

Succession Planning

Presented by

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City of Tallahassee Underground Utilities and Public Infrastructure

Introduction

- Our **discussion** today will be on succession planning.
- Succession planning, like strategic planning, is about **achieving your vision**.
- This discussion will be held in the context of the Sterling Framework for Performance Excellence.
- My organization, UUPI, adopted the framework with it's 2010 strategic plan, started self assessment in 2011, did the challenge in 2014, won the award in 2015 and achieved the sustained this year.
- I have been an examiner since 2014 and took Sterling Leadership Training in 2013. I have had the privilege of seeing both perspectives of applying the criteria.



We're still on the path....

- We recognized succession planning as a challenge when we did a Sterling self assessment in 2011, it was an opportunity in our Sterling Challenge in 2014, an opportunity with our GSA in 2015, and is still an opportunity with our Sustained in 2018.
- We've gotten better with each cycle of improvement, and today we'll share what we learned, and hopefully, with discussion – learn from you!



In the Sterling Framework....

- Succession Planning is found in the leadership category under both 1.1 and 1.2.
- It is also found under the Workforce category under 5.2.
- In all three items, it is deep into the multiple requirements.
- This may understate its importance (my opinion, not Sterling's)

1.1 Senior Leadership

- 1.1 Senior Leadership: How do your senior leaders lead the organization?
 - a. Vision, Values, and Mission
 - 3) Creating a Successful Organization: How do senior leaders' actions build an organization that is successful now and in the future? How do they:
 -
 -
 -
 - participate in succession planning and the development of future organizational leaders?

1.2 Governance and Societal Responsibilities:


- 1.2 Governance and Societal Responsibilities: How do you govern your organization and fulfill your societal responsibilities
 - a. Organizational Governance
 - 1) Governance System: How does your organization ensure responsible Governance? How do you review and achieve the following key aspects of your Governance system:
 -
 - (a total of 8 bullets... # 8 is)
 - Succession planning for senior leaders?


5.2 Workforce Engagement

- 5.2 Workforce Engagement: How do you engage your workforce to achieve a high-performance work environment?
 - b. Workforce and Leader Development
 - 3) **Career Progression: How do you manage career progression for your organization?** How do you manage career development for your workforce? How do you carry out succession planning for management and leadership positions?

What is Succession Planning?

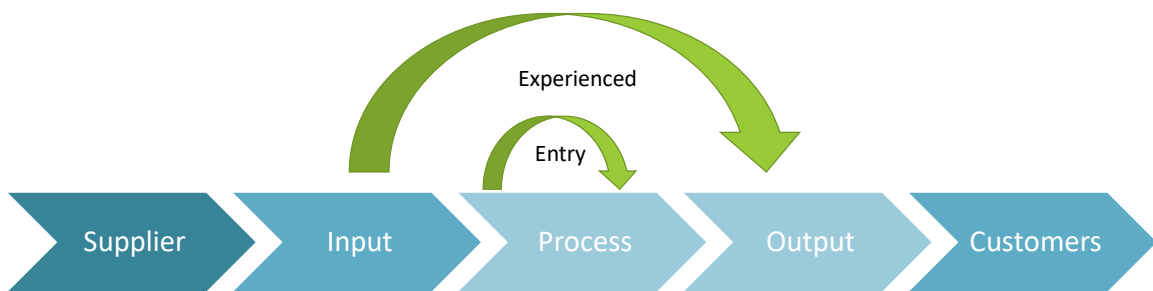
- **Succession planning** is a process for identifying and developing new leaders who can replace old leaders when they leave, retire or die. Succession planning increases the availability of experienced and capable employees that are prepared to assume these roles as they become available. Taken narrowly, "replacement planning" for key roles is the heart of succession planning.
- https://en.wikipedia.org/wiki/Succession_planning

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- Succession planning is a focused process for keeping talent in the pipeline. It is generally a 12- to 36-month process of *preparation*, not *pre-selection*.
 - <https://www.shrm.org/resourcesandtools/tools-and-samples/toolkits/pages/engaginginsuccessionplanning.aspx>

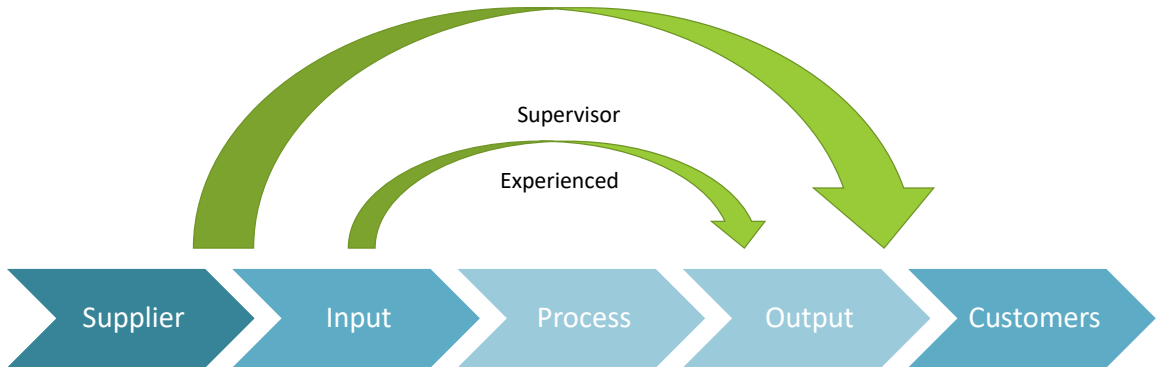
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- It's a strategy for developing people who can move up when a key employee leaves.
 - <https://www.roberthalf.com/blog/management-tips/7-steps-to-building-a-succession-plan-for-success>

- Succession planning is ensuring that there is an actionable plan in place to fill each and every position in an organization when it becomes vacant.
- <http://gordonklein.com/Sterling/SuccessionPlanningSterling.docx>
- Just my humble opinion

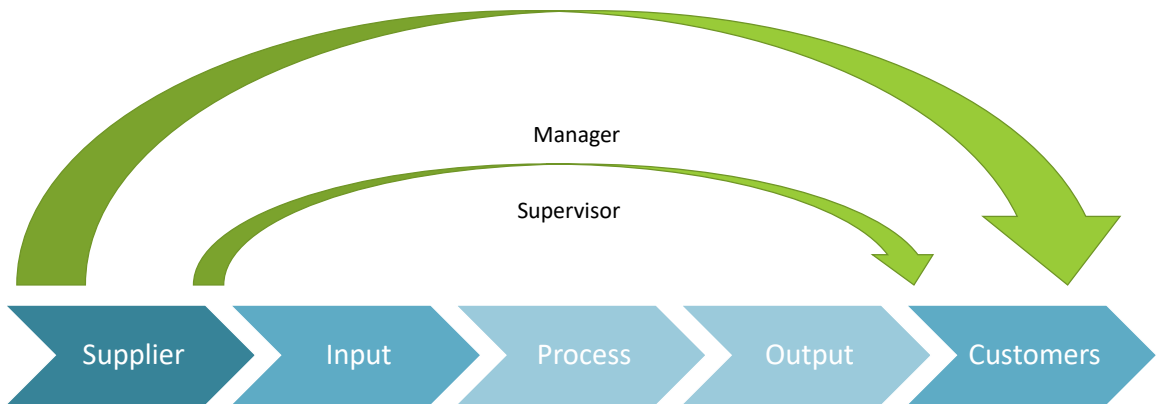
The SIPOC framework



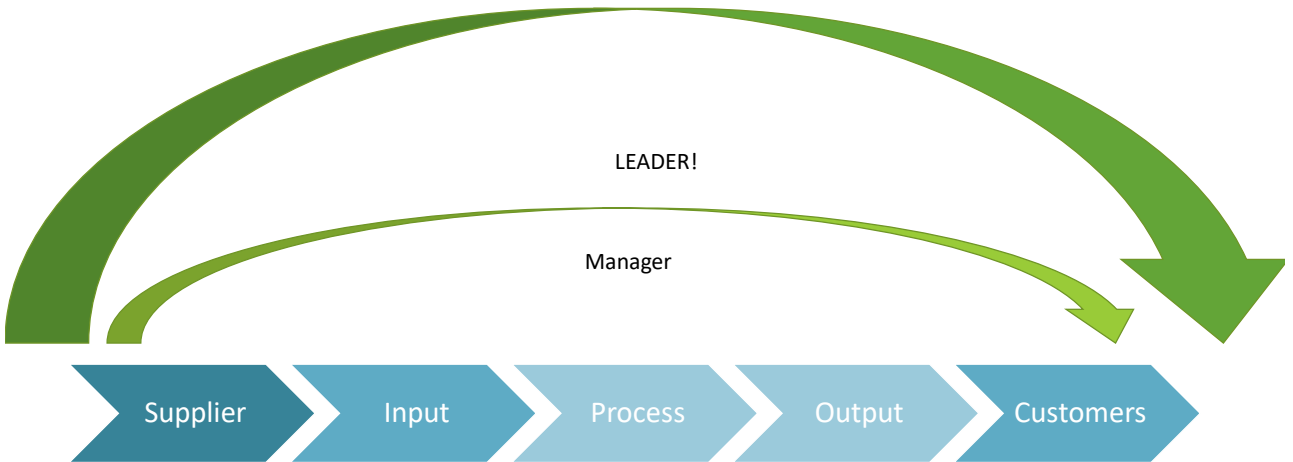
The SIPOC framework



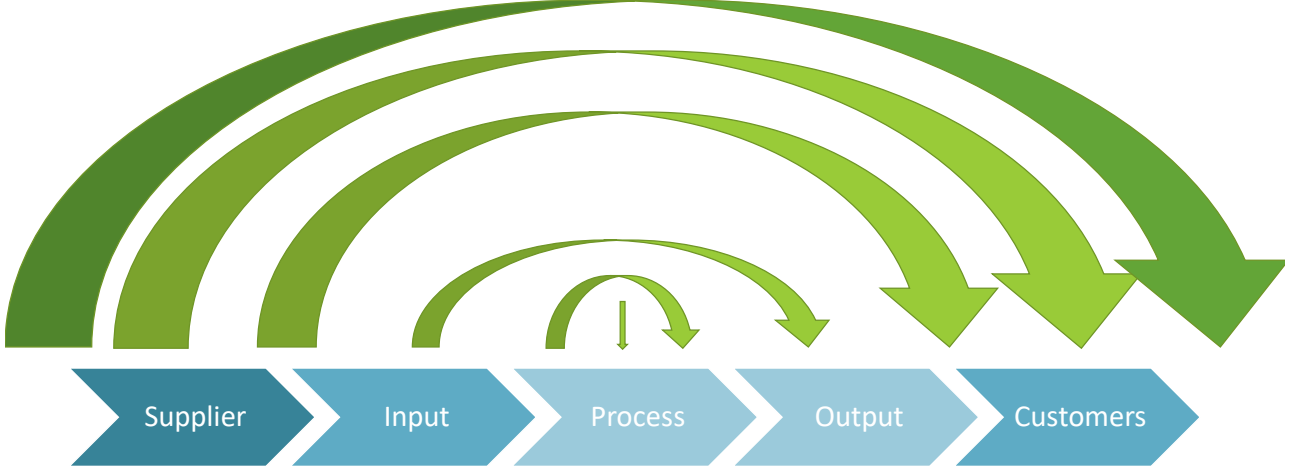
The SIPOC framework



The SIPOC framework



The SIPOC framework



The four programs

- GAP 1: Entry Level to valued/experienced employee
 - Career Progression Program(LaDR)
- GAP 2: valued/experienced employee to Supervisor/Team Leader
 - Supervisor Roadmap
- GAP 3: Supervisor/Team Leader to Manager
 - Management Training, CPM, Sterling, Mentoring/Coaching, Acting Status
- GAP 4: Manager to Leader
 - Aligned to strategic plan / sell the VMM

Program 1: Career Progression Program (CPP)

- Objectives
 - What is it?
 - Why do it?
 - What are the limits?

Lesson 1: Career Progression Program (CPP)

- CPP starts at entry level goes to the highest level that you would love for EVERYONE in that position to achieve.
- It has clearly documented training and performance requirements that must be met to advance.
- When those requirements are met – advancement happens – not “apply and hope”.
- It has **must progress**, and may progress levels.
- As positions become vacant, they revert back to entry Level.



Learning and Development Roadmap

Inception: March 13, 2014
Version Date: September 15, 2015

Underground Utility Technician Position Plan



"Setting the Standard for Excellence"

Career Progression Program (CPP)

- UU&PI currently has 5 CPPs in place. Each created by working closely with HR, our Staff and Managers – and using new job titles created within our existing Class and Pay plan.
 - Underground Utilities Technician I through III
 - Gas Technician I through III
 - Public Infrastructure Technician I though III
 - Wastewater Treatment Plan Operating I through III
 - Wastewater Treatment Plant Mechanic I through III
- This covers close to 50% of our staff.

LaDR Approval	
	9/15/15
Tim Potter, Manager, Utility Construction Operations	Date
	9/15/15
Charles Ziegmont, Career Progression Coordinator	Date
Underground Utility Technician Panel	
	9-20-15
Todd Hacker, Superintendent, Utility Construction Operations Panel Chairman	Date
	9-15-15
Shannon Aviera, Foreman	Date
	9/15/15
Richard Cuyler, Foreman	Date
	9-15-15
Tracy Glover, Foreman	Date
	9-15-15
Anthony Wehr, Maintenance Construction Chief	Date
	9-29-15
Shawn O'Quinn, Foreman	Date
	9/15/15
Henry Proff, Maintenance Construction Chief	Date
	9/20/2015
Artie Sellars, Foreman	Date
	9-29-15
Edward Smith, Equipment Operator	Date

Underground Utility Technician Position Plan (LaDR) Inception: March 13, 2014, revised Sept. 15, 2015

Career Progression Program (CPP)

- Employees progress from a Tech I, to a Tech II to a Tech III Job Title
- There are two opportunities within each Job Title for recognizing “additional duties” and adjusting pay.
- It is the responsibility of the employee to follow the Learning and Development Roadmap (LaDR) and request progression.
- Progression Requests are reviewed by a Technician Panel to avoid favoritism.
- Employees are REQUIRED to progress to a Tech II within 24 months or employment is terminated.

S.2 Career Progression Review Request Form

EMPLOYEE	
Name: _____	Employee ID: _____
Current Position Level (LaDR rung): _____ (e.g. UUT1-1)	Position No: _____
Requested Position Level (LaDR rung): _____ (e.g. UUT1-2)	
I certify that I have attended and passed all the necessary training and evaluation requirements identified in the position LaDR and I am qualified to request progression to the next position level (LaDR rung). Included with this request form is a printout of my training record from PeopleSoft and my LaDR binder with supervisor evaluations.	
Signature _____	Date _____
SUPERVISOR	
Name: _____	Employee ID: _____
Position No: _____	
I certify that as direct supervisor of the above employee, and I concur with their determination of being qualified to request progression to the next position level (LaDR rung).	
Signature _____	Date _____
(Supervisor forwards form and Progression information to appropriate Admin staff for training summary report.)	
PANEL	
<input type="checkbox"/> PeopleSoft Training Record has been provided and matches the dates in the employees' LaDR binder; <input type="checkbox"/> Employee was interviewed on _____ and has met the Panel's approval for progression. (Re-class only)	
We certify that the above employee has met the progression requirements to the next position level (LaDR rung).	

Career Progression Program (CPP)

- The LaDR contains 5 types of training required to progress:
 - City Required Training
 - UU&PI Required Training
 - Health and Safety / Environmental Training
 - License Specific Training
 - Job Specific Training

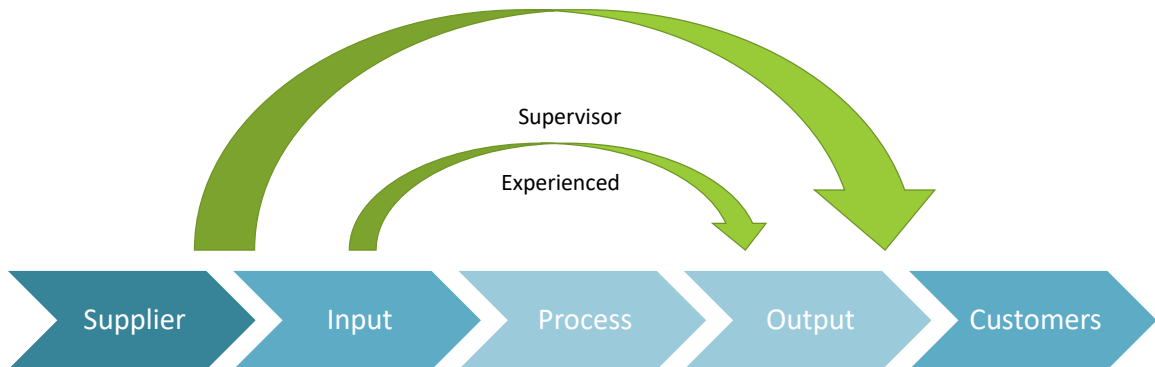
CPP: Wrap-up

- New employees know exactly what they need to do to increase their responsibilities and SALARY.
- The difference between entry level Tech I and top level Tech III is 55%, and can be achieved in 2 to 3 years.
- If ALL Techs were at the top level of Tech III – we would be happy – not top-heavy.
- Employees MUST progress to Tech II or make room for someone else – no more 30 year employees in entry level positions.
- Questions / Discussion.

Program 2: Supervisor Roadmap

- Objectives
 - What is it?
 - Why do it?
 - What are the limits?

The SIPOC framework



Supervisor Roadmap

- One of the most challenging transitions for an employee to make.
- Purpose: “Provides and instructional framework for the development of essential supervisory skills, competencies and abilities while fostering opportunities for career development”
- Builds on Supervisory Training included in CPP.
- It’s a framework, not a rule.
- Does NOT include automatic progression but the opportunity for career development.

UNDERGROUND UTILITIES
&
PUBLIC INFRASTRUCTURE

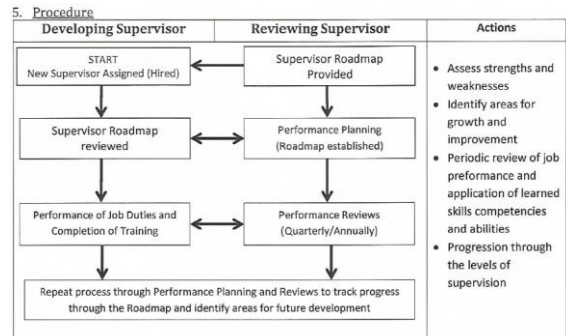
Supervisor Roadmap

Version Dates: May 25, 2017



Supervisor Roadmap

- Has 3 levels of training
 - Level 1 – Supervisory Basics
 - Building Relationships
 - Level 2 – Supervisory Intermediate
 - Strategic Planning



Supervisor Roadmap

- Level 1 includes:
 - Policy Review
 - City Required Supervisory Courses
 - Regular attendance at UU&PI monthly Supervisor Enrichment Program
- Level 2 includes:
 - UU&PI training
 - Includes Level 1-4 of CPM
 - Six Sigma Yellow Belt
 - Demonstration of application of skills through engagement activities / leading teams
- Level 3 includes
 - Skill Development through Knowledge and Self Training
 - Includes Level 4-8 of CPM
 - Six Sigma Green Belt
 - Attendance at Sterling Conference
 - Professional Certifications (i.e. PMP)
 - Demonstration of application of skills through engagement activities / leading teams

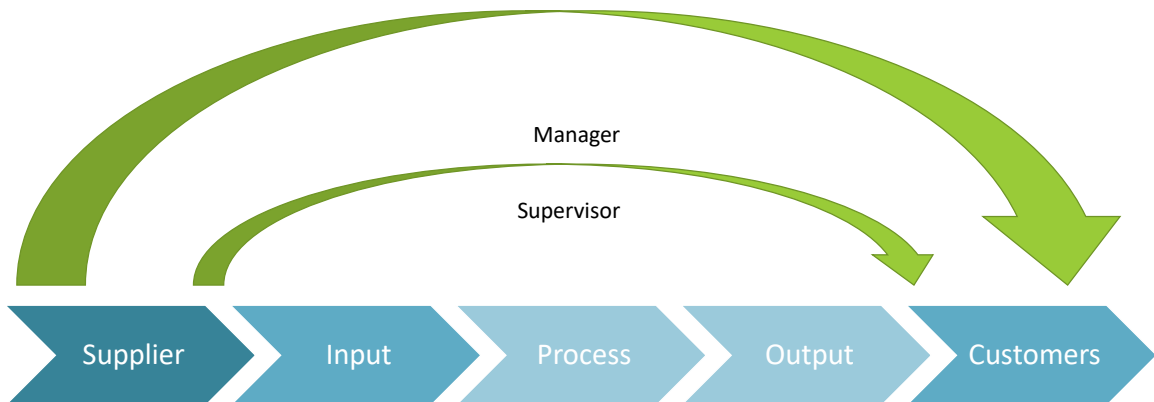
Supervisor Roadmap: Wrap-up

- Moving from worker to supervisor is where we start seeing the “Peter principle”.
- Putting a person in that position without training and support is untenable.
- The Supervisor Roadmap allows your staff to:
 - Succeed with the NEW responsibilities
 - Prepare to advance to the next level.
- Questions / Discussion?

Program 3: Management and Leadership Training / Position Risk Assessment / Participant Training and Development Plan (PTDP)

- Management and Leadership Training should be ongoing, with a known curriculum and clear expectations to use the learnings acquired.
- While all positions are critical (or get rid of them) some are more critical than others. The cost of vacancy is higher.
- Internal staff at this level interested in higher level positions need an individualized training and development plan as well as coaching, mentoring and encouragement.

The SIPOC framework



Management and Leadership Training

- This actually starts new employee orientation
- It's built into the CPP
- It's built into the Supervisory Roadmap
- At the Professional, Management and Leadership level, the employee – in partnership with his manager needs to build it into their career plans
- It's more than classwork – its reading, research, participation and taking responsibilities that stretch you.
- It's the result of a "Learning Organization".
- Our Training Tools include:
 - New Public Servant Initiative
 - Certified Public Manager
 - Sterling Leadership Training
 - Six Sigma Training
 - Professional Conferences and training on Industry Topics
 - Quality and Leadership Conferences and training such as Sterling Annual Conference and regional conferences
 - Active Participation in Industry and Professional Associations
 - Mentoring and Coaching

Back to Criteria....

- 1.1 Senior Leadership: How do your senior leaders lead the organization?
 - a. Vision, Values, and Mission
 - 3) Creating a Successful Organization: How do senior leaders' actions build an organization that is successful now and in the future? How do they:
 - create an environment for the achievement of your mission, improvement of organizational performance, performance leadership, organizational learning, and learning for people in the workforce;
 -
 -
 - participate in succession planning and the development of future organizational leaders?

Assess Positions

- Step 1: A questionnaire is used to numerically rank each existing position a number of factor that relate to either:
 - The role of the position
 - The role of the person filling the position
- Step 2: Define contribution needed from the position and/or the person that may leave
 - Some of an organizations most valuable people perform roles beyond their position. What's in the job description may not be what you're looking for. Document the roles of **both** the position and the person.

City of Tallahassee-Underground Utilities-Position-Criticality-Survey

Please answer the 11 related to the position listed below. Please return your response to Gordon Klein, Administrative Services Manager by no later than the close of business **Friday June 13, 2014**. Your answers will be used by the UU Succession Planning team to identify and rank the criticality of UU positions.

It is a "best practice" in succession planning to identify critical positions in order to focus efforts and prioritize the allocation of resources. By managing our most critical risks first, we will ensure that leadership continuity is in place to sustain the achievement of business results and the delivery of public services.

Your assistance with this effort is greatly appreciated.

Deptid:
 Position No.:
 Incumbent:

Please indicate the extent to which you agree with the following statements using the 0-5 scale where 0 means that you strongly agree.

	Strongly disagree	Disagree	Disagree Somewhat	Agree Somewhat	Agree	Strongly Agree
1.-> If this position were left vacant, it would cause serious difficulties in delivering on UU commitments and priorities.	0	1	2	3	4	5
2.-> If this position were left vacant, it would cause serious difficulties in achieving operational and strategic goals at the department level.	0	1	2	3	4	5
3.-> If this position were left vacant, it would cause serious difficulties in meeting legislative or regulatory requirements.	0	1	2	3	4	5
4.-> If this position were left vacant, it would be detrimental to the health, safety or security of the public.	0	1	2	3	4	5
5.-> There is a significant likelihood that the incumbent will leave this position.	0	1	2	3	4	5

Define the Position

Position Roles and Responsibilities

- Are the roles, duties, tasks of this *position* well documented? Is this what you are seeking to fill upon vacancy?

Person Roles and Responsibilities

- Are the roles, duties, tasks of this *person* well documented? Is this what you are seeking to fill upon vacancy?

Assess the Position

Position Related Factors

- cost of the position being vacant
- regulatory mandate for position
- pool of candidates to fill the position
- time needed to fill the position
- time needed to learn the duties of the position

Person Related Factors

- Incentive to stay in the position
- Incentive to leave the position
- imposed reasons to stay in the position
- imposed reasons to leave the position

(An imposed reason is something limiting the incumbents choices, like lack of other jobs, or declining health.)

Define your Options (brainstorm – debate – decide)

- Fill as is or change position? Why? How?
- Competitively hire or appoint? Why? How?
- Hire on or before vacancy? Why? How?
- Hire internally or externally? Why? How?
- Recruit locally or globally? Why? How?

Our Current Focus

- Currently we have three initiatives related to Succession Planning – all three of which were discussed/debated/and ranked in our annual strategic planning retreat.
- Review and adjust salaries, particularly starting salaries, to attract more/better candidates for some of our positions. *
- Increase/Improve marketing of key vacancies to , to attract more/better candidates for some of our positions.*
- **Participant Training and Development Plan (PTDP)**

(*) – out of scope of this presentation

Participant Training and Development Plan (PTDP)

- All UU&PI staff not included in CPP were surveyed regarding their interest and willingness to participate in individual development plans to make them better candidates for advancement – and what advancement they sought.
- Results are shared with individual managers/supervisors and the UU&PI Succession Planning Team.
- Individual Development plans created are shared with, and followed up on by the Succession Planning Team – which will report to the SLT.

CITY OF ALLAHASSEE Participant Training & Development Plan Department Succession Planning			
<i>Definition of Succession Planning: A departmental commitment that encourages management/leadership development, builds a talent pool within the department, and ensures leadership continuity. This work plan is designed to provide a general outline to guide and facilitate staff development.</i>			
Name	Department		
Employee Number			
Date	Supervisor		
List Areas of Strength (Knowledge, skills, and competencies)	List Participant Areas for Development		
Competencies	Goal(s): Please include 3-5 significant training and development goals		
Skills/Knowledge			
Action: Indicate below the specific action for achieving the areas for development		Start Date	Completion Date
1 -> Mentor Assigned: Mentoring – being paired with a senior, experienced manager to receive guidance and advice on career development			
Comment			
2 -> Job Shadow(s): Job shadow – observing another employee with the desired skills			

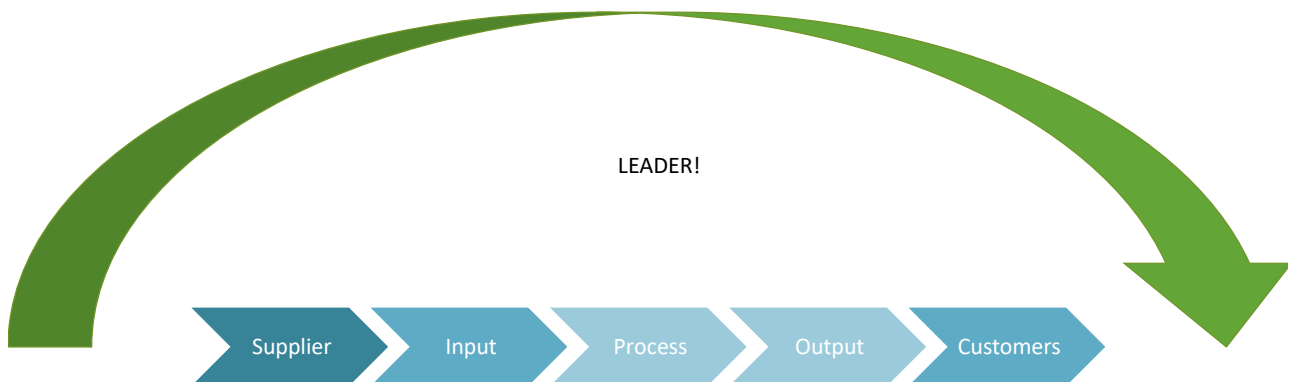
Program 3: Wrap-up

- Career Development at the Professional, Management, Leadership level is very individualized. Even so, a training curriculum at this level greatly enhances the Career Development potential
- It is important to assess all you positions for organizational risk if they are vacant (or the person is not longer there)
- It is important to reassess what you want out of each position
- It is important before you try to build an internal pool to assess your staffs interest in being in that pool
- Developing a person to be a good candidate for an internal position takes work from both the person and the manager – but it pays off.
- Questions/Discussion

Program 4: Leadership Succession Planning

- Leadership isn't about "hard" skills
- Leadership isn't about "soft" skills
- Leadership is the ability to articulate a vision, plan to accomplish the vision, and execute the plan while sustaining or improving current levels of performance.
- As the Supreme Court Justice said... "I know it when I see it!"

The SIPOC framework



The next Leader....

- An Organizations Leader is chosen by :
 - Its Board of Directors,
 - A higher level executive, or
 - An outgoing leader.
- Leaders are not hired to dwell on the past or stay stuck in the present, but to LEAD to the future.
- The roadmap to the future is your Strategic Plan
- If your Board buys into your strategic plan...
- They will hire the best candidate to execute it.



Developing your Next Leader Roadmap....

- The Malcom Baldrige / Florida Sterling Framework
- If your board agrees with your Vision and has approved your Strategic Plan to accomplish it...
 - They will hire a leader that they believe can execute that strategic plan!
- If not...
 - They will hire a leader who can understand their vision, and develop and execute a strategic plan to get there.



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The Epicenter of Excellence

The Criteria as a Leader Roadmap

- If you have:
 - a sound leadership system with a clear VMV, including a leadership development system (Crit. 1)
 - Involve the SLT and all staff in developing and executing a Strategic Plan (Crit. 2)
 - That focuses on meeting the needs of the Customer, not and tomorrow (Crit. 3)
 - That leverages a highly trained and engaged workforce (Crit. 5)
 - To perform well defined and monitored processes to product your product (Crit. 6)
 - That captures, maintains, reviews and uses knowledge and information about all aspects of the organization (Crit. 4)
 - And produces RESULTS! (Crit. 7)
- You have grown a pool of potential leaders for your organization internally, AND you know what you would be looking for in an external leader candidate.

Leadership Succession Planning : Wrap-up

- The difference between and Effective Manager and an Effective Leader is Leading.
- Put in a Manager/Leadership Training program, and allow potential successors to perform / act at a higher level.
- The next organization leader will either be hired to execute the Strategic Plan, or to create it. If you don't have buy in on your Strategic Plan, re-work it.
- Questions / Discussion?



Done with the Slides... let's talk

- Do you have any questions?
 - Did you learn anything?
 - Do you have something to share?
-
- Thanks – Gordon. Gordon.klein@talgov.com