Developing Your Succession Planning Program

CARPD CONFERENCE

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Learning Objectives

In this session, you'll learn:

- "Why" engage in succession planning?
- "What" does succession planning involve?
- "How" does succession planning work?
- Barriers, Challenges, and Success Strategies

Where are you in your succession planning journey?

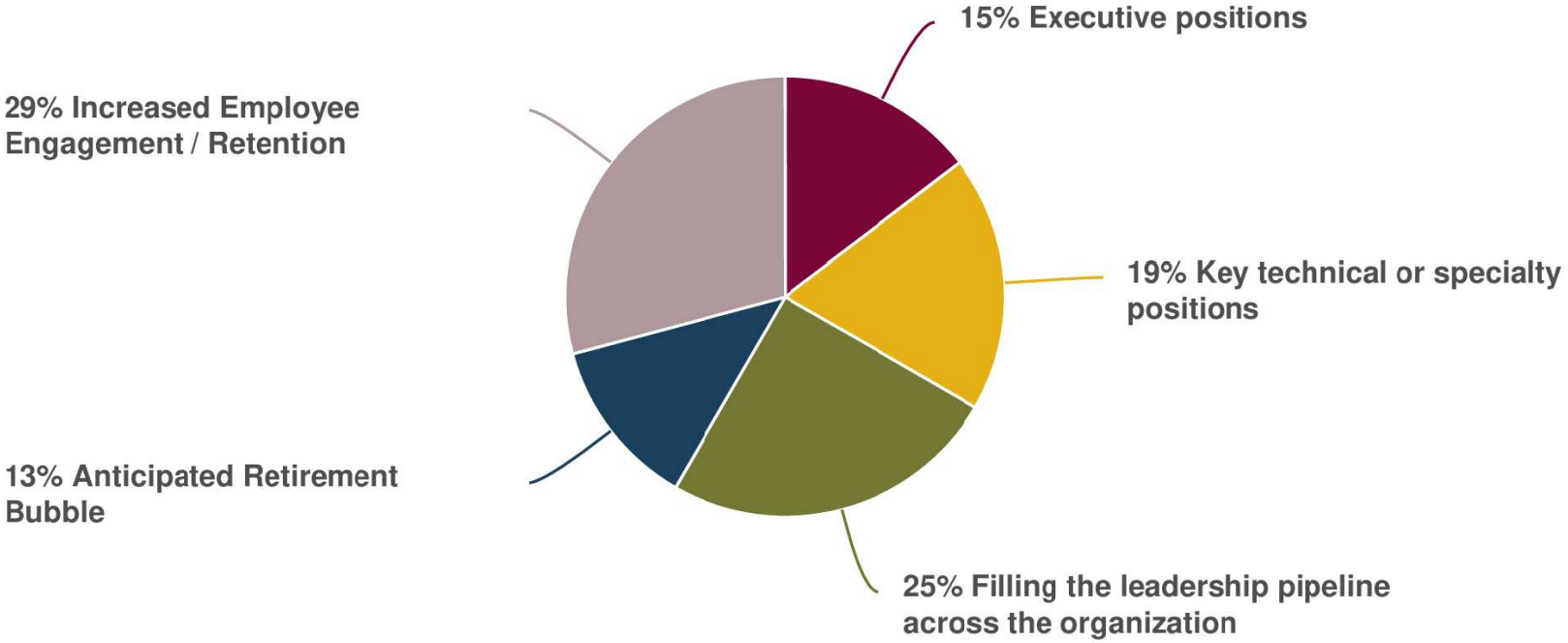
1 = **No current program**

2 = **Under development**

3 = **Existing Program**

WHY ENGAGE IN SUCCESSION PLANNING ?

Why Succession Planning – Recent CPS Survey Results



Benefits

- Knowledge Transfer
- Continuity
- Stability
- Retention
- Talent Development
- Employee Engagement

WHAT IS INVOLVED IN SUCCESSION PLANNING ?

Succession Planning Model

Maintain leadership continuity through knowledge transfer, competency development, and program sustainability

Succession Planning Phase 1

- Identify the positions that will be included
- Create incumbent succession profiles
  - Prioritize the competencies needed to be successful in the position
  - Capture the most effective development avenues (e.g., training, mentoring, just-in-time feedback, associations, certifications, hands-on experience, job shadowing)

3x3 Succession Model

Your Job Title		
Leadership/ People	**Business/ Operations**	**Technical**
1.	1.	1.
2.	2.	2.
3.	3.	3.

Prioritize the competencies that contribute to success in the position, rather than duplicate the job description skill requirements.

3x3 Sample

Operations Manager		
Leadership	**Business/Ops**	**Technical**
1. Daily Supervision	1. Judgment & Decision Making	1. Infrastructure and Organizational Knowledge
2. Communication	2. Customer Service	2. Safety & Regulatory Compliance
3. Performance Management	3. Project Management	3. District Policies and Procedures

Competency Demonstration

- **What do you do?** (e.g., Discuss, Coach, Delegate, Facilitate, Research, Analyze, Mediate, Prioritize)
- **What makes you successful?** (Style, Empathy, Communication, Inclusion, Humility, Emotional Intelligence)
- **What do you wish you knew before taking the job?** (Administration, Politics, Negotiation, Supervision, Coaching, Strategic Thinking)

Safety & Regulatory Compliance:

Promote and enforce a culture of safety. Read and understand permits. Creatively develop solutions to adhere to permitting requirements.

Greater Detail

1. Reinforce a culture of safety and regulatory compliance by promoting and monitoring training, meetings, self-inspections, facilitating open discussions, and responding quickly to shared concerns.
2. Maintain awareness of national issues or legislation; keep up on industry news and trends.
3. Be familiar with District policies and procedures.
4. Reinforce a culture of compliance by consistently reviewing and discussing facility permits.
5. Understand how we could violate a permit before it happens to mitigate outcomes.

Safety & Regulatory Compliance:

Promote and enforce a culture of safety. Read and understand permits. Creatively develop solutions to adhere to permitting requirements.

Suggested Development Opportunities to Provide to Aspiring Leaders:

1. On the job training
2. Provide opportunities to lead safety meetings, emergency response drills, review JSAs, and self-inspections
3. Participate in California Association of Sewer Agencies (CASA) organized regulatory updates
4. Attend CWEA, SWRCB, and other industry meetings

Competency Acquisition

How did you acquire those skills?

Formal Training or Certifications

Coaching, Mentoring, or Shadowing

Hands-On Practice

Key Considerations – Phase 1

1
Identify Key Positions & Competencies

HR:
- Share relevant workforce planning information
- Establish Program Scope
- Develop Communication Plan

BU:
- Consider:
  - Critical positions with no backup
  - Upcoming retirements/ promotions
  - Industry or Organizational Changes (e.g., Regulations, Marketplace)
- Identify most critical competencies
- Dedicate time to create incumbent profiles

Succession Planning Phase 2

- Determine any minimum eligibility requirements (e.g., experience, time in position, performance record, licenses)
- Consider resources needed to manage and support the candidates when determining the population for each wave
- Create or revise any policies (as needed)
- Set realistic expectations regarding promotion (repeat frequently and document in writing)

Key Considerations – Phase 2

2
Identify Candidates

HR:
- Determine any eligibility rules (tenure, time in position)
- Develop communication plan and materials
- Review list through DEI lens

BU:
- Ask staff about career aspirations
- Review Performance Track Record
- Consider lead time needed for proficiency

HOW DOES SUCCESSION PLANNING WORK ?

Succession Planning Phase 3

- Develop or select a methodology that includes self- and/or supervisory assessments of the candidates' readiness level
  - Interviews
  - Survey
- Compare those skill gaps to current training curriculum to identify additional needs
- Prioritize development needs (urgency, importance, leverage)

Successor Rating Scale

Category Definitions	Current Experience Level
Knowledge (K) = Awareness and theoretical understanding of the concept(s) in the competency.	**Lower (L)** – Has up to a basic understanding of the concepts. Can apply the knowledge with guidance.
Application (A) = Ability to demonstrate the concept(s) to successfully complete work tasks.	**Moderate (M)** – Fully understands the concepts. Can assess the situation and apply the knowledge in routine situations with little or no supervision.
	Higher (H) – Thoroughly understands the concepts. Can apply the knowledge in complex or unusual situations. Can guide others.

Sample Successor Survey Page

Customer/End User Focus:

Address staff/user needs in a timely manner to ensure they can be effective and efficient.

How the Competency is Demonstrated:

1. Respond to inquiries as soon as possible (and on-call 24/7).
2. Provide application-specific training.
3. Develop and share SOPs to help users resolve issues quickly on their own.
4. Listen actively to understand users' needs and respond to their hardware and software questions effectively including training and demonstrations.
5. Develop and deliver presentations or training to end users.
6. Determine the user's level of technical expertise when offering support (meet them where they are).
7. Recognize the importance of different learning styles (verbal, written, kinesthetic) when instructing or training others.

	Lower - Up to a basic understanding of concept; Can apply with guidance.	**Moderate** - Understands concept; Can assess and apply in routine situations.	**Higher** - Thoroughly understands concept; Can guide others; Can apply in complex, unusual situations.
Knowledge of Competency	○	○	○
Application of Competency	○	○	○

Potential Successor Self-Assessment

Succession Profile Self-Assessment - Information Technology Analyst			
People & Operational Competencies		**Knowledge**	**Application**
Communication	Communicates with end users and managers on a regular basis. Helps end users understand technologies and resolve technology issues to increase staff efficiency.	HIGH	MOD
Analysis & Problem Solving	Uses technology expertise and troubleshooting to analyze data and develop logical solutions to complex technology issues.	MOD	LOW
Customer Focus	Addresses staff/user needs in a timely manner to ensure they can be effective and efficient.	HIGH	HIGH
Time Management & Self Development	Manages own time and adjusts priorities to effectively to achieve objectives and meet deadlines. Demonstrates attention to detail to ensure accuracy, thoroughness, and quality work products. Allocates time for skill development.	MOD	LOW
Adaptability & Flexibility	Prioritizes requests based on urgency and importance. Switches tasks quickly and effectively. Stays abreast of technological changes.	MOD	HIGH
Technical Competencies			
Network Knowledge	Performs administration functions and supports the District's network infrastructure. Acts as help desk support; ensures network connections are functioning properly.	MOD	MOD
Hardware & Software Expertise	Demonstrates a high level of technical expertise and broad knowledge of IT hardware and software.	MOD	MOD
Hardware Installation & Maintenance	Installs and maintains computer hardware for the District.	HIGH	HIGH
GIS Support	Provides Geographic Information System technical expertise to District staff.	LOW	LOW
Website Maintenance	Updates and improves the District's website and Intranet including adding new functionality and improving user ability.	MOD	MOD

- Honest assessment of proficiency
- Not used for performance evaluation purposes
- These responses drive development plans and training offerings
  - Individual
  - Aggregate

Key Considerations- Phase 3

3
Evaluate Skills Gap

HR:
- Develop or select an assessment tool and process to evaluate skills and competencies
- Ensure alignment with job description and strategic plan

BU:
- Ensure eligible and interested candidates participate
- Encourage exploration, growth, and advancement
- Anticipate near-future skill needs

Succession Planning Phase 4

- Co-create development plans to address the skill gaps identified in Phase 3
- Consider what type of opportunities are most effective
  - Training
  - Coaching / Mentoring
  - Job Shadowing
  - Hands-on practice

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#1

#2

#3

#4

Potential Questions

1. Is this an urgent or high priority development need or do we have time to focus on other areas?
2. Is there anyone else with this capability?
3. Is this a broad skill gap (across the department or organization)?
4. How steep is the learning curve? How much support will be needed?
5. How much time is needed to reach proficiency or mastery?
6. How much bandwidth/availability do I (or they)?

Co-Creating A Development Roadmap

- Discuss the self-ratings in more detail
- Pinpoint specific areas to focus on
- Identify the highest priorities *(urgency, importance, time horizon needed)*
- Determine what development strategies would be most effective:
  - Formal training or certifications
  - Coaching and mentoring
  - Job Shadowing
  - Hands-on practice and project assignments

Co-Creating A Development Roadmap

- Develop a timeline or deadlines for the chosen activities
- Ensure time is available to complete the tasks (may require adjusting workload)
- Revisit the plan on a regular basis; make adjustments as needed

Key Considerations - Phase 4

4
Create Development Plans

HR:
- Assist with translating skills gaps into Individual Development Plans (IDPs)
- Determine the links between the IDP and performance evaluations

BU:
- Co-create development plans with each successor
- Prioritize development needs (e.g., urgency and time horizon)
- Include development plan activities into workload considerations

Succession Planning Phase 5

- Identify priority individual training needs
- Evaluate common topics across positions (e.g., project management, providing constructive feedback, presentation skills)
- Allocate the necessary time and support
  - Adjust workload and priorities

Competency Category	Director of Environmental Programs & Planning Job Competencies	Competency Detailed Description	Formal Training/Certification	Mentoring/ Shadowing	On-the-Job Training/ Practice
Leadership	Strategic Planning	Analyze pending regulations, market trends, land use options, transportation planning, and economic forecasts to determine what environmental services are needed to fulfill ACME's role as an environmental steward. Anticipate the departmental resources needed to fulfill demands.	* Strategic Planning * Land Use Planning (UC Berkeley or Davis) * Industry Conferences (hydrogen, zero emissions, PFAS, etc.)	* Attend meetings and observe; debrief * Review documents and decision-making	* Attend webinars and conference * Take the lead; get feedback
Leadership	Staff Performance & Development	Manage staff performance. Identify and provide career and growth opportunities to increase staff capabilities. Empower staff to make decisions and solve problems with little supervision.	* Performance Management * Learning Center modules * Management Training	* Observe how you handle their performance reviews, being included in the decision process and explain rationale.	* Assign acting duties * Take the lead and debrief
Leadership	Communication	Share information on environmental regulations, initiatives, grant funding opportunities, with internal and external stakeholders.	* Media Training * Presentation Skills * Board Presentations * Communications (verbal and written) * Public Speaking	* Review documents (content, style, etc.) * Assist with presentations * Attend presentations then debrief	* Draft the presentations or documents * Facilitate or lead the meeting with feedback
Business	Workload Management	Make work assignments based on expertise and workload. Hire consultants, as needed, for specialized expertise and/or to balance staff workloads.	* Project Management * Setting Priorities	* Observe and explain rationale for decisions	* Make recommendations with feedback
Business	Program & Policy Improvement	Evaluate current programs and policies to identify areas for improvement (streamlining, cost effectiveness, efficiencies) to ensure effectiveness and efficiency.	* Project Management * Program Management	* Observe and explain rationale for decisions	* Make recommendations with feedback
Business	Resource Management	Ensure the department has the necessary resources (staff, tools, technology, equipment) to achieve goals within the allocated budget. Seek grant funding opportunities to support environmental initiatives including zero emissions 2030.	* Budgeting * Grant funding workshops	* Observe and participate in the process to learn codes, budgeting process, carryovers, etc. Explain rationale	* Make recommendations, track changes, and debrief
Technical	Environmental Compliance	Ensure ACME is in compliance with all environmental regulations (e.g., air quality, HazMat, wastewater, soil and groundwater, storm water, water quality).	* Professional licenses (Engineer or Geologist) (not required) * QISP - stormwater certification (not required) * Hazardous Waste and Operations * Asbestos and Lead Training * CEQA & NEPA Planning (UC Davis) * Air Quality 101 (UC Davis)	* Observe and review documents, explain rationale	* Make recommendations; create drafts and get feedback
Technical	Program Implementation & Management	Develop and implement environmental programs to meet ACME's Strategic goals and comply with environmental regulations.	* Program Management * Project Management * Change Management	* Observe and participate in the planning and implementation process, explain rationale	* Make recommendations and debrief
Technical	Land Use Planning & Permitting	Ensure that operations and development are consistent with land use plans and policies. Manage the development permitting process.	* City of XYZ Permitting workshop * Strategic Planning * Land Use Planning (UC Berkeley or Davis)	* Observe and participate in the planning and permitting process, explain rationale	* Make recommendations, draft responses, and debrief

Key Considerations – Phase 5

5
Provide Training & Mentoring

HR:
- Link development plan needs to available training
- Enhance coaching skills at all levels
- Develop a formal or informal mentoring or cross-training program to support succession planning
- Develop procedures for just-in-time and long-term knowledge transfer

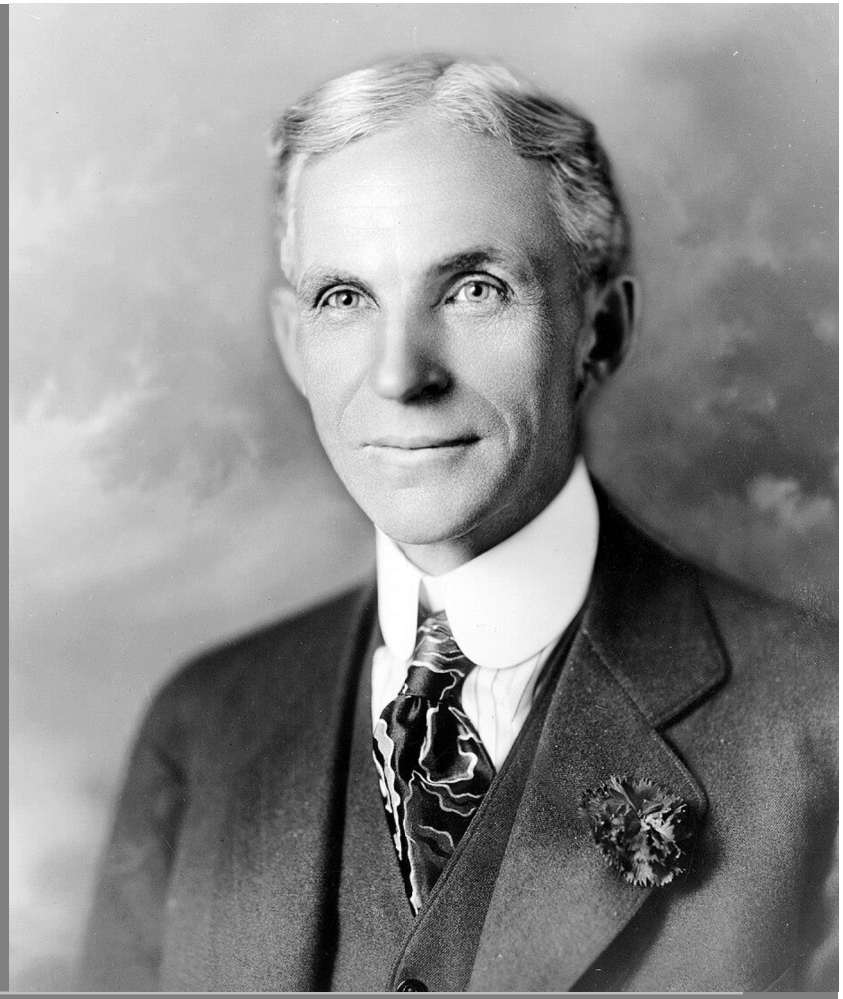
BU:
- Allocate time and resources for skill and competency development
  - Training
  - Shadowing
  - Coaching/Mentoring
  - Conferences/Associations
  - Projects/ Work Assignments
  - Presentations
  - Cross-functional exposure

Train people well enough so they can leave, treat them well enough so they don't want to.

~ Richard Branson

"The only thing worse than training your employees and having them leave is not training them and having them stay."

~ Henry Ford



Succession Planning Phase 6

- Check in with successors on a regular basis to ensure they're on track and making progress
- Provide guidance, encouragement, or resources as needed
- Make development plan adjustments if appropriate
- Share success stories (promotions, high profile assignments)

Key Considerations – Phase 6

6
Monitor Progress

HR:
- Research additional training sources (vendors, universities, associations, etc.)
- Encourage ongoing conversations
- Develop a database of development opportunities aligned with each job profile

BU:
- Conduct frequent and ongoing conversations about progress and career plan changes
- Make course adjustments as the work, industry, regulations, strategic direction and/or staffing needs change

Barriers & Challenges	Success Factors
➢ Lack of Urgency	✓ Plan Ahead, Allow time for Development
➢ Talent Migration	✓ Employee Retention & Engagement Strategies
➢ Lack of Trust / Perceived Bias	✓ Transparent and Objective Process
➢ Viewed as an HR Initiative	✓ Business Unit Partnership & Commitment

Barriers & Challenges	Success Factors
➢ Process Too Complicated	✓ Clear Communications & a Phased Approach
➢ Unpredictable Needs	✓ Frequent Updates & Environmental Scanning
➢ Lack of Leadership Skills/ Preparation	✓ Support the Transition from Peer to Manager

Succession Readiness

We have: (no, some, yes)

__ Executive Leadership Support
__ Key jobs identified and prioritized (critical, hard-to-fill)
__ The most important competencies for success identified
__ A process to evaluate the skill gap
__ A development roadmap (plan to the skill gap)
__ Training aligned with key competencies
__ Resources available for development(training/mentoring)

What’s your biggest takeaway from today?

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Transforming HR Challenges

Contact Us

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Q&A