Manager’s Role in Workforce and Succession Planning

Participant’s Manual

Comprehensive Public Training Program (CPTP)

Sponsored by the Louisiana State Civil Service
MANAGER’S ROLE IN WORKFORCE AND SUCCESSION PLANNING

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Sponsored by the Louisiana State Civil Service

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MANAGER’S ROLE IN WORKFORCE AND SUCCESSION PLANNING

Course Description
Targeted to upper and middle managers, this course describes the role managers should play in the succession planning process. The purpose of this course is to introduce the concepts associated with succession planning and describe what role managers should play in succession planning. The participants will also have the opportunity to begin working on their own succession plans. Succession planning enables state agencies to provide training and development opportunities to the agency’s future leaders. Succession planning helps you “build bench strength”. This course helps upper and middle managers answer these two questions: When your workforce retires, who will be ready to replace these experienced employees? What strategies have you implemented to ensure that your agency will be properly staffed with qualified supervisors, managers and leaders?

Job Outcomes

- Recommends effective strategies that fit the external environment which the department or office faces.
- Applies a long-term perspective when developing strategic plans.
- Develops objectives and strategies that fit with the department/office’s long-term vision.
- Develops and implements methods to share knowledge with others who need it.

Learning Objectives

- Make decisions about the agency’s next steps regarding succession planning.
- Draft a succession plan for a specific organizational unit.
Workforce/succession planning is the means by which an organization prepares for and replaces managers, executives and other key employees who leave their positions, and is critically important to the organization’s continued and future success. It includes processes such as how the organization identifies and recruits successors, how it manages transitions from one executive to another and how it develops successors.

Workforce/succession planning is based on the belief that to be effective and able to adapt to change quickly, agencies need realistic information about the capabilities and talents of their current staff. Organizations with a shrinking workforce can find themselves in the situation where only one person knows key information about processes, procedures, and the history of decision making in the organization. In such a case, the loss of one person adversely affects the operation of the entire organization.

Although many aging baby boomers are increasingly deciding to continue working for a few — or several — years past the traditional retirement age, attention to succession planning remains a critical issue in agency success. Failure to do so could result in:

- diminished productivity;
- lost knowledge, experience, and institutional memory; and
- stiff competition with other organizations to keep workers who are not retiring from seeking opportunities elsewhere.

Class Discussion: Discuss the following questions:

- Does your organization have qualified people ready to fill key positions now and to grow with the organization in the next three to five years? (Short-term focus)
- Will your organization have a sufficient number of qualified candidates ready in five to ten years to fill key positions? (Long-term emphasis)
SUCCESSION PLANNING: WHAT IS IT?

Everyone talks about succession planning, but what exactly is it?

The term succession planning refers to a systematic process of developing individuals to fill an organization’s key roles. When a productive succession plan exists, the organization will have a sufficient number of qualified individuals to fill key positions. Succession planning should not be confused with replacement planning, which provides for temporary placement in key positions when an unexpected vacancy occurs.

The primary component of succession planning is the identification of replacement personnel. At its simplest, it is the determination of who will fill a job when it opens. At its best, replacement identification includes evaluation of the quality and readiness of the named successors.

It is readily accepted that workforce and succession planning refers to the implantation of human resources activities, policies, and practices to make the necessary ongoing changes to support or improve the agency’s operational and strategic objectives. Agency leaders need to understand how their workplaces will be affected by impending changes and prepare for the changes accordingly.

Organizations should approach succession planning as an integrated process. This process should go beyond focusing on replacing individuals and engage in strengthening and developing leadership talent at all levels of the organization. When approached strategically, succession planning becomes a powerful tool for positive organizational transformation.
Ultimately, succession planning is a long-term strategic initiative that ensures that the right staff are in the right jobs at the right times. It ensures the continued effective performance of an organization by establishing a process to develop and replace key staff over time. It also helps your organizations answer key questions such as:

1. Who will move into this human resource position when Laura (substitute name of key employee from your agency) retires?
2. Al (substitute name of key employee from your agency) could move into any one of these three director positions. If he accepts one, who will replace him in his current position? Is this the best place for Al (substitute name of a key employee from your agency)?
3. How can we keep Jim (substitute name of key employee from your agency) from leaving us if he doesn’t get a promotion?
4. How can we get more female and minority employees in key positions?

Although the national workforce as a whole is aging, the public sector workforce has a higher than average age than the overall private sector labor force because of reductions-in-force and hiring freezes that have been enforced over the last two decades. If your organization carries out succession planning correctly, you will be able to confidently say that you are well-prepared for the future!
Class discussion

1. What trends outside the agency are most likely to affect it in the next 1-5 years? Consider economic conditions, market conditions, financial conditions, regulatory/legal conditions, technological conditions, social conditions, and other trends that might uniquely affect the agency.

2. For each trend you listed in response to Question 1, indicate how you think that trend will affect your agency. Describe the trend’s possible consequence(s), outcome(s), or result(s).

3. Compare and contrast results to current national trends using “Center for State and Local Government Excellence” survey.
What are the essential components of a succession planning program?

- The purpose of the program. Why do you need it? (Do not assume everyone will share the same objectives – they will not. There may be some commonly held objectives, yet it is likely there will be different objectives depending on who you ask.)

- The measurable objectives of the program. What measurable results are desired from the succession planning program over time?

- The competencies needed for success now. What kind of person is needed to be a successful performer in every department and at every agency level?

- The way those competencies are measured. How well is the agency’s performance management system measuring present competencies?

- The competencies needed for success in the future. What kind of person is needed to be successful performer in every department and at every agency level in the future, if the agency is to realize its strategic objectives?

- The way the agency assesses potential. How do we know that someone can succeed at a future higher level of responsibility if we have never seen him or her perform it?

- Narrowing gaps. How do we narrow gaps between the person’s job requirements and present performance and his/her future targets or possible future levels and what he/she needs to know or do to be ready for that higher-level or more difficult responsibility?

- Evaluating results. How do we know that our efforts to narrow gaps is working, and that the succession program is achieving its mission and accomplishing its measurable objectives?
<table>
<thead>
<tr>
<th><strong>Column 1</strong></th>
<th><strong>Column 2</strong></th>
<th><strong>Column 3</strong></th>
<th><strong>Column 4</strong></th>
<th><strong>Column 5</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>What is the prediction?</td>
<td>Do you believe the prediction is true?</td>
<td>What does the prediction mean in your agency?</td>
<td>What impact will that prediction have in your agency?</td>
<td>What actions should your agency take to address the prediction?</td>
</tr>
<tr>
<td>Succession planning will:</td>
<td>Yes</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Prompt efforts by decision-makers to find a flexible range of strategies to address agency talent needs.</td>
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<tr>
<td>2. Lead to integrated retention policies and procedures that seek the early identification of high-potential talent, efforts to retain that talent, and efforts to retain older higher-potential employees.</td>
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<td></td>
<td></td>
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<tr>
<td>3. Be influenced increasingly by real-time technological innovations.</td>
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<td>4. Lead to increasing agency openness about possible successors.</td>
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<tr>
<td>5. Increasingly seek to integrate effective succession issues with career development issues.</td>
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</table>
THE MANAGER AND SUCCESSION PLANNING

As a manager, you play an important role in your agency’s current and future success. Complete the assessment below to determine your current level of involvement in the future success of your agency.

Use this survey to rate yourself. For each expectation of a manager appearing in the left column below, rate yourself in the right column by writing the appropriate number. Rate yourself using the following scale:

- 5 I am extremely good at this
- 4 I am good at this
- 3 I am adequate at this
- 2 I could stand some improvement here
- 1 I could stand much improvement here

<table>
<thead>
<tr>
<th></th>
<th>Your Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TALENT ATTRACTION</strong></td>
<td></td>
</tr>
<tr>
<td>Try to attract the best people to apply to this agency.</td>
<td></td>
</tr>
<tr>
<td>Do my best to recruit people to this agency.</td>
<td></td>
</tr>
<tr>
<td>Work to select the best people.</td>
<td></td>
</tr>
<tr>
<td><strong>TALENT DEVELOPMENT</strong></td>
<td></td>
</tr>
<tr>
<td>Assess what people need to learn to be qualified for promotion.</td>
<td></td>
</tr>
<tr>
<td>Arrange experiences for individuals that will build their competencies/abilities to perform at higher levels of responsibility.</td>
<td></td>
</tr>
<tr>
<td>Provide continuing feedback to individuals about how well they are developing themselves.</td>
<td></td>
</tr>
<tr>
<td><strong>TALENT RETENTION</strong></td>
<td></td>
</tr>
<tr>
<td>Recognize the good things that people do, making it a point to comment on them.</td>
<td></td>
</tr>
<tr>
<td>Encourage people to “stretch” themselves by asking tough questions, giving tough assignments, setting tough deadlines, and setting the bar high for my expectations.</td>
<td></td>
</tr>
<tr>
<td>Reward people who perform well in a way suited to what matters to them and not what I think they might want.</td>
<td></td>
</tr>
</tbody>
</table>

Total: Add the scores in the numbered columns:
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Understanding the Scores

If your score was:

- **37 or higher** You are performing your role in succession planning adequately or better.
- **36-32** You need some improvement in how you enact your role in succession planning.
- **31-27** You need **much** improvement in how you enact your role.
- **26 or lower** You need **great** improvement in how you enact your role.

Class discussion

- What steps have you taken to ensure that you have a short-term backup for yourself and other key people in your department?
- What steps do you think you should take, and how do you think you should go about the process?
**PHASES OF THE SUCCESSION PLANNING PROCESS**

**Review the Strategic Plan**

Succession planning builds on an organization’s strategic goals, which outlines how the organization will reach the measurable goals and objectives that support its mission and vision. The strategic plan shapes business strategy with information from customers; aligns employees’ behavior to the organization’s mission, vision, and goals; and turns employees’ intentions into actions.

Review your organization’s strategic plan to identify current and future priorities. These will determine how your staff is distributed across departments and divisions; define functional responsibilities; and create technology to support delivery of the organization’s products and services. You need to understand these priorities to identify where retirement and general attrition will have the greatest impact on your organization.

**Analyze the Data**

Succession planning requires an analysis of retirement projections, attrition patterns, and the anticipated effects of retirement and attrition.

Determine the number of employees who are 50 years of age or older. Then you should determine how many 50+ individuals might retire in the next 5, 10, and 15 years. Be sure to review the eligibility requirements of your organization’s retirement plan and survey employees to determine their retirement goals.

**Selection of Employees for Participation**

In order to determine interested and available participants in the succession planning process, direct supervisors could inquire with employees about their career goals during the employees’ PPR planning process. Another strategy is to develop all employees who are direct reports to the position and also interested in participation. Or, you may include all employees in designated job titles. Supervisors may also choose to “announce” their plans for succession planning for a particular position and accept applications from employees who are interested. Once participants have been chosen, create an Individual Development Plan (IDP) for the person. (An example of an IDP is provided for in the Appendix.)

The criteria used should be objective and job-related. Avoid having individuals simply “nominate” individuals whom they think have “potential.” Regardless of the method used, it will be subject to the same legal standards as promotional selection criteria.

Persons excluded or not chosen for participation in the training and development process will obviously be at a disadvantage when competing for the position when it becomes vacant. Again, supervisors and appointing authorities must therefore set objective, job-related criteria for choosing who will participate in training and development for the position.
Instead of using one of the strategies described above, your agency may select a more methodical approach by assigning numerical values to the positions and retirement factors. The end result is a calculated score that takes both the retirement factor and the position risk factor into consideration. The guidelines for this approach are described below.

Guidelines for assessing/calculating the need to perform succession planning and/or knowledge management due to attrition risks

As part of the succession planning process, appointing authorities and section heads should perform a position risk assessment for each position in their organization. This assessment is based upon two factors, the retirement factor and the position risk factor.

Retirement Factor

The projected retirement dates in the workforce planning system (whether based upon employee estimates or calculated based on age and tenure data) will be assigned a retirement factor as follows:

- 5 – Projected retirement date within 1 year
- 4 – Projected retirement date within 1 to 2 years
- 3 – Projected retirement date within 2 to 3 years
- 2 – Projected retirement date within 3 to 5 years
- 1 – Projected retirement date is greater than 5 years

Position Risk Factor

An estimate of the difficulty or level of effort required to replace the position incumbent. Managers and supervisors are responsible for making these ratings based upon the following criteria:

- 5 – Critical and unique knowledge or skills. Mission-critical knowledge or skills with the potential for significant reliability or safety impacts. Knowledge is undocumented. Requires 3-5 years of training and experience. No ready replacements available.
- 4 – Critical knowledge and skills. Mission-critical knowledge/skills. Some limited duplication exists at other sections/work groups and/or some documentation exits. Requires 2-4 years of focused training and experience.
- 3 – Important, systemized knowledge and skills. Documentation exists and/or other personnel possess the knowledge/skills. Recruits generally available and can be trained in 1-2 years.
- 2 – Procedural or non-mission critical knowledge and skills. Clear, up-to-date procedures exist. Training programs are current and effective and can be completed in less than one year.
- 1 – Common knowledge and skills. External hires possessing the knowledge/skills are readily available and require little additional training.
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The appointing authority or section head will calculate the risk assessment factor times the retirement date factor to give an overall attrition factor. For example:

<table>
<thead>
<tr>
<th>Projected retirement date of ______</th>
<th>Retirement date factor:</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Critical/Unique Skills/Industry Training</td>
<td>Risk assessment factor:</td>
<td>x5</td>
</tr>
<tr>
<td>Total attrition factor:</td>
<td></td>
<td>25</td>
</tr>
</tbody>
</table>

The total attrition factor will identify the level of effort necessary to effectively manage attrition.

- 20-25: High Priority. Immediate action needed. Specific succession plans will be developed to include: method of replacement, knowledge management assessment, specific training required, on-the-job training/shadowing with incumbent.
- 16-19: Priority. Staffing plans should be established to address method and timing of replacement, recruitment efforts, training, shadowing the current incumbent.
- 10-15: High Importance. Look ahead on how the position will be filled/work will be accomplished (Recruiting, training programs, process improvements, restructuring).
- 1-9: Important. Recognize the functions of the position and determine the replacement need.
IDENTIFYING THE COMPETENCIES NEEDED TO MEET DEMAND

A key aspect of assessing the demand for human capital in your organization will be looking at the competencies your organization will need to achieve its strategic goals. Even if you are just primarily using the workforce or workload approaches, you will consider the competencies your workforce will need.

Your organization can identify its core competencies by studying how top performers succeed because competencies focus on the attributes that separate those high performers from the rest of the workforce. You can gather information in a variety of ways: administering employee questionnaires, facilitating focus groups, and interviewing managers and employees.

Two key elements in identifying competencies are:

- Workforce skills analysis – describes the skills required to carry out a function. Conducting workforce skills analysis requires leaders of your organization to anticipate how the nature of the organization’s work will change and to then identify future Human Resources requirements. (This process spans the supply analysis and demand analysis of workforce planning.)

- Job analysis – collects information on successful job performance. Job analysis focuses on tasks, responsibilities, knowledge, and skill requirements as well as other factors that contribute to successful job performance. The information you obtain from employees during job analyses becomes the basis for identifying competencies. Competency and skill analysis tools are available from the U.S. OPM at http://www.opm.gov/workforceplanning/.

These tools can be applied at all levels of government.

At this point in the process you have identified critical positions to address in your agency’s succession plan and the competencies that correspond to those positions. You have three “windows of opportunity” for keeping these positions fully staffed:
KEY POINTS ABOUT ATTRACTING TALENT

It is not just the role of HR to find talent for your agency – it is also the role of everyone in the agency. You play an important role in attracting talent to this agency – and even to attracting people to your department. We are all in competition for productive employees.

Think about where you got your best people. Do you know where they came from? Are there any patterns? Try to do more of what got you the best people. Do not make promises that you cannot deliver, rather, find reasons why people might want to work for the agency and for you – and be prepared to describe those benefits to the people you meet. (Advertise by word of mouth.) You can paint the agency and your department in a positive light to everyone you meet – without exaggerating the benefits.

Class Discussion

Answer the following questions:
1. What approaches have really worked in attracting good people to the agency and/or your department?
2. What innovative approaches would you like to try out, and why would you like to try them?
To develop your staffing solutions, consider these activities and strategies:

- **Position Classification Actions**
  - Streamlining job duties for more efficiency
  - Modifying titles to incorporate new duties
  - Creating new job titles
  - Redesigning title to accommodate new work patterns
  - Reallocation of titles to meet emerging business needs

- **Recruitment and Selection Strategies** – these include actions to recruit and hire qualified candidates. To enhance your current competitive hiring process:
  - Determine the strengths of your organization
  - Ask staff to identify reasons they like their jobs
  - Research best-practice recruitment strategies
  - Incorporate strategies that successful organizations use (for example, create a comprehensive recruitment strategy to ensure that your organization is the “employer of choice”)
  - Create strategies to re-employ retirees for part-time and/or temporary work, evaluate candidates for all job openings, and recruit minorities and women

There are a number of strategies that governmental agencies can use to proactively recruit viable job candidates. These include:

- Internet recruitment
- Employee referral programs
- Print media
- Job fairs
- Professional associations
- Professional conferences
- Hiring retirees
- Candidate database of interested applicants
- Radio and television advertisements
- Executive recruitment firms
- Campus recruiting
- Internship and apprentice programs
KEY POINTS ABOUT DEVELOPING TALENT

In general, sending people to training is not the key to developing talent – although training can help. Most people develop through on-the-job experience. It is the manager's role to identify promising people early on and give them experiences that will help them develop.

1. Assess what people need to develop.
2. Give them experiences that will develop their talent, while, at the same time, getting work done.
3. Provide them with useful, specific and timely feedback – stated in a tactful and positive way – that will give them the value of your input in doing it better while also showing that you appreciate their best efforts.

How do you “develop” talent?

- Assess
  - Try to spot the talent, soon after hire.
  - Determine what the person needs to do to be prepared for more responsibility.
  - Find out what the person wants to do or be – what are his/her career goals?
  - Realize that every time you give the person a work assignment or assign him/her a project, the person is getting experience that can build his/her ability for the future.

- Coach
  - Without micromanaging, give individuals real-time, useful feedback about “what to do” and “how to do it” during their work or during their assignment.
  - Provide Feedback
  - You give them a scorecard about how well they did – but focus on the future and what could be.
### How to Classify Individuals by Performance and Potential

<table>
<thead>
<tr>
<th>Present Performance</th>
<th>Future Potential</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>High</strong></td>
</tr>
<tr>
<td>High</td>
<td><strong>High Performers</strong></td>
</tr>
<tr>
<td></td>
<td><em>HR strategy:</em> Keep turnover low.</td>
</tr>
<tr>
<td></td>
<td>Take steps to accelerate their development.</td>
</tr>
<tr>
<td>Low</td>
<td><strong>Question Marks</strong></td>
</tr>
<tr>
<td></td>
<td><em>HR strategy:</em> Convert them to high performers.</td>
</tr>
<tr>
<td></td>
<td>Counsel them to accelerate their development.</td>
</tr>
</tbody>
</table>
Take the following survey. Review the list of possible methods by which to groom individuals in Column 1. Then, in Column 2, check yes or no to indicate whether your agency is using it and, in Column 3, circle the code indicating how effective you feel that method is in developing people to assume future responsibilities. Use the following codes in Column 3:

1 = Not at all effective  
2 = Not very effective  
3 = Somewhat effective  
4 = Effective  
5 = Very effective

<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
<th>Column 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Possible methods by which to prepare</td>
<td>Is your agency using this method?</td>
<td>How effective do you believe this method is for developing people to assume future responsibilities?</td>
</tr>
<tr>
<td>individuals for advancement</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>A Off-the-job degree programs sponsored by</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>colleges/universities.</td>
<td></td>
<td></td>
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<tr>
<td>B On-the-job public seminars sponsored by</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>vendors.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>C In-house classroom courses, tailor-made for</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>management-level employees.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>D In-house classroom courses purchased from</td>
<td>1</td>
<td>2</td>
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<tr>
<td>outside sources and modified for in-house</td>
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<td></td>
</tr>
<tr>
<td>use.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>E Planned on-the-job training</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>F Planned mentoring programs</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>G Planned job rotation programs</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Strategy</td>
<td>How to Use It</td>
<td>Appropriate and Inappropriate Uses</td>
</tr>
<tr>
<td>----------</td>
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<td>-----------------------------------</td>
</tr>
</tbody>
</table>
| 1. Off-the-job degree programs sponsored by colleges/universities | • Clarify job-related courses tied to work requirements of key positions  
• Compare individual skills to work requirements.  
• Identify course related to individual needs.  
• Tie job requirements to degree/course requirements, if possible | **Appropriate:**  
For meeting specialized individual needs that are not widely enough shared to warrant on-site training.  
**Inappropriate:**  
For meeting highly specialized needs unique to one employer. |
| 2. On-the-job public seminars sponsored by vendors | • Compare work requirements to the instrumental objectives indicated by information about the off-the-job seminar. | **Appropriate:**  
When needs are limited to a few people.  
When in-house expertise does not match the vendor’s.  
**Inappropriate:**  
For meeting needs unique to one employer. |
| 3. In-house classroom courses tailor-made for employees. | • Define specific instructional objectives that are directly related to work requirements in key positions.  
• Use the courses to achieve instructional objectives for many individuals. | **Appropriate:**  
When adequate resources exist  
When in-house expertise is unavailable  
When needs can be met in time.  
**Inappropriate:**  
For meeting requirements unique to one agency.  
For meeting objectives requiring lengthy and experiential learning. |
| 4. In-house classroom courses purchased from outside sources and modified for in-house use. | • Identify a learning need shared by more than one person.  
• Find published training material from a commercial publisher and modify for in-house use.  
• Deliver to groups. | **Appropriate:**  
When several people share a common learning need.  
When expertise exists to modify materials developed outside the agency.  
When appropriate training materials can be located. |
### KEY STRATEGIES FOR INTERNAL DEVELOPMENT

<table>
<thead>
<tr>
<th>Strategy</th>
<th>How to Use It</th>
<th>Appropriate and Inappropriate Uses</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Planned on-the-job training.</td>
<td>• Develop a detailed training plan allowing a “tell, show, do, follow-up” approach to instruction.</td>
<td><strong>Appropriate</strong>: When key job incumbent is an exemplary. <strong>Inappropriate</strong>: When the conditions listed above cannot be met.</td>
</tr>
</tbody>
</table>
| 6. Planned mentoring programs | • Match up individuals who may establish useful mentor-protégé relationships.  
• Provide training to mentors on effective mentoring skills and to protégés on the best ways to take advantage of mentoring relationships. | **Appropriate**: For building top-level ownership and familiarity with high-potentials.  
For pairing up “unlike individuals” on occasion.  
**Inappropriate**: For building specific skills. |
| 7. Planned job rotation programs appraisal geared to the rotation and related to future potential | • Develop a specific Learning Contract (or Individual Development Plan) that clarifies the learning objectives to be achieved by the rotation.  
• Ensure that the work activities in which the individual gains experience are directly related to future work requirements.  
• Monitor work progress through giving periodic feedback to the individual and through performance. | **Appropriate**: When there is sufficient time and staffing to permit the rotation to be effective.  
**Inappropriate**: When time and staffing will not permit planned learning. |

Devote significant time to creating training options that ensure staff members have the skills to fill future positions. Some actions to consider when designing training opportunities include:

- Identifying competencies (general and specific) for executives, management, and front-line staff
- Prioritize training options based on the organization’s strategic goals and objectives
- Determining the best way to train
- Committing training funds for training needed to promote staff readiness for future job openings
- Getting employee input about potential career options
- Designing career-development programs for employees
- Assessing the skills of high-potential employees
KEY POINTS ABOUT RETAINING TALENT

Retaining talent does NOT mean:
- “Keep everybody.” Rather, it means “keep the most productive and highest potential employees in the agency above all else.”
- “Hoard the best people in your department and give excellent references to problem employees so you can trick other managers into taking them.”

Retaining talent means:
- “Keep people in this agency – not necessarily in your department” and “encourage people to seek promotion when you know they are ready for it.”

It is worth emphasizing: People want to feel valued for what they do and feel that they are appreciated as human beings, and the manager plays an important role in both of these things.
How do you “retain” talent?

**Recognize**

- Notice the good things that people do and make it a point to comment on them – the more often, the better.
- Make sure what you say is sincere. (If you can’t say it and mean it, then don’t say it.)

**Encourage**

- Help people to “stretch” themselves. Do that by asking tough questions, giving tough assignments, and setting tough deadlines and standards of achievement.

**Reward**

- When people perform well, reward their achievement.
- Rewards do NOT always have to be money.
- Think about what the individual values – rewarding an individual means giving him/her what is valuable to that person.
- In some cases, an adequate reward is simply a heartfelt expression of thanks to the person for what he/she did.

Class discussion-

Answer the following questions:

1. What approaches have you used that really worked in retaining people?
2. What innovative approaches would you like to try out and why?
Once you’ve hired the best, you’ll want strategies to keep them. To build a formal retention plan:

- Develop an effective orientation program
- Ensure managers and supervisors can facilitate transitions into the organization through the assignment of mentors or partners, frequent meetings with the new employee and training
- Implement an equitable reward and recognition program that acknowledges the work of exceptional employees and appeals to all workers
- Assign interesting and challenging work
- Reduce negative workplace practices
- Provide benefits that increase loyalty (for example, wellness programs, flextime, free parking, training, and tuition reimbursement)
- Research and implement best practice retention strategies
- Provide opportunities for all staff to continually enhance skills and increase learning

Additional retention strategies to consider include:

- Flexible work schedules
- Cafeteria benefits plan
- Organizational assessment programs
- Comfortable work environment
- Promotion from within
- Child care
- Safe working conditions
- Job sharing

It is important to note that implementation of some of these strategies may also help attract applicants as well.
CREATE A WORKPLAN

Now that you have prioritized job titles and functions, create solutions to staffing shortages. As you identify actions to address skill gaps, you also may uncover associated costs (for example, staff resources). Reorder your priorities if costs seem excessive relative to the likelihood of success.

Develop implementation strategies for each goal in your project plan. To create the implementation strategies you will want to:

- Research best practices
- Identify barriers and recommendations to eliminate barriers
- Ask for employee input on the topic
- Familiarize yourself with the topic
- Brainstorm potential solutions by evaluating pros and cons of each option

In addition to attracting, developing, and retaining high performing employees, you may also consider organizational interventions and knowledge transfer strategies. Organizational interventions could include:

- Permanent redeployment of staff
- New organizational structure
- Job shadowing for key jobs before an individual retires
- Temporary assignment of staff
- Establishment of a mentoring program
- Mandatory training for employees in key positions

Knowledge transfer strategies involve creating a formal and/or informal process to capture the knowledge of experienced workers before they leave. Knowledge management strategies include:

- Training
- Communities of practice
- Document repositories
- Job aids
- Knowledge fairs
- Lessons learned debriefings
- On-the-job training
- Apprenticeships, internships and trainee programs
- Best practices
- Documentation of processes
- Expert interviews
- Knowledge audits
- Knowledge maps and inventories
- Mentoring
- Storytelling

Create measures of success for each implementation strategy you decide to pursue. Define success and determine outcomes that will demonstrate attainment of goals by developing measures for each specific outcome. Create interim measures of success to be used for monitoring progress, as well as final measures of success.

Measures of success are critical because you will use them to communicate to staff and executives the value of the work done by the succession-planning team. Without measures you cannot prove accomplishments and ensure continue support for the team’s work.
Implement the Plan

In the implementation phase, you will communicate the succession-planning process and implement the strategies defined in it. When you roll out the succession plan, consider the following tips and tasks:

- **Get top management support** – A sense of urgency is the single most important factor in successful succession planning. To establish succession planning as a priority, tie it to the organization’s strategic plan and get resources assigned to the project. Executives and directors will want to determine the best way to get the initiative off the ground and maintain its momentum.

- **Conduct management review meetings** – Review meetings keep the succession planning effort in the minds of top management and give them the opportunity to shape the process. In addition, the senior management team will want to incorporate discussion of the succession planning process in staff meetings.

- **Put development first** – Successful succession planning will result in desired outcomes only if high-potential employees develop their knowledge, skills, and abilities. Ensure that development of staff is a key priority for all departments, divisions, and offices.

- **Move people effectively** – Transition to new jobs must be well planned and well executed for replacement strategies to be effective. Ensure that all managers are involved and supportive of interdepartmental assignments.

- **Engage key stakeholders** – Ensure acceptance for the succession-planning process by engaging individuals representing key stakeholder groups. Before you implement specific strategies, communicate the following:
  - What do you plan to do and what you plan to produce (for example, training, job aids, intranet site, new job classifications)
  - The implementation schedule, including due dates for drafts, revisions, final products, etc.
  - The benefits to employees and the identification of who will be affected and how
  - The individuals responsible for implementation of various strategies
  - The schedule for information to be shared with employees, including the medium of communication

- **Anticipate staff reactions** – Be ready to respond to questions and barriers that arise at all points during the implementation process.

Finally, frame the implementation of the succession strategies as “continuous improvement” and communicate what worked and what will be improved during each step of the process.
Communicate the Plan

Because communication of a major initiative can define its success, sharing information about the plan is critical before, during, and after implementation.

It’s also important to remember that employees determine the significance of an initiative by evaluating the communication associated with the initiative. To emphasize the importance of the initiative, create a communication plan that ensures continued, visible information about the status of the strategic-planning effort. Remember that consistent, visible support from management will encourage employees to support the initiative. To gain support, everyone in management must “walk the talk.”

Components that you may want to include in your plan are:

- A message from the CEO (Department Secretary) (for example, a letter or email, a speech or video)
- Meetings with all staff to explain the project, including the timeline
- Regular updates for all staff through letters, meetings, email, or intranet postings
- Opportunities to ask or get answers to questions during implementation
In the introduction to the succession plan (done by executive staff and management staff), include the following elements:

- **Introduction:** background, goals, assumptions, description of current state of the organization and description of need
- **Description of the project:** sequence and dates of activities, connection between activities and the organization’s strategic plan, avenues for feedback, milestones, and methods to measure progress
- **Explanation of the benefits** (to the organization, as well as to individual workers)
- **Discussion of potential common concerns**
- **Review of critical stakeholders** (each person in the organization is a critical stakeholder)
- **Expectations and commitments**
- **Conclusion**
- **Questions and answers**

When you communicate with staff, use feedback loops to determine how your communication plan is working. Ask what the staff thought about the message, and if they thought the medium and timing was appropriate. Also, ask if other media should have been used and if other groups have been missed or other questions need to be answered.

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**Communication Plan**

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<thead>
<tr>
<th>What</th>
<th>How</th>
<th>When</th>
<th>Who</th>
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</thead>
<tbody>
<tr>
<td><strong>Launch the Initiative</strong></td>
<td>Memo to staff</td>
<td>Before the start of the implementation phase of the project</td>
<td>Department Secretary/CEO, public relations office, directors, managers, and supervisors</td>
</tr>
<tr>
<td><strong>Communicate Progress</strong></td>
<td>Organization newspaper article interviewing succession team members</td>
<td>Weekly, monthly, and daily as necessary</td>
<td>Department Secretary/CEO, public relations office, directors, managers, and supervisors</td>
</tr>
<tr>
<td></td>
<td>Staff meetings</td>
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<td>Regular intranet updates</td>
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<td>Answers to staff questions shared</td>
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<td></td>
<td>Report of attainment of milestones</td>
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<td></td>
<td>Interview with succession planning team</td>
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Monitor, Evaluate, Revise

Once you have implemented the succession plan, monitor progress, evaluate the implementation and revise the plan as needed.

Monitor Progress

To monitor the implementation process, you need to:
- Review progress at predetermined points in time (which should be part of the implementation plan)
- Determine if the succession plan is on track to meet timeline objectives, if not, have the succession-planning team determine how to get back on schedule
- Measure interim results as required, analyze results, and make changes in the work plan as necessary
- Report progress to your organization’s executives on a regular basis
- Create and administer regularly scheduled communication briefings to keep staff informed and answer questions to clarify the project

Evaluate and Revise the Plan

Because succession planning will become an ongoing part of your organization’s business plan, you need to evaluate the effectiveness of the succession plan and make revisions as necessary.

You’ll need to consider several continuous improvement issues. For example, have there been unanticipated changes in the external environment and how will you need to change the succession plan to ensure staffing readiness?

Will your organization achieve its goals given the current pace of the succession planning effort?

Does feedback from staff indicate that they understand the succession planning effort or do you need to revise your communication efforts for this initiative?

Do formal evaluations of the succession-planning process suggest modifications that need to be made to improve efficiency?

Are the staff members replacing retirees able to assume their new job responsibilities without having a negative effect on their direct reports and the organization? Or is your organization experiencing a brain drain in key position that was not addressed in the original plan? If a skill gap exists, what adjustments will the need to make to eliminate the problems now and in the future?

Finally, determine if your organization met the goals of the succession plan and achieved the planned and measurable results. If it didn’t, what corrections will you need to make to attain the goals and objectives of the succession plan? After all, the implementation of a successful succession-planning program will help ensure that your organization is ready to deal with the constantly changing workplace of the future.


Colorado State Website. Available at [http://www.state.co.us/gov](http://www.state.co.us/gov).


Department of the Interior Website. Available at [http://doi.gov/hrm/loiwpf.html](http://doi.gov/hrm/loiwpf.html).


APPENDIX
A & B
APPENDIX A: DOTD SUCCESSION PLANNING POLICY

DRAFT

LOUISIANA DEPARTMENT OF TRANSPORTATION AND DEVELOPMENT

SECRETARY’S POLICY AND PROCEDURE MEMORANDUM (PPM) NO._______

EFFECTIVE DATE: 2007

INSTRUCTIONS: This memorandum supersedes all other memoranda and manuals.

I. OVERVIEW

Succession planning is the systematic process of developing a broad pool of employee talent to meet the staffing needs of DOTD now and in the future. It will ensure the continued performance of the agency by making provisions to address the effects of expected retirements of incumbents in critical at-risk positions in the Department. It will also prepare for unplanned departures of other employees who occupy highly specialized, one-of-a-kind, and/or traditionally hard-to-fill positions. The overall goal of succession planning is to have the right people with the right skills at the right place at the right time.

The main components of succession planning are: 1) the identification of critical at-risk positions; 2) the assessment of potential applicant pools for those positions; 3) the establishment of position competencies required for each position; and 4) the development of employees to be considered for future placement into critical at-risk positions when they become vacant. Employees who participate in DOTD’s Succession Planning Program, however, must understand that their participation does not guarantee future job advancement.

DOTD management fully supports this proactive approach in addressing staffing needs and holds appointing authorities, supervisors and employees accountable for its implementation and continued success. In the administration of this program, DOTD is fully committed to equal employment opportunity for all employees, regardless of race, sex, religion, color, national origin, age, disability, or any other non-merit factor.

II. PROGRAM OBJECTIVES

A. To provide an ongoing supply of well trained and broadly experienced employees who are ready and able to step into critical at-risk positions as vacancies develop.
B. To encourage individual advancement, not only in leadership roles, but in all levels throughout the organization.
C. To enhance employee loyalty, morale and retention by providing challenging and positive developmental opportunities that will facilitate advancement in desired career paths.
D. To align competency-based employee development efforts with DOTD’s strategic objectives such that a ready supply of employee talent will be available to meet the agency’s current and future objectives.
E. To reduce the time and expense needed to fill vacancies in critical at-risk positions because position competencies will have already been identified and talent already developed.

F. To help preserve “institutional knowledge” and perpetuate a knowledge management culture that is evidenced by knowledge-sharing activities encompassed by this program, e.g., cross-training, mentoring, formal internal and external training, increased use of standard operating procedure/individual reference manuals, increased use of double encumbering, etc.

III. DEFINITIONS

A. **Critical At-Risk Position** is a position occupied by an employee who is eligible to retire within the next five years (planned vacancy), or a highly specialized, one-of-a-kind, and/or or traditionally hard-to-fill position occupied by an employee who is not soon-to-be eligible for retirement (unplanned vacancy). In either case, the appointing authority will have predetermined that the position must be promptly re-filled with a qualified applicant when vacated.

B. **Position Competency** is the combination of the knowledge, skills, abilities, and personal characteristics/traits that an employee must possess to successfully perform a particular job.

C. **Skill Gap** is the difference between the competencies the employee already possesses and those that he/she must develop to successfully perform a particular job.

D. **Individual Development Plan (IDP)** is a formal plan designed to address an employee’s skill needs in order to prepare him/her to successfully perform a particular job.

E. **Employee Development Opportunities** are training methods used to prepare individual employees for advancement by developing/enhancing position-required competencies, thereby closing/reducing skill gaps (e.g., position-specific training courses, cross training, assignment to special project(s), job shadowing).

IV. RESPONSIBILITIES

Appointing authorities for each Office, Division, District, Section, or other organizational work unit are responsible for the implementation and successful continuation of this program. Each will ensure that his/her organizational unit complies with its intent and requirements. Each will also annually present to the Executive Staff, a written report on critical at-risk positions and the steps taken to ensure that work quality and productivity will be maintained upon employee departure from critical, at-risk positions. Each will further ensure that the following activities take place on an annual fiscal year basis, as necessary:

1. **Identification of critical at-risk positions.**

   (a) Determine which positions are essential to the organizational unit’s operations, and if vacated, must promptly be re-filled upon employee departure;

   (b) Evaluate essential positions identified in (a) to determine which ones are expected to be vacated within the next five years (planned vacancies) utilizing, as necessary, the annual retirement eligibility report provided by the Headquarters Human Resources Section, their own personal knowledge of employees’ retirement plans, or individually inquire about employees’ retirement plans with their employees, if practical;

   (c) Determine if there are any other positions which are not soon-to-be-vacated, but are highly specialized, one-of-a-kind, or will be difficult to re-fill due to a lack of qualified applicants (unplanned vacancies);
(d) Include all positions identified in Items b) and c) above as potential positions in the succession planning process giving highest priority to positions that are of greater critically or occupied by an employee who is currently eligible to retire;

(e) Include an evaluation of the actual need to fill the position in the future, to fill the position in the same way, to determine if job requirements or duties have changed, to determine if the organization’s needs may better be achieved by filling the position at a different title or level, and to determine if reorganization or combination of the position’s tasks with another position will eliminate the need to re-fill the position. The Headquarters Human Resources Section is available to provide assistance.


Potential internal applicant pools for positions identified in (a) must be assessed for adequacy. The ideal number of employees required for an applicant pool depends heavily upon the individual position at hand. Obviously, if there are multiple positions in the same job title with similar requirements, creating a fairly substantial pool is desirable and probably feasible. However, if the position requires very specialized knowledge/skills, there may only be a limited number of employees who could feasibly be trained and developed to succeed to the position. In view of this, consideration should include the number of employees in the section or district who might be interested or available for the position when it becomes vacant who will not require any special development or training. Available employee records should be reviewed to get more details about which employees are realistically ready to step into a position. The organizational chart should be reviewed to determine if it indicates a sufficient number of employees in “feeder” positions which need no special development or training. If necessary, discussions should be initiated with employees or supervisors within the section or district to obtain information about the potential applicant pool.

3. Establishment of position specific competencies.

Position specific competencies must be established for positions which have inadequate, internal applicant pools. If an insufficient number of employees or no employees at all exist within the organizational unit who are currently ready and able to step into a critical at-risk position, a determination of whether or not there are other employees who may be developed for future advancement must be made.

In order to establish an adequate potential pool of qualified applicants and provide appropriate developmental opportunities to those employees, the essential competencies of a critical at-risk position must be established. Position competencies make up the required knowledge, skills, abilities, and personal characteristics and traits that an employee must possess to successfully perform in the position. The guidelines for establishing competencies are as follows:

(a) The incumbent of the position, the incumbent’s direct supervisor, and anyone else who is familiar with the position (e.g., the second-line supervisor) may work as a team to establish the competencies that are required for the position at hand. A member of the Headquarters Human Resources Section is available to also serve as a team member. The following tools, and any others deemed helpful, may be used to establish position competencies:

(1) Official Position Description Form (SF-3) for the critical at-risk position

(2) Civil Service Job Specification (found on the Civil Service website: http://www.dscs.state.la.us)
(3) Performance expectations documented on the current incumbent’s Performance Planning and review Form (PPR)

(4) Selection criteria previously used to fill the position, if available

(5) List of sample competencies found on the Human Resources website; these competencies should be modified as necessary to fit the particular position

Using these documents and their own knowledge of the skills and talents required, team members will develop a list appropriate to the position. Once competencies are established, they should be weighted in order of importance and criticality to successfully perform in the position.

4. **Employee Development**

Since the purpose of succession planning is to ensure an ongoing supply of employees who are ready and able to step into vacancies as they develop, there will obviously be some participating employees who will ultimately not be selected for advancement when a vacancy occurs. Identification of employees for development for consideration for future placement into critical at-risk positions when vacated must comply with the principles of EEO and the Civil Service merit system. Employees must be advised that their participation in this program does not guarantee future job advancement. Employees must also understand that non-participation does not prohibit them from consideration for future job advancement.

A competency-based Individual Development Plan (IDP) must be developed and implemented for each participant identified. This will establish a formal plan or schedule of developmental activities to address skill gaps between the position-required competencies and those actually possessed. A methodology to provide each participant with oral and written feedback on individual progress on a regular basis must be established.

(a) **Identification of Employees for Participation**

In order to determine interested and available participants in the succession planning process, direct supervisors may choose one or more of the following approaches:

(1) Inquire with all direct reports about their career goals during the employees’ PPR planning process.

(2) Develop all employees who are direct reports to the position and who are also interested in participation.

(3) Include all employees in designated job titles.

Regardless, the criteria used to identify employees for participation should be objective and job-related. Supervisors should avoid having individuals simply “nominate” employees whom they think have “potential.” Regardless of the method used, it will be subject to the same type of standards as selection criteria that is used to fill a vacant position.
(b) Individual Competency Analysis

Once participants have been identified, the current skill level of each employee must be compared to the required competencies of the projected vacancy to determine the skills that need to be developed. That is, an Individual Development Plan (IDP) must be established for each participating employee. The IDP may be incorporated as a separate performance factor in the employee’s annual Performance Planning and Review (PPR).

Supervisors may identify the skills an employee has already attained by reviewing his/her personnel records, training course completions, education, and/or work experience inside and outside of the agency. Employees may also be required to complete a self-assessment questionnaire as an additional method of assessment. Once the employee’s competency levels have been determined, the supervisor must develop the IDP to include the following:

1. Identification of developmental experiences and training each employee must achieve;
2. A schedule for completion of the training and development activities;
3. Documentation of the employee’s performance and progress in his/her developmental plan.

V. PROGRAM ASSESSMENT

Once succession planning has been initiated, appointing authorities should assess the overall process on an ongoing basis. The findings are to be presented in the annual report to the Executive Staff (see Item IV.). The following steps shall therefore be taken to assess the succession planning program:

A. Track individual progress of succession planning efforts and make adjustments where necessary.

B. Obtain feedback from participants to determine how they regard the process.

C. When vacancies occur, determine whether there is a relation between who was selected and the employee’s performance in the succession planning program.

D. Determine whether employees who complete the training and development are staying with the agency or are leaving for employment elsewhere after completing the training.

VI. FURTHER INFORMATION

Additional information on the succession planning process, including supervisory aids, may be found on the Human Resources Section website on the DOTD Intranet. For individual assistance with DOTD’s succession planning process, please contact the Headquarters Human Resources Section (225) 379-1259.
APPENDIX B: LOUISIANA MANAGERIAL AND SUPERVISORY COMPETENCIES

Oral Communication

1. Communicates ideas and facts verbally in a clear and organized way.
2. Adjusts style, tone, and level of verbal communication to fit the audience and situation.
3. Listens to others and shows understanding of what they are saying.
4. Anticipates the implications of words and actions inside and outside of the workgroup.

Written Communication

5. Communicates ideas and facts in writing in a clear and organized manner.
6. Adjusts style, length, and level of written communication to fit the audience and situation.
7. Reviews and critiques others writing in a constructive way.

Negotiating

8. Identifies and understands interests and positions of others (e.g., co-workers, citizens, customers).
9. Applies appropriate negotiation approaches to find mutually acceptable solutions to problems or conflicts.
10. Persuades others to commit to action when appropriate.
11. Gains cooperation from others to get information and to accomplish department/office objectives.

Partnering

12. Builds productive working relationships with key individuals and groups.
13. Collaborates with a variety of individuals and groups from both within and outside the department/office.
14. Identifies concerns of other interested parties (e.g., program users, community, stakeholders, etc.) to find common ground.
15. Works to overcome barriers to partnering.

Interpersonal Skills

16. Provides positive feedback in a way that reinforces or encourages desirable employee behavior.
17. Considers and responds appropriately to the needs, feelings, and capabilities of all individuals.
18. Provides negative feedback constructively.
19. Treats all individuals with sensitivity and respect.
MANAGER’S ROLE IN WORKFORCE AND SUCCESSION PLANNING

ACCOUNTABILITY

20. Takes personal responsibility for work products and services of his/her group.
21. Assures that his/her workgroup’s results are measured.
22. Tracks results of programs or activities and takes corrective action when necessary.
23. Encourages subordinates to take responsibility for work products and services.

PROBLEM SOLVING

24. Recognizes and defines problems and issues.
25. Gathers enough relevant data about problems and issues to conduct a complete analysis.
26. Uses a variety of methods to analyze and interpret data.
27. Generates multiple solutions based on data analysis.
28. Recommends appropriate solutions to problems.

DECISIVENESS

29. Acts decisively when quick action is required, even in uncertain situations.
30. Makes difficult or unpopular decisions when necessary.
31. Exercises good judgment by making sound and well-informed decisions.
32. Considers all factors when making decisions (e.g., legal aspects, political and organizational reality, media, special interests).

CUSTOMER SERVICE

33. Identifies customers/clients and other interested parties (e.g., program users, community, stakeholders, etc.)
34. Establishes and uses feedback systems to understand customer/client expectations.
35. Integrates customer/client needs and expectations into development and delivery of services.
36. Improves the quality of services, products, and processes on an ongoing basis.

PERSONAL JOB EXPERTISE

37. Demonstrates appropriate levels of personal job expertise in daily work responsibilities.
38. Applies procedures, regulations, and policies related to personal job expertise appropriately.
39. Understands job expertise needed by subordinates to do their work.
MANAGER’S ROLE IN WORKFORCE AND SUCCESSION PLANNING

FINANCIAL MANAGEMENT

40. Prepares budget or provides budget input for own area of responsibility.
41. Demonstrates an understanding of the roles of the department/office, Division of Administration, and the legislature in the budget process.
42. Explains or justifies budget requests.
43. Monitors budgets to ensure cost-effective resource use.
44. Makes sound decisions on procurement of equipment, supplies, or services.
45. Demonstrates an understanding of state and department/office procurement regulations.
46. Monitors performance of contractors.

HUMAN RESOURCE MANAGEMENT

47. Anticipates impact of possible changes in staff (e.g., retirement, expertise, T.O.).
48. Takes an active role in recruiting and retaining staff.
49. Provides opportunities for employee orientation, training, and development.
50. Sets performance expectations for subordinates and gives timely feedback about progress.
51. Assesses employee performance and conducts constructive performance reviews.
52. Develops others through coaching and mentoring.
53. Recognizes achievement of performance expectations.
54. Takes appropriate corrective actions with employees.
55. Uses human resources practices that promote good employee relations in the workplace.
56. Supports activities that address employee well-being (e.g., safety, health, wellness).

TECHNOLOGY MANAGEMENT

57. Makes maximum use of available information technology to improve the work group’s effectiveness.
58. Ensures subordinates are trained and capable in computer applications useful in their job.
59. Anticipates changes in technology that will improve workgroup performance.

ADAPTABILITY

60. Responds constructively to changes and setbacks.
61. Maintains a professional demeanor in stressful or difficult situations.
62. Modifies behavior & work methods in response to new information, changing conditions, unexpected obstacles.
63. Remains open to new ideas and approaches.
64. Works on a number of different projects without losing focus.
65. Adjusts as quickly as possible to new situations that need attention.
MANAGER’S ROLE IN WORKFORCE AND SUCCESSION PLANNING

**Motivation to Serve**

66. Encourages employees to believe in the spirit of public service.
67. Creates and supports a climate that encourages employees to provide quality public service.
68. Demonstrates a personal commitment to quality public service.

**Conflict Management**

69. Manages or resolves conflict, confrontations, and disagreements in an appropriate manner.
70. Takes steps to prevent destructive conflict situations.
71. Seeks to resolve formal and informal complaints related to the work group’s responsibilities.
72. Proactively manages conflict resulting from organizational change.

**Diversity Awareness**

73. Recognizes the value of individual differences at all levels of the organization.
74. Creates a climate in which everyone is respected and recognized for their contributions.
75. Provides employment and development opportunities to support a diverse workforce.

**Work Group Team Building**

76. Delegates authority with responsibility.
77. Coaches, motivates, and guides others toward objectives and accomplishments.
78. Encourages cooperation and teamwork within the department, office, and workgroup.
79. Supports group problem-solving, and participative decision-making.
80. Builds trust and open communication among team members.
81. Seeks consensus among diverse viewpoints to build commitment (buy-in).

**Integrity/Honesty**

82. Models and encourages high standards of honesty and integrity.
83. Promotes ethical practices in all organizational activities.
84. Applies department/office policies in a consistent manner.
85. Demonstrates consistency between words and actions.
86. Exercises power, authority, and influence appropriately to achieve department/office objectives.
**PLANNING/OBJECTIVE SETTING**

87. Creates a direction for the workgroup that fits with the department’s vision.
88. Motivates employees at all levels to work toward the department’s objectives, values, and strategies.
89. Recommends changes based upon a strategic plan for the workgroup.
90. Initiates changes within the scope of the job that are based upon a strategic plan for the work group.

**EXTERNAL AWARENESS**

91. Keeps current with laws, regulations, policies, trends and other developments that impact the work group.
92. Keeps current with general trends and developments that impact the department/office.
93. Analyzes and applies lessons learned from other organizations to improve work group results.

**INNOVATION**

94. Creates a work environment that encourages and recognizes creativity and innovation.
95. Recommends innovative or cutting edge programs and processes.
96. Identifies need for new approaches, services, and capabilities.
97. Designs new approaches, services, and capabilities to meet identified needs.
98. Takes necessary action to implement new approaches, services, and capabilities.

**LONG-RANGE THINKING**

99. Recommends effective strategies that fit the external environment which the department/office faces.
100. Applies a long-term perspective when developing strategic plans.
101. Develops objectives and strategies that fit with the department/office’s long-term vision.
102. Adjusts strategic plans in response to changes inside and outside the department.

**CONTINUAL LEARNING**

103. Evaluates personal strengths and weaknesses, and assesses their impact on others.
104. Seeks feedback from others and uses it for self-improvement.
105. Invests time and energy in self-development and professional growth.
106. Creates an environment where learning and developing new skills is part of day-to-day work.
107. Develops and implements methods to share knowledge with others who need it.
WORK PROCESS MANAGEMENT

108. Manages and plans work as a process rather than focusing only on individual jobs.
109. Defines objectives for each work process that they control.
110. Measures and monitors outputs of work processes.
111. Manages work that flows between people and other workgroups.
112. Designs work processes to meet the needs of “customers” of the workgroup.

WORK PROCESS IMPROVEMENT

113. Uses work processes performance measures to identify problems.
114. Eliminates work steps that do not add value to the desired outcomes.
115. Changes work processes when a new approach appears to be better.
116. Works to insure that work processes are as simple as possible.
117. Evaluates process performance regularly to determine if changes are needed.
118. Uses process analysis tools (eg., flowcharts, fishbone diagrams, etc.) to identify and correct problems.

WORK PROCESS REDESIGN

119. Redesigns work processes and procedures when a total change is necessary.
120. Discards old methods of doing things when they no longer work.
121. Evaluates new approaches to work processes continuously.
122. Makes sound decisions about which processes to redesign instead of just improve.
123. Creates a sound rationale for process redesign projects.