



2012

# WORKFORCE AND SUCCESSION PLANNING

Toolkit to Identify and Address Strategic Talent Gaps

Workforce Management Office

NOAA

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## TABLE OF CONTENTS

INTRODUCTION .....	3
WORKFORCE PLANNING .....	3
STEP 1: SET THE STRATEGIC DIRECTION .....	5
STEP 2: ANALYZE YOUR WORKFORCE .....	6
STEP 3: DEVELOP AN ACTION PLAN .....	9
STEP 4: IMPLEMENT YOUR ACTION PLAN .....	11
STEP 5: MONITOR, EVALUATE, AND REVISE .....	12
LEADERSHIP SUCCESSION PLANNING .....	13
STEP 1: ESTABLISH STRATEGIC ALIGNMENT .....	15
STEP 2: ID SUCCESSION TARGETS AND ANALYZE TALENT POOLS .....	16
STEP 3: DEVELOP THE SUCCESSION MANAGEMENT PLAN .....	17
STEP 4: IMPLEMENT THE SUCCESSION MANAGEMENT PLAN .....	19
STEP 5: EVALUATE SUCCESSION PLANNING STRATEGIES .....	19

## INTRODUCTION

NOAA's Workforce Management Office (WFMO) designed this toolkit to help our Line and Staff Offices (LO/SOs) address workforce issues and align their workforce requirements directly to the Agency's strategic and annual operating plans. Taking this comprehensive approach will enable each Office to develop its unique workforce plan around the clearly identified implications of critical capability gaps. This toolkit helps to guide Office decisions about how best to organize and deploy human resources with strong and effective workforce and succession planning that systematically addresses the issues that drive workforce change, and to identify and overcome internal and external barriers to accomplish strategic workforce goals.

This toolkit addresses two vital processes: workforce and succession planning. Workforce planning focuses on the staff talent you have at present and what you will need in the future. Succession planning addresses developing staff leadership talent within the organization or recruiting new staff to step up as key managers retire. The steps for each type of planning are explained below; if you wish to discuss them further with WFMO specialists, contact: David Sweeney, at 301.713.6329 or [david.sweeney@noaa.gov](mailto:david.sweeney@noaa.gov)

## WORKFORCE PLANNING

Workforce planning is the systematic process to identify and address the gaps between the workforce of today and the human capital needs of tomorrow. It provides the foundation for strategic human resource decisions. As with any planning, it requires strong management leadership and cooperative, support staff efforts in several functional areas: program management, human resources, budgets, and program staff. In developing a workforce plan, your organization should systematically address the issues that drive change.

Why is workforce planning necessary? Workforce planning involves having:

- The right number of people.
- With the right knowledge, skills, and abilities (KSAs, also known as competencies).
- In the right positions.
- At the right time.

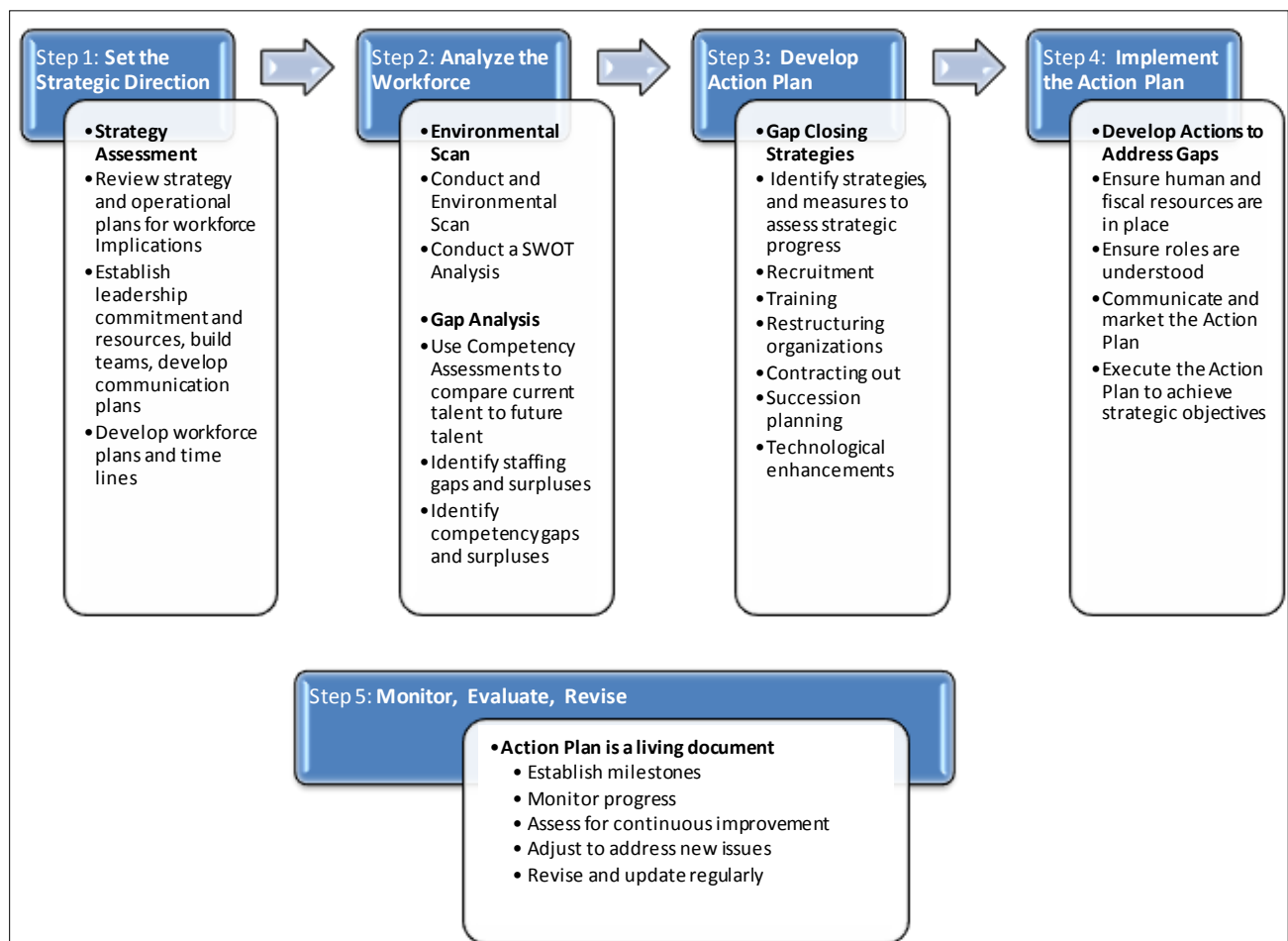
Workforce planning addresses staffing needs by:

- Linking human resources planning with strategic planning to ensure that your staff is aligned with the Agency's strategic goals and objectives.
- Understanding how the Agency's mission will change over time.
- Understanding how mission changes will affect job requirements.

- Understanding how the workforce is changing in terms of demographics, skills, interests, and performance.
- Understanding how well your current workforce is prepared for future job requirements and identifying potential gaps in capability.
- Developing strategies (such as recruitment, retention, training, etc.) to address staffing needs, based on the gaps.

Workforce planning is a part of a larger strategic planning process, and is directly tied to your Office or Division strategic plan. A strategic plan will give your workforce planning a strong base. If you do not have a strategic plan, consider developing one now. If you have no strategic plan and have compelling reasons to skip strategic planning for now, The Five-Step Workforce Planning Model (Figure 1, discussed in detail in the next section) offers an alternative approach, and is a useful starting point to understand the basic elements of workforce planning.

**Figure 1. The Five-Step Workforce Planning Model**



## STEP 1: SET THE STRATEGIC DIRECTION

A strategic vision provides multiple benefits to an Agency. First, it represents a broadly shared sense of organizational direction and purpose. Direction is needed because few organizations have achieved greatness by being all things to all customers. Strategic vision also is essential to organize and align the Agency. Developing this vision requires considerable analysis and reflection by top management as well as communication with — and feedback from — employees and external stakeholders.

Finally, a strong strategic vision connects the organization's goals to its underlying values, and defines goals and measurable objectives. These goals and objectives identify future functional requirements and provide the basis to determine budget and staffing needs. Workforce planning complements and follows strategic planning. A workforce plan also translates strategy into training needs.

When you identify future functional requirements, focus on function, not on the people needed to do the job. The overarching question is, "What key functions need to be performed in order to accomplish the goals and objectives set out in the strategic plan?" The answer may include many of the organization's current functions and forecast important future functions and activities.

What is the appropriate organizational level to develop a workforce plan? There is no single answer. A useful guideline to determine planning levels is whether the outcomes of workforce planning relate directly to the organization's strategic plan. The level of analysis should be at least equivalent to that of the strategic plan, and preferably carried out at the program-level basis where the front-line effects will be felt.

When setting the strategic direction, you should address the following:

- How to link your activities and programs to the NOAA and your LO or SO strategic plans and NOAA's Strategic Human Capital Plan:
  - NOAA's Next Generation Strategic Plan ([www.ppi.noaa.gov/ngsp/](http://www.ppi.noaa.gov/ngsp/)).
  - NOAA's Strategic Human Capital Management Plan ([www.wfm.noaa.gov/pdfs/Strategic\\_Human\\_Capital\\_Management\\_Plan.pdf](http://www.wfm.noaa.gov/pdfs/Strategic_Human_Capital_Management_Plan.pdf)).
- How your activities and programs link to NOAA's annual performance and business plans:
  - NOAA's Annual Guidance Memorandum ([www.ppi.noaa.gov/see/agm/](http://www.ppi.noaa.gov/see/agm/)).
  - NOAA's Business Operations Manual ([www.ppi.noaa.gov/wp-content/uploads/BOM.pdf](http://www.ppi.noaa.gov/wp-content/uploads/BOM.pdf)).
- How your activities support the goals and objectives of the strategic plan (long-term) and performance plans (short-term).
- How to structure the organization (e.g., determine what must be done for continuance of Government Operations, determine necessary layers, streamline functions, consolidate organizational elements) and its processes/workflow to carry out activities.

- How to update the process continually to reflect mission changes, technology advances, funding levels, competitive sourcing, and other change drivers.

See [“Setting the Strategic Direction”](#) Workforce Planning Step One Worksheet.

## STEP 2: ANALYZE YOUR WORKFORCE

Workforce analysis is the foundation of any good workforce plan. It involves three distinct phases:

- Supply Analysis
- Demand (or Needs) Analysis
- Gap Analysis

Altogether, this process yields information that can be used with the other components of workforce planning to form a strategic plan for the workforce challenges of the future. The whole analysis should be revisited periodically (e.g., quarterly or annually) to identify new trends and factors.

Workforce analysis considers such information as job classifications, skills, experience, retirement eligibility, diversity, turnover rates, education, and trend data. In this step, you will review the work your Office or Division must perform to achieve its goals and objectives, and the knowledge, skill sets, and the staffing levels required to perform that work. This effort also results in a clear and accurate image of the organization itself, both internal and external. The process begins as you identify environmental topics to review. Internally, this environmental scan will include such areas as: personnel, budget, facilities, organizational culture, other resources, etc. External areas might include vendors, regulations, etc. This scan is, essentially, an inventory of the variables in the setting, or environment, where the work is done.

Once the environmental scan is completed, the “SWOT” analysis begins, that is of the strengths, weaknesses, opportunities, and threats that you face. The organization’s internal strengths and weaknesses are identified, as are opportunities and threats that exist or may arise in the external environment. There are three more phases in workforce analysis:

1. **Supply Analysis** — focuses on your Agency’s existing and future workforce supply. It answers the question, “What is the profile of our current workforce, and what does it need to be in the future to accomplish our goals and objectives?” Once the functions that must be performed have been determined, you must then identify the staffing (or workforce) needed to perform those functions. Focus on defining the competencies that your staff must possess to successfully perform the work. Determine the number of

people with these competencies your Agency will need to accomplish its mission and goals.

Evaluating current employee and demographic data will help to identify future needs as well as a projected workforce strategy. Usually, this data has already been collected somewhere in the organization, and includes:

- Demographics of your current workforce (e.g., gender, ethnicity, disabled, full/part time, etc.)
- Size and distribution
- The number of people are performing each job
- Employee/supervisor ratio
- The grades, series, geographic locations, types of positions occupied, pay plan, veteran representation, diversity etc.
- Attrition rates
- Retirement (including those employees who are retirement-eligible now and those who will be in the near future)
- Results from employee surveys and exit interviews
- Recruitment data from the last 2–3 years
- How the organization uses multi-faceted techniques to close competency gaps

2. ***Demand Analysis*** — identifies the future workforce needed to carry out the Agency’s mission. This step focuses on the work the Agency must perform and the staff needed to perform that work. In this step, identify the current work functions being performed, future or new functions that will need to be performed, and how the work will be performed in order to achieve the goals of your strategic plan. You may also identify current functions that *will not* be necessary in the future due to changes in technology or responsibility in providing specific services.

Evaluate the future needs of the Agency by answering the following questions:

- How essential is each job?
- What job functions, if any, could be consolidated?
- How many people will be needed in the future to perform each job?
- What knowledge, skills, competencies, and abilities are needed to perform anticipated job functions?
- How will technology change?
- What could be done more effectively or efficiently?
- What activities can the Agency stop doing?
- Are there opportunities to reorganize?
- What is the organization’s strategic direction?
- What are the organization’s diversity objectives?

3. **Gap Analysis** — compares the results of your Supply and Demand Analyses. Any mismatches indicate either a projected unmet need or surplus, either of which presents a challenge. Once you identify these gaps, use the results of the other core components of your workforce plan to craft possible solution and develop an Action Plan. Gap Analysis results will show one of the following:

- **Gap** — projected supply is less than forecasted demand. This indicates a future shortage of needed workers or skills. It is important to know how what critical jobs will have gaps so the necessary training or recruiting can be anticipated.
- **Surplus** — projected supply is greater than forecasted. This indicates a future excess in some categories of workers that may require action. The surplus data may represent current job classifications or skills that will not be needed in the future or not to the same extent as today.

You must measure the extent of any gaps for each classification and competency set, and identify where candidates will come from to fill these gaps. To craft possible solutions for these gaps between current resources and future needs, you will use the results of other core components of your workforce plan. Some approaches to address a gap or a surplus include:

- Ensure employees with obsolete skills receive needed training or development so they can continue to contribute.
- Hire and retain employees who can develop and use ever-changing technology.
- Provide a workplace environment and work opportunities that retain employees.
- Train employees in skills that support the Agency’s strategic direction to ensure efficient use of their valuable time and skills.
- Determine the best use of newly open positions by analyzing current and future needs rather than filling the position based on the past.
- Identify training needs, classifications and compensation issues, organizational or position changes.
- Create a diverse culture and pursue actionable strategies to maintain and increase diversity.
- Research labor market availability of candidates and develop the potential of your current staff for certain positions.

See “[Analyzing Your Workforce](#)” Workforce Planning Step Two Worksheet.



## STEP 3: DEVELOP AN ACTION PLAN

Once you identify a workforce gap, you need to develop and implement effective action plans or strategies to fill that gap. An action plan is a sequence of steps that must be taken, or activities that must be performed well, for a strategy to succeed. An action plan has three major elements:

1. Specific tasks — What will be done and by whom?
2. Time horizon — When will it be done?
3. Resource allocation — What specific funds are available for specific activities?

Critical gaps should be analyzed with care to ensure that timely action is taken before these gaps become a problem for the organization. You can apply a wide range of strategies to address future gaps and surpluses. These include the programs, policies, and practices that assist agencies to recruit, develop, and retain the critical staff needed to achieve program goals. By the time you get to this point, you should have a clear picture of the issues and challenges faced across your organization.

Keep strategies to a manageable number, and prioritize them to focus resources on the most important first. You may wish to consider the following questions (adapted from the Partnership for Public Service and respond based on your workforce analysis and information gathered from your managers and supervisors as you develop your strategies:

- What are the five most critical workforce planning challenges facing your organization today?
- What are the most common themes that emerged from your dialogue with managers and supervisors?
- What is the organizational impact, if these challenges are not addressed?
- What, if any, actions are already underway to address these challenges?
- Does your current staff demonstrate the potential or interest to develop new skills and assume new or modified positions, or is targeted external recruitment a better approach?
- Is there enough time to develop staff internally for anticipated vacancies or new skill sets, or is targeted external recruitment the best approach?
- Do current job classifications and position descriptions reflect future functional requirements and skills?
- Should some divisions be reorganized to meet business needs and strategic objectives?
- What are the recommended solution strategies to address challenges?
- Do any areas of work need internal process improvement?
- What financial resources will be required to carry out these strategies?
- What competition exists for future required competencies? Must the Agency recruit for these competencies or could they be developed internally?

- Do particular productivity and retention strategies need to be deployed to address workplace climate issues (e.g., employee satisfaction levels), workforce age, diversity, personal needs, etc.?



See [“Developing an Action Plan”](#) Workforce Planning Step Three Worksheet.

## STEP 4: IMPLEMENT YOUR ACTION PLAN

Implementing the action plan brings the workforce plan to life by addressing each strategy in that plan. Before implementing the plan, agencies should:

- Ensure that there is executive support for the workforce strategies.
- Allocate necessary resources to carry out the identified workforce strategies.
- Clarify roles and responsibilities in implementing the strategies, which includes identifying who is involved in implementing what, and coordinating among different parts of the organization or with different agencies.
- Establish timelines.
- Determine performance measures and milestones, and expected deliverables
- Communicate the basis of the plan and its elements to all employees so that managers and employees work together with a clear understanding of workforce issues and the needs of the employees and their Offices. Include why and how the plan was developed, how it will be applied, and how it will affect staff.

Organizational leaders must demonstrate their commitment to the plan and communicate and champion it. Communicating the goal(s) and objective(s), timeframes, expectations, roles, and responsibilities to staff at all levels within the organization creates clarity among staff, and focuses effort toward the common aim of achieving the plan goals. Discussing the plan will

engage staff in the process and clarify expectations. Encourage staff to ask questions, offer suggestions, and participate in discussion about the plan to build organization-wide support for the plan.

The workforce plan should be implemented in conjunction with the requirements of the Agency's strategic plan. If that strategic plan changes due to unanticipated customer, leadership, or legislative changes, then adjustments to the workforce plan strategies will likely be necessary



See [“Implementing Your Action Plan”](#) Workforce Planning Step Four Worksheet.

## STEP 5: MONITOR, EVALUATE, AND REVISE

When have developed, communicated, and implemented your workforce plan, it is very tempting to consider it all done. But without ongoing review, evaluations, and adjustments of its workforce planning you may failing to identify and respond to unanticipated changes. The plan is a living document that changes as the environment in your Agency/organization program changes, expect to update and revise your plan regularly.

By monitoring progress against milestones, assessing for continuous improvement purposes, adjusting the plan to make course corrections, and addressing new workforce issues you also keep your staff connected to your plan and progress toward achieving your goals. They will know if the activity is completed, progressing toward completion, delayed, or no longer viable. Documenting these status updates allows for more efficient review and monitoring of the plan.

Further, monitoring and evaluating current and ongoing developments allow timely a revision to be made, if needed, before valuable time and effort is spent that, in the end, may not meet your needs. Therefore, monitor, evaluate, and revise the process of developing the plan and plan itself.

Establish a process for regular review of your workforce planning efforts to:

- Review performance measurement information.
- Assess what is working and what is not working.
- Adjust the plan and strategies as necessary.
- Address new workforce and organizational issues that occur.

Also, answer the following questions to determine if revisions are required:

- Have Agency strategies changed?
- Are the assumptions used in both the demand and supply analyses still valid?
- What has changed that will require revised strategies?

Organizations that already use workforce planning have found the following data collection tools to help to determine whether or not their workforce plan is achieving its intended results:

- Customer satisfaction surveys
- Program progress reviews
- Standardized questionnaires

Ongoing monitoring and evaluation is vital to determine if the selected activities and strategies are addressing the gaps identified. In addition to monitoring if the plan is working, it is crucial to check for external and internal changes that may impact your plan in the future. For example, the Agency will want to consider any upcoming Federal regulatory or statutory changes that may affect your plan as it is written today. Unplanned expansion, new technology, budget windfalls and shortfalls are examples of unanticipated factors that could impact the plan as it is written.

See [“Monitoring, Evaluating, and Revising Your Workforce Plan”](#) Workforce Planning Step Five Worksheet

## SUCCESSION PLANNING

Succession planning is systematic approaches to ensure a continuous supply of the best leadership talent by helping individuals develop their full potential. By such plans, your organization will develop managers who can effectively lead and achieve your mission, goals, and objectives while they also maintain a positive and effective work environment.

As the number of federal employees who are eligible for retirement rapidly increases, it is important to have a plan in place to ensure that key positions have a pool of qualified internal applicants ready to step into vacancies. Succession planning is essential for critical programs to

maintain the necessary level of oversight and commitment, and to achieve success over the long-term and despite turnover.

## LEADERSHIP SUCCESSION STRATEGIES

To ensure the transfer of critical institutional knowledge and the availability of well-qualified individuals for selection when leadership positions become vacant, succession strategies must comprise effective processes for recruiting, recognizing, developing, and retaining top leadership talent. To meet this end, it is necessary to adopt two primary succession strategies:

- Extensive use of recruitment and retention flexibilities for non-supervisory, mission-critical occupations in order to identify, recruits, and retain high-potential candidates who are in the talent pipeline for leadership positions.
- Use of a full range of structured Leadership Development Programs to ensure that current and future leaders have the necessary skills to manage the workforce effectively, exercise leadership continuity, and sustain a learning environment that drives continuous performance improvement.

When appropriate you may supplement these strategies with the selective use of buy-out authority to affect a gradual, low adverse impact phase-out of employees with skills that become obsolete or redundant due to program and technology changes.

Before we go further, here are some terms that we will be using:

**Workforce Analyses** should include such information as leadership workforce size; leadership deployment by location, function, and occupation; leadership competencies needed for mission accomplishment (i.e., ECQs as well as appropriate Agency specific competencies); trends in competency needs (e.g., surpluses and gaps in specific skills); trends in hiring, promotion, reassignment, and attrition in leadership positions; and a forecast of future leadership requirements and changes due to retirement and other losses.

The end results of this analysis are succession targets that identify the number of leadership positions needed across all populations and subgroups and the key leadership competencies required for those positions. The basic steps to conduct a workforce analysis are:

1. Gather and evaluate workforce data (such as attrition, promotions, projected growth/reductions, etc.) to derive identify how many and which employees are in the leadership pipeline
2. Identify succession targets across leadership populations and occupations and other subgroups as needed

3. Identify leadership competency model
4. Conduct leadership competency assessments of internal talent pool
5. Review possible external sources of talent to focus recruitment efforts
6. Compare results of assessments and reviews to targets.

**Bench Strength** is defined as those who have achieved the required competency levels and are ready to move into higher levels, whereas, pipeline is defined as those employees still in development. To determine your staff bench strength, you must:

- Determine whether critical leadership positions have one person or more ready to successfully assume the role and responsibility of the position.
- Know the depth of the talent within the organization to allow leaders to focus on strategy development and measurement where needed.

**Mission Critical Occupations (MCOs)** are those occupations that are core to carrying out agency missions. Such occupations usually reflect the primary mission of the organization without which mission-critical work cannot be completed.

**Attrition** is defined as any form of separation (e.g., resignation, retirements, transfers) that occurs during a particular fiscal year.

The Office of Personnel Management (OPM) has developed a five-step model to apply to succession planning (Figure 2).

**Figure 2. Five Principle Steps to Perform Succession Planning**



Source: U.S. Office of Personnel Management

## STEP 1: ESTABLISH STRATEGIC ALIGNMENT

The purpose of this first step is to:

- Communicate the strategic direction of the Agency and the implications for succession management.
- Formulate a clear and convincing business case to dedicate resources (both budget and personnel) to succession management.
- Secure senior leadership buy-in and support.

To determine your specific requirements for succession management, you will need to review of the Agency’s strategic plan and organizational performance plans; as well as such things as trends, projected direction and growth of the Agency, and how leaders are currently deployed.

## **STEP 2: IDENTIFY SUCCESSION TARGETS, ANALYZE TALENT**

Once you are clear on how your organization and its activities fit with the overall NOAA and/or Office strategic plans, you must prioritize how you will focus your resources in order to build a leadership talent pool and increase your leadership bench strength. You must identify succession targets for key leadership populations across your organization, both in terms of numbers of leaders and necessary competencies. Also, workforce analyses must be conducted (detailed below) to define current and future workforce and related leadership needs.

To begin the process of succession planning, first identify leadership key positions by evaluating the impact each position has in achieving your strategic goals and objectives, as well as the vacancy risk and marketability of the incumbent, that is, the likelihood that your key leader(s) might be recruited to work elsewhere.

There is more than one approach to identify key positions:

- For a small department, the Strategic Team responsible for the planning could begin with a review of positions at the division or program level to determine which positions are key. Larger LO/SOs may want to focus on the bureau and office level.
- If the LO/SO leadership wishes to conduct a broader succession planning initiative, or finds they have not identified key leadership positions, they may go a step further by consulting mid-level managers or specialists (such as mission critical occupations) to determine key positions .

## **STEP 3: DEVELOP SUCCESSION MANAGEMENT PLAN**

Based on the results from the workforce analysis and Office priorities, it is time to develop the Succession Management Plan by following these steps:

1. Include the following components:
  - Strategic requirements.
  - Succession management targets and talent pool analysis.
  - Strategies for recruiting, developing, and retaining leadership capacity.
2. Provide an action plan that puts succession management strategies into operation to achieve stated targets.
3. Develop an Evaluation/Accountability Plan that describes how the Agency will meet its succession targets while complying with Federal laws, rules, regulations, and guidelines.



When developing succession planning strategies you also want to assess how well current recruitment, selection, development, and retention policies, programs, and resources will support future succession management efforts. Review key programs such as executive candidate development, identify new and prospective leaders, and include first-line leadership development programs. Analyze the following:

- Current recruitment/selection policies, programs, and resources in light of succession needs.
- Current development policies, programs, and resources in light of succession needs.
- Current retention policies, programs, and resources in light of succession needs.

Once the analysis is completed, use the results to identify and prioritize strategies to meet succession planning targets for:

- Recruiting/selecting new and prospective leaders.
- Developing new and prospective leaders (to include developmental assignments).
- Retaining new and prospective leaders.
- Retooling, strengthening, and retaining current leaders.
- Ensuring valuable knowledge is disseminated throughout all levels of leadership (knowledge management).

This strategy will ensure the availability of well-qualified staff to fill leadership positions at all levels, including identification of high-potential employees and establishment of a for development programs or other merit-based methods of developing future executives, and/or other appropriate development programs. It also will allow an Agency to develop strategies on how to invest in its first-line supervisors and managers to ensure they have the competencies to direct the day-to-day work of the Agency.

Table 1 lists the tasks involved in producing a Succession Management Plan.

**Table 1. Succession Management Action Plan**

Action Steps	Activities	Due Date	Responsible
Establish Strategic Direction	<ul style="list-style-type: none"> <li>• Formulate first business case (retirement projections)</li> <li>• Identify leadership vision and obtain commitment</li> </ul>		
Identify Succession Targets & Analyze Talent Pool	<ul style="list-style-type: none"> <li>• Identify targets and analyse workforce data relating to targets</li> <li>• Assess bench strengths</li> <li>• Identify competencies for identified positions</li> <li>• Assess competencies for identified positions</li> <li>• Identify talent pools for filling targeted positions</li> </ul>		
Develop Succession Management Plan	<ul style="list-style-type: none"> <li>• Develop succession planning strategies</li> <li>• Develop implementation plan for strategies</li> <li>• Develop budget required to implement strategies</li> <li>• Determine how to evaluate strategies</li> </ul>		
Implement Succession Management	<ul style="list-style-type: none"> <li>• Complete this action plan (projected date and responsible individuals)</li> <li>• Develop and execute communication plan</li> <li>• Reemphasize senior level commitment</li> </ul>		
Evaluate Succession Planning Strategies	<ul style="list-style-type: none"> <li>• Conduct quarterly monitoring and planning</li> <li>• Measure the closure of competency gaps</li> <li>• Examine selection rates from leadership development programs</li> <li>• Examine retention rates of graduates from leadership development programs</li> <li>• Track placement of leadership pool employees</li> <li>• Assess improvements for enhancements to succession planning</li> <li>• Update business case (retirement projections)</li> <li>• Reaffirm executive leadership strategic vision and commitment</li> </ul>		

## STEP 4: IMPLEMENT SUCCESSION MANAGEMENT PLAN

Now that the Strategic Leadership Team has evaluated the bench strength for the prioritized key leadership positions, attention shifts to the continued career development of those employees who either demonstrate potential leadership qualities or who are determined to be eligible, or potentially eligible, for these positions.

The following implementation strategies help identify the “who, what, when, where, how, and how well” to carry out these strategies. They also include a plan to manage change; communicate about succession management initiatives, activities, and programs; and ensure that development activities are reflected in Individual Development Plans (IDPs). The implementation plan includes a strategy to maintain the visibility of senior level commitment to all succession management efforts:

1. Identify key players, roles/responsibilities, tasks, methods, and timeline for implementing succession management.
2. Explore various options to support your employees’ career goals, including acting assignments, mentoring arrangements, job shadowing, courses and language training.
3. Develop employee IDPs that are linked to appropriate knowledge, skills, and abilities required for each person’s current and future goals.
4. Explore whether key employees who plan to retire within the next few years are interested in participating in a mentoring arrangement or succession plan.
5. Explore options that will allow you to bring in a new employee while the incumbent remains in the organization in order to facilitate knowledge transfer.
6. Lay out a change management plan and communication plan.
7. Describe a plan to maintain the visibility of senior level commitment and involvement.

## STEP 5: EVALUATE SUCCESSION PLANNING STRATEGIES

The purpose of this step is twofold:

- To identify strategies to measure and evaluate the effectiveness of all succession management programs and activities, and to make continuous improvements.
- To integrate accountability elements into leadership succession management efforts to ensure compliance with Merit-System Principles and Federal laws, rules, and regulations.

The evaluation/accountability plan includes process-based and performance-based outcome metrics, data collection and analysis methods, documentation and reporting processes; and a process to take corrective actions and make improvements.

The evaluation/accountability plan also includes an approach to assess leadership policies and leader performance to ensure that succession management goals are being met and that senior leaders are held accountable for cultivating leaders within the Agency. The process entails these steps:

1. Identify process-based and performance-based metrics and data collection, analysis, and reporting methods.
2. Identify approach for holding senior leaders accountable for succession management (e.g., through evaluations and SES pay-for-performance process).
3. Identify approach for making continuous improvements.

