ability to apply GAAP or other standardized accounting methodologies.
4. Ability to see the larger picture from detailed information.

### **Task or Activity (from Step 1):**

Task 2: Plans and manages budget development and compliance activities.

#### **List the critical knowledge, skill or ability needed for this task:**

1. Knowledge of budgeting practices and principles.
2. Knowledge of strategic planning.
3. Ability to see the larger picture from detailed information.
4. Skill in internal communication.

### **Task or Activity (from Step 1):**

Task 3: Maintains agency's OAKS FIN data.

#### **List the critical knowledge, skill or ability needed for this task:**

1. Knowledge of OAKS FIN module.
2. Ability to enter and maintain data in module.
3. Ability to troubleshoot to resolve data issues.

### **Task or Activity (from Step 1):**

Task 4: Ensures compliance with federal, state, and local regulations.

#### **List the critical knowledge, skill or ability needed for this task:**

1. Knowledge of applicable federal, state, and local regulations.
2. Ability to interpret applicable regulations.
3. Ability to apply applicable regulations.
4. Skill in explaining interpretation and reasoning for subsequent action.



## APPENDIX A

### Task or Activity (from Step 1):

Task 5: Supervises, develops, and coaches staff.

### List the critical knowledge, skill or ability needed for this task:

1. Knowledge to staff management principles and techniques.
2. Knowledge of employment-related policies, rules, and regulations.
3. Ability to develop staff members' knowledge, skills, and abilities.
4. Ability to coach staff members.
5. Ability to manage staff members' performance.
6. Skill in Guiding, Directing, and Motivating Subordinates (supports Competency Mapping selection.)



## APPENDIX A

### Step 3: Developing a Knowledge Transfer Plan

1. Fill in the matrix below. Start by inserting all the critical activities you identified in Step 1.
2. Answer the question in the chart for each area. Use the detail developed in Step 2 to help with thinking about the questions.
3. Consult with management after completing the first DRAFT. Sometimes it is hard to judge the importance and impact of the task on the agency. Collaborating with multiple managers in the area will help confirm perception of current importance, availability and import on the agency.
4. Work with management to develop strategy to address tasks that are identified as critical.

<b>Critical Tasks</b>	<b>Importance</b>	<b>Availability</b>	<b>Impact</b>	<b>Resources</b>	<b>Strategy</b>
From Step 1 in the worksheet	Low-Medium-High  Gauge the importance of the task identified	Is the knowledge and expertise currently available from anyone else in our work area?  <b>Yes, No or Don't Know</b>  [If yes, who?]	Low-Medium-High  [If the task is important and there is no one else who possesses the knowledge, impact is high.]	What resources [files, people, web sites, references, etc.] exist to help other learn this task?	How do you plan to address this knowledge gap? Who will learn it?  How and when?
<i>Special requests aren't processed</i>	<i>High</i>	<i>No. Jane knows how to enter data, but the rest only I do.</i>	<i>High</i>	<i>Jane for database. My special request files for format of info needed.</i>	<i>Outline step-by-step process of handling special requests. Create a matrix of each person's expertise to help with assignments of special request.</i>  <i>Me – July 31 2013</i>



**APPENDIX A**

Critical Tasks	Importance	Availability	Impact	Resources	Strategy
<p>1. Oversees the agency's finance operations.</p>	<p>High</p>	<p>No. Certain tasks within oversight are delegated, but the entire finance area's strategic oversight has only been performed by incumbent.</p>	<p>High</p>	<p>Incumbent's knowledge and experience. Outside financial training opportunities (e.g., workshops, classes).</p>	<p>Job shadowing will be used during scheduled half-day sessions throughout fiscal quarters 3, 4 and 1. At least one session should be completed per week.</p> <p>Opportunities for potential successor to practice strategic oversight will be identified, with immediate coaching provided by incumbent.</p> <p>Incumbent will provide above items to potential successor beginning ASAP.</p>



**APPENDIX A**

<b>Critical Tasks</b>	<b>Importance</b>	<b>Availability</b>	<b>Impact</b>	<b>Resources</b>	<b>Strategy</b>
2. Plans and manages budget development and compliance activities.	High	Yes. Two managers within the division have helped with most components of budget development and compliance.	Medium	Incumbent's knowledge and experience. Other managers within the division. OLPD or MAPS classes focused on budgets, strategic planning, and compliance.	<p>Potential successor schedules knowledge transfer sessions with both experienced managers and incumbent to offer varied perspectives.</p> <p>Incumbent creates high-level SOP to outline requirement.</p> <p>All completed by the end of August.</p>
3. Maintains agency's OAKS FIN data.	High	Yes. FIN maintenance is delegated to two division managers, with oversight by incumbent.	Low	Incumbent's and division managers' knowledge and experience. OAKS FIN module contact. Existing Job Aids and SOPs.	<p>Begin incrementally delegating OAKS FIN tasks to potential successor.</p> <p>Review questions during weekly shadowing sessions.</p> <p>To be completed by end of September.</p>



**APPENDIX A**

<b>Critical Tasks</b>	<b>Importance</b>	<b>Availability</b>	<b>Impact</b>	<b>Resources</b>	<b>Strategy</b>
4. Ensures compliance with federal, state, and local regulations.	High	No. Incumbent has ultimate compliance responsibility.	High	Incumbent knowledge and experience. Offsite financial conferences/workshops focused on financial regulations.	<p>Identify and attend offsite conference or workshop.</p> <p>Gain understanding of real-life consequences of non-compliance from incumbent during shadowing sessions.</p> <p>To be completed by end of September.</p>
5. Supervises, develops, and coaches staff.	Medium	Yes. Other managers and directors within the division can help acclimate to higher-level management duties.	Low	Incumbent's and division managers'/ directors' experience. LEAD Ohio program.	<p>Discuss incumbent's tips and techniques for successful supervision during shadowing sessions.</p> <p>Identify and schedule necessary LEAD Ohio training titles.</p> <p>To be completed by end of September.</p>

**Development Document - CAREER DEVELOPMENT\_MGR  
Manager Evaluation**

JONATHAN DOHERTY, Administrative Staff  
CAREER DEVELOPMENT\_MGR, 01/01/2016 - 09/30/2016

**Author:** MICHAELA RATER **Role:** Manager  
**Status:** In Progress **Due Date:** 11/29/2016  
**Approval:** Not Submitted

EMPLOYEE DATA	
<b>Empl ID :</b>	10000003
<b>Agency :</b>	ABC
<b>Division :</b>	Administration
<b>Job Code :</b>	99580
<b>Supervisor ID :</b>	10000090

Enter ratings and comments for each section in this evaluation, if applicable. Save entries made on the evaluation by selecting the Save button.

**Section 1 - CAREER ENHANCEMENT GOALS**

*Career Enhancement Goals:* Goals that augment an employee's job-related skills.

**Section 2 - PERSONAL LEARNING GOALS**

Attend assigned Lead Ohio sessions.	
<b>Description</b>	As assigned, attend Lead Ohio sessions by the end of the CDP period.
Supports the below KTP-identified critical tasks:	
5. Supervises, develops, and coaches staff.	
<b>Rating:</b>	
<b>Comments:</b>	
<b>Created By :</b>	01/20/2015 11:49AM
<b>Last Modified By :</b>	01/20/2015 12:09PM

*Personal Learning Goals:* Goals that contribute to an employee's knowledge related to his or her current role, desired future role, the agency, or the State.

Regulatory Compliance Training	
<b>Description</b>	By June 30, attend an offsite conference or workshop.
Supports the below KTP-identified critical tasks:	
4. Ensures compliance with federal, state, and local regulations.	
<b>Rating:</b>	
<b>Comments:</b>	
<b>Created By :</b>	01/20/2015 12:17PM

**Section 3 - DEVELOPMENTAL OBJECTIVES**

KTP Critical Task 1	
<b>Description</b>	Oversee the agency's finance operations.
<b>Rating:</b>	
<b>Comments:</b>	
Created By :	01/20/2015 11:51AM
Last Modified By :	01/20/2015 11:51AM

KTP Critical Task 2	
<b>Description</b>	Plans and manages budget development and compliance activities.
<b>Rating:</b>	
<b>Comments:</b>	
Created By :	01/20/2015 11:51AM

KTP Critical Task 3	
<b>Description</b>	Maintains agency's OAKS FIN data.
<b>Rating:</b>	
<b>Comments:</b>	
Created By :	01/20/2015 11:51AM

KTP Critical Task 4	
<b>Description</b>	Ensures compliance with federal, state, and local regulations.
<b>Rating:</b>	
<b>Comments:</b>	
Created By :	01/20/2015 11:56AM

KTP Critical Task 5	
<b>Description</b>	Supervises, develops, and coaches staff.
<b>Rating:</b>	
<b>Comments:</b>	
Created By :	01/20/2015 11:56AM

*Developmental Objectives:*  
Future accomplishments that support growth in an employee's current role or prepare an employee for a higher level role.

**Section 4 - DEVELOPMENTAL TRAINING ASSIGNMENTS**

**Job Shadowing**

**Description** Job shadowing shall be performed as follows.

- One half-day session per week
- Throughout fiscal quarters 3, 4 and 1 (January through September)

Supports the below KTP-identified critical tasks:

1. Oversees the agency's finance operations.
3. Maintains agency's OAKS FIN data.
4. Ensures compliance with federal, state, and local regulations.
5. Supervises, develops, and coaches staff.

**Rating:**

**Comments:**

Created By : 01/20/2015 12:01PM  
 Last Modified By : 01/20/2015 12:09PM

*Developmental Training Assignments:* Tasks which, once completed, support achievement of the above Developmental Objectives.

**Hands-on Experience**

**Description** With guidance of incumbent, practice applying knowledge, skills and abilities to gain experience.

This should be completed throughout fiscal quarters 3, 4 and 1 (January through September) per an agreed-upon schedule with the incumbent.

Supports the below KTP-identified critical tasks:

1. Oversees the agency's finance operations.
3. Maintain agency's OAKS FIN data.

**Rating:**

**Comments:**

Created By : 01/20/2015 12:01PM  
 Last Modified By : 01/20/2015 12:20PM

**Schedule Knowledge Transfer Sessions**

**Description** Knowledge transfer sessions are to be scheduled with the succession planning position's incumbent as well as other identified experienced division managers to gain varied perspectives.

This should be completed by March 31.

Supports the below KTP-identified critical tasks:

2. Plans and manages budget development and compliance activities.

**Rating:**

**Comments:**

Created By : 01/20/2015 12:14PM  
 Last Modified By : 01/20/2015 12:20PM

**Section 5 - APPROVALS SECTION**

SIGNATURE ACKNOWLEDGEMENT (Performance Evaluation & PIP)

I have read the above:  I have  I have not responded on an attached document.

My signature merely indicates an acknowledgement that I have reviewed a copy of the completed evaluation; it does not indicate agreement with its contents. I understand that performance reviews may be appealed and that failure to sign this form waives my right to appeal.

I am exercising my right to refuse to sign this document. Please check the appropriate response:

Yes  No

**Section 6 - SIGNATURES**

\_\_\_\_\_  
Rater/Date

\_\_\_\_\_  
Reviewer/Date

\_\_\_\_\_  
Appointing Authority/Date

SIGNATURE ACKNOWLEDGEMENT (Performance Evaluation & PIP)

I have read the above:  I have  I have not responded on an attached document.

My signature merely indicates an acknowledgement that I have reviewed a copy of the completed evaluation; it does not indicate agreement with its contents. I understand that performance reviews may be appealed and that failure to sign this form waives my right to appeal.

I am exercising my right to refuse to sign this document. Please check the appropriate response:

Yes  No

\_\_\_\_\_  
Employee/Date

<b>Attachments</b>
No Attachments have been added to this document

<b>Audit History</b>		
Created By :		
Last Updated By :		01/20/2015 12:39:14PM