A GUIDE TO THE STRATEGIC LEADERSHIP SUCCESSION MANAGEMENT MODEL

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UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

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Overview of Succession Management

The Law of the Land (5 U.S.C. 4121)

> In consultation with the Office of Personnel Management, the head of each agency shall establish - (1) a comprehensive management succession program to provide training to employees to develop managers for the agency.

Large deficits in leadership are among an array of challenges the Federal Government confronts in the 21st century. As the owner of the Strategic Management of Human Capital initiative, the U.S. Office of Personnel Management (OPM) is assisting agencies to address challenges through initiatives such as succession management. The OPM succession management model is designed to build leadership capacity and shape Federal agency leadership. This model builds on the progress agencies are making in the development and implementation of succession strategies. Since 2001, all Office of Management and Budget (OMB)-scored agencies have implemented, at a minimum, executive development programs as a strategy to build leadership capacity.

Congress recognizes the importance of succession management in building the Federal leadership bench strength (i.e., the readiness of the internal talent pool to fill key leadership positions). The Federal Workforce Flexibility Act of 2004 requires agency leaders to establish, in consultation with OPM, a comprehensive management succession program for developing future managers and agency leadership. OPM recognizes the need for a strategic succession planning system for strengthening current and future organizational leadership capacity rather than just replacing individuals.

Purpose of This Document and Key Audience

OPM developed the Guide to the Strategic Leadership Succession Management Model (SLSM Model) to assist agencies in planning, designing, implementing, and evaluating succession management programs. The SLSM Model is a part of implementing the Human Capital Assessment and Accountability Framework (HCAAF).

This document provides guidance for human capital practitioners, supervisors, managers, and senior leaders who play a leadership role in identifying and addressing potential gaps in effective leadership.

The SLSM Model's activities and job aids are helpful for developing and improving agency succession management programs. The following individuals may find these activities and job aids useful:

- Internal human capital practitioners (e.g., Chief Human Capital Officers)
- Internal agency consultants
- Human resources staff who contribute directly to succession management programs and policies
- External personnel (e.g., Human Capital Officers and auditors)

Supervisors, managers, and senior leaders may want to use targeted parts of the SLSM Model to support succession management initiatives (e.g., projecting future workforce needs or assessing current competency levels). However, reviewing the entire process will help agencies to build their capacities for leading and supporting succession management initiatives.

Relationship of Succession Management to HCAAF

OPM established the Human Capital Assessment and Accountability Framework (HCAAF) for practicing human capital management, including succession management. The HCAAF encompasses all of the requirements contained in recent legislation:

- The Chief Human Capital Officers (CHCO) Act of 2002 provides Congress' overall expectations for human capital management in Government and contains several flexibilities for managers' use in managing their people.
- The DOD Authorization Act of 2004 contains provisions applicable on a Governmentwide basis.
- The Federal Workforce Flexibility Act of 2004 provides even greater flexibilities to all Federal managers and codifies good management practices, like leadership succession management.

The HCAAF establishes and defines five human capital systems. Together these systems provide a single, consistent definition of human capital management for the Federal Government. The HCAAF fuses human capital management to the merit system principles. In addition, the HCAAF establishes an ongoing human capital management process that operates across the five systems in all agencies. The systems are as follows:

- **Strategic Alignment** (Planning and Goal Setting). A system led by senior management—typically Chief Human Capital Officers—for promoting the alignment of human capital management strategies with agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of human capital programs.
- **Leadership and Knowledge Management** (Implementation). A system for ensuring continuity of leadership by identifying and addressing potential gaps in effective leadership and implementing and maintaining programs that capture organizational knowledge and promote learning.
- **Results-Oriented Performance Culture** (Implementation). A system for promoting a diverse, high-performing workforce by implementing and maintaining effective performance management systems and awards programs.
- **Talent Management** (Implementation). A system for addressing competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, promote, and retain quality talent.
- **Accountability** (Evaluating Results). A system for enhancing agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements.

Each system component allows human capital practitioners to assess how well the agency is strategically managing its human capital in compliance with merit system principles. Figure 1 below is a graphic depiction of the relationships among the five human capital systems.

As the figure depicts, succession management is a critical success factor within the Leadership and Knowledge Management System (one of three HCAAF Implementation Systems). When agencies focus on HCAAF critical success factors, they are more likely to meet standards for operating efficiently, effectively, and in compliance with merit system principles.

The SLSM Model focuses specifically on implementing succession management. The model offers guidance on how to establish a comprehensive succession management program for sustaining an adequate leadership cadre for the agency.

Figure 1. Succession Management and HCAAF

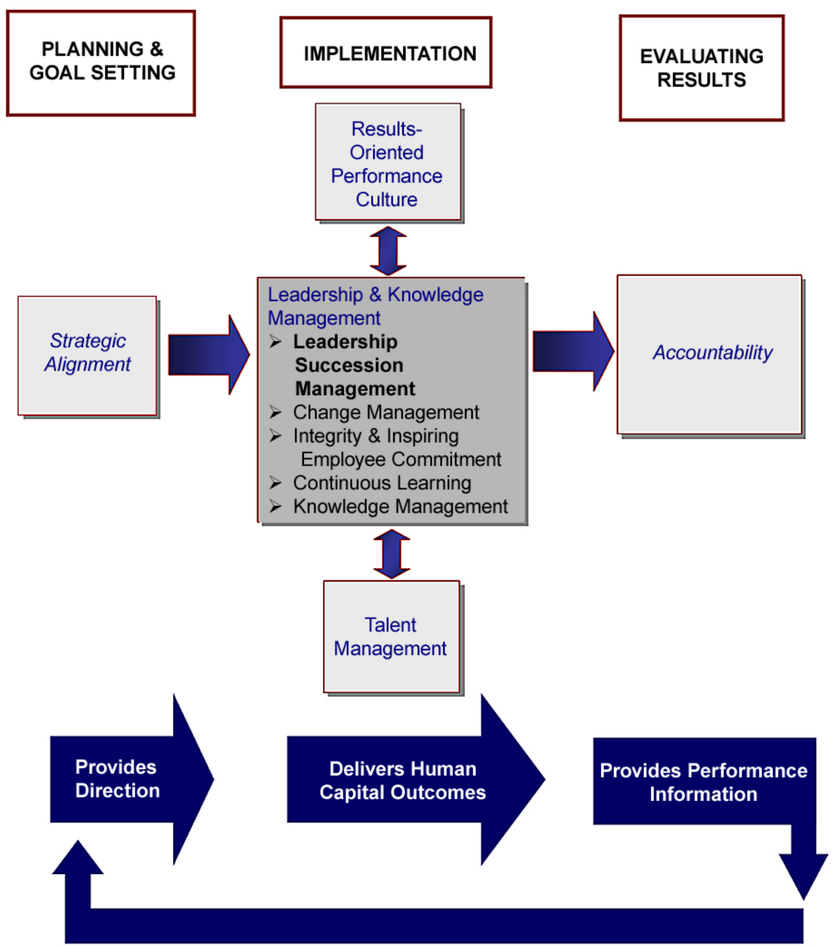


Figure 1 also illustrates how the Strategic Alignment and Accountability Systems support all implementation systems and critical success factors within those systems.

- The Strategic Alignment System ensures the alignment of human capital management strategies, such as succession management, with the agency mission, goals, and objectives.
- The Accountability System evaluates the results of human capital management policies, programs, and activities by analyzing compliance with merit system principles and by identifying and monitoring necessary improvements.

The Strategic Alignment and Accountability Systems are highly interrelated. To ensure alignment of human capital strategies with the agency's mission, agencies must integrate accountability-planning activities (e.g., establishment and measurement of metrics) into their systems. Evaluation and continuous improvement of human resources (HR) policies and programs help agencies strengthen the strategic alignment of their human capital system functions and achieve strategic results.

Structure of This Document

The SLSM Model consists of the following:

- An overview of succession management
- A detailed description of each succession management phase and activity
  - Applicable HCAAF key elements addressed by each phase (Key elements describe what you would expect to see in an effective critical success factor.*)
  - Information required, steps to accomplish, and results related to each activity
  - Key actions to achieve within each activity
  - Examples of applied SLSM Model processes in the Federal Government (where applicable)
  - Job Aids to support completion of activities (where applicable)
- Appendix: A glossary of terms used in the SLSM Model

* Though not specifically required to meet HCAAF key elements, agencies successful at implementing key elements related to leadership succession management will realize the following results:

- Effectiveness Result – The agency has taken action to ensure continuity of leadership through succession planning and executive development programs resulting in a diverse pool of qualified internal, other Government, and non-Government sources for all mission-critical leadership positions.
- Merit-Based Compliance Result – The agency has established a comprehensive management succession program for developing employees as managers for the agency as prescribed by the Federal Workforce Flexibility Act of 2004.

What Are the Major Purposes of Succession Management?

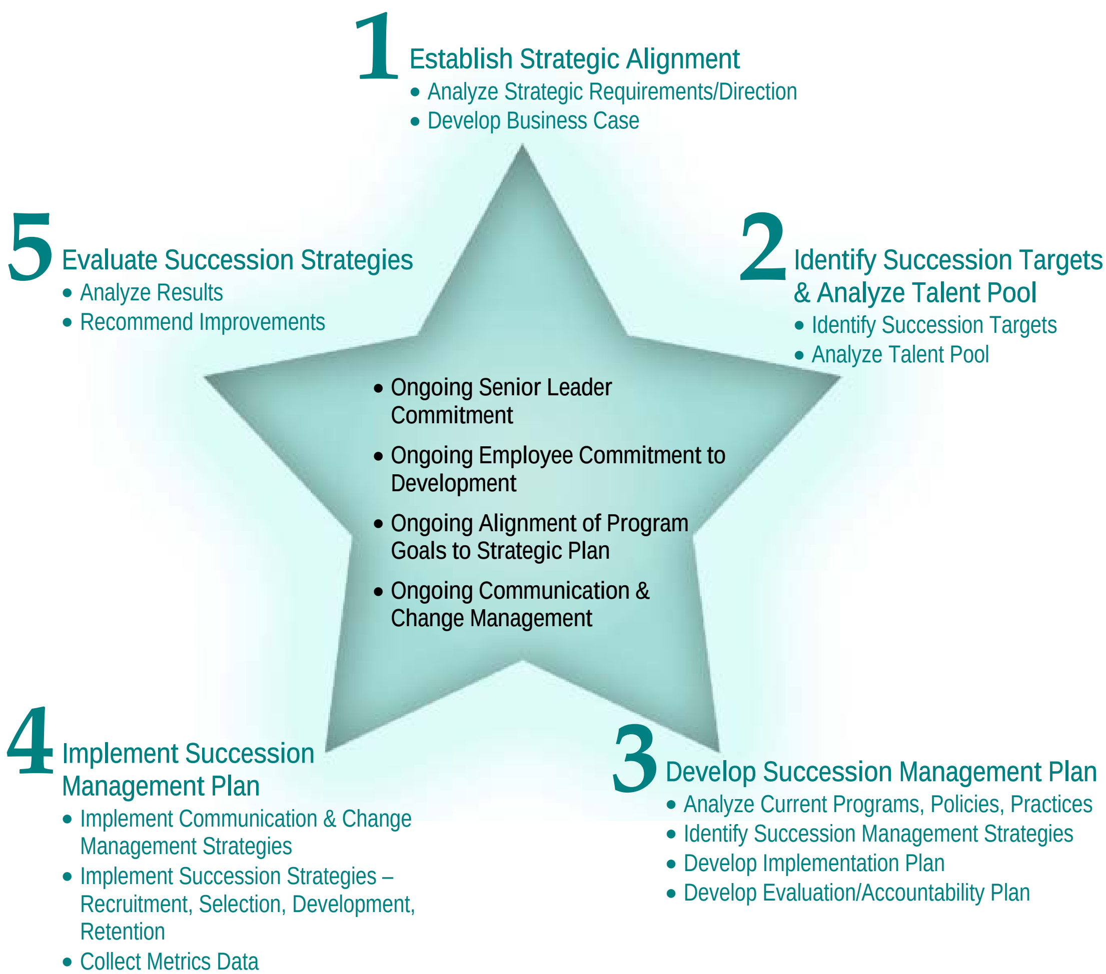
Succession management is a systematic approach for:

- Shaping the leadership culture.
- Building a leadership pipeline/talent pool to ensure leadership continuity.
- Developing potential successors whose strengths will best fit with the agency's needs.
- Identifying the best candidates for categories of positions.
- Concentrating resources on the talent development process, yielding a greater return on investment.

Succession management identifies those jobs considered to be the organization's lifeblood and too critical to be left vacant or filled by any but the best qualified persons. Succession management is critical to mission success and creates an effective process for recognizing, developing, and retaining top leadership talent.

Strategic Leadership Succession Management Model

Below is a graphical depiction of the SLSM Model showing the five phases in the succession management process and related activities.



Following are descriptions of each phase and activity:

Phase 1. Establish Strategic Alignment

Purposes: To understand the strategic direction of the agency and the need for leadership succession management, and to formulate a clear and convincing business case (using workforce analysis findings) to dedicate resources—both budget and personnel—to succession management planning.

Major Activities	Description
Analyze Strategic Requirements/ Direction	Establishing strategic goals and objectives for succession management to align with the agency's overall strategic direction and meet Federal laws, rules, and regulations
Develop Business Case	Articulating a business case—utilizing workforce analysis findings—for succession management in the agency, including why it is important and how it will benefit the agency; conveying a commitment of resources and senior leader involvement to succession management

Phase 2. Identify Succession Targets & Analyze Talent Pool

Purposes: To identify succession targets (in line with projected needs and long-term leadership vision) for key leadership populations across the agency, and to analyze the extent to which the current talent pool will be able to fill those targets (i.e., assess bench strength). Succession targets are descriptions of the current and projected workforce needs—at particular points in time—for key leadership populations, in terms of numbers of leadership positions, numbers of individuals to be developed, and desired competencies. If there is not a sufficient number of talent pool members prepared to fill succession targets, then the agency has succession gaps.

Major Activities	Description
Identify Succession Targets	Identifying the agency's current and projected workforce needs, at particular points in time, for the key leadership populations and subgroups (e.g., by bureaus or department, Headquarters vs. field, critical vs. noncritical leadership positions, technical vs. line management); establishing targets describing the number of critical leadership positions for which the agency needs qualified leaders, the number of leaders and potential leaders to be included in development, and the required competencies for the targeted positions
Analyze Talent Pool	Analyzing the leadership talent pool by identifying a diverse pool of current and prospective leaders (e.g., high-potential employees, high-performing employees, all employees at a specified level, and/or prospective employees external to the agency) and assessing the extent to which the identified pool meets stated numeric and competency targets. This process includes assessing the competency levels of the internal talent pool and comparing the talent pool to the numeric and competency targets. The process also includes identifying external sources of talent (e.g., other Government or non-Government) on which to focus recruitment efforts related to succession targets. (Note: At a minimum, agencies should include supervisors, managers, and executives in the leadership talent pool, but agencies are encouraged to include aspiring leaders or other groups.)

Phase 3. Develop Succession Management Plan

Purposes: Based on strategic requirements and succession gaps, (1) to analyze how well current recruitment, development, and retention programs, policies, and practices will be able to support the achievement of those targets; (2) to identify and prioritize applicable strategies the agency will undertake to identify, recruit, select, develop, and retain leaders to meet its succession targets; (3) to describe how these strategies will be implemented, monitored, and evaluated; and (4) to identify how management will hold itself accountable for results.

Major Activities	Description
Analyze Current Programs, Policies, Practices	Analyzing current recruitment, selection, development, and retention programs, policies, and practices to assess how well they can meet or support projected needs and targets
Identify Succession Management Strategies	Based on strategic requirements and succession gaps and for the purpose of closing those gaps, identifying and prioritizing applicable strategies for (1) identifying, recruiting, selecting, developing, and retaining new and prospective leaders (Note: Prospective leaders may be identified in a manner appropriate for the agency, such as by identifying high-potential employees, high-performing employees, or all employees above a specified level.); (2) retooling, strengthening, and retaining current leaders; and (3) ensuring valuable knowledge is disseminated throughout all levels of leadership (knowledge sharing)
	Identifying policies and practices (either new ones or modifications to existing ones) needed to support succession management initiatives and activities
Develop Implementation Plan	Identifying how the succession management strategies for the recruitment, selection, development, and retention of leaders will be implemented (e.g., who will do what, when, how); identifying how to communicate and manage change; identifying how to maintain senior leader commitment to succession management efforts
Develop Evaluation/ Accountability Plan	Identifying what metrics the agency will use to measure the effectiveness of all succession management programs and activities and its approach for making continuous improvements; integrating elements of accountability into leadership succession management efforts to ensure compliance with merit system principles and Federal laws, rules, and regulations

Phase 4. Implement Succession Management Plan

Purpose: To communicate about new succession management initiatives, programs, and policies throughout the agency and manage the change; to carry out, monitor, and gather data on succession strategies.

Major Activities	Description
Implement Communication & Change Management Strategies	Based upon the plan developed in Phase 3, communicating about succession management initiatives, programs, and activities with all levels of leadership in the agency; obtaining buy-in and support; articulating expectations; ensuring policies and practices are modified, when necessary, to support succession management efforts
Implement Succession Strategies • **Recruitment** • **Selection** • **Development** • **Retention**	Implementing strategies to identify, recruit, and select new/prospective leaders to achieve stated targets, while considering the scarcity of critical competencies (Note: Prospective leaders may be identified in a manner appropriate for the agency, such as by identifying high-potential employees, high-performing employees, or all employees above a specified level.); implementing training and development strategies for current and future leaders in targeted populations and subgroups, taking into account the stated numeric and competency targets; implementing strategies for retaining current and prospective leadership talent in targeted populations and subgroups; implementing knowledge-sharing strategies; implementing new or revised policies and practices to support succession management strategies and activities
Collect Metrics Data	Collecting and documenting process and performance metrics data to measure the effectiveness of succession management programs and activities and compliance with merit system principles and Federal laws, rules, and regulations

Phase 5. Evaluate Succession Strategies

Purpose: To determine how well the succession management strategies are filling targeted needs while ensuring the succession management strategies are in compliance with merit system principles and Federal laws, rules, and regulations. The succession management plan should be a living plan that adapts across time in response to new requirements and changing factors.

Major Activities	Description
Analyze Results	Analyzing metrics data and reporting results to senior management
Recommend Improvements	Determining corrective actions and improvements needed, including changes in strategic objectives, succession targets (i.e., numbers and competencies), succession strategies, communications, or evaluation

Phases and Related Activities: Introduction

Beginning on the next page, the activities associated with the five phases of the Strategic Leadership Succession Management Model are described in detail.

For each activity, an Activity Table presents the following information:

- A description of the activity
- The information you will need to gather prior to beginning the activity
- An overview of the steps to take to complete the activity
- Results you will achieve when you complete the activity
- Actions that support accomplishment of the activity

Some activities include associated job aids directly after the Activity Table.

Phase 1. Establish Strategic Alignment

Introduction This phase covers activities for promoting strategic alignment of succession management initiatives with the agency's mission, goals, and objectives.

Purposes The purposes of this phase are: (1) to understand the strategic direction of the agency and the need for leadership succession management, and (2) to formulate a clear and convincing case for agency leaders to dedicate resources—both budget and personnel—to succession management planning.

There are two major activities associated with Establishing Strategic Alignment:

- Analyze Strategic Requirements/Direction – This activity is necessary so all decisions related to succession management align with the agency's strategic requirements in support of the mission.
- Develop a Business Case – This activity is necessary so the strategic benefits are well articulated to build support for allocation of resources and to implement succession management fully and successfully.

Together, these two activities help align the succession management initiative with the agency's strategic direction and begin to set the stage for a well-targeted program.

HCAAF Critical Success Factors and Elements

During this phase, the agency establishes the need and sets the strategic direction for succession management as part of its human capital planning activities. In accomplishing these activities, agencies will be addressing the following HCAAF key elements associated with aligning succession management requirements with agency strategy:

- The agency has a human capital planning system for:
  - Promoting alignment of human capital strategies (i.e., succession management) with agency mission, goals, and objectives.
  - Establishing a process for including succession management activities and investments in the agency annual performance plan and budget.
  - Developing an annual human capital plan establishing succession management goals, objectives, and investments.

Activity	Description
Analyze Strategic Requirements/Direction	Establishing strategic goals and objectives for succession management to align with the agency's overall strategic direction and meet Federal laws, rules, and regulations

Information You Need	Steps To Take	Results You Will Achieve
Agency strategic plan Agency strategic human capital management plan Agency performance plans Trends (e.g., technological, economic, social, political) Projected direction and growth of agency Existing workforce analysis	1. Review and analyze information collected. 2. Draw conclusions about agency leadership needs for meeting strategic goals/mission in the short and long term.	Articulation of the agency's strategic requirements for leadership succession management

Actions Supporting Accomplishment of This Activity:

Collect information.

- Collect information from executive stakeholders who are familiar with trends (e.g., technological, economic, social, political, academic) affecting leadership needs in the agency.
- Confirm the agency's short- and long-term strategic vision and direction.

Analyze information collected.

- Describe the agency's future requirements for products and services. Determine if leaders will need broader scope.
- Determine the mix of technical and managerial competencies required for agency leadership positions.
- Analyze the trends affecting leadership needs in the agency. Determine the impact of competitive sourcing and e-Government initiatives on leadership requirements.
- Describe how leaders are currently deployed across the agency (e.g., organizational structure) and consider the implications, if any, for the agency's ability to meet its strategic goals.
- Consider the needs of leaders throughout the organization—supervisors, managers, and executives—and determine if they are aligned with the agency's strategic direction.
- Consider projections for agency growth/change and the implications for numbers and types of leadership positions and leadership competencies. Assess whether the number of leadership positions will increase, decrease, or remain relatively constant.
- Assess the agency's current succession management system. (See *Job Aid: Assessment of Agency Succession Management System* following this activity table.)

Actions Supporting Accomplishment of This Activity: (Continued)
Draw conclusions about leadership needs. • Consider the agency's organizational values. Determine if the agency culture will support succession management goals and strategies. Consider whether a cultural "shift" is needed to support mission requirements now or in the future. • Define the agency's goals, objectives, and vision. Consider the following questions: ➢ What is the agency trying to achieve? ➢ What is the agency trying to preserve? ➢ What is the agency trying to avoid? ➢ What is the agency trying to eliminate? ➢ Are these appropriate goals? ➢ How well is the agency doing in regard to these efforts? • Describe the current strengths and weaknesses of agency leadership. • Define the agency's "leader of tomorrow." • Define succession management success at the agency.

Job Aid: Assessment of Agency Succession Management System

Instructions

As you determine your strategic direction for the agency's succession management initiative, you should begin to consider how you are going to track the agency's progress toward building a fully effective succession management system. This assessment job aid will help you gauge your advancement. It is organized by the phases of the SLSM Model.

The job aid lists the key elements from HCAAF associated with each phase, and then provides a table in which you can indicate when you have achieved key results for the phase. A column for notes is also provided, in case you want to indicate partial completion, who is responsible for completion, or other helpful information.

When you have completed the key activities and products for all five phases, you will have implemented the SLSM Model, which will help lead your program toward desired outcomes. If you have implemented the SLSM Model and developed and implemented an agency succession management program, then you should evaluate your agency's program using the Succession Management Continuous Improvement Review Tool in Phase 5 of this document.

Phase 1. Establish Strategic Alignment

Related HCAAF Key Elements

The agency has a human capital planning system for:

- Promoting alignment of human capital strategies (i.e., succession management) with agency mission, goals, and objectives.
- Establishing a process for including succession management activities and investments in the agency annual performance plan and budget.
- Developing an annual human capital plan establishing succession management goals, objectives, and investments.

To help determine whether your current succession management initiative is addressing the related HCAAF key elements, indicate in the table below whether each of the associated activities and products for this phase has been achieved. These activities and products help lead the succession initiative to outcomes or goals aligned with agency objectives.

SLSM Model Key Activities: Establishing Strategic Alignment	Product/ Output	Achieved?	NOTES (if achieved, evidence to support it; if not achieved, strategies to correct it)
Articulate the agency's strategic requirements for leadership succession management.	Requirements Definition	☐ Yes ☐ No	
Describe the business case for succession management, including accountabilities and resources.	Justification/ Business Case	☐ Yes ☐ No	

Job Aid: Assessment of Agency Succession Management System (continued)

Phase 2. Identify Succession Targets & Analyze Talent Pool

Related HCAAF Key Elements

The agency's workforce planning system includes a workforce analysis process for:

- Identifying competency gaps and deficiencies, including current and future competency needs and losses due to voluntary attrition.
- Analyzing current strengths and weaknesses regarding mission-critical occupations and competencies.
- Systematically defining the size of the workforce needed to meet organizational goals.

To help determine whether your current succession management initiative is addressing the related HCAAF key elements, indicate in the table below whether each of the associated activities and products for this phase has been achieved. These activities and products help lead the succession initiative to outcomes or goals aligned with agency objectives.

SLSM Model Key Activities: Identifying Targets & Analyzing Talent Pool	Product/ Output	Achieved?	NOTES (if achieved, evidence to support it; if not achieved, strategies to correct it)
Set time-bound succession management targets (i.e., numbers of leaders needed for critical leadership roles with required competencies).	Succession Targets Description	☐ Yes ☐ No	
Complete bench strength analysis describing the readiness gap (i.e., the difference between the succession targets and the numbers of leaders and potential leaders at various levels and within subgroups who have critical competencies).	Bench Strength/ Readiness Gap Analyses	☐ Yes ☐ No	
Identify potential sources of talent for meeting targets (including identification of high performers and/or those with high potential among the current workforce).	Talent Source Description	☐ Yes ☐ No	

Job Aid: Assessment of Agency Succession Management System (continued)

Phase 3. Develop Succession Management Plan

Related HCAAF Key Elements

The agency's succession management system:

- Invests in an OPM-approved Senior Executive Service (SES) candidate development program linked to the Executive Core Qualifications (ECQs).
- Provides mentoring to new and prospective leaders.
- Invests in first-line supervisors to ensure they have the competencies to direct the day-to-day work of the agency.
- Includes an "employee development" performance indicator for managers and senior leaders.
- Invests in the continuous development of senior leaders (current and future).

The agency's accountability system:

- Is formal and clearly documented.
- Is fully supported by top management.
- Ensures that managers are held accountable for their human capital decisions and programs.
- Evaluates human capital results vis-à-vis mission, goals, objectives, and programs.
- Evaluates specific human capital programs (e.g., succession management).
- Provides for evaluation of human capital and human capital resources throughout the organization.

To help determine whether your current succession management initiative is addressing the related HCAAF key elements, indicate in the table below whether each of the associated activities and products for this phase has been achieved. These activities and products help lead the succession initiative to outcomes or goals aligned with agency objectives.

SLSM Model Key Activities: Developing Succession Management Plan	Product/ Output	Achieved?	NOTES (if achieved, evidence to support it; if not achieved, strategies to correct it)
Develop a succession management plan with the following components: • Strategic Requirements • Succession Management Targets and Talent Pool Analysis • Strategies for Recruiting, Developing, and Retaining Leadership Capacity	Succession management plan with requirements, targets, talent pool analysis, and strategies	☐ Yes ☐ No	
Develop an implementation plan with a blueprint for putting the succession management strategies into operation to achieve stated targets.	Implementation plan	☐ Yes ☐ No	
Develop an evaluation/accountability plan describing how the agency will ensure it is meeting its succession targets while remaining in compliance with Federal laws, rules, regulations, and guidelines.	Evaluation/ accountability plan	☐ Yes ☐ No	

Job Aid: Assessment of Agency Succession Management System (continued)

Phase 4. Implement Succession Management Plan

Related HCAAF Key Elements

The agency has a change management system in which leaders:

- Provide adequate resources to support the change.
- Take visible actions to support the ways of working.
- Understand there is a need for a change process and facilitate the change management process by monitoring and addressing problems in the transition process.
- Hold people accountable for performance results and meeting their commitments to the change process.
- Focus on performance and progress against change milestones.

The agency has an accountability system that:

- Implements data collection and analysis processes to support the measures.
- Provides review of HR transactions (e.g., selection of participants in a candidate development program) to ensure compliance with legal, regulatory, and specific agency requirements.

To help determine whether your current succession management initiative is addressing the related HCAAF key elements, indicate in the table below whether each of the associated activities and products for this phase has been achieved. These activities and products help lead the succession initiative to outcomes or goals aligned with agency objectives.

SLSM Model Key Activities: Implementing Succession Management Plan	Product/ Output	Achieved?	NOTES (if achieved, evidence to support it; if not achieved, strategies to correct it)
Analyze and adapt policies and practices to ensure support of succession management initiatives.	Policy/practice analysis and revised policies/ practices, if appropriate	☐ Yes ☐ No	
Communicate succession management initiatives and policies clearly.	Succession management guidance	☐ Yes ☐ No	
Communicate clearly the expectations for leadership buy-in, agency commitment, and support for succession management.	Succession management accountability and support messages	☐ Yes ☐ No	
Implement succession strategies (identification/recruitment/selection, development, and retention) for targeted positions.	Active programs for succession strategies	☐ Yes ☐ No	
Collect process, performance, and compliance data (quantitative and qualitative) and disseminate via progress/status reports.	Progress and status reports	☐ Yes ☐ No	

Job Aid: Assessment of Agency Succession Management System (continued)

Phase 5. Evaluate Succession Strategies

Related HCAAF Key Elements

The agency has an accountability system for:

- Ensuring results are used to improve human capital programs and the human capital accountability system.
- Ensuring human capital results and merit system compliance are determined and reported to management and OPM.
- Promoting continuous improvement, which is reflected in updates to the strategic human capital plan.

To help determine whether your current succession management initiative is addressing the related HCAAF key elements, indicate in the table below whether each of the associated activities and products for this phase has been achieved. These activities and products help lead the succession initiative to outcomes or goals aligned with agency objectives.

SLSM Model Key Activities: Evaluating Succession Strategies	Product/ Output	Achieved?	NOTES (if achieved, evidence to support it; if not achieved, strategies to correct it)
Develop and distribute a report of results, including key findings on how well the agency has met its targets.	Evaluation Report	☐ Yes ☐ No	
Document and share promising practices.	Promising Practices Document	☐ Yes ☐ No	
Present recommendations and an action plan for improvement.	Action Plan for Improvement	☐ Yes ☐ No	
Identify and implement lessons learned.	Revised programs, policies, or practices	☐ Yes ☐ No	

Activity	Description
Develop Business Case* * See associated job aid following this table.	Articulating a business case—utilizing workforce analysis findings—for succession management in the agency, including why it is important and how it will benefit the agency; conveying a commitment of resources and senior leader involvement to succession management

Information You Need	Steps To Take	Results You Will Achieve
The agency's strategic requirements for leadership succession management	1. Develop and communicate business case by determining: • Strengths, weaknesses, opportunities, and threats. • The business need. • Users/stakeholders impacted. • Current approach. • New/enhanced approach. • Cost/benefit analysis. 2. Acquire resources and budget for leadership succession management activities. 3. Build senior leader buy-in.	A description of the business case for succession management, including accountabilities and resources

Actions Supporting Accomplishment of This Activity:
Develop a business case. (See *Job Aid: Building a Compelling Business Case for Succession Management* following this activity table.) • Describe the benefits to the agency of paying attention to succession management (e.g., critical competencies defined and developed, continuity of leadership focus). • Determine the costs associated with failing to address succession management (e.g., vacancies in critical leadership positions, smaller pool of qualified candidates for leadership positions). **Begin budgetary process.** • Estimate the budget and resources needed to develop and implement a succession management program.

Actions Supporting Accomplishment of This Activity: (Continued)
Build senior leader buy-in. • Articulate the commitment required of senior leaders for the agency to develop and implement an effective succession management program. Identify the champions/sponsors. Describe how the agency will build and communicate senior leader buy-in. (See *Job Aid: Creating a Participatory Succession Management Infrastructure* on page 23.)

Job Aid: Building a Compelling Business Case for Succession Management

Job Aid Overview

A compelling business case for succession management describes why it is important and how it will benefit the agency, conveying a commitment of resources and senior leader involvement. This process of developing a business case is a key element of managing change and begins at the front end of the succession management process.

Importance

To get the needed "critical mass" to buy into succession management, leaders need to create a common understanding of the driving forces for the change as well as why making the change is critical to the accomplishment of the agency's mission and goals. Key stakeholders need to know and understand the rationale for succession management and need to feel a sense of urgency about the need for change if they are to become committed to it.

How To Do It

Four key tasks help human capital leaders communicate a compelling business case for succession management:

- Identify the "Why"
- Paint the Picture
- Build Creative Tension
- Communicate the Business Case

Following are the tasks for building a compelling business case for succession management and the questions related to each task.

Supporting Documentation

Use your agency's strategic plan and strategic human capital plan to help answer the questions on the following page. If some questions remain unanswered, consider using interviews or focus groups with senior leaders to get to the answers.

Job Aid: Building a Compelling Business Case for Succession Management (continued)

Task	Key Questions
Identify the "Why": Identifying why the organization needs succession management	• What are the forces driving the organization to succession management? • What problem must succession management solve, or what needs must succession management meet? • How will the organization benefit from succession management?
Paint the Picture: Creating a picture of where the organization wants to be in the future and how succession management initiatives fit into the picture	• What will the organization look like after implementation of the succession management plan? • What will members of the organization be doing? • Who will be your customers, and how will succession management initiatives affect them? • What products and services will your organization provide, and how will succession management initiatives affect those products and services? • What new values will the organization need?
Build Creative Tension: Articulating the discrepancy between where succession management is now in the organization and where it needs to be	• What does succession management look like now in the organization? • What are the significant discrepancies between the future desired state and the present state? • What must change in order to support the future desired state? • What should stay the same when the future desired state is achieved?
Communicate the Business Case: Pulling together information from the previous tasks to communicate the purpose and vision for change in compelling ways	• How can you build a "sense of urgency" in others about the need for change in succession management? • What strategies will you use to convey the business case to the rest of the organization?

Job Aid: Creating a Participatory Succession Management Infrastructure

Job Aid Overview

Experts recommend a participatory approach to succession management. This job aid describes the rationale for the participatory approach, five key roles in a participatory approach, what each role does, and who typically performs the roles.

Introduction

The Human Capital Assessment and Accountability Framework (HCAAF) requires agencies to have a human capital planning system that "promotes alignment" of human capital strategies with agency mission, goals, and objectives. Building a participatory approach to human capital planning and execution is a key to success. A "guiding coalition" is required to promote alignment because human capital transformation is so difficult to accomplish.

Succession management should be managed by a steering group or similar collaborative body comprised of a Chief Human Capital Officer and senior leaders and managers from human resources (including policy, program, and training representatives) and mission-specific program areas.

As people participate in the process, they develop a common consciousness of the situation and begin to "buy in" to the urgency for change. A participatory approach helps agencies determine the key committees and teams needed to lead and manage the development and implementation of the succession management system, as well as the resources and authorities needed to perform their roles. This participative approach:

- Increases understanding and acceptance of the change.
- Encourages stakeholder involvement in decision making and problem-solving.
- Generates better ideas and sounder solutions.
- Helps guarantee the necessary "critical mass" of commitment.

Job Aid: Creating a Participatory Succession Management Infrastructure (continued)

Five Key Roles in a Participatory Succession Management Infrastructure

Role	What	Who
Sponsor: An individual or a group that acts as a champion and provides overall vision, direction, and resource support in developing and implementing the plan	Acts as a champion and provides leadership for others' efforts in making the plan happen	Typically, an individual or group of leaders from the executive level, senior management, and/or the labor union
Steering Committee: A high-level decision-making body that initiates and oversees the development and execution of the plan	Develops the plan, ensures the vision is incorporated and communicated, and orients the organization to the effort	The Chief Human Capital Officer and a cross-section of senior representatives from management, organized labor, and employees, who should possess qualities such as position power, expertise, credibility, and leadership
Design Team: A group of individuals responsible for describing the change in operational terms	Develops a detailed blueprint of what the succession strategies will look like and an implementation plan	Individuals from the ranks of management, supervision, the union, and employees, who are selected for their functional expertise, ability to influence and work with others, and knowledge of organizational processes and systems
Implementation Team: A group of individuals responsible for setting the change in motion and dealing with related issues	Determines and carries out the plan for launching the change and supporting people through the transition	Representatives from the groups that must carry out the change
Transition Monitoring Team: A group that serves as the people's voice during change and transition	Serves as the organization's eyes and ears; assesses how people are responding to the change	A group of 7 to 12 people chosen from as wide a cross-section as possible, including the union

Introduction to Case Examples

In each phase of the SLSM Model, this guide includes a case example from a Federal Government agency. Many agencies are making exemplary efforts related to succession management, and these case examples were not selected competitively from among the efforts of all agencies. These examples demonstrate how agencies have accomplished specific activities related to the five phases in the succession management process. Two agencies are represented by two case examples each in different sections of the guide, so readers can see how different parts of a single agency's approach relate. A third agency is represented by a single case example.

Case Example
Creating a Participatory Succession Management Infrastructure at the Department of Energy

The Department of Energy (DOE) applies several of the key roles in building a participatory succession management infrastructure.

The role of **Sponsor** is the foundation for a program that cuts across the entire enterprise. The *Secretary* and *Deputy Secretary* of Energy place great emphasis on the succession management program. The *senior leadership* fosters consistent, broad support for succession planning with common recognition of its importance across the Department. Senior leadership was involved from the very beginning, and succession management has become part of the culture as a result.

The staff members in the *Human Capital Management Office (HCMO)* fill the roles of **Steering Committee** and **Design Team**. The Department takes great pride in the HCMO staff's knowledge, background, dedication, and motivation. However, the staff in the HCMO is overburdened. The volume of work to be done with very tight resources continues to be a great challenge. Succession management duties compete with other responsibilities for staff attention.

To set change in motion and deal with related issues, DOE calls on *Resource Managers* and *Program Heads* to serve as the **Implementation Team**. The Resource Managers are individuals responsible for the success of the initiatives within each of their areas of responsibility (e.g., conducting bench strength analysis or promoting intern programs). They know how to tailor the resources available to meet particular needs (e.g., establishing a pipeline vs. focusing on leadership needs). Additionally, there is real accountability for implementation and follow-through. The Program Heads are responsible for meeting the human capital management objectives. DOE builds the succession management initiative responsibilities into the performance management program.

Phase 2. Identify Succession Targets & Analyze Talent Pool

Introduction This phase covers the workforce planning activities associated with establishing leadership succession management targets and analyzing talent pools. Agencies can integrate this phase with human capital planning, or this phase can flow out of the human capital planning process. In practice, many agencies will likely conduct strategic alignment activities while beginning to identify succession targets and developing a succession plan.

Purposes The purposes of this second phase are: (1) to identify succession targets for key leadership positions across the agency, in terms of numbers of leaders and desired competencies; (2) identify members of the talent pool (e.g., high performers and/or high-potential employees); and (3) analyze how well the current talent pool could fill those targets (i.e., bench strength).

Purposes (Continued)

There are two major activities associated with identifying targets and analyzing the talent pool:

- Establish Needs and Set Targets – This activity is necessary so the agency can clearly articulate the number of individuals it needs to prepare for strategic leadership positions and the competencies the individuals should possess.
- Analyze Talent Pool – This activity is necessary so the agency knows who is in the leadership talent pool and how the current talent pool measures up against the established targets.

Together, these two activities help determine how close the agency's current talent pool is to meeting the agency's leadership pipeline needs.

HCAAF Critical Success Factors and Elements

During this phase, the agency analyzes key leadership populations and establishes targets to address gaps, through workforce analysis and succession management activities. The following key elements of HCAAF apply to setting succession targets and analyzing talent pools:

- The agency's workforce planning system includes a workforce analysis process for:
  - Identifying mission-critical occupations and competencies essential to achieving goals.
  - Analyzing current strengths and weaknesses regarding mission-critical occupations and competencies.
  - Identifying competency gaps and deficiencies, including current and future competency needs and losses due to voluntary attrition.
  - Systematically defining the size of the workforce needed to meet organizational goals.
- HCAAF also states a requirement for the agency to have a succession management system based on:
  - Accurate data on the current workforce.
  - Accurate projections of attrition at all leadership levels.

Activity	Description
Identify Succession Targets* * See associated job aid following this table.	Identifying the agency's current and projected workforce needs, at particular points in time, for the key leadership populations (e.g., aspiring leaders, supervisors, managers, and executives) and subgroups (e.g., by bureau or department, Headquarters vs. field, critical vs. noncritical leadership positions, technical vs. line management); establishing targets describing the number of critical leadership positions for which the agency needs qualified leaders the number of leaders and potential leaders to be included in development, and the required competencies for the targeted positions

Information You Need	Steps To Take	Results You Will Achieve
Workforce data (attrition, projected changes, etc.) including numbers of employees in leadership pipeline Leadership competency model (based on ECQs and agency-specific competencies/skills)	1. Identify the leadership positions to be analyzed. 2. Analyze workforce data to identify shortfalls across targeted leadership populations/subgroups by reviewing: • Leadership movement in the organization due to attrition, promotions, etc. • Projected needs associated with agency growth or technological/process changes. 3. Identify required competencies for critical leadership roles.	Succession management targets set (i.e., numbers of leaders needed for critical leadership roles with required competencies) General, high-level objectives for succession management

Actions Supporting Accomplishment of This Activity:
Identify leadership positions to be analyzed. (See *Job Aid: Identify Succession Targets* following this activity table.) • Identify the agency's key leadership roles/positions across all populations/subgroups that should be analyzed. • Describe how the agency defines and determines who is in the leadership pipeline/ talent pool (e.g., all employees, volunteers, employees in particular occupational series, participants in candidate development programs, high performers, employees with high potential). If applicable, describe the methodologies used to identify high performers and employees with high potential (e.g., ratings on performance reviews, recommendations by supervisors, 360-degree assessments, interviews with current leaders). Consider whether the current approach needs to be changed. • Estimate how many individuals are currently in the leadership pipeline/talent pool for each subgroup. • Determine the agency's current "supply" of leaders (i.e., identify who is in the pipeline and how many are in the pipeline). • Identify the hardest-to-fill leadership positions and the scarce skill sets. **Analyze workforce data.** • Determine the agency's leadership shortfalls in the short and long term across all populations and subgroups in terms of numbers of potential leaders. • Describe how projected changes in agency size (growth or reduction) may impact future leadership needs. • Describe how changes in technology or mission-critical processes may impact future leadership needs. • Estimate the vacancy risk (the risk of critical leadership positions being vacant) and its potential impact. Describe the potential impact if those critical positions are filled inappropriately (e.g., through rushed recruitment efforts). **Identify required competencies.** • Identify the leadership capabilities (both "people" leadership and technical leadership) most critical to the agency's success and at what points they become critical (i.e., at each level of leadership). Determine the capability gaps between available leadership and the agency's needs. • Identify and define the five or six critical leadership competencies for each leadership level (e.g., supervisor, manager, and executive).

Job Aid: Identify Succession Targets

Associated Activity

Identify Succession Targets

Job Aid Overview

This job aid will guide agencies in using workforce analysis and leadership competency requirements information to identify succession targets. After completing this job aid, you will have identified the number of positions for which vacancies are projected as well as the competencies most critical to those positions.

Relationship to Annual HC Report

Use of this aid will also allow you to respond to the U.S. Office of Personnel Management's (OPM's) requirements to:

- Report on closure of competency gaps for management and leadership positions and
- Build sufficient bench strength.

By December 2008, all Federal agencies must meet the same requirements as agencies scored under the President's Management Agenda (i.e., they must submit annual Human Capital Management Reports with HCAAF Metrics to OPM).

One HCAAF metric focuses on closing competency gaps for management and leadership positions. To report on this metric, OPM has prescribed specific charts that must be submitted.

Each of the required charts for this metric is incorporated into this tool. (The charts included in this tool reflect the current measurement year. However, they can readily be used to reflect other measurement periods by simply changing the dates in the charts.) Consequently, if you follow the steps outlined in this tool, you will establish succession targets and be prepared to submit required charts to OPM as part of your annual Human Capital Management Report.

All OPM-prescribed charts that must be submitted with the annual Human Capital Management Report (mentioned above and appearing throughout this job aid) ask for aggregated numbers. To determine aggregated numbers for your agency, you should start by identifying the requirements for leadership positions within agency occupations. You may also want to review agency leadership requirements related to other factors (e.g., leadership needs by geographic areas, mission functions, or occupational specialties).

The separate data by occupation may then be combined to determine the aggregated numbers for the OPM charts. This tool illustrates a way for agencies to identify leadership requirements for specific populations (e.g., by occupation) and aggregate those requirements for OPM reporting purposes.

Job Aid: Identify Succession Targets (continued)

Steps To Take Consider the following five steps:

Step	Description
1	Identify the leadership positions to analyze.
2	Collect and analyze attrition data on the targeted positions.
3	Analyze gaps in leadership staffing (i.e., estimate the number of critical leadership positions projected to be vacant).
4	Set targets for the numbers and types of positions for which the agency needs effective leaders.
5	Establish competency requirements, including proficiency levels, for targeted groups.

Each step is described in greater detail below.

Step 1: Identify the leadership positions to analyze, including those for which the agency anticipates vacancies. This decision will drive the amount and depth of analysis desired. Consider such things as:

- Specific critical positions.
- Anticipated new leadership positions.
- Positions in mission-critical occupations vs. all occupations.
- Levels in the leadership pipeline (i.e., first-line supervisor, manager, and executive).
- Grade/band levels.
- Locations (headquarters/field).
- Organizations (department, bureau).

Example 1 on the following page provides a sample output of Step 1. Example 1 illustrates an analysis of leadership levels (supervisor, manager, and executive) across occupations.[1] (For illustration, only two occupations are shown.) An agency may also want to look at further demographic breakdowns (e.g., number of supervisors, managers, and executives by mission function, years of service, location, etc.). Examples in this job aid as well as other examples in this guide are illustrative, not prescriptive. Agencies may accomplish the phases and activities associated with the SLSM Model in ways that best suit their needs.

[1] While the information developed using this process will help an agency with submitting required Systems, Standards, and Metrics (SSM) Charts to OPM, the example does not represent an SSM Chart per se.

Job Aid: Identify Succession Targets (continued)

Example 1. Demographics of Leadership Populations To Be Analyzed

Occupations	Total Leaders Onboard	Supervisor # (%)	Manager # (%)	Executive # (%)	HQ # (%)	Field # (%)
Contracting	40 (100%)	26 (65%)	10 (25%)	4 (10%)	8 (20%)	32 (80%)
IT	40 (100%)	30 (75%)	6 (15%)	4 (10%)	10 (25%)	30 (75%)
Etc. for each occupation						
Totals	80 (100%)	56 (70%)	16 (20%)	8 (10%)	18 (22.5%)	62 (77.5 %)

Agencies need to decide which leadership levels will be included in analyses conducted to determine succession targets. This may be driven, in part, by the availability of data for each leadership level. In some instances (depending on the functionalities of an agency's human resources information system), agencies may not be able to discretely differentiate between first-level supervisors and second-level managers. Consequently, they may have to base their succession target analyses on a current combined pool of managers and supervisors.

With this in mind, agencies should be cognizant of OPM's requirement to submit a Leader Resource Chart[2] reflecting a one year period from October 1 to September 30. A completed example of this chart appears below. A blank copy of this chart may be found at Part A near the end of this job aid. Note that this example assumes it is possible to break down leader resources discretely by executives, managers, and supervisors but that may not be the case for your agency.

The *Leader Resource Chart* that appears at Part A (near the end of this job aid) is a blank copy of the chart. You can download the Excel® spreadsheet version of this blank chart, with formulas, from the OPM web site. The actual spreadsheet will calculate staffing gaps and surpluses for you when you enter your leadership data. All you need to do is complete those cells designated for agency completion. Note that the example of a completed chart that appears below uses notional numbers. The numbers and targets in your agency will be different. The numbers and targets will differ significantly from agency to agency.

In the example below, fictitious Agency XYZ needed 100 Executives on board by the end of the measurement year. Ninety Executives were on board at the beginning of the year. The agency expected to lose 10 of the 90 Executives on board by the end of the year, leaving the agency with a gap of 20 Executives against its requirement of 100 Executives. By the end of five years, the agency needs to have 110 Executives on board (compared to the current 90). It expects to lose 45 Executives over the course of the five-year period, leaving it with a long-term gap of 65 Executives. The right side of the chart shows that the agency actually lost 12 Executives during the measurement year (instead of the 10 projected) and wound up the year with 90 Executives, still 10 short of its current requirement.

[2] This is an OPM-required SSM Chart that must be submitted annually.

Job Aid: Identify Succession Targets (continued)

Leader Resource Chart

Agency Name	Agency XYZ
Size of Total Agency Workforce	20,000
Start Date of Measurement Year	October 1, 2007
End Date of Measurement Year	September 30, 2008
Date of Workforce Analysis	October 27, 2008
Date of this Report	December 15, 2008
Years Agency Uses for Long-Term Goal	5 Years
Agency Point of Contact (POC)	John Smith
OPM Human Capital Officer (HCO)	Jane Doe

Leadership Levels	STARTING POINT (INPUT DATA FROM BEGINNING OF MEASUREMENT YEAR FOR EACH LEADERSHIP LEVEL YOU LIST IN 1ST COLUMN)										RESULTS ACHIEVED (END OF YEAR DATA)		
	(A) Target (To Be) for Number of Leaders (Staffing Level to Reach by End of this Measurement Year) (September 30, 2008)	(B) Number of Leaders On Board as of October 1, 2007	(C) Projected Attrition for This Year (October 1, 2007 to September 30, 2008) (Enter Negative Numbers for Attrition)	(D) Targeted Staffing Gap(-) /Surplus(+) to Close This Year (target as set on October 1, 2007) (B) + (C) - (A) (calculated values)	(E) Target for Number of Leaders to Reach by End of FY2009	(F) Projected Attrition for end of FY2009 (Oct 1, 2008 - Sept 30, 2009)(Enter Negative Numbers for Attrition)	(G) Long-Term Target for Number of Leaders to Reach by end of FY2013	(H) Projected Long-Term Attrition for end of FY2013 (Oct 1, 2009 - Sept 30, 2013) (Enter Negative Numbers for Attrition)	(I) Staffing Gap (-)/ Surplus (+) to Close by the end of FY2009 (Including Attrition) (B) + (C) + (F) - (E) (calculated values)	(J) Staffing Gap (-)/ Surplus (+) to Close Long-Term by end of FY2013 (Including Attrition) (B) + (C) + (F) + (H) - (G) (calculated values)	(K) Actual Number of Leaders On Board on September 30, 2008	(L) Actual Attrition of Leaders (October 1, 2007 to September 30, 2008) (Enter Negative Numbers for Attrition)	(M) Was One-Year Target Met for Closing the Gap/Surplus? (yes if 0; no if + result and trying to reduce surplus; no if - result and trying to close gap) (K) - (A) (calculated values)
Executives	100	90	-10	-20	102	-10	110	-25	-32	-65	90	-12	-10
Managers	200	210	-35	-25	198	-35	180	-55	-58	-95	190	-20	-10
Supervisors	250	225	-75	-100	275	-100	350	-150	-225	-450	230	-127	-20
Totals (calculated values)	550	525	-120		575	-145	640	-230			510	-159	

Legend:

Enter information about dates and names in the rows at the top of the table. Underlined dates in the table will be entered by the computer program based on what the agency enters at the top of the table.

Enter names of leadership levels on the table's rows. Gaps, attrition, and losses should be shown as negative numbers and surpluses as positive numbers.

Column (A) = projection of leaders needed by end of this measurement year, such as the end of the fiscal year.

Column (B) = the number of leaders on board at the beginning of the measurement year.

Column (C) = the projected attrition the leadership level is expected to experience during the measurement year based on workforce analysis and planning.

Column (D) = the gap (or surplus) between on board leaders (B) and leaders needed this year (A) plus projected attrition for this row (C).

Column (E) = projection of leaders needed by the end of FY 2009.

Column (F) =attrition leadership is expected to experience during FY2009 (Oct 1, 2008 - Sept 30, 2009); this should be based on workforce analysis and planning.

Column (G) = long-term projection of leaders needed by FY 2014.

Column (H) = the long-term attrition leadership is expected to experience by the end of FY2013 (Oct 1, 2009 - Sept 30, 2013); this should be based on workforce analysis and planning.

Column (I) = the gap (or surplus) between on board leaders (B) and leaders needed by FY2009 (E) plus projected attrition (F) for this row.

Column (J) = the gap (or surplus) between on board leaders (B) and leaders needed long-term by the end of FY2013 (G) plus projected long-term attrition (H) for this row.

Column (K) = the actual number of leaders on board at the end of the measurement year.

Column (L) = the actual number of leaders to attrit/separate during the year from the employees in the same column in Row (B) at the end of the measurement year.

Column (M) = the difference between (K) and (A) values for this row; target was met if = 0; if closing a gap, positive number means surpassed target, and negative means under target; if reducing a surplus, negative number means surpassed target, and positive means under target.

Job Aid: Identify Succession Targets (continued)

Step 2: Collect and analyze current as well as projected attrition in the leadership populations selected for analysis. For these purposes, **current attrition is defined as any form of separation (e.g., resignation, retirement, transfer) that occurs during a particular year.** Example 2 provides an example of leadership pipeline attrition across occupations for a recent year—that is, it shows for the current year how many leaders from those on board have left the organization. (For illustration, only two occupations are shown.)

Example 2. Yearly Leadership Attrition Profile

Occupations	Total Leaders On Board	Total Leader Attrition # (Attrition %)	Supervisor Attrition # (Attrition %)	Manager Attrition # (Attrition %)	Executive Attrition # (Attrition %)
Contracting	40	4 (10%)	1 out of 26 (4%)	2 out of 10 (20%)	1 out of 4 (25%)
IT	40	10 (25%)	5 out of 30 (16.66%)	3 out of 6 (50%)	2 out of 4 (50%)
Etc. for each occupation					
Totals	80	14 out of 80 (17.5%)	6 out of 56 (10.7%)	5 out of 16 (31.25%)	3 out of 8 (37.5%)

To determine projected attrition, take the number eligible to retire or otherwise projected to separate from the agency and compare it to a historical index of the number who actually leave the agency (for retirement and other types of separations). Historical information is important, because not all people retire once they become eligible, and trends affecting other types of separations may also be noted. Regarding retirement, for instance, if 10 employees are eligible to retire in a given year and historically 50 percent of those eligible actually retire, then the projected attrition would be 5 employees. Example 3 depicts projected leadership pipeline attrition across occupations. (For illustration, only two occupations are shown.)

Example 3. Projected Leadership Bench Strength Attrition Across Occupations

Occupations	Year 1	Year 2	Year 3
Financial Management	Supervisors = 1 Managers = 2 Executives = 1	Supervisors = 2 Managers = 2 Executives = 0	Supervisors = 3 Managers = 3 Executives = 2
Human Resources	Supervisors = 10 Managers = 2 Executives = 0	Supervisors = 15 Managers = 4 Executives = 1	Supervisors = 20 Managers = 6 Executives = 2
Etc. for each occupation			
Totals	Supervisors = 11 Managers = 4 Executives = 1	Supervisors = 17 Managers = 6 Executives = 1	Supervisors = 23 Managers = 9 Executives = 4

Job Aid: Identify Succession Targets (continued)

In this analysis, agencies would also need to account for and explain any factors that would affect these projections, such as anticipated growth in the organization, reductions in force, other trends, and assumptions.

Step 3: Analyze gaps (i.e., the number of critical leadership positions expected to open up and for which the agency needs qualified leaders). As in Step 2, the agency should account for trends and assumptions around anticipated growth, reductions in the workforce, changes in the organization, etc.

Case 1: Aggregated Levels Analysis (based on Example 3)

Executive: One-third (33 percent) of the SES population in each occupation will become retirement eligible in the next 3 years, and approximately 50 percent of those eligible have been retiring in the year they become eligible. At the beginning of the year, there were 20 SES positions in Financial Management and 20 SES positions in Human Resources. Over the next 3 years, 3 SES positions in each of the two occupations are projected to become vacant, or about 1 annually in each occupation. The agency based this determination on retirement eligibility tempered by historical trends.

Case 2: Occupation Analysis (based on Example 3)

Human Resources: In the next 3 years, projected attrition will require replacement of three executives, 12 managers, and 45 supervisors. Leadership succession management should be a priority for this occupation.

Step 4: Set targets for the number and type of leadership positions for which leaders are needed. The analysis of the example tables can help to establish targets across levels in the pipeline (i.e., supervisors, managers, and executives) as well as across occupations (e.g., Human Resources, Contract Specialists, and Information Technology).

In setting targets, the agency needs to determine its ideal **ratio of candidates to projected open leadership positions**—in other words, the number of people the agency wants to have ready to step into a given leadership position (e.g., a 2:1 ratio means the agency wants to have two candidates ready at any point in time to step into a given leadership position). This ratio will vary from agency to agency and may also vary within agency departments, divisions, etc.

For example, if there are 12 open supervisory positions projected and the agency has a 2:1 ratio, then the target is 24 candidates ready to step into supervisory positions.

Agencies should be cognizant of OPM's requirement to submit a Leader Bench Strength Resource Chart, reflecting a one-year period from October 1 to September 30. A completed example of this chart appears below. The example assumes a 1-to-1 bench strength ratio (i.e., there will be the same number of individuals

Job Aid: Identify Succession Targets (continued)

fully prepared to assume leadership as there are leadership positions in the agency). A blank copy of this chart may be found at Part B near the end of this job aid. Note that this chart applies only to those supervisors, managers, and executives who have already attained appropriate competencies. Similar to the Leader Resource Chart, it is assumed it is possible to break down leader resources discretely by executives, managers, and supervisors, which may not be true for every agency.

The *Leader Bench Strength Resource Chart* that appears at Part B (near the end of this job aid) is a blank copy of the chart. You can download the Excel® spreadsheet version of this blank chart, with formulas, from the OPM web site. The actual spreadsheet will calculate bench strength gaps and surpluses for you. All you need to do is complete those cells designated for agency completion. Note that the example of a completed chart that appears below uses notional numbers. The numbers and targets in your agency will be different. The numbers and targets will differ significantly from agency to agency.

In the example below, fictitious Agency XYZ needs to have 110 Executives on board by the end of five years. Its current bench strength goal is 110, but it only has 105 employees "on the bench." This leaves the agency with a gap of 5. Note that this chart includes a section for recording the results achieved by the end of the measurement year. Using the example, Agency XYZ's Executive Bench Strength at the end of the measurement year is 80, meaning that it has a gap of 30 in its bench strength, since its goal was to have a bench strength of 110 by the end of the year.

Job Aid: Identify Succession Targets (continued)

Leader Bench Strength Resource Chart

Agency Name	Agency XYZ
Size of Total Agency Workforce	20000
Start Date of Measurement Year	October 1, 2007
End Date of Measurement Year	September 30, 2008
Date of Workforce Analysis	October 27, 2008
Date of this Report	December 15, 2008
Years Agency Uses for Long-Term Goal	5 Years
Agency Point of Contact (POC)	John Smith
OPM Human Capital Officer (HCO)	Jane Doe

Leadership Levels	**STARTING POINT (INPUT DATA FROM BEGINNING OF MEASUREMENT YEAR FOR EACH LEADERSHIP LEVEL YOU LIST IN 1ST COLUMN)**						**RESULTS ACHIEVED (END OF YEAR DATA)**		
	(G) Long-Term Target for Number of Leaders to Reach by end of FY2013 (Calculated value)	**(N) Goal for Bench Strength Number of Employees (goal as of October 1, 2007)**	**(O) Bench Strength Number of Employees as of October 1, 2007**	**(P) Gap (-)/ Surplus (+) Between Bench Strength Goal and Current Bench Strength (O) - (N) (Calculated value)**	**(Q) Current Bench Strength Ratio (O) / (G) (Calculated value)**	**(R) Targeted Bench Strength Ratio (N) / (G) (Calculated value)**	**(S) Bench Strength Number of Employees as of September 30, 2008**	**(T) Gap (-)/ Surplus (+) Between Bench Strength Goal and Current Bench Strength as of September 30, 2008 (S) - (N)**	**(U) Bench Strength Ratio as of September 30, 2008 (S) / (G)**
Executives	110	110	105	-5	0.95	1.00	80	-30	0.73
Managers	180	180	225	45	1.25	1.00	175	-5	0.97
Supervisors	350	350	265	-85	0.76	1.00	150	-200	0.43
Totals (calculated value):	640	640	595				405		

Legend:

Enter information about dates and names in the rows at the top of the table. Other dates in the table will be entered by the computer program based on what the agency enters at the top of the table.

The program will copy names of leadership levels on the table's rows from the Leadership Resource Chart. Gaps, attrition, and losses should be shown as negative numbers and surpluses as positive numbers.

Column (G) = long-term projection of leaders needed by leadership levels. The program will copy this from the Leadership Resource Chart.

Column (N) = the targeted number of employees to have as bench strength for a leadership level (target as of the beginning of the year).

Column (O) = the number of employees counted as bench strength for a leadership level, as of the beginning of the year.

Column (P) = the difference between (O) and (N) values for this row.

Column (Q) = the ratio of the number of employees counted as bench strength at the beginning of the year (O) to the number of leaders needed long-term (G).

Column (R) = the goal for the bench strength ratio; the number of leaders the agency wants as bench strength (N) per each leadership position needed long-term (G).

Column (S) = the actual number of employees counted as bench strength for a leadership level at the end of the measurement year as measured at the end of the year.

Column (T) = the difference between (S) and (N) values for this row (i.e., gap to close long-term).

Column (U) = the ratio of the number of employees counted as bench strength at the end of the year (S) to the number of leaders needed long-term (G).

Job Aid: Identify Succession Targets (continued)

Step 5: Establish competency requirements for targeted groups. Competency requirements provide a profile of the level of proficiency needed in critical competencies for the targeted leadership role. Competency requirements help to define the knowledge and skill set (as well as types of experiences) needed in the targeted leadership role. A variety of proficiency scales can be used to establish proficiency requirements.

Examples of Proficiency Scales

3-Level Scale	4-Level Scale	5-Level Scale	FCAT-M Scale[3]
Basic Proficiency Proficient Advanced Proficiency	Below Average Average Above Average Outstanding	Awareness Basic Intermediate Advanced Expert	Not Needed Awareness Basic Intermediate Advanced Expert

These requirements collectively provide a competency profile of the targeted positions in the leadership pipeline. Agencies collect this type of information most often through an assessment process by managers of individuals in targeted positions, with the required proficiency determined as an average of the responses. The identification of the required level of proficiency on leadership competencies enables the organization to not only describe a profile of the targeted positions but also identify and prioritize gaps in its current workforce.

[3] The Federal Competency Assessment Tool – Management (FCAT-M) is a web-based instrument agencies can use to determine the skill level of managers, supervisors, and other leaders. Agencies may use the results of these assessments in a number of ways, including supporting their succession management strategies and leadership development programs.

Job Aid: Identify Succession Targets (continued)

Example 4 illustrates the competency requirements for the three levels of leaders in the pipeline across critical occupations. (For illustration, only one occupation is shown.)

Example 4. Required Competency Proficiency Levels[4] Across Leadership Positions and Occupations

Competency	Occupation: Contracting	Occupation: IT	Etc. for other occupations
Influencing/ Negotiating	Supervisor = 3.0 Manager = 3.75 Executive = 4.50	Supervisor = 3.0 Manager = 3.0 Executive = 4.0	Supervisor = Manager = Executive =
Accountability	Supervisor = 3.5 Manager = 4.50 Executive = 4.75	Supervisor = 3.0 Manager = 3.75 Executive = 4.50	
Strategic Thinking	Supervisor = 3.0 Manager = 4.25 Executive = 4.75	Supervisor = 3.0 Manager = 3.50 Executive = 4.50	
Leveraging Diversity	Supervisor = 3.0 Manager = 4.50 Executive = 4.75	Supervisor = 3.0 Manager = 3.75 Executive = 4.50	
Etc. for each competency	Supervisor = Manager = Executive =	Supervisor = Manager = Executive =	

Agencies should be cognizant of OPM's requirement to submit a Competency Profile Chart for Leadership Levels[5] included in the analysis (e.g., supervisor, manager, and executive) reflecting a one year period from October 1 to September 30. A completed example of this chart appears below – reflecting the expectations at the beginning of the measurement year and the results achieved during the measurement year. A blank copy of the chart may be found at Part C near the end of this job aid.

The *Competency Profile Chart for Leadership Levels* that appears at Part C (near the end of this job aid) is a blank copy of the chart. You can download the Excel® spreadsheet version of this blank chart, with formulas, from the OPM web site. The actual spreadsheet will calculate competency gaps and surpluses for you. All you need to do is complete those cells designated for agency completion. Note that the example of a completed chart that appears below uses notional numbers. The numbers and targets in your agency will be different. The numbers and targets will differ significantly from agency to agency. The example below shows data for the Executives at fictitious Agency XYZ. It shows their proficiency in interpersonal skills, which is a fundamental competency for Executives according to OPM.[6]

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[4] Assumes a 5-point proficiency scale.

[5] This is an OPM-required SSM Chart that must be submitted annually.

[6] OPM indicates competencies are the personal and professional attributes that are critical to successful performance in the Senior Executive Service (SES). The fundamental competencies are the attributes that serve as the foundation for each of the Executive Core Qualifications. Experience and training that strengthen and demonstrate the competencies will enhance a candidate's overall qualifications for the SES.

Job Aid: Identify Succession Targets (continued)

Fictitious Agency XYZ needs 100 Executives at an Expert level in interpersonal skills, but the Agency only has 90. Consequently, the Agency has a gap to fill in the interpersonal skills competency. The Agency will also have a gap in this competency among its Executive Corps over the longer haul (i.e., a five-year period) unless it acts to fill the competency gap. In the two columns at the far right, the chart shows that Fictitious Agency XYZ was not able to close the competency gap completely for its current Executive Corps in interpersonal skills by the end of the measurement year. If it does not act effectively, the Agency will continue to experience a gap in this competency.

Job Aid: Identify Succession Targets (continued)

Competency Profile Chart for Leadership Levels

Agency Name	Agency XYZ
Size of Total Workforce	
Name of Leadership Level	Executive
Start Date of Measurement Year	October 1, 2007
End Date of Measurement Year	September 30, 2008
Date of Workforce Analysis	October 29, 2008
Date of this Report	December 15, 2008
Years Agency Uses for Long-Term Goal	5 Years
Agency Point of Contact (POC)	John Smith
OPM Human Capital Officer (HCO)	Jane Doe

Critical Competency	**STARTING POINT (INPUT DATA FROM BEGINNING OF MEASUREMENT YEAR FOR EACH COMPETENCY YOU LIST IN 1ST COLUMN)**										**RESULTS ACHIEVED (END OF YEAR DATA)**	
	(A) One-Year Target (To Be) for Number of Leaders Who Need the Proficiency Level Indicated in the Row on the Competency by the End of This Measurement Year (September 30, 2008)	**(B) As Is on October 1, 2007, the Number of Leaders Currently on Board who Possess this Proficiency Level According to the One-Year Target for the Competency and are At or Above this Level**	**(C) Projected Attrition for This Year (October 1, 2007 to September 30, 2008) (Enter Negative Numbers for Attrition)**	**(D) Targeted Competency Gap/Surplus to Close This Year, Including Projected Attrition (A positive number is a surplus; a negative number is a gap. If 0, there is no gap or surplus.) (B) + (C) - (A) (calculated value)**	**(E) Target for Number of Leaders Who Need the Proficiency Level in the Row for this Competency by the End of FY2009.**	**(F) Projected Attrition for End of FY2009 from Leaders with this Competency Proficiency Level (Oct 1, 2008 - Sept 30, 2009) (Enter Negative Numbers for Attrition)**	**(G) Long-Term Goal for Number of Leaders Who Need this Proficiency Level on this Competency by the End of FY2013**	**(H) Projected Long-Term Attrition for End of FY2013 (Oct 1, 2009 - Sept 30, 2013) from Leaders with This Proficiency Level (Enter Negative Numbers for Attrition)**	**(I) Competency Gap/Surplus to Close by the end of FY2009 (Including Attrition) (B) + (C) + (F) - (E) (calculated value)**	**(J) Competency Gap (-)/ Surplus (+) to Close Long-Term by End of FY2013 (Including Attrition) (B) + (C) + (F) + (H) - (G) (calculated value)**	**(K) As Is on September 30, 2008, the Actual Number of Leaders on Board Who are At or Above the Proficiency Level They Need According to the One-Year Target for the Competency Proficiency Level in the Row**	**(L) Was One-Year Target Met for Closing Competency Gap/Surplus? (Target met if 0. If closing a gap, positive number means surpassed target, and negative means did not meet target. If reducing a surplus, negative number means surpassed target, and positive means did not meet target.) (K) - (A)**
Interpersonal Skills												
Awareness	0	0	0	0	0	0	0	0	0	0	0	0
Basic	0	0	0	0	0	0	0	0	0	0	0	0
Intermediate	0	0	0	0	0	0	0	0	0	0	0	0
Advanced	0	0	0	0	0	0	0	0	0	0	0	0
Expert	100	90	-10	-20	102	-10	110	-25	-32	-65	95	-5
Competency Not Applicable/Not Needed												
Totals for this Competency: (calculated value)	**100**	**90**	**-10**	**-20**	**102**	**-10**	**110**	**-25**	**-32**	**-65**	**95**	**-5**

Legend:

Enter information about dates and names in the rows at the top of the table. "[DATE?]" in the table's column headings will be entered by the computer program based on what the agency enters at the top of the table.

Enter the name of the leadership level (e.g., Supervisors) on the "Name of Leadership Level" row at the top of the table.

Gaps, attrition and losses should always be entered as negative numbers and surpluses as positive numbers.

Column (A) = enter the one-year target or level for the number of leaders in this leadership level who need the proficiency level indicated on the row heading for the critical competency you entered in the row "Competency Name Here".

Column (B) = enter the number of leaders in this leadership level who possess this proficiency level on this competency to do their work who are at or above that proficiency level. These must be the same people counted in Column (A) on the same row.

Column (C) = enter the number of leaders in this leadership level expected to attrit/separate during the year from the employees in the same row in Columns (A) and (B). Cells will turn red if positive values are entered.

Column (D) = the computer program will calculate the gap or surplus between the one-year goal and the number on board with the needed proficiency level on this row for the competency after projected attrition.

Column (E) = enter the FY2009 target for the number of leaders in this leadership level who are needed with the proficiency level for this row for this critical competency.

Column (F) = enter the projected FY2009 (Oct 1, 2008 - Sept 30, 2009) attrition from leaders in this leadership level with the proficiency level shown at the beginning of this row for this competency. Cells will turn red if positive values are entered.

Column (G) = enter the long-term target (FY2013) for the number of leaders needed with the proficiency level shown at the beginning of this row on this critical competency.

Column (H) = enter the projected long-term (Oct 1, 2009 - Sept 30, 2013) attrition from leaders with the proficiency level shown at the beginning of this row for this competency. Cells will turn red if positive values are entered.

Column (I) = the computer program will calculate the gap or surplus between the FY2009 target and number on board with the needed competency level for this row including effect of FY2008-2009 attrition.

Column (J) = the computer program will calculate the gap or surplus between the long-term (FY2013) target and the number on board with the needed competency level as of the end of the year.

Column (K) = enter the number of leaders at the end of the measurement year who need the proficiency level shown in this row and who are at or above this proficiency level on this competency.

Column (L) = the computer program will calculate the gap or surplus between the one-year target (e.g., FY2008) and the number on board with the needed competency level as of the end of the year. Note that Column (L) values do not include projected long-term attrition.

Job Aid: Identify Succession Targets (continued)

Leader Resource Chart

Agency Name	
Size of Total Agency Workforce	
Start Date of Measurement Year	
End Date of Measurement Year	
Date of Workforce Analysis	
Date of this Report	
Years Agency Uses for Long-Term Goal	5 Years
Agency Point of Contact (POC)	
OPM Human Capital Officer (HCO)	

Leadership Levels	STARTING POINT (INPUT DATA FROM BEGINNING OF MEASUREMENT YEAR FOR EACH LEADERSHIP LEVEL YOU LIST IN 1ST COLUMN)										RESULTS ACHIEVED (END OF YEAR DATA)		
	(A) Target (To Be) for Number of Leaders (Staffing Level to Reach by End of this Measurement Year) ([DATE?])	(B) Number of Leaders On Board as of [DATE?]	(C) Projected Attrition for This Year ([DATE?] to [DATE?]) (Enter Negative Numbers for Attrition)	(D) Targeted Staffing Gap(-) /Surplus(+) to Close This Year (target as set on [DATE?]) (B) + (C) - (A) (calculated value)	(E) Target for Number of Leaders to Reach by End of FY2009	(F) Projected Attrition for end of FY2009 (Oct 1, 2008 - Sept 30, 2009)(Enter Negative Numbers for Attrition)	(G) Long-Term Target for Number of Leaders to Reach by end of FY2013	(H) Projected Long-Term Attrition for end of FY2013 (Oct 1, 2009 - Sept 30, 2013) (Enter Negative Numbers for Attrition)	(I) Staffing Gap (-)/ Surplus (+) to Close by the end of FY2009 (Including Attrition) (B) + (C) + (F) - (E) (calculated value)	(J) Staffing Gap (-)/ Surplus (+) to Close Long-Term by end of FY2013 (Including Attrition) (B) + (C) + (F) + (H) - (G) (calculated value)	(K) Actual Number of Leaders On Board on [DATE?]	(L) Actual Attrition of Leaders ([DATE?] to [DATE?]) (Enter Negative Numbers for Attrition)	(M) Was One-Year Target Met for Closing the Gap/Surplus? (yes if 0; no if + result and trying to reduce surplus; no if - result and trying to close gap) (K) - (A) (calculated value)
Total (calculated value)s													

Legend:

Enter information about dates and names in the rows at the top of the table. Underlined dates in the table will be entered by the computer program based on what the agency enters at the top of the table.

Enter names of leadership levels on the table's rows. Gaps, attrition, and losses should be shown as negative numbers and surpluses as positive numbers.

Column (A) = projection of leaders needed by end of this measurement year, such as the end of the fiscal year.

Column (B) = the number of leaders on board at the beginning of the measurement year.

Column (C) = the projected attrition the leadership level is expected to experience during the measurement year based on workforce analysis and planning; cells will turn red if positive values are entered.

Column (D) = the gap (or surplus) between on board leaders (B) and leaders needed this year (A) plus projected attrition for this row (C).

Column (E) = projection of leaders needed by the end of FY 2009.

Column (F) =attrition leadership is expected to experience during FY2009 (Oct 1, 2008 - Sept 30, 2009); this should be based on workforce analysis and planning; cells will turn red if positive values are entered.

Column (G) = long-term projection of leaders needed by FY 2014.

Column (H) = the long-term attrition leadership is expected to experience by the end of FY2013 (Oct 1, 2009 - Sept 30, 2013); this should be based on workforce analysis and planning; cells will turn red if positive values are entered.

Column (I) = the gap (or surplus) between on board leaders (B) and leaders needed by FY2009 (E) plus projected attrition (F) for this row.

Column (J) = the gap (or surplus) between on board leaders (B) and leaders needed long-term by the end of FY2013 (G) plus projected long-term attrition (H) for this row.

Column (K) = the actual number of leaders on board at the end of the measurement year.

Column (L) = the actual number of leaders to attrit/separate during the year from the employees in the same column in Row (B) at the end of the measurement year.

Column (M) = the difference between (K) and (A) values for this row; target was met if = 0; if closing a gap, positive number means surpassed target, and negative means under target; if reducing a surplus, negative number means surpassed target, and positive means under target.

Job Aid: Identify Succession Targets (continued)

Leader Bench Strength Resource Chart

Agency Name	
Size of Total Agency Workforce	
Start Date of Measurement Year	
End Date of Measurement Year	
Date of Workforce Analysis	
Date of this Report	
Years Agency Uses for Long-Term Goal	5 Years
Agency Point of Contact (POC)	
OPM Human Capital Officer (HCO)	

Leadership Levels	**STARTING POINT (INPUT DATA FROM BEGINNING OF MEASUREMENT YEAR FOR EACH LEADERSHIP LEVEL YOU LIST IN 1ST COLUMN)**						**RESULTS ACHIEVED (END OF YEAR DATA)**		
	(G) Long-Term Target for Number of Leaders to Reach by end of FY2013 (calculated value)	**(N) Goal for Bench Strength Number of Employees (goal as of [DATE?])**	**(O) Bench Strength Number of Employees as of [DATE?]**	**(P) Gap (-)/ Surplus (+) Between Bench Strength Goal and Current Bench Strength (O) - (N) (calculated value)**	**(Q) Current Bench Strength Ratio (O) / (G) (calculated value)**	**(R) Targeted Bench Strength Ratio (N) / (G) (calculated value)**	**(S) Bench Strength Number of Employees as of [DATE?]**	**(T) Gap (-)/ Surplus (+) Between Bench Strength Goal and Current Bench Strength as of [DATE?] (S) - (N) (calculated value)**	**(U) Bench Strength Ratio as of [DATE?] (S) / (G) (calculated value)**
Total (calculated value)s									

Legend:

Enter information about dates and names in the rows at the top of the table. Other dates in the table will be entered by the computer program based on what the agency enters at the top of the table.

The program will copy names of leadership levels on the table's rows from the Leadership Resource Chart. Gaps, attrition, and losses should be shown as negative numbers and surpluses as positive numbers.

Column (G) = long-term projection of leaders needed by leadership levels. The program will copy this from the Leadership Resource Chart.

Column (N) = the targeted number of employees to have as bench strength for a leadership level (target as of the beginning of the year).

Column (O) = the number of employees counted as bench strength for a leadership level, as of the beginning of the year.

Column (P) = the difference between (O) and (N) values for this row.

Column (Q) = the ratio of the number of employees counted as bench strength at the beginning of the year (O) to the number of leaders needed long-term (G).

Column (R) = the goal for the bench strength ratio; the number of leaders the agency wants as bench strength (N) per each leadership position needed long-term (G).

Column (S) = the actual number of employees counted as bench strength for a leadership level at the end of the measurement year as measured at the end of the year.

Column (T) = the difference between (S) and (N) values for this row (i.e., gap to close long-term).

Column (U) = the ratio of the number of employees counted as bench strength at the end of the year (S) to the number of leaders needed long-term (G).

Job Aid: Identify Succession Targets (continued)

Competency Profile Chart for Leadership Levels

Agency Name	
Size of Total Workforce	
Name of Leadership Level	
Start Date of Measurement Year	
End Date of Measurement Year	
Date of Workforce Analysis	
Date of this Report	
Years Agency Uses for Long-Term Goal	5 Years
Agency Point of Contact (POC)	
OPM Human Capital Officer (HCO)	

Critical Competency	STARTING POINT (INPUT DATA FROM BEGINNING OF MEASUREMENT YEAR FOR EACH COMPETENCY YOU LIST IN 1ST COLUMN)									RESULTS ACHIEVED (END OF YEAR DATA)	
	(A) One-Year Target (To Be) for Number of Leaders Who Need the Proficiency Level Indicated in the Row on the Competency by the End of This Measurement Year ([DATE?])	(B) As Is on [DATE?], the Number of Leaders Currently on Board who Possess this Proficiency Level According to the One-Year Target for the Competency and are At or Above this Level	(C) Projected Attrition for This Year ([DATE?] to [DATE?]) (Enter Negative Numbers for Attrition)	(D) Targeted Competency Gap/Surplus to Close This Year, Including Projected Attrition (A positive number is a surplus; a negative number is a gap. If 0, there is no gap or surplus.) (B) + (C) - (A) (calculated value)	(E) Target for Number of Leaders Who Need the Proficiency Level in the Row for this Competency by the End of FY2009.	(F) Projected Attrition for End of FY2009 from Leaders with this Competency Proficiency Level (Oct 1, 2008 - Sept 30, 2009) (Enter Negative Numbers for Attrition)	(G) Long-Term Goal for Number of Leaders Who Need this Proficiency Level on this Competency by the End of FY2013	(H) Projected Long-Term Attrition for End of FY2013 (Oct 1, 2009 - Sept 30, 2013) from Leaders with This Proficiency Level (Enter Negative Numbers for Attrition)	(I) Competency Gap/Surplus to Close by the end of FY2009 (Including Attrition) (B) + (C) + (F) - (E) (calculated value)	(J) Competency Gap (-)/ Surplus (+) to Close Long-Term by End of FY2013 (Including Attrition) (B) + (C) + (F) + (H) - (G) (calculated value)	(K) As Is on [DATE?], the Actual Number of Leaders on Board Who are At or Above the Proficiency Level They Need According to the One-Year Target for the Competency Proficiency Level in the Row	(L) Was One-Year Target Met for Closing Competency Gap/Surplus? (Target met if 0. If closing a gap, positive number means surpassed target, and negative means did not meet target. If reducing a surplus, negative number means surpassed target, and positive means did not meet target.) (K) - (A) (calculated value)
Competency Name Here												
Awareness												
Basic												
Intermediate												
Advanced												
Expert												
Competency Not Applicable/Not Needed												
Totals for this Competency **(calculated value)**:	0	0	0	0	0	0	0	0	0	0	0	0
Competency Name Here												
Awareness												
Basic												
Intermediate												
Advanced												
Expert												
Competency Not Applicable/Not Needed												
Totals for this Competency:	0	0	0	0	0	0	0	0	0	0	0	0
Competency Name Here												
Awareness												
Basic												
Intermediate												
Advanced												
Expert												
Competency Not Applicable/Not Needed												
Totals for this Competency **(calculated value)**:	0	0	0	0	0	0	0	0	0	0	0	0
Competency Name Here												
Awareness												
Basic												
Intermediate												
Advanced												
Expert												
Competency Not Applicable/Not Needed												
Totals for this Competency **(calculated value)**:	0	0	0	0	0	0	0	0	0	0	0	0

Legend:

Enter information about dates and names in the rows at the top of the table. "[DATE?]" in the table's column headings will be entered by the computer program based on what the agency enters at the top of the table.
Enter the name of the leadership level (e.g., Supervisors) on the "Name of Leadership Level" row at the top of the table.
Gaps, attrition and losses should always be entered as negative numbers and surpluses as positive numbers.
Column (A) = enter the one-year target or level for the number of leaders in this leadership level who need the proficiency level indicated on the row heading for the critical competency you entered in the row "Competency Name Here".
Column (B) = enter the number of leaders in this leadership level who possess this proficiency level on this competency to do their work who are at or above that proficiency level. These must be the same people counted in Column (A) on the same row.
Column (C) = enter the number of leaders in this leadership level expected to attrit/separate during the year from the employees in the same row in Columns (A) and (B). Cells will turn red if positive values are entered.
Column (D) = the computer program will calculate the gap or surplus between the one-year goal and the number on board with the needed proficiency level on this row for the competency after projected attrition.
Column (E) = enter the FY2009 target for the number of leaders in this leadership level who are needed with the proficiency level for this row for this critical competency.
Column (F) = enter the projected FY2009 (Oct 1, 2008 - Sept 30, 2009) attrition from leaders in this leadership level with the proficiency level shown at the beginning of this row for this competency. Cells will turn red if positive values are entered.
Column (G) = enter the long-term target (FY2013) for the number of leaders needed with the proficiency level shown at the beginning of this row on this critical competency.
Column (H) = enter the projected long-term (Oct 1, 2009 - Sept 30, 2013) attrition from leaders with the proficiency level shown at the beginning of this row for this competency. Cells will turn red if positive values are entered.
Column (I) = the computer program will calculate the gap or surplus between the FY2009 target and number on board with the needed competency level for this row including effect of FY2008-2009 attrition.
Column (J) = the computer program will calculate the gap or surplus between the long-term (FY2013) target and the number on board with the needed competency level as of the end of the year.
Column (K) = enter the number of leaders at the end of the measurement year who need the proficiency level shown in this row and who are at or above this proficiency level on this competency.
Column (L) = the computer program will calculate the gap or surplus between the one-year target (e.g., FY2008) and the number on board with the needed competency level as of the end of the year.
Note that Column (L) values do not include projected long-term attrition.

Case Example
Retirement Wave Analysis at the Social Security Administration

The Social Security Administration (SSA) conducted a *Retirement Wave Analysis* in 1998 and updated the results in 2000. The analysis went beyond looking at who was eligible to retire, and focused on who was likely to retire.

- The 1998 Retirement Wave Analysis projected "likely" regular retirements through 2020.
- It did not project disability or early-out retirements.
- The analysis resulted in projections broken out SSA-wide, by Deputy Commissioner, by Region, and by major position.

SSA found that most employees did not retire immediately upon eligibility. Therefore, simply looking at retirement eligibility was not a good approach for human capital planning.

SSA conducted a series of eight focus groups with recent SSA retirees to determine what issues impacted an employee's decision to retire. Issues identified included:

- An employee's financial situation.
- The presence of young children or elderly relatives in the house.
- Whether the employee's spouse was still working or near retirement.
- The presence of good or bad management practices.
- The availability of early-out or buy-out options.
- Actual or rumored changes in legislation affecting retirement requirements (i.e., high-5 versus high-3).
- The availability of work-at-home or part-time employment.

Because these factors are very difficult to measure, SSA projected retirements based on mean-time-to-retirement calculations. Mean time to retirement is the time from eligibility date to actual retirement. For these calculations, SSA used 10 years of actual retirement data to establish historical retirement patterns and applied these patterns to permanent employees who were currently eligible for retirement as well as to those who would be eligible in the future.

The findings showed that SSA would lose 42 percent of the workforce, or 27,000 of 64,300 employees, between 2000 and 2010. SSA expected the wave to peak between 2006 and 2010.

SSA projected the following losses to retirement by 2010:

- The Claims Representative occupation – 7,300 employees
- Supervisors at all levels – 3,000 employees
- The Social Insurance Specialist occupation – 2,600 employees in SSA Headquarters and Regional Offices
- Computer Specialists – 1,000 employees, primarily in SSA Headquarters
- Analysts – 1,600 employees, primarily in SSA Headquarters

Case Example: Retirement Wave Analysis at the Social Security Administration (continued)

For the 2000 Retirement Wave Analysis, SSA:

- Used a 17-year history instead of a 10-year history.
- Projected retirements through Fiscal Year 2014.
- Factored early-out and disability retirements into the projections.
- Projected that about 23,000 employees, or 37 percent of the workforce of 62,000, would take retirement between 2000 and 2010.
  - This projection was for 400 to 500 fewer annual retirements through 2010 than the 1998 Retirement Wave Analysis had projected.
- The peak years remained about the same, between 2007 and 2010.

SSA projected retirements for the most populous positions (i.e., 11 specific positions, plus 3 categories of supervisors, and an "Other" catch-all category).

- They projected that supervisors at the GS-14 through SES levels would retire at an average rate of 110 per year, with retirements peaking between 2004 and 2007.
- They projected that supervisors at the GS-11 through GS-13 levels would retire at an average rate of about 146 per year, with retirements peaking between 2006 and 2008.

SSA compared their FY 2000 projection to actual FY 2000 retirements.

- For 2000, SSA found that Teleservice Representatives, Benefit Authorizers, and Claims Clerks retired at a higher level than projected.
- Their Claims Representative, Claims Authorizer, and Computer Specialist projections were very close to actual retirements.
- Supervisors, Service Representatives, Social Insurance Specialists, Analysts, Administrative Law Judges, Claims Development Clerks, and "other" employees retired at rates lower than projected.

Activity	Description
Analyze Talent Pool* * See associated job aid following this table.	Analyzing the leadership talent pool by identifying a diverse pool of current and prospective leaders (e.g., high-potential employees, high-performing employees, all employees at a specified level, and/or prospective employees external to the agency) and assessing the extent to which the identified pool meets stated numeric and competency targets. This process includes assessing the competency levels of the internal talent pool and comparing the talent pool to the numeric and competency targets. The process also includes identifying external sources of talent (e.g., other Government or non-Government) on which to focus recruitment efforts related to succession targets. (Note: At a minimum, agencies should include supervisors, managers, and executives in the leadership talent pool, but agencies are encouraged to include aspiring leaders or other groups.)

Information You Need	Steps To Take	Results You Will Achieve
Succession management targets Existing data on current talent pools, internal and external, in terms of numbers of candidates and competencies Leadership competency model (based on ECQs and agency-specific competencies/skills) High-level objectives for succession management	1. Conduct leadership competency assessments of internal talent pool as needed. 2. Prioritize sources of leadership talent. 3. Assess extent to which talent pool can provide leaders with critical competencies by comparing numbers of individuals with critical competencies to targets.	Bench strength analysis that describes the readiness gap (i.e., the difference between the succession targets and the numbers of leaders and potential leaders at various levels and within subgroups who have critical competencies) Descriptions of potential sources of talent for meeting targets

Actions Supporting Accomplishment of This Activity:
Conduct assessments of internal talent pool. (See *Job Aid: Identify Sources of Talent & Assess Internal Talent Pool* following this activity table.) • Identify a diverse talent pool of current employees the agency may develop to meet succession targets (e.g., all employees at a specified level, high-performing employees, high-potential employees). • Assess the present level of leadership competency of those currently in the internal leadership pipeline/talent pool. • Determine the agency's leadership shortfalls in the short and long term across all populations and subgroups in terms of *competencies*.

Actions Supporting Accomplishment of This Activity: (continued)
Prioritize sources of talent. • Determine if vacancies will most likely be filled from the internal pipeline/talent pool, external sources, or both. Estimate the organization's optimal proportions of each talent source. • If the agency will rely on external sources to fill a number of vacancies, describe the external sources most likely to provide qualified candidates with desired competencies and backgrounds (e.g., other Federal agencies, State government agencies, or relevant sectors within private industry). **Assess adequacy of talent pools.** • Compare numbers of individuals who have necessary competencies to the succession targets. • Consider whether internal talent pool and external sources of talent (e.g., other Federal agencies, State government agencies, or relevant sectors within private industry) are likely to provide a sufficient number of qualified leaders to meet targets, given current trends and agency leadership development and recruitment programs. • Describe the transition risk associated with putting someone in a leadership role who does not yet exhibit proficiency in all of the critical leadership competencies.

Job Aid: Identify Sources of Talent & Assess Internal Talent Pool

Associated Activity Analyze Talent Pool

Job Aid Overview This job aid will guide agencies in identifying possible sources of leadership talent and assessing individuals in their internal leadership pipeline/talent pool. If the agency decides the pipeline/talent pool will be composed of high performers, for example, then this job aid will help the agency focus on the high performers who are in roles (e.g., manager) or positions that serve as appropriate precursors to leadership target positions.

Steps To Take Consider the following two steps:

Step	Description
1	Identify and prioritize sources of leadership talent.
2	Assess internal talent pool on leadership and management competencies.

Each step is described in greater detail below.

Step 1: Identify and prioritize talent pools to address targets. This step will help the agency determine the extent to which the internal talent pool and external sources of talent can provide the agency with leaders who have the competencies necessary to fill the leadership positions. External sources of talent may include other Federal agencies, State government agencies, or relevant sectors within private industry. This step can also help to prioritize the extent to which the organization will use the internal talent pool vs. external talent sources to fill those positions.

Example 1 provides an example of an analysis of talent pool sources for the executive level of leadership.

Example 1. Sources of Talent for Addressing Leadership Targets

Level	Attrition	Prioritized Talent Sources
Executives	Four vacant executive positions in the next 3 years	1. Internal managers (GS-14/15) 2. Federal SES 3. Private sector 4. Academia

Job Aid: Identify Sources of Talent & Assess Internal Talent Pool (continued)

Example 2 demonstrates the analysis of talent sources for an occupation.

Example 2. Sources of Talent for Addressing Occupation Targets

Occupation	Attrition	Prioritized Talent Sources
Contracting Function	One vacant executive position in the next 3 years	1. Internal employees 2. Federal SES and GS in Acquisition Community 3. Private sector

Step 2: Assess internal talent pool on leadership and management competencies. This step involves conducting a competency assessment of the internal talent pool for specific target groups in the pipeline to determine competency gaps in the target group. The agency can identify competency gaps by determining the difference between the level of proficiency required for the next level in the pipeline and the current level of proficiency of the potential group of candidates.

Level of Required Proficiency – Current Level of Proficiency = Competency Gap

Agencies most frequently collect this type of information through a survey process (e.g., 180-degree or 360-degree assessment) but they can also collect such data through other means.

It is useful for an agency to identify from all leadership and management competencies a subset (e.g., five competencies) that are critical or core for a given population. A candidate who possesses most or all of these critical competencies would be considered "ready" to step into the leadership position. The set of critical competencies will likely differ for supervisors, managers, and executives. It may also differ by occupation.

Example 3 illustrates a competency gap analysis for leadership positions in a given occupation (contracting, human resources, engineering, legal, etc.). This example shows the number of leaders who have from zero to all five of the critical competencies required to move to the next level. It is up to the agency to decide the threshold number of critical competencies individuals must have to be considered "ready" to step into leadership positions. (Note: Aspiring leaders are potential candidates for supervisory positions, supervisors are potential candidates for managerial positions, and managers are potential candidates for executive positions.)

Job Aid: Identify Sources of Talent & Assess Internal Talent Pool (continued)

Example 3. Competency Gap Analysis for Critical Competencies for Leadership Positions in a Sample Occupation (Contract Specialist)

Number of Critical Competencies Acquired (Out of 5)[1]	Aspiring Leaders	Supervisors	Managers	Executives
5 of 5	25 At this level[2] 225 With gaps[3]	30 At this level 104 With gaps	24 At this level 22 With gaps	17 At this level 3 With gaps
4 of 5	30 At this level	40 At this level	7 At this level	2 At this level
3 of 5	110 At this level	54 At this level	10 At this level	1 at this level
2 of 5	40 At this level	8 At this level	5 At this level	0 at this level
1 of 5	35 At this level	2 At this level	0 At this level	0 at this level
0 of 5	10 At this level	0 At this level	0 At this level	0 at this level
Total Number of Leaders	250	134	46	20

[1] A critical competency is acquired when the individual meets or exceeds the required proficiency level. Refer to Example 4 in the job aid entitled *Identify Succession Targets.* If an individual has acquired all of the critical competencies, the individual will be reflected in the "5 of 5" row next to the phrase "At this level." The individual will not be reflected again in any of the other rows, because the phrase "At this level" on each row indicates that an individual has acquired a specific number of the critical competencies—no more and no less.

[2] Number of respondents for whom no gap exists between required and current proficiency in a specified number of critical competencies (e.g., 5 competencies in this example)

[3] Number of individuals who have not acquired at least the specified number of critical competencies

Phase 3. Develop Succession Management Plan

Introduction

This phase covers the actual creation of the succession plan based on the direction provided from the human capital and workforce planning processes. Again, it is important to note that developing a succession plan can occur simultaneously with the strategic alignment and setting targets phases or take place sequentially.

Purposes

The purposes of this phase are: (1) to identify strategies the agency will undertake to recruit, select, develop, and retain leaders to meet its succession targets; (2) to describe how these strategies will be implemented (including a change management plan), monitored, and evaluated; and (3) to identify how management will hold itself accountable for results.

There are four major activities associated with developing a succession management plan:

- Analyze Current Programs, Policies, and Practices – This activity is necessary so the agency can determine how well the current programs, policies, and practices will help meet or support projected needs and targets.
- Identify Succession Management Strategies – This activity is necessary so the agency will fund and implement appropriate recruitment, selection, development, and retention activities to help lead to attainment of succession targets.
- Develop Implementation Plan – This activity is necessary so the agency will implement the identified strategies effectively in a timely fashion and in a proper sequence, and will communicate succession management priorities to all stakeholders.
- Develop Evaluation/Accountability Plan – This activity is necessary so the agency has a plan to track progress of the succession management plan, ensure goals are being met, and make course corrections.

Together, these four activities help the agency build an effective succession management plan.

HCAAF Critical Success Factors and Elements

The succession management plan must include the strategies to meet succession targets, an implementation plan, and an evaluation accountability plan. The following key elements of HCAAF apply to developing a succession plan:

- The agency has a succession management system that:
  - Identifies a diverse pool of high-potential leaders through a fair and accurate (i.e., merit-based) process.
  - Identifies a formal process to address management potential.
  - Invests in an OPM-approved SES candidate development program linked to the ECQs.
  - Provides mentoring to new and prospective leaders.
  - Invests in first-line supervisors to ensure they have the competencies to direct the day-to-day work of the agency.
  - Includes an "employee development" performance indicator for managers and senior leaders.
  - Invests in the continuous development of senior leaders.

- The agency has an accountability system that:
  - Is formal and clearly documented.
  - Is fully supported by top management.
  - Ensures managers are held accountable for their human capital decisions and programs.
  - Evaluates human capital results vis-à-vis mission, goals, objectives, and programs.
  - Evaluates specific human capital programs (e.g., succession management).
  - Provides for evaluation of human capital and human capital resources throughout the organization.

For additional information related to development strategies, see OPM's Guidelines for Managerial Development on OPM's web site: http://www.opm.gov/hrd/lead/index.asp.

Activity	Description
Analyze Current Programs, Policies, and Practices	Analyzing current recruitment, selection, development, and retention programs, policies, and practices to assess how well they can meet or support projected needs and targets

Information You Need	Steps To Take	Results You Will Achieve
Succession targets Talent pool analysis Descriptions of and evaluation data for current recruitment, development, and retention programs Description of current recruitment, development, and retention policies and practices	1. Assess the extent to which current programs, policies, and practices effectively identify, recruit, develop, and retain leaders with the qualities necessary for meeting the agency's strategic goals, considering the gaps identified in the talent pool analysis.	An analysis of the effectiveness of current recruitment, development, and retention programs and their ability to meet and support projected needs/targets

Actions Supporting Accomplishment of This Activity:

Assess effectiveness of current programs, policies, and practices.

- Determine the extent to which the agency identifies and develops successors for specific positions on the senior executive team. Determine the extent to which the agency identifies a pool of possible successors for positions that are difficult to fill through the labor market.
- Consider whether the agency is effectively identifying the leadership potential of individuals. Describe the types of data collected on potential successors and assess whether those data are disseminated across the agency effectively.
- Consider the criteria currently used to select leaders and whether those are the "right" criteria (e.g., to what extent the criteria emphasize people management skills and personal characteristics such as interpersonal skills and integrity over technical skills).
- Analyze the effectiveness of current incentives to encourage employees to enter and remain in the leadership pipeline.
- Describe the current promotion or development pathways available to rising leaders. Estimate whether there are sufficient supervisory/managerial positions for high-potential aspiring leaders to enter the leadership pipeline.
- Describe the leadership skills the agency emphasizes in its training and development programs. Assess whether the emphasized skills are aligned with the agency's strategic direction and needs. Analyze the effectiveness of the current leadership development program in developing the kind of leadership the agency needs. Describe the shortfalls in the current program.

Actions Supporting Accomplishment of This Activity: (Continued)
• Describe the action learning or other development opportunities currently available for leaders and aspiring leaders to practice on the job the competencies learned in training. • Describe the agency's competitive advantages for enticing leaders to remain at the agency rather than leave for other employment opportunities. • Identify the external sources on which the agency focuses recruitment efforts for leadership positions. • Identify the leadership positions for which the agency should focus its recruitment efforts. • Describe barriers that may hinder recruitment, development, and retention efforts.

Activity	Description
Identify Succession Management Strategies* * See associated job aid following this table.	Identifying a variety of strategies for (1) identifying, recruiting, selecting, developing, and retaining new and prospective leaders; (2) retooling, strengthening, and retaining current leaders; and (3) ensuring valuable knowledge is disseminated throughout all levels of leadership (knowledge sharing). Identifying policies and practices (either new ones or modifications to existing ones) that need to be in place to support succession management initiatives and activities

Information You Need	Steps To Take	Results You Will Achieve
Strategic guidance Succession management targets Talent pool analysis Analysis of current recruitment, development, and retention programs and their ability to meet and support projected needs/targets Budget	1. For each succession management target position, determine optimal strategies and plans to help the agency identify, recruit, select, develop and retain leaders, and develop and retain members of the internal talent pool, while aligning with strategic goals. 2. Involve key stakeholders in the process.	Succession management plan components to include: - Strategic requirements - Succession management targets and talent pool analysis - Strategies for recruiting, developing, and retaining leadership capacity

Actions Supporting Accomplishment of This Activity:

Determine recruitment and selection strategies. (See *Job Aid: Effective Succession Strategies* following this activity table.)

- Describe alternative ways the agency can identify and inform high-potential groups and individuals to encourage them to compete for leadership positions (e.g., identifying high potential and high performing employees, community and academia outreach, national and local outreach).
- Describe hiring flexibilities and staffing options the agency will use to recruit new leaders.
- Describe incentives the agency can offer to attract and retain leadership talent (e.g., recruitment, relocation, and retention bonuses; quality of worklife programs).
- Determine external sources on which the agency should focus recruitment efforts to ensure the best supply of leaders or potential leaders, considering the agency mission and the critical leadership competencies.
- Determine leadership positions on which the agency should focus recruitment efforts.
- Determine and describe the formal process through which the agency will identify potential leaders.

Actions Supporting Accomplishment of This Activity: (Continued)
Determine development strategies. (See *Job Aid: Individual Development Planning* on page 53.) • Determine the development strategies appropriate for rising leaders and aspiring leaders (e.g., planned job assignments, formal development, coaching, mentoring, assessment and feedback, action learning projects, communities of practice, shadowing). • Describe how the agency will offer broad, experiential opportunities to ensure wide exposure (e.g., risk-intense, high-responsibility development experiences; cross-organizational or cross-functional development opportunities) and how the agency will balance the risks and benefits of these kinds of development experiences. • Determine the appropriate kinds of training experiences (e.g., classroom, web) for rising leaders. • Clarify how current leaders will transmit their knowledge to the talent pool. Describe the system needed to capture, manage, and disseminate that knowledge (e.g., communities of practice, legacy systems, technology-based knowledge management system). **Determine retention strategies.** • Consider alternative, merit-based promotion pathways the agency can make available to rising leaders. • Identify new, competitive advantages over other employment opportunities the agency can develop and emphasize to entice leaders to remain at the agency. **Involve key stakeholders.** • Engage stakeholders in discussions about the selection of succession management strategies (i.e., recruitment/selection, development, retention, and knowledge-sharing strategies) and the alignment of the strategies with agency culture and objectives. Involve appropriate stakeholders in adjustment of policies and practices to support succession management initiatives and activities.

Job Aid: Effective Succession Strategies

Job Aid Overview This job aid outlines effective succession strategies and tactics to consider while developing and implementing a succession plan.

Introduction Organizations with effective succession management efforts have many common characteristics. One such characteristic is the use of a variety of strategies to help build the continuity of talent needed for future success. These strategies fit into four categories:

- **Development and Learning** – Strategies promoting the development of competencies, the exposure to more complex and challenging experiences, and the broadening of horizons outside the immediate organization.
- **Feedback** – Strategies facilitating self-examination and assessment and promoting continuous growth through ongoing feedback and exposure to role models.
- **Retention** – Strategies enhancing workforce motivation, commitment, and performance around mission accomplishment.
- **Recruitment** – Strategies strengthening the ability of the organization to acquire the best qualified leadership talent.

Specific strategies and tactics are presented below.

Development and Learning Strategies	Development and learning strategies promoting effective succession management include: • Job experiences – Change in scope of job – Job that requires "fix it" – Build-from-scratch assignment – Project or task force that requires new skills or learning – Line to staff and vice versa; headquarters to field and vice versa – Placement in "high stakes" situation – Placement in ambiguous situation – Dealing with significant change event • Action learning team projects • Rotational, temporary assignments managed by senior leaders • Full-time job rotations managed by senior leaders • Formal leadership training • Formal education courses and programs • Internal training courses • Observation of senior leaders

Job Aid: Effective Succession Strategies (continued)

Development and Learning Strategies (Continued)	• Shadow assignments • Exposure to strategic issues in senior-level meetings • Learning through action and involvement with senior leaders • "Storytelling" by senior leaders (giving specific examples of their lessons learned) • Communities of practice – Self-development (e.g., readings and individualized study)
Feedback Strategies	Feedback strategies that promote effective succession management include: • 360-degree (multirater) assessments • Senior coaches • Mentors outside the person's organization unit • A performance management system that provides ongoing feedback and appraisal for growth

Retention Strategies	Retention strategies that promote effective succession management include:
	
	• Quality of worklife programs
	  – Telecommuting
	  – Alternative work schedules
	  – Child and elder care
	  – Fitness and wellness programs
	• Retention bonuses
	• Retention incentives
	• Recognition systems
	• Creating "best place to work" strategies

Recruitment Strategies	Recruitment strategies that promote effective succession management include: • Recruitment bonuses • Recruitment incentives • Relocation bonuses • Branding • Special hiring programs like the Presidential Management Fellows Program

Case Example
Mentoring as a Development Strategy at DOE

The Department of Energy (DOE) has developed a 12-month Mentoring Program designed to foster leadership development; expand employees' knowledge, skills, and abilities; and broaden understanding of DOE and its missions and programs. The Mentoring Program also aims to help prepare a diverse, high-performance workforce capable of adapting to the rapidly changing workplace environment. The program encourages all Senior Executive Service (SES) members and GS-13 through GS-15-level employees to serve as Mentors. Additionally, GS-13 through GS-15-level employees can serve as Protégés to SES members. All other DOE Federal employees are allowed to participate only as program Protégés. The intent of the program is to create valuable learning experiences and development opportunities for Protégés. Participation in the program does not guarantee Protégés a promotion or selection into a future position. Mentoring is viewed as a critical aspect of each SES member's job responsibilities.

The Mentors are carefully matched with Protégés through a commercial web-based tool called "The Mentoring Connection" (TMC). Mentors and Protégés each have a one-page profile in the system. The Mentors share:

- A summary of their current position and other professional experiences.
- A listing of the skills, competencies, expertise, and knowledge the Mentor can contribute to the relationship.
- A description of additional strengths and the Mentor's goals for his or her own further development.
- The time commitment the Mentor is willing to make.

The Protégés share:

- A summary of their current position and other professional experiences, along with expectations for the Mentoring Program.
- A listing of the skills, competencies, expertise, and knowledge they are interested in developing/enhancing.
- A description of additional strengths and the Protégé's goals for further development.
- A description of career goals.
- Three Mentor preferences.

Accountability is built into the program in many ways. Upon selection, the Protégé's supervisor is notified and strongly encouraged to provide support for the individual's participation. Within one month, both the Mentors and the Protégés complete a Mentoring Agreement and a Mentoring Action Plan. The agreement outlines the relationship and commitment from both parties. The action plan is a goal-oriented document that adds focus to the program—outlining structured coaching, training, and group activities for both parties during the year. The development of the two parties involves both individual and pair activities.

Case Example: Mentoring as a Development Strategy at DOE (continued)

Evaluation of the program is one of the most important components of the Mentoring Program, and includes both qualitative and quantitative measures. Quantitative performance measures tracked include promotions, changes in positions, changes in organizations, and departure from DOE. The Department obtains qualitative feedback through quarterly workshops, midterm reviews, focus group sessions, and written evaluations. DOE conducts a final evaluation in collaboration with all stakeholders, including supervisors. The results serve as the basis for program expansion and program improvements.

DOE cites the following benefits from the Mentoring Program:

- Cost-effective leadership development
- Improved recruitment and retention of a talented and diverse workforce
- Increased organizational communication and understanding
- Improved succession planning
- Increased employee motivation
- Increased management ownership and engagement

Job Aid: Individual Development Planning

Introduction

Agencies must create a culture that encourages, supports, and invests in the short- and long-term development of their employees. Employees' professional development should be an ongoing process to ensure employees are staying current—if not one step ahead—in their fields and mission-critical competencies. Planning for continuous development must be anchored to the agency's mission, goals, objectives, and needs, as well as tied to the employee's work and career goals.

This job aid contains the following information and guidance:

- Purpose and benefits of individual development planning
- Roles and responsibilities
- Individual development planning process
- Key elements of an Individual Development Plan

Associated web sites are included at the end of this job aid.

Purpose and Benefits of Individual Development Planning

Individual development planning helps identify the employee's career development goals and the strategies for achieving them. Typically, the employee will complete an Individual Development Plan (IDP) on an annual basis. This plan is intended to:

- Encourage the employee to take ownership of his/her career development.
- Provide an administrative mechanism for identifying and tracking development needs and plans.
- Assist in planning for the agency's training and development requirements.

Individual development planning benefits the organization by aligning employee training and development efforts with the mission, goals, and objectives of the agency. Supervisors develop a better understanding of their employees' professional goals, strengths, and development needs—which can result in more realistic staff and development planning. Employees take personal responsibility and accountability for their career development, acquiring or enhancing the skills they need to stay current in required skills.

Job Aid: Individual Development Planning (continued)

Roles and Responsibilities

Supervisors and employees work together to complete the employee's development plan, but employees are ultimately responsible for taking the initiative for their professional development.

Employees should:

- Assess their level of competence vis-à-vis the competencies, skills, and knowledge required in their jobs.
- Identify their professional career goals and development needs and various training and development opportunities that will help them achieve those goals and meet those needs.
- Periodically assess their progress toward reaching their goals.

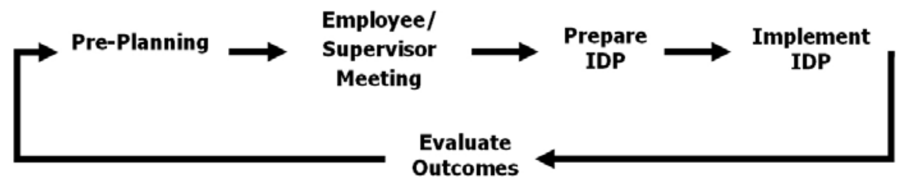
Supervisors should:

- Realistically assess employees' strengths and development needs vis-à-vis organizational requirements.
- Provide regular (e.g., annual) opportunities to discuss and plan for employees' development.
- Ensure the alignment of employees' career goals and development needs to work unit goals/objectives.
- Help employees identify appropriate training and development opportunities.
- Evaluate outcomes of employees' training and development efforts.

Job Aid: Individual Development Planning (continued)

Individual Development Planning Process

The individual development planning process requires communication and interaction between the supervisor and the employee. It involves five phases:



1. **Pre-Planning** – Supervisor and employee prepare independently for meeting.

2. **Employee/Supervisor Meeting** – Discuss employee strengths, areas for improvement, interests, goals, and organizational requirements.

3. **Prepare Individual Development Plan** – Employee, in consultation with supervisor, completes plan for individual development.

4. **Implement Plan** – Employee pursues training and development identified in plan.

5. **Evaluate Outcomes** – Supervisor/employee evaluate usefulness of training and development experiences.

Key Elements of an Individual Development Plan

Within the Federal Government, there are no regulatory requirements mandating employees to complete IDPs. However, doing so is a good management practice, and many agencies have developed their own IDP planning process and forms. While there is no one "correct" form for recording an employee's development plan, an effective plan should include the following key elements:

- **Employee Profile** – Name, position title, office, grade/pay band
- **Career Goals** – Short- and long-term goals with estimated and actual completion dates
- **Development Objectives** – Linked to work unit mission/ goals/objectives and employee's development needs and objectives

Job Aid: Individual Development Planning (continued)

Key Elements of an Individual Development Plan (Continued)

- **Training and Development Opportunities** – Specific formal classroom training, workshops, rotational assignments, shadowing assignments, on-the-job training, self-study programs, professional conferences/seminars, etc., employee will pursue with estimated and actual completion dates
- **Signatures** – Including supervisory and employee signatures and date.

Resources

The OPM site below provides sources for information about training and human resource development issues, including:

- Career assessment.
- Core competency resources.
- Learning technology resources.
- Training resources.
- Knowledge management resources.

http://www.opm.gov/hrd/lead/trnginfo/trnginfo.asp#career

Below are the web sites of several agencies with individual development planning and career management programs in place. Please note OPM does not endorse any particular IDP format. The information you will find on these web sites is for illustrative purposes.

- Department of Commerce
  http://hr.commerce.gov/Employees/TrainingandDevelopment/DEV01_006606
- Department of Energy
  http://humancapital.doe.gov/training-03-idps.htm
- Department of the Interior, National Business Center
  http://www.doiu.nbc.gov/idp/
- National Institutes of Health, Individual Development Planning
  http://hr.od.nih.gov/competencies/idps/default.htm
- National Institutes of Health, Career Development
  http://learningsource.od.nih.gov/career.html

Activity	Description
Develop Implementation Plan* * See associated job aid following this table.	Identifying how the succession management strategies for the recruitment, selection, development, and retention of leaders will be implemented (e.g., who will do what, when, how); identifying how to communicate and manage change; identifying how to maintain senior leader commitment to succession management efforts

Information You Need	Steps To Take	Results You Will Achieve
Strategic guidance Succession management strategies for each target group Budget	1. Develop a detailed plan that includes resources, timelines, and activities associated with each succession management strategy. 2. Develop plans for communication, change management, and other supports that need to be in place to ensure successful implementation.	An implementation plan for inclusion in the succession management plan to provide a blueprint for putting the succession management strategies into operation to achieve stated targets

Actions Supporting Accomplishment of This Activity:

Develop a detailed succession management plan. (See *Job Aid: Elements of a Succession Management Plan* and *Job Aid: Implementation Strategy & Related Tasks* following this activity table.)

- Define the succession management goals and objectives. Describe the strategies identified for each target group.
- Describe the major activities and sub-activities that need to occur. Identify the key milestones or major implementation events.
- Develop the rollout plan and the timelines for implementing the strategies. Determine the sequence for implementing the strategies (e.g., all at once, phased in).
- Identify staff who should participate in day-to-day implementation of the strategies. Identify staff who should participate in strategic oversight.
- Estimate the resources necessary for implementation and monitoring (e.g., funding, personnel, equipment, and facilities). Describe how the agency will ensure adequate budgeting for these efforts.
- Describe how the agency will link succession management to HR processes, including performance management, compensation, recognition, recruitment, retention, and workforce planning.

Actions Supporting Accomplishment of This Activity: (Continued)

- Determine how the agency will encourage high visibility of senior leaders' buy-in, commitment, and accountability for "growing leaders" in the agency (i.e., demonstrate dedication to a culture of development).
- Develop options or courses of action for continuing to grow leaders during periods of budget cuts/austere circumstances. Determine means to maintain a focus on growing leaders one way or another.
- Consider how the agency will deal with leaders who may be resistant.
- Determine how senior leaders and the human resources and development organization will form a partnership around planning and implementing succession management initiatives. Describe what that partnership should look like and how the agency can ensure a successful partnership.
- Determine the agency's expectations of aspiring leaders, supervisors, and managers in terms of their taking responsibility for their own development. Describe how the agency will communicate and support those expectations.
- Describe what the agency will do to ensure the successful transition of leaders into their new roles (e.g., describe how the agency will minimize "executive derailment"—the risk of early failure).
- Describe how the agency will ensure ongoing, adequate funding for leadership development.

Develop a communication and change management plan.

- Decide which information needs to be communicated about succession management initiatives (initially and on an ongoing basis), to whom, when, by whom, and how.
- Determine the communication strategies that work best for various stakeholders.
- Determine how the agency will solicit information about leaders' expectations regarding succession management and how the agency will manage those expectations.
- Identify policies and practices that may be affected by implementation of the succession management plan. Describe plans to align policies and practices with the succession management system.
- Consider the changes in culture, processes, and expectations implied in the succession management plan. Describe methods the agency will use to help employees adapt to the changes.
- Develop and describe a process for identifying lessons learned and adapting the implementation of the plan to address unintended outcomes.

Job Aid: Elements of a Succession Management Plan

Strategic Leadership Succession Management Model Phase	Succession Management Plan Element	Description	Checklist
1. ESTABLISH STRATEGIC ALIGNMENT	Strategic Alignment Requirements and Business Case	The purpose of this element is to communicate the strategic direction of the agency and the implications for succession management, to formulate a clear and convincing business case to dedicate resources (both budget and personnel) to succession management, and to secure senior leadership buy-in and support. This element includes a review of the agency's strategic plan, strategic human capital management plan, and organizational performance plans. It also includes such things as trends, projected direction and growth of the agency, and how the agency's leaders are currently deployed in order to determine strategic requirements for succession management.	❑ Review agency strategic plan. ❑ Review strategic human capital management plan. ❑ Review organizational performance plans. ❑ Review trends and projected agency growth and direction. ❑ Review existing workforce analysis. ❑ Review current deployment of leaders. ❑ Identify the business need and strategic requirements for leadership succession management. ❑ Determine key stakeholders impacted. ❑ Determine cost/benefit. ❑ Communicate the strategic direction of the agency and implications for succession management. ❑ Formulate a business case for succession management. ❑ Secure senior leader buy-in.

Job Aid: Elements of a Succession Management Plan (continued)

Strategic Leadership Succession Management Model Phase	Succession Management Plan Element	Description	Checklist
2. IDENTIFY SUCCESSION TARGETS & ANALYZE TALENT POOL	Succession Planning Targets	This element addresses where the agency needs to focus its resources in order to build a leadership talent pool and increase its leadership bench strength. The purpose of this element is to identify succession targets for key leadership populations across the agency, in terms of both numbers of leaders and desired competencies. Succession targets should be set for various subgroups within the key populations (e.g., Headquarters vs. field personnel, critical vs. noncritical leadership positions, technical vs. line management positions). This element includes a workforce analysis to define the current and future workforce and related leadership needs. The analysis considers such information as leadership workforce size; leadership workforce 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. This analysis results in succession targets identifying the number of leadership positions needed across all populations and subgroups, and the key leadership competencies required for those positions.	❑ Analyze workforce data including attrition, promotions, projected growth/reductions, etc., to derive numbers of employees in leadership pipeline. ❑ Identify succession targets across leadership populations and occupations and other subgroups as needed. ❑ Identify leadership competency model.

Job Aid: Elements of a Succession Management Plan (continued)

Strategic Leadership Succession Management Model Phase	Succession Management Plan Element	Description	Checklist
2. IDENTIFY SUCCESSION TARGETS & ANALYZE TALENT POOL (CONT'D)	Talent Pool Analysis	The purpose of this element is to determine the extent to which talent pools are ready to meet identified numeric and competency targets. This analysis includes defining the internal talent pool (e.g., executives, managers, supervisors, aspiring leaders, others), assessing their competency levels, and comparing the talent pool to the numeric and competency targets. It also includes identifying external sources of talent (e.g., other Government or non-Government) on which to focus recruitment efforts related to succession targets.	❑ Conduct leadership competency assessments of internal talent pool. ❑ Review possible external sources of talent to focus recruitment efforts. ❑ Compare results of assessments and reviews to targets.
3. DEVELOP SUCCESSION MANAGEMENT PLAN	Current Programs, Policies, and Practices	The purpose of this element is to assess how well current recruitment, selection, development, and retention policies, programs, and resources will support succession management efforts. This assessment includes a review of key programs such as executive candidate development, identification of new and prospective leaders, and first-line leadership development.	❑ Analyze current recruitment/selection policies, programs, and resources in light of succession needs. ❑ Analyze current development policies, programs, and resources in light of succession needs. ❑ Analyze current retention policies, programs, and resources in light of succession needs.

Job Aid: Elements of a Succession Management Plan (continued)

Strategic Leadership Succession Management Model Phase	Succession Management Plan Element	Description	Checklist
3. DEVELOP SUCCESSION MANAGEMENT PLAN (CONT'D)	Succession Management Strategies	The purpose of this element is to identify and prioritize applicable strategies to meet succession targets for: • Recruiting/selecting new and prospective leaders. • Developing new and prospective leaders (to include development assignments). • Retaining new and prospective leaders. • Retooling, strengthening, and retaining current leaders. • Ensuring dissemination of valuable knowledge throughout all levels of leadership (knowledge sharing). This element covers strategies for ensuring the availability of well-qualified staff to fill leadership positions at all levels, including identification of high-potential employees and establishment of a formal, OPM-approved SES candidate development program, other merit-based methods of developing future executives, and/or other appropriate development programs. It also includes strategies for how the agency will invest in its first-line supervisors and managers to ensure they have the competencies to direct the day-to-day work of the agency. This element addresses policies and practices (either new or modifications to existing ones) necessary to support succession management initiatives and activities.	❑ Identify succession management strategies for recruitment/selection. ❑ Identify succession management strategies for development of prospective, new, and current leaders. ❑ Identify succession management strategies for retention of prospective, new, and current leaders. ❑ Identify knowledge-sharing strategies and programs. ❑ Identify policies, procedures, and practices necessary to support succession management initiatives and activities. ❑ Identify senior leader web sites from which to access external talent pool data.

Job Aid: Elements of a Succession Management Plan (continued)

Strategic Leadership Succession Management Model Phase	Succession Management Plan Element	Description	Checklist
4. IMPLEMENT SUCCESSION MANAGEMENT PLAN	Implementation Plan	The purpose of this element is to identify how the succession management strategies will be implemented. The implementation plan identifies the "who, what, when, where, how, and how well" for carrying out the strategies. The implementation plan also includes strategies for: • Managing change and communicating about succession management initiatives, activities, and programs. • Ensuring that development activities are reflected in Individual Development Plans. • Maintaining visibility of senior-level commitment to all succession management efforts.	❑ Identify key players, roles/responsibilities, tasks, methods, and timeline for implementing succession management strategies. ❑ Lay out a change management plan and a communication plan. ❑ Describe a plan for maintaining visibility of senior-level commitment and involvement.

Job Aid: Elements of a Succession Management Plan (continued)

Strategic Leadership Succession Management Model Phase	Succession Management Plan Element	Description	Checklist
5. EVALUATE SUCCESSION STRATEGIES	Evaluation/ Accountability Plan	The purpose of this element is twofold: • To identify strategies for measuring the effectiveness of all succession management programs and activities and an approach for making continuous improvements. • To integrate elements of accountability 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/analysis methods, a documentation and reporting process, and a process for taking corrective actions and making improvements. The evaluation/accountability plan also includes an approach for the agency to conduct regular assessments of leadership policies and leader performance to ensure that succession management goals are being met and that senior leaders are held accountable for growing leaders in the agency.	❑ Identify process-based and performance-based metrics and data collection, analysis, and reporting methods. ❑ Identify approach for holding senior leaders accountable for succession management (e.g., through evaluations and SES pay-for-performance process). ❑ Identify approach for making continuous improvements.

Job Aid: Implementation Strategy & Related Tasks

Job Aid Overview

This job aid presents a sample strategy and related tasks for the implementation of a succession management program. These examples may assist you as you develop the implementation plan section of your agency's succession management plan.

Introduction

The implementation process in this sample occurs in three stages: Pre-Rollout, Rollout, and Evaluation. The major activities of each stage are provided in the table below. The first two stages have sequential timeframes. The third stage, Evaluation, overlaps with the first two stages, because baseline data may be collected during Pre-Rollout, and process and results metrics data may be collected during Rollout and beyond.

Stage	Major Activities
PRE-ROLLOUT *(Awareness)*	• Determine an appropriate message. • Develop communication materials. • Develop employee job aids. • Continue to integrate with existing programs. • Develop succession strategies. • Begin publicizing the succession management program.
ROLLOUT *(Activation and Commitment)*	• Implement new succession strategies for recruitment, selection, development, and retention of agency leaders. • Build elements of succession management into existing leadership courses and other activities, as appropriate. • Collect data for metrics. • Continue promoting the succession management program. • Brief supervisors on importance of succession management. • Build enrollment in the succession management program.
EVALUATION	• Gather data from existing sources. • Develop new data sources. • Write reports. • Establish ongoing evaluation process.

Sample Implementation Tasks

The tables on the following pages show sample tasks within each implementation stage. Your agency's tasks may be quite different from these samples, but this type of task description should appear in your agency's implementation plan as part of the succession management plan.

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 1. Pre-Rollout***		
Tasks	**Who's Responsible**	**Target Completion Date**
1.1 Orient/brief HR staff about the details of succession management and how to answer employee and supervisor questions. Resources: • Person to compile information • Person to run orientation/briefing and help HR staff consider additional ways they can work as a team		
1.2 Work with leaders to clearly define tenets of leadership culture. Resources: • Program Sponsor		
1.3 Place banner on announcement page when logging on to Intranet with links to the succession management web site. Resources: • Person to put together banner and text of message • Person to coordinate with technical staff to get banner on the popup screen for 2 weeks before kickoff		
1.4 Create posters to increase awareness. Resources: • Person to put together graphics and text of message • Person to coordinate with print shop • Time and resources of print shop		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks *STAGE 1. Pre-Rollout*		
Tasks	**Who's Responsible**	**Target Completion Date**
1.5 Send a broadcast e-mail indicating the succession management program is coming soon. Resources: • Person to put together the text and graphics of the message and send it		
1.6 Write brochures to build awareness. Resources: • Person to put together text and graphics • Person to coordinate with print shop • Time and resources of print shop		
1.7 Hold a meeting with succession management implementation team to brief them on the program and clarify roles. Resources: • Person to coordinate the meeting • Time of attending parties		
1.8 Hold a meeting with senior leader steering group for succession management to brief them on the program and clarify roles. Resources: • Person to coordinate the meeting • Time of attending parties		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 1. Pre-Rollout***		
Tasks	**Who's Responsible**	**Target Completion Date**
1.9 Create interactive web page, including: • How to enroll in the program. • Agency guide to the program. • Leadership competency model. • Articles on updates to initiative and success stories. • Catalog of offerings for succession management. • Frequently asked questions and related answers. <u>Resources</u>: • Person to develop the design of the web page • Person to develop content for the web page • Information to include on the page • Person to update the web page on a regular basis		
1.10 Add a checkbox to the Individual Development Plan (IDP) form, so employees can check it to indicate interest in the succession management program. <u>Resources</u>: • Person to coordinate with HR team in charge of IDP form • Person on team in charge of IDP form to set up the new data field		

Job Aid: Implementation Strategy & Related Tasks (continued)

<table>
<tr><th colspan="3">Sample Implementation Tasks
STAGE 1. Pre-Rollout</th></tr>
<tr><th>Tasks</th><th>Who's Responsible</th><th>Target Completion Date</th></tr>
<tr><td>1.11 Facilitate day to promote awareness, including:
• Personal appearance of agency director at event
• Access to printed materials and web page for succession management
– Catalog of classes and other development opportunities
– Information about the application and self-nomination process
– FAQs with anticipated questions/ concerns from each audience group regarding the impact of the change
– Program guide
• Signing for the deaf
Resources:
• Availability of the director
• Person to brief the director
• Person to put together a briefing on how to participate
• Person to put together the text of the materials
• Time and resources of print shop
• Person to sign for the deaf</td><td></td><td></td></tr>
<tr><td>1.12 Collect data from employees to answer the question: "What's in it for me?" Analyze the data and include the results in marketing materials.
Resources:
• Person to collect and analyze the data, write up information, and distribute it to contacts to include in program materials</td><td></td><td></td></tr>
</table>

Job Aid: Implementation Strategy & Related Tasks (continued)

<table>
<tr><th colspan="3">Sample Implementation Tasks
STAGE 1. Pre-Rollout</th></tr>
<tr><th>Tasks</th><th>Who's Responsible</th><th>Target Completion Date</th></tr>
<tr><td>1.13 Create an action learning job aid to help employees identify appropriate action learning assignments (e.g., a work-related assignment that will help them practice and reflect on skills recently learned).

<u>Resources</u>:
• Person to gather rotational, development, and other information about possible action learning assignments
• Person to design the guiding questions for the job aid
• Person to integrate the job aid into the hard copy and web-based succession management program materials</td><td></td><td></td></tr>
<tr><td>1.14 Consolidate existing information about existing special and continuing education programs.

<u>Resources</u>:
• Person to gather information about appropriate special and continuing education programs
• Person to integrate the information into the hard copy and web-based succession management program materials</td><td></td><td></td></tr>
</table>

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 1. Pre-Rollout***			
Tasks		**Who's Responsible**	**Target Completion Date**
1.15	Create an online assessment job aid based on the leadership profiles to help employees determine competency gaps and plan their leadership development. The job aid can also be used to assess the general development of the workforce. <u>Resources</u>: • Person to design the assessment job aid • Person to set up the job aid online • Person to monitor and maintain the job aid and report results to the staff in charge of the evaluation plan		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 2. Rollout***			
Tasks		**Who's Responsible**	**Target Completion Date**
2.1	Communicate information in organization newsletter about status of succession management and program updates. Resources: • Person to keep track of changes/ updates and write them up for inclusion in newsletter		
2.2	Conduct orientations, including: • Orientation/Briefing for supervisors and above on importance and intended impacts/goals of succession management and importance of their "walking the talk" with their people. Include instructions/orientation for managers and supervisors on rolling this initiative out to their employees, and an opportunity to ask difficult questions and get answers. Have information in the form of Frequently Asked Questions available for supervisors and above. • Auditorium presentation for employees to orient them to the initiative. Resources: • Person(s) to put together content for orientations • Person to schedule the orientations • Person to send broadcast e-mail to all employees, inviting them to attend employee sessions • Person to send invitations to supervisors and above • Persons to facilitate the orientations		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks *STAGE 2. Rollout*		
Tasks	**Who's Responsible**	**Target Completion Date**
2.3 Build information about succession management into existing programs (e.g., New Employee Orientation and supervision courses). Resources: • Person to contact the point person for other programs to discuss ways to incorporate succession management information into their programs		
2.4 Conduct periodic HR staff meetings to discuss updates and status of initiative so HR staff will be ready to answer employee questions. Resources: • Person to keep track of changes in program • Person to draft change information for the newsletter • Person to prepare for and lead meetings about current status and updates related to the program		
2.5 Develop success stories and publish on the succession management web page and in other publications, including stories about people who have participated in the succession management program and the benefits they have received from participating. Resources: • Person to contact and interview participants in the program and write up the interviews for publications • Person to place information and stories on the web and in publications		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 2. Rollout***			
Tasks		**Who's Responsible**	**Target Completion Date**
2.6	Conduct invitation-only brown-bags with the agency director and/or other executives on a periodic basis to discuss leadership and succession management. Resources: • Person to schedule time with the director and executives • Director and/or executives to conduct presentation • Person to invite manager, supervisors, and employees to the brown bag and receive RSVPs • Person to take minutes during the event so that ideas generated can be incorporated into program communications when applicable		
2.7	Conduct open-space discussions of changes that have occurred as a result of the program. All program participants come together for the discussion. Resources: • Person to coordinate the gathering • Person to develop agenda and protocol for the gathering • Person to take minutes during the event so that ideas generated can be incorporated into program communications when applicable		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 2. Rollout***		
Tasks	**Who's Responsible**	**Target Completion Date**
2.8 Coordinate with person collecting data for the program evaluation to get useful data about how the program has helped people and decide how to communicate the benefits to others. Resources: • Person to determine what data are needed • Person to coordinate with metrics person • Person to develop and send communication to others about program benefits		
2.9 Implement development strategies in succession management plan. Resources: • Instructional teams to develop learning materials • Instructors • Administrative staff to handle enrollment and implementation of courses • Person(s) to design, develop, and implement other development activities		
2.10 Implement recruitment and retention strategies in succession management plan. Resources: • HR staff to design and implement new processes or policies		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 3. Evaluation***		
Tasks	**Who's Responsible**	**Target Completion Date**
3.1 Collect existing data for evaluation plan. Resources: • Person to collect data from Human Resources Information System, online assessment job aid, and other sources • Person to analyze data and send the data to staff in charge of evaluation report		
3.2 Collect evaluation data through workforce and leadership survey. Resources: • Person to determine data needed • Person to design questions and develop the survey (possibly coordinate with agency workforce survey) • Person to oversee the distribution of the survey and collection of results • Person to analyze data • Person to analyze data and send the data to staff in charge of evaluation report		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 3. Evaluation***		
Tasks	**Who's Responsible**	**Target Completion Date**
3.3 Collect reaction and learning data from employees and supervisors. Resources: • Person to determine data needed • Person to design questions and develop survey or focus group protocol • Person to oversee the distribution of the survey or implementation of the focus groups and the collection of results • Person to analyze data • Person to analyze data and send the data to staff in charge of evaluation report		
3.4 Create periodic evaluation reports examining the program's performance. Resources: • Program sponsor and succession management steering committee to determine data needed in report • Person(s) to gather analyses resulting from all data collection activities • Person to write evaluation reports • Person to monitor report results and recommend changes		

Job Aid: Implementation Strategy & Related Tasks (continued)

Sample Implementation Tasks ***STAGE 3. Evaluation***		
Tasks	**Who's Responsible**	**Target Completion Date**
3.5 Leverage the activities in the evaluation plan that have to do with collecting data from employees to (1) understand how program has helped people, and (2) determine how to communicate that positive impact to others. Resources: • Person to develop communications based on information gathered		
3.6 Continue to refine the message (e.g., are we describing benefits correctly?) and examine communication vehicles (e.g., how are we doing in terms of awareness of program by employees?). Resources: • Succession management implementation team members to meet on a regular basis to review status of initiative and make recommendations for improving ways to communicate about the effort		
3.7 Identify program changes based on evaluation data and other feedback. Communicate those changes using all available vehicles (e.g., newsletter, e-mails, articles in agency publications, and web site). Resources: • Person(s) to coordinate the implementation of approved changes and communicate information about the changes through various media		

Activity	Description
Develop Evaluation/ Accountability Plan* * See associated job aid following this table.	Identifying what metrics the agency will use to measure the effectiveness of all succession management programs and activities and its approach for making continuous improvements; integrating elements of accountability into leadership succession management efforts to ensure compliance with merit system principles and Federal laws, rules, and regulations

Information You Need	Steps To Take	Results You Will Achieve
Strategic guidance Goals and objectives for each target group Succession management strategies for each target group	1. For each succession management objective, identify: • Measures/metrics. • Data collection method. • Frequency. • Responsibility. 2. Develop evaluation plan/schedule.	Evaluation/accountability plan, for inclusion in the succession management plan, describing how the agency will ensure it is meeting its succession targets while remaining in compliance with Federal laws, rules, regulations, and guidelines

Actions Supporting Accomplishment of This Activity:

Determine metrics data. (See *Job Aid: Planning for Evaluation* following this activity table.)

- Determine the process and performance metrics data to collect in order to determine whether succession targets are being met. Consider what data (process, performance, and compliance; quantitative vs. qualitative) needs to be collected, from whom, and how often.
- Identify staff who will be responsible for collecting metrics data.
- Describe the methodologies the agency will use to analyze, document, and report metrics data.

Actions Supporting Accomplishment of This Activity: (Continued)
Develop evaluation/accountability plan. • Describe how the agency will monitor implementation of the plan (i.e., how the agency will know if implementation is "going well" or if midcourse corrections are required, and what the agency will do to solve problems when they occur). • Describe how the agency will hold managers accountable for developing their employees. • Articulate how the agency will evaluate senior leadership on its support of succession management initiatives. • Describe how the agency will recognize leaders who develop their employees (e.g., performance-based cash awards and through the SES performance-based pay process). • Explain how the agency will ensure compliance with applicable regulations and accountability standards and describe repercussions of failing to do so. • Describe the mechanisms through which the agency will solicit and encourage feedback from leaders and employees about its succession management initiatives (e.g., develop an after-action review format and incorporate the feedback into a formal review process). • Describe how the agency plans to learn from its successes and failures. • Articulate the process the agency will follow to modify the succession strategies if targets are not being met (e.g., possibly as part of the after-action review process). • Estimate the resources required to carry out evaluation efforts. • Describe how the agency will measure the return on investment of the succession management initiatives.

Job Aid: Planning for Evaluation

Job Aid Overview

This job aid contains three parts, each providing guidance on a particular aspect of planning for the evaluation of your agency's succession management program:

Part I. Evaluating Training: A Primer – This part describes a general strategy for evaluating training. Because training and development activities will be a major component of all succession management programs, agencies should consider how they will determine the effectiveness of those activities.

Part II. Metrics for Evaluation of Succession Management Initiatives – This part describes metrics to consider as your agency develops its evaluation plan.

Part III. Sample Evaluation Plan for Leadership Succession Management – This part provides a sample plan for evaluating a succession management program.

Part I. Evaluating Training: A Primer

Introduction

Training and development activities are a major component of succession management programs. Therefore, evaluating the effectiveness of training and development activities will be an integral component of your evaluation of the whole succession management program. Training evaluation is an objective summary of data gathered about the effectiveness of the training. The primary purpose of evaluation data is to make decisions. Training evaluation data help the organization determine whether the training is accomplishing its goals. They also help decide how to adjust the training approaches for greater effectiveness.

Evaluation data serve several purposes. The data enable judgments about:

- How well the training met the training needs identified.
- How well learners mastered the training content.
- Whether the training methods and media helped learners achieve the instructional objectives.
- How much of the training transferred to the work setting.
- Whether the training contributed to the achievement of the organization's goals.
- Whether the benefits derived from the training justified the cost of the training.

Job Aid: Planning for Evaluation (continued)

Levels of Evaluation

There are four levels of training evaluation, each measuring a different outcome of training. The level selected depends on the question(s) to be answered and the data to be collected, as shown below:

- **Reaction:** Training evaluations can provide data on how the learners reacted to the training content, training activities, instructor, and any other important aspect of the training.
- **Learning:** Training evaluations can provide data on the knowledge learners gained during the training course.
- **Behaviors:** Training evaluations can provide data on the new behaviors used by learners when they return to their work settings.
- **Results:** Training evaluations can provide data on how the training impacted organizational goals.

The general evaluation questions answered by each of the four levels and the types of information typically collected for each level are shown below.

Levels	Evaluation Questions	Types of Information Collected
Reaction	Were the learners pleased with the course?	• Learner impressions of: – Instructors – Course materials – Training activities – Training content – Training facilities • Observer assessments of how the learners reacted to the training
Learning	What did the learners learn during the course?	• Measurements of what the learners know or can do at the beginning and end of training
Behaviors	Did the learners change their on-the-job behaviors, based on what they learned?	• Learner, coworker, and supervisor impressions of: – Changes in the on-the-job behaviors used by the learners following training • Measurements of actual on-the-job behaviors • Observer assessments of changes in on-the-job performance
Results	Did the change in learner behaviors have a positive impact on the organization?	• Learner, supervisor, and/or management impressions of the benefits derived from the training • Measurements of return on investment resulting from the training

Job Aid: Planning for Evaluation (continued)

Part II. Metrics for Evaluation of Succession Management Initiatives

Introduction

This part of the job aid describes required, suggested, and other metrics for evaluation of succession management initiatives. Consider how you can incorporate these metrics into your evaluation plan.

The following are required outcome metrics for the Leadership and Knowledge Management System as described in the *HCAAF Practitioners' Guide*.

Required Metric	Description	Purpose
Organization Metric: Competency Gaps Closed for Management and Leadership	Difference between competencies needed and competencies possessed by managers and leaders	To determine how the agency should target its recruitment, retention, and development efforts to bring the competencies of its managers and leaders into alignment with the agency's current and future needs.
Employee Perspective Metric: Questions From Annual Employee Survey About Satisfaction With Leadership	Items from Annual Employee Survey	To determine the extent to which employees hold their leadership in high regard, both overall and on specific facets of leadership.
Merit System Compliance Metric: Merit-Based Execution of the Leadership and Knowledge Management System	An assessment of compliance with merit system principles and related laws, rules, and regulations governing the Leadership and Knowledge Management System	To ensure decisions, policies, processes, and practices executed under the Leadership and Knowledge Management System comply with the merit system principles and related laws, rules, and regulations.

Job Aid: Planning for Evaluation (continued)

The following are suggested outcome metrics for the Leadership and Knowledge Management System.

Suggested Metric	Description	Purpose
Bench Strength	The relationship between the number of employees in the leadership pipeline who demonstrate the required level of performance on leadership competencies and the number of critical leadership positions	To ensure enough internal organizational capacity exists to mitigate leadership attrition and maintain progress toward mission attainment.
Time To Hire Critical Leadership Positions	Average time from date vacancy announcement closes to date offer is extended (expressed in working days)	To determine the efficiency of a critical phase of the Federal hiring process.
Succession Sources	Percentage of critical leadership positions filled from internal sources, other Government sources (including military), and non-Government sources	To determine the extent to which various succession planning efforts (including internal career development programs) result in the selection of critical leaders.
Culture of Workforce Improvement	Items from Annual Employee Survey	To determine the extent to which employees believe their leaders have developed a culture that values personal growth.

The following are other metrics to consider for the Leadership and Knowledge Management System.

Suggested Metric	Description	Purpose
Return on Investment	The resources invested in succession management and leadership development activities compared to the benefits accrued through participation in the activities	To determine the value of the succession management and leadership development programs in relation to the associated costs.
Development of Workforce Competencies	The proficiency gain in leadership competencies resulting from participation in leadership development activities	To determine the learning gains attributable to agency leadership development programs and activities.

Job Aid: Planning for Evaluation (continued)

Part III. Sample Evaluation Plan for Leadership Succession Management

Introduction After you have developed a strategy for evaluating training and considered which metrics you will track, you need to develop an evaluation plan describing how you will gather data on training and other parts of the succession management system. Consider who is responsible for collecting the data associated with each metric and how often the data will be collected. This part of the job aid provides a sample evaluation plan, which describes how agencies may meet common measurement objectives to gauge the effectiveness of succession management programs and activities.

Measurement Objective	Metric	Measurement Approach	Frequency	Who Is Responsible
To determine the extent to which employees hold their leadership in high regard, both overall and on specific facets of leadership.*	Employee satisfaction with leadership	Employee survey	Annually	Strategic Planning Group
To determine the extent to which competency gaps have been closed for Management and Leadership Competencies.*	Difference between competencies needed and competencies possessed by managers and leaders	Multirater online assessment of competency gaps 360-degree for executive candidates 180-degree for supervisors and managers	Pre- and post-assessment; dependent on timing of programs	Leadership Development Function (e.g., Training or Career Development)
To determine that decisions, policies, processes, and practices comply with merit system principles, and related laws, rules, and regulations governing leadership succession management.*	Program compliance with merit system principles and related laws, rules, and regulations	Compliance assessment of programs: Executive candidate development program Leadership development program Focus groups with leaders and employees	Incorporate into audit activities	Independent Audit Team
To determine the extent to which internal succession planning efforts result in the selection of leaders in critical roles/occupations.	Percentage of critical leadership positions filled from internal sources, other Government sources (including military), and non-Government sources	Data collected on succession sources when leaders are selected for critical leadership positions	As positions are filled	Staffing/ Executive Resources Function
To determine that enough internal organizational capacity exists to mitigate leadership attrition.	Bench strength index	The relationship between the number of employees in the leadership pipeline who demonstrate the required level of proficiency on leadership competencies and the number of critical leadership positions, as shown by the competency assessment data	Pre- and post-assessment for all targeted leaders (see above)	Leadership Development Function (e.g., Training or Career Development)
To determine program participant placement rate in SES positions (Executive Candidate Development Program only).	Post-program participant placement rate	Data collected on post-program placement rates as compared with Governmentwide SES promotion rates	As SES positions are filled	Leadership Development Function (e.g., Training or Career Development)

* Governmentwide Required Outcome Metric

Phase 4. Implement Succession Management Plan

Introduction This phase covers the key activities associated with implementation of the leadership succession management plan.

Purposes The purposes of this phase are: (1) to communicate about new succession management initiatives, programs, and policies throughout the agency and manage the change; and (2) to carry out, monitor, and gather data on succession strategies.

There are three major activities associated with implementing a succession management plan:

- Communicate and Manage Change – This activity is necessary so the agency can keep stakeholders informed and continue to shape the evolving leadership culture.
- Implement Strategies (Recruitment, Selection, Development, Retention) – This activity is necessary so the strategies identified to help meet targets are initiated.
- Collect Metrics Data – This activity is necessary so the agency can track progress toward goals and targets.

Together, these three activities help the agency activate the succession management plan, putting strategies into action.

HCAAF Critical Success Factors and Elements

The focus of this phase is implementing the succession management and accountability activities described in the plan. Frequently, new programs (e.g., candidate development programs) also require implementation of proactive change management and communication activities. The following key elements of HCAAF apply to succession management implementation:

- The agency has a change management system in which leaders:
  - Provide adequate resources to support the change.
  - Take visible actions to support the ways of working.
  - Understand there is a need for a change process and facilitate the change management process by monitoring and addressing problems in the transition process.
  - Hold people accountable for performance results and meeting their commitments to the change process.
  - Focus on performance and progress against change milestones.

- The agency has an accountability system that:
  - Implements data collection and analysis processes to support the measures.
  - Provides review of HR transactions (e.g., selection of participants in a candidate development program) to ensure compliance with legal, regulatory, and specific agency requirements.

Activity	Description
Implement Communication and Change Management Strategies* * See associated job aid following this table.	Communicating about succession management initiatives, programs, and activities with all levels of leadership in the agency; obtaining buy-in and support; articulating expectations; ensuring policies and practices are modified, when necessary, to support succession management efforts

Information You Need	Steps To Take	Results You Will Achieve
Succession management plan	1. Carry out activities in the implementation plan to put communication activities in place. 2. Implement other change management strategies.	Policies and practices that support succession management initiatives Clear communications about succession management initiatives and policies Clearly communicated expectations and leadership buy-in, commitment, and support for succession management

Actions Supporting Accomplishment of This Activity:
Implement communication strategies. (See *Job Aid: Communications Strategy* and *Job Aid: Audience Analysis* following this activity table.)   • Begin implementing the communication strategies as planned. Adapt strategies as necessary according to feedback received from target audiences.   • Continue to communicate the business case for succession management.   • Engage in regular and frequent two-way communication with agency leaders about the status of implementation.   **Implement change management strategies.**   • Implement change management strategies as planned.   • Identify what needs to be done to keep the change and transition plan on track.   • Align policies and practices to support succession management initiatives.   • Encourage and reward senior leaders for reinforcing and modeling the behaviors needed to make succession management successful.

Job Aid: Communications Strategy

Job Aid Overview This job aid outlines key elements of a communications strategy for building awareness and generating excitement about succession management initiatives.

Goals of the Communications Strategy	1. Create awareness and maintain a consistent vision of succession management throughout the organization. 2. Generate enthusiasm for participation in succession management activities, and communicate basic information about succession management and how all audiences can be involved. 3. Establish succession management as a long-term commitment by the organization's senior leadership. 4. Continuously improve communications about succession management initiatives as the initiatives develop and change.
Basic Information	The basic message about succession management should include the following essential information, and this basic message should be repeated in most communications about succession management: • Why succession management is necessary • Goals of succession management • How succession management works • The benefits of succession management to the agency and to individuals

Job Aid: Communications Strategy (continued)

Key Messages of the Communications Strategy	In addition to basic information about how succession management works, there are several key messages to include in the communications strategy. These key messages paint a picture of the goals of succession management and the types of leaders that the organization desires to build at all levels of the organization. These key messages are: 1. The agency is building a cadre of potential leaders to prepare for the future leadership needs of the organization. 2. Succession management will help the organization build a highly effective leadership culture that promotes common competencies, behavioral expectations, and leadership language. 3. Succession management will help the organization carry out its mission and create a more secure future for the agency by developing leaders throughout the organization who are able to step into roles as needed, anticipate challenges, and meet the challenges. 4. It takes a partnership among the organization, management, and individuals to create an environment where everyone's contributions can be maximized. All have an obligation to work on the partnership. 5. Participating in a succession management program does not guarantee an advantage in the promotion process.

Job Aid: Communications Strategy (continued)

Overcoming Obstacles Through Communications	Obstacles will likely arise as the succession management system is implemented. In addition to the logistical and problem-solving efforts involved in overcoming the obstacles, remember to address the obstacles forthrightly in communications to appropriate audiences. 1. Be ready to address issues of cynicism, resources, and politics up front. Provide opportunities for feedback, especially publicly responsive feedback (e.g., town hall meetings or Q&A web site). 2. A well-informed human capital practitioners team with a united front is critical. The team must be well prepared before the rollout and be very clear about how succession management works in order to present it consistently and in its best light. As the frontline personnel, their responses to employees' questions will affect how employees perceive succession management. A strong customer-service orientation is imperative. 3. Tell success stories. Include in communications positive feedback received from participants and/or management about ongoing activities that are part of succession management. 4. Use word of mouth. Have immediate supervisors or peers who support succession management talk it up with others. 5. Provide information in a multitude of innovative and traditional ways on a continuing basis to keep the message in front of employees and keep them up to date on succession management opportunities and enhancements to the program.

Job Aid: Audience Analysis

Job Aid Overview This job aid identifies audiences within the agency who may have interest in succession management and who may be targets of related communication strategies. It also provides examples of key roles for each audience and associated activities that help build interest and engagement in succession management.

Five Key Audiences	There are five key audiences to consider when developing communication strategies: 1. The agency head (along with the most senior leaders) 2. Senior executives 3. Managers and supervisors 4. Nonsupervisory employees 5. Human capital practitioners/officers
Activities	Each audience can show support and commitment to succession management through several key activities, some of which fit all groups, while others are particular to only one or some of the populations. These key activities are: • Active Participation • Career Development • Commitment to Participation • Communications • Employee Development • Ongoing Support • Administration • Advocacy • Role Modeling The agency should target messages to provide the right information to the right audience. Consider the following examples of the roles and associated activities for each of the populations, and then frame messages about succession management accordingly.

Job Aid: Audience Analysis (continued)

Audience	Examples of Ways Each Audience Can Support the Effort
Agency Head (and the most senior leaders)	**Active Participation** • Keep current on succession management efforts inside the agency and at other agencies. • Attend succession management events (e.g., training, programs) at the beginning or end to give a presentation or have a discussion with participants. **Communications** • Send an e-mail to all employees about succession management. • Send follow-up e-mails to executives asking how they are supporting succession management. • Build awareness of succession management and wholeheartedly support it in all communications. • Show public support for succession management, using various vehicles: video, town halls, meetings, etc. • Continue to encourage people to grow and develop. • Sign letters/memos about succession management. **Advocacy** • Advocate for resources and budgeting for succession management. **Role Modeling** • Act in a manner consistent with succession management goals in all interactions and when influencing the organization's leadership culture. • Be consistent, open, and visible in supporting succession management.
Senior Executives	**Active Participation** • Keep current on succession management efforts inside the agency and at other agencies. • Serve as a mentor. • Be a member of the faculty or speaker for leadership development activities. • Attend succession management events.

Job Aid: Audience Analysis (continued)

Audience	Examples of Ways Each Audience Can Support the Effort
Senior Executives (Continued)	**Communications** • Help ensure all eligible employees know that they can be part of the succession management process. • Talk to managers to encourage them to provide time for employees to participate. • Ensure communication about succession management occurs throughout their organizations. Check to see if managers are communicating about it with their subordinates. • Communicate with executives in other organizations to build commitment toward supporting succession management. • Convey the message: Participating in succession management is valuable. • Communicate with the succession management project team to offer suggestions for improving the program. **Advocacy** • Align hiring selections and promotion decisions with leadership competency requirements. • Advocate/support resources and budgeting for succession management initiatives. • Recognize individuals who exhibit leadership characteristics. • Recognize individuals who actively support succession management initiatives and encourage employee participation. **Role Modeling** • Act in a manner consistent with succession management goals in all interactions and when influencing the organization's leadership culture. • Publicly support succession management.

Job Aid: Audience Analysis (continued)

Audience	Examples of Ways Each Audience Can Support the Effort
Managers/ Supervisors	**Active Participation** • Participate in succession management, including development activities. **Communications** • Be congruent with senior leaders in communicating about succession management. • Share information about succession management with employees. • Counsel employees on the benefits of succession management. • Answer difficult questions about how succession management works and how it impacts employees. **Employee Development** • Advise employees on the benefits of succession management. • Understand succession management well enough to coach employees in the development of competencies. • Give assignments to employees that support what they should be learning in the succession management program. • Encourage employees in developing an annual Individual Development Plan (IDP). **Advocacy** • Make resources available. • Be flexible. Give time and support to employees to attend class or serve in a temporary assignment. • Express the need to reduce productivity today for the sake of enhancing the organization's productivity tomorrow. • Take into consideration employees' participation in the succession management program and give credit to employees for participating. • Advocate for employees in the succession management program. • Be willing to supervise employees temporarily as part of the succession management program (e.g., on rotational or special assignments).

Job Aid: Audience Analysis (continued)

Audience	Examples of Ways Each Audience Can Support the Effort
Nonsupervisory Employees	**Career Development** • Make conscious decisions about their own development. • Align actions to achieve goals. • Take responsibility for their professional lives and careers. **Commit To Participate** • Show interest, seek to understand succession management, and be open to participating. • Be aware of opportunities and options. • Apply, when appropriate, to participate in succession management activities. • Commit to development. Attend all functions and engage fully. • Seek opportunities to use new skills. **Ongoing Support** • Encourage others to join in. • After a learning experience, return to the job and model behaviors consistent with the succession management program. • Provide testimonials that support succession management.
Human Capital Practitioners/ Officers	**Communications** • Clearly and consistently explain succession management, answer questions, and manage conflicts arising between succession management and other organization priorities. • Provide guidance to employees about how to participate. • Speak knowledgeably about how the succession management system works. **Administration** • Gather and supply resources for administration of succession management. • Provide management and administrative oversight of succession management. • Actively recruit adjunct faculty for the succession management program. • Look for ways to fulfill identified succession strategies. • Establish and implement the initiative and align with agency strategy and HR programs and policies.

Job Aid: Audience Analysis (continued)

Audience	Examples of Ways Each Audience Can Support the Effort
Human Capital Practitioners/ Officers (Continued)	**Advocacy** • Be an advocate for employees. • Implement the succession management system with enthusiasm. • Help ensure senior leaders' words and actions are congruent with the desired leadership culture. **Role Model** • Act in a manner consistent with succession management goals in all interactions and when influencing the organization's leadership culture.

Activity	Description
Implement Strategies	Implementing strategies to recruit and select new/prospective leaders to achieve stated targets, taking into account critical competencies particularly scarce within the organization; implementing training and development strategies for current and future leaders in targeted populations and subgroups, taking into account the stated numeric and competency targets; implementing strategies for retaining current and prospective leadership talent in targeted populations and subgroups; implementing knowledge-sharing strategies; implementing new or revised policies and practices to support succession management strategies and activities

Information You Need	Steps To Take	Results You Will Achieve
Succession management plan	1. Carry out activities in the implementation plan to put succession strategies in place.	Succession strategies (recruitment, selection, development, retention) in place for targeted groups

Actions Supporting Accomplishment of This Activity:

Carry out implementation plan.

- Determine if major implementation milestones are being met. Take any necessary action to keep implementation on track.
- Monitor implementation efforts regularly.
- Collect feedback from leaders and other stakeholders about implementation; adjust the implementation plan accordingly.

Case Example
Implementing Recruitment & Development Strategies at SSA

The Social Security Administration (SSA) made improvements to its recruiting system and expanded its leadership development programs in response to findings from its Retirement Wave Analysis. (*See case example in Phase 2.)* Specific improvements are listed below.

- Expanded the hiring process to include the use of the Internet and diverse recruitment sources.
- Created a National Recruitment Coordinator position to bring Regional and Headquarters recruiting staffs together and to share best practices.
- Developed a recruitment marketing strategy, along with professional recruitment materials. The strategy's theme was: "Make a difference in people's lives, and your own."
- Focused the marketing campaign on directing candidates to SSA's Internet web site (http://www.ssa.gov/careers).
- Created a mini CD to use as an "SSA business card" when recruiting in person.
- Trained managers on behavior-based interviewing. A video called "More Than a Gut Feeling" was especially helpful, and SSA components conducted training based on the strategies in the video.
- Developed a competency-based structured interview process, called the Competency Assessment Process. This process expands on the behavior-based interviewing by adding structure and a rating process.
- Increased hiring to over 3,300 per year.
- Expanded the leadership development programs to increase SSA leadership pools.

The following tables indicate implementation of the recruitment and leadership development activities.

Fiscal Year	**1994**	**1995**	**1996**	**1997**	**1998**	**1999**	**2000**	**2001**	**2002**	**2003**
Permanent Hires and Conversions	2,236	3,224	2,681	1,673	1,977	3,044	3,344	3,925	3,428	4,717

Source: SSA Office of Personnel Human Resource Management Information System

	Applications	**Selections**
SES 1998	120	37
ALP 1998	250	35
LDP 2000	781	61
ALP 2001	325	74
SES 2002	130	43
LDP 2002	887	100
ALP 2003	417	42

LDP = Leadership Development Program (GS-9 through GS-12)
ALP = Advanced Leadership Program (GS-13 and GS-14)
SES = SES Candidate Development Program (GS-15 or equivalent)

Activity	Description
Collect Metrics Data * See associated job aid following this table.	Collecting and documenting process and performance metrics data to measure the effectiveness of succession management programs/activities and compliance with merit system principles and Federal laws, rules, and regulations; generating progress/status reports

Information You Need	Steps To Take	Results You Will Achieve
Succession management plan	1. Gather data as specified in the evaluation plan.	Process and performance data (quantitative and qualitative) Compliance data Progress/status reports

Actions Supporting Accomplishment of This Activity:
Gather data. (See *Job Aid: Compliance Checklist* following this activity table.) • Collect data according to the evaluation/accountability plan. • Monitor data collection efforts regularly. • Identify early indicators of problems or "red flags" that need to be addressed immediately (e.g., compliance issues). • Validate the accuracy and completeness of the data, if possible.

Job Aid: Compliance Checklist

Job Aid Overview Use this job aid to analyze the extent to which your succession management system is meeting compliance requirements. The Office of Personnel Management uses this form when conducting compliance reviews.

Reference: 5 CFR 412

Y/N	Review Item (Based on advance information)	Comments
	Agency has clear policy for leadership development (412.103).	
	Succession planning needs for leadership positions are reflected in the agency's HC management and planning efforts.	
	Agency conducts succession planning for supervisory, managerial, and executive positions (412.102(b)(2)).	
	Workforce analysis and planning address leadership positions.	
	Agency has an executive candidate development program and program has been approved by OPM (412.104).	
	Agency leadership recruitment and development activities are tied to the executive core qualifications (412.104(e)(1)).	
	Agency has a minimum training requirement for supervisors and managers (412.103).	
	Agency has a system for identifying/developing potential managers and supervisors.	
	Agency evaluates its leadership development programs.	
Y/N	**Review Item (Based on onsite information)**	**Comments**
	Selections are fair, open, and comply with laws, rules, and regulations (412.103(b)).	
	Agency policy for leadership development is being implemented successfully.	
	New supervisors receive supervisory training (412.103(c)(1)).	
	Supervisors receive periodic refresher training to enhance leadership skills (412.103(c)(2)).	
	Managers, supervisors, and executives receive the leadership training they need to effectively manage their workforce.	
	Records review and interviews indicate efforts to create and develop a diverse SES applicant pool (412.104(b)).	

Job Aid: Compliance Checklist (continued)

REGULATORY CITATION:
Agency provides for initial and continuing development of individuals in executive, managerial, and supervisory positions, and candidates for those positions. Agency has issued a development program that is designed as part of the agency strategic plan and fosters a corporate perspective; makes assignments to training and development in accordance with merit principles; and provides for: initial training as an individual makes critical career transitions to become a new supervisor, a new manager, or a new executive consistent with the results of needs assessments; continuing learning experiences, both short- and long-term, throughout an individual's career; and systematic development of candidates for advancement to a higher management level. (5 CFR 412.103) Agency has established an SES candidate development program (not required, but has authority to do so) and program has been approved by OPM. (5 CFR 412.104)
ISSUES/CONCERNS:

Reviewer/Title: ____ **Date:** ________________

Phase 5. Evaluate Succession Strategies

Introduction

This phase covers the key activities associated with evaluating the results of succession management efforts and making improvements to the succession management system.

Purposes

The purposes of this phase are: (1) to determine how well the succession management strategies are filling targeted needs, and (2) to ensure that the succession management strategies are in compliance with merit system principles and Federal laws, rules, and regulations. The succession management plan should be a living plan that adapts across time in response to new requirements and changing factors.

There are two major activities associated with evaluating succession management strategies:

- Analyze Results – This activity is necessary so the metrics data collected can be understood in the context of goals, targets, and environmental factors.
- Recommend Improvements – This activity is necessary so the succession management system can be refined to meet goals and targets most effectively.

Together, these two activities help ensure the succession management system is geared to meet agency goals.

HCAAF Critical Success Factors and Elements

This phase is directly linked to HCAAF's accountability system. The key elements from HCAAF include:

- The agency has an accountability system that:
  - Ensures results are used to improve human capital programs and the human capital accountability system.
  - Ensures human capital results and merit system compliance are determined and reported to management and OPM.
  - Promotes continuous improvement, which is reflected in updates to the strategic human capital plan.

Activity	Description
Analyze Results	Analyzing metrics data and reporting results to senior management

Information You Need	Steps To Take	Results You Will Achieve
Metrics data on recruitment, selection, development, retention, including: • Process • Performance • Compliance	1. Analyze quantitative and qualitative data to determine results. 2. Identify and communicate promising practices.	Report of results, including key findings, on how well targets have been met Promising practices

Actions Supporting Accomplishment of This Activity:

Analyze results.

- Analyze the data to determine what themes have emerged and what conclusions might be drawn.
- Determine if the agency has met (or if the agency is moving in the right direction toward achieving) its succession targets. If not, identify where and why the agency is falling short.
- Analyze the results to determine if the agency has achieved the value it desired from its investment in succession management strategies.

Communicate promising practices.

- Document and share promising practices.

Activity	Description
Recommend Improvements* * See associated job aid following this table.	Determining corrective actions and improvements needed, including changes in strategic objectives, succession targets (i.e., numbers and competencies), succession strategies, communications, or evaluation

Information You Need	Steps To Take	Results You Will Achieve
Report of results and key findings	1. Determine corrective actions and improvements.	Recommendations and action plan Lessons learned

Actions Supporting Accomplishment of This Activity:
Suggest corrections and improvements. (See *Job Aid: Succession Management Continuous Improvement Review Tool* following this activity table.) • Make key recommendations for follow-up activities and the next succession management initiative. • Determine the impact follow-up activities will have on existing plans, timelines, and resources. • Decide how and when follow-up activities will be implemented and who will have oversight responsibility. • Identify and document "lessons learned" for future succession management initiatives.

Job Aid: Succession Management
Continuous Improvement Review Tool

Introduction

To assist agencies in building leadership succession management programs, OPM developed this Guide to the Strategic Leadership Succession Management (SLSM) Model. Federal agencies have been following the model in establishing leadership succession management programs. These programs require periodic assessment to determine their effectiveness. Consequently, agencies are expected to review these programs at least annually and report program results in the annual Human Capital Management Report. This continuous improvement review tool will help agencies conduct this assessment. The assessment is built around the five phases of the model:

Phase 1: Establish Strategic Alignment
Phase 2: Identify Succession Targets and Analyze Talent Pool
Phase 3: Develop Succession Management Plan
Phase 4: Implement Succession Management Plan
Phase 5: Evaluate Succession Strategies

To begin your review, proceed to the Agency Drivers section below. [7]

Agency Drivers

What two or three factors best described the need for leadership succession management when you wrote the agency succession management plan (e.g., change in leadership requirements, assignment of new mission, retirement wave, or restructured organization)?

1. ____

2. ____

3. ____

Are these still the agency drivers for leadership succession management? If not, revise them on this form and in the leadership succession management plan.

As you review the questions below, reflect on the current agency drivers for leadership succession management and consider whether the drivers can help you identify key leadership succession management activities which require modification or attention during your annual review.

[7] This tool is intended for the use of Federal agencies. Using the tool and recording answers to the questions presented in the tool may be helpful to the agency in providing documentation for use in at least three areas, i.e., 1) completing pertinent parts of the annual Human Capital Management Report, 2) establishing and implementing the agency's human capital accountability system plan, and 3) conducting human capital program audits.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase I: Establish Strategic Alignment

Phase 1 of the Strategic Leadership Succession Management (SLSM) Model, establishing strategic alignment, is made of up of two key activities: 1) analyze the agency's requirements for leadership succession management and, 2) develop the business case for leadership succession management. Events may have occurred in the agency over the past year that will require you to revise your analysis of the agency's requirements for leadership succession management or the business case for leadership succession management. With this in mind, go to the questions and guidance for reviewing each Phase 1 activity. Follow the questions and guidance for Key Activity #1 and then move on to Key Activity #2.

Phase I: Establish Strategic Alignment
Key Activity #1: Analyze the agency's requirements

Key Activity #1	Analyze the agency's requirements for leadership succession management.
Purpose	To ensure all decisions and activities related to succession management align with strategic requirements in support of the agency's mission.
Activity Output	Review Phase I of the SLSM Model to see the results you will achieve by accomplishing Key Activity #1. As an output of this activity, you will articulate the agency's strategic requirements for leadership succession management.

<u>Major Triggers That May Drive an Update to This Activity's Output</u>

Following are key triggers that should prompt you to update your Requirements Definition. during the annual review. If your agency has experienced changes in any of these factors, you should check the box(es) and revisit your plan to make appropriate changes:

- ☐ Strategic Plan
- ☐ Strategic Human Capital Plan
- ☐ Significant budget changes
- ☐ New legislation affecting mission
- ☐ Organizational Restructuring
- ☐ Workforce Analysis

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Annual Review Questions

Each year, you should consider the following questions to ensure your succession management plan is current and strategically aligned:

1. Does the requirements definition (as it appears in the succession management plan, usually in the introduction) accurately reflect the key drivers that make leadership succession management important for the agency?

   - ☐ Yes
   - ☐ No

   If no, then what are the reasons for the disconnect (e.g., key drivers have changed due to attrition or other requirements cited in a new workforce plan)?

   ____

   ____

   ____

   If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

   - ☐ Level 1 = No impact to efficiency or effectiveness of the mission
   - ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
   - ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
   - ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., major agency mission program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

   If Level 3 or 4, what is the mitigating strategy (e.g., articulate revised drivers in the plan)?

   ____

   ____

   ____

2. Does the requirements definition reflect an up-to-date gap analysis that broadly compares the agency's current and future leadership needs to its current bench strength and leadership pipeline?

   - ☐ Yes
   - ☐ No

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, then why (e.g., no up-to-date workforce planning data or agency has not compared leadership needs with results of a leadership competency assessment)?

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, strategic goal milestones will not be achieved on time, "non-critical" programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., update workforce plan or conduct leadership competency assessment)?

What To Do Next

If you recorded any mitigating strategies in the section above, or if you checked any boxes next to the major triggers, the requirements definition needs to be updated in your strategic leadership succession management plan.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase I: Establish Strategic Alignment
Key Activity #2: Develop the business case

Key Activity #2	Develop the business case for leadership succession management, including accountabilities and resources.
Purposes	• To ensure that the strategic benefits of leadership succession management are well articulated. • To build support for allocation of resources to implement leadership succession management fully and successfully.
Activity Output	Review Phase 1 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #2. As an output of this activity, you will have a description of the business case for succession management, including accountabilities and resources.

Major Triggers That May Drive an Update to This Activity's Output

Following are key triggers that should prompt you to update your Business Case during the annual review. If your agency has experienced changes in any of these factors, you should check the box(es) and revisit your plan to make appropriate changes:

- ☐ New leadership
- ☐ Business need/drivers
- ☐ Stakeholders or their concerns
- ☐ Sponsors/champions
- ☐ Cost/benefit analysis
- ☐ Accountability plans
- ☐ Resources to administer/communicate plan
- ☐ Requirements definition

Annual Review Questions

Each year, you should consider the following questions to ensure your succession management plan includes a current and persuasive business case:

1. Have the key drivers identified in the business case remained constant?

   - ☐ Yes
   - ☐ No

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, then why (e.g., an unanticipated number of executives, managers, or supervisors left the agency over the year, a new mission requiring different skill/competency sets has been assigned to the agency, or a third party review such as a PART or other GAO review has developed findings the agency must address)?

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If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that leadership succession management aligns with the new drivers (e.g., update workforce plan, conduct a leadership competency assessment against new requirements, develop and implement leadership development programs, develop and provide leadership training, develop or implement a special recruitment program)?

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2. Is senior leader buy-in evident, including identification of champions and sponsors of leadership succession management activities?

   - ☐ Yes
   - ☐ No

If no, then why (e.g., a new agency head or a new CHCO has been appointed, other champions or sponsors have been reassigned, or the agency faced a major operational crisis that diverted attention from leadership succession management.)?

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Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., brief new leadership on the business case and status of succession management or name new champions and sponsors)?

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3. Are appropriate resources (based on a cost-benefit analysis) assigned to leadership succession management?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., staff assigned to leadership succession management has left the program, budget to support the program has been diverted to other programs, or the agency's mission has grown significantly resulting in additional budget and personnel being assigned to the agency)?

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., restore budget, fill current staff vacancies, or provide additional staff and budget)?

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<u>What To Do Next</u>

If you recorded any mitigating strategies in the section above, the business case needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 2: Identify Succession Targets and Analyze Talent Pool

Phase 2 of the SLSM Model, to identify succession targets and analyze the talent pool is made up of two key activities: 1) to identify succession targets and 2) to analyze the talent pool. Events may have occurred in the agency over the past year that will require you to identify different leadership positions and competencies or revise your analysis of the current talent pool. With this in mind, go to the questions and guidance for reviewing each Phase 2 activity. Follow the questions and guidance for Key Activity 1 and then move on to Key Activity 2.

Phase 2: Identify Succession Targets and Analyze Talent Pool
Key Activity #1: Identify succession targets

Key Activity #1	Identify succession targets
Purpose	To ensure the agency can clearly articulate the number of individuals it needs to prepare for strategic leadership positions and the competencies the individuals should possess
Activity Output	Review Phase 2 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #1. As outputs of this activity, you will have a set of succession management targets (i.e., numbers of leaders needed for critical leadership roles with required competencies) and general, high-level objectives for succession management.

<u>Major Triggers That May Drive an Update to This Activity's Output</u>

Following are key triggers that should prompt you to update your Succession Targets Description. during the annual review. If your agency has experienced changes in any of these factors, you should check the box (es) and revisit your plan to make appropriate changes:

☐ Strategic Plan
☐ Significant budget changes
☐ New legislation affecting mission
☐ Organizational restructuring
☐ Workforce analysis
☐ Additional agency workload/expansion of existing programs
☐ Requirements definition
☐ Business case

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Annual Review Questions

Each year, you should consider the following questions to ensure your succession management plan appropriately identifies key leadership positions and competencies:

1. Does the succession targets description appropriately reflect the critical leadership roles needed in the agency?

   - ☐ Yes
   - ☐ No

   If no, then what are the reasons for the discrepancy (e.g., a new mission had been added to the agency, a major reorganization has occurred or is anticipated)?

   ____

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   If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

   - ☐ Level 1 = No impact to efficiency or effectiveness of the mission
   - ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
   - ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
   - ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

   If Level 3 or 4, what is the mitigating strategy (e.g., analyze leadership roles to determine which are most critical to the mission, revise succession management plan to current analysis of critical leadership roles)?

   ____

   ____

   ____

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

2. Does the succession targets description reflect the number of leaders needed for critical leadership roles?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., the workload has significantly increased, leadership positions have been shifted from the headquarters to the field, more high-level technical positions are needed rather than managerial positions)?

   ____

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If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., use the setting targets job aid contained in the Guide to the SLSM Model to calculate the number of leaders needed for critical leadership roles)?

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3. Does the succession targets description identify the required competencies for critical leadership roles?

   - ☐ Yes
   - ☐ No

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, then why (e.g., previously identified competencies are no longer required, new competencies not previously used in the agency are needed, the changes in leadership roles require emphasis on competencies not previously emphasized)?

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., reaffirm or revise the competencies required for critical leadership roles)?

What To Do Next

If you recorded any mitigating strategies in the section above, or if you checked any boxes next to the major triggers, the succession targets description needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 2: Identify Succession Targets and Analyze Talent Pool
Key Activity #2: Analyze the talent pool

Key Activity #2	Analyze the Talent Pool
Purposes	To analyze the extent to which the current talent pool will be able to fill those targets.
Activity Outputs	Review Phase 2 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #2. As an output of this activity, you will have an analysis of your bench strength that describes the readiness gap and descriptions of potential sources of talent for meeting succession targets.

<u>Major Triggers That May Drive an Update to This Activity's Outputs</u>

Following are key triggers that should prompt you to update your bench strength gap analysis and/or talent source description during the annual review. If your agency has experienced changes in any of these factors, you should check the box(es) and revisit your plan to make appropriate changes:

- ☐ Strategic Plan
- ☐ Significant budget changes
- ☐ New legislation affecting mission
- ☐ Organizational restructuring
- ☐ Workforce analysis (showing bench strength depleted, no longer meets agency competency requirements, etc.)
- ☐ Additional agency workload/expansion of existing programs
- ☐ Requirements definition
- ☐ Business case

<u>Annual Review Questions</u>

Each year, you should consider the following questions to ensure your succession management plan includes a current bench strength gap analysis and talent source description:

1. Based on current requirements, is the number of potential leaders "on the bench" adequate (i.e., is the existing bench strength analysis still applicable and are there enough potential leaders with the right competencies to meet the succession targets)?

   ☐ Yes
   ☐ No

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, then why (e.g., some of the potential leaders on the bench have left the agency, some of the potential leaders on the bench may not meet the new competency requirements, some employees may have developed the experience and competencies to join the bench)?

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If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., conduct a new competency assessment of the internal talent pool to update the bench strength analysis)?

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2. Will the currently identified talent sources provide enough candidates to fill critical leadership positions?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., some sources have not produced as many candidates as anticipated, the succession targets description has been revised making current talent sources less viable)?

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Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., identify additional recruitment sources, establish an internal leadership development program, initiate an OPM-approved Candidate Development Program)?

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<u>What To Do Next</u>

If you recorded any mitigating strategies in the section above, the bench strength gap analysis and the talent source description need to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 3: Develop Succession Management Plan

Phase 3 of the SLSM Model, to develop the succession management plan is made up of four key activities: 1) to analyze current policies, programs, and practices, 2) to develop a leadership succession management plan, 3) to develop an implementation plan, and 4) to develop an evaluation plan. Events may have occurred in the agency over the past year that will require you to revise the management plan and/or the implementation plan or the evaluation plan. With this in mind, go to the questions and guidance for reviewing each Phase 3 activity. Follow the questions and guidance for Key Activity 1 and then move on to the other three key activities.

Phase 3: Develop Succession Management Plan
Key Activity #1: Analyze policies, programs, and practices

Key Activity #1	Analyze and adapt policies, programs, and practices to ensure support of succession management initiatives
Purpose	To ensure products and activities support agency succession targets
Activity Output	Review Phase 3 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #1. As an output of this activity, you will have an analysis of the effectiveness of current recruitment, development, and retention programs.

<u>Major Triggers That May Drive an Update to This Activity's Outputs</u>

Following are key triggers that should prompt you to update your policies/programs/practices during the annual review. If your agency has experienced changes in any of these factors, you should check the box(es) and revisit your plan to make appropriate changes:

- ☐ Succession Targets Description
- ☐ Bench Strength Analysis
- ☐ Talent Sources

<u>Annual Review Questions</u>

Each year, you should consider the following questions to ensure your policies/programs/practices support achieving succession targets:

1. Do the results of your analysis of existing policies/programs/practices indicate they support achievement of your succession targets?
   - ☐ Yes
   - ☐ No

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, then why (e.g., succession targets have recently been revised, recruitment practices are not aligned with succession targets, retention programs have been cut)?

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that policies/programs/practices are aligned with achieving succession targets (e.g., identification of current policies/programs/practices that require revision to align with new succession targets, align recruitment practices with succession targets, reinstate retention programs)?

What To Do Next

If you recorded any mitigating strategies in the section above, policies/programs/practices need to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 3: Develop Succession Management Plan
Key Activity #2: Identify succession management strategies

Key Activity #2	Identify succession management strategies/develop a leadership succession management plan
Purpose	To identify strategies the agency will undertake to meet succession targets
Activity Output	Review Phase 3 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #2. As an output of this activity, you will have a succession management plan that includes strategic requirements, succession management targets, and strategies for meeting the targets.

Major Triggers That May Drive an Update to This Activity's Output

Following are key triggers that should prompt you to update your leadership succession management plan during the annual review. If your agency has experienced changes in any of these factors, you should check the box (es) and revisit your plan to make appropriate changes:

- ☐ Requirements Definition
- ☐ Business Case
- ☐ Succession Targets Description
- ☐ Bench Strength Analysis
- ☐ Talent Source Description
- ☐ Organizational Restructuring

Annual Review Questions

Each year, you should consider the following questions to ensure your succession management plan adequately describes how the agency will recruit, develop, and retain leaders with the qualities necessary to meet the agency's mission and strategic goals and objectives:

1. Does the plan describe current recruitment, selection, development, and retention programs, policies, and practices that will help the agency meet current and future succession targets?

   ☐ Yes
   ☐ No

   If no, then why (e.g., the bench strength gap analysis has changed, the agency has changed recruitment and selection procedures, retention programs have been cut)?

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Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that the succession management plan reflects recruitment, development, and retention programs, policies, and practices to meet succession targets (e.g., establishment of recruitment and retention incentives, revamping of the leadership development program, establishment of a mentor program, updating the plan to reflect recent policy/program changes)?

2. Does the leadership succession management plan include key components that together effectively tell the current leadership succession management story, including succession management targets, a talent pool analysis, and a description of programs, policies, and practices to develop and retain leadership capacity?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., previously-cited programs have been abolished, other programs have been expanded or added, no succession management targets have been established, the talent pool analysis is outdated, previous components of the plan were not written clearly)?

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., rewrite/update appropriate parts of the plan)?

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What To Do Next

If you recorded any mitigating strategies in the section above, or if you checked any boxes next to the major triggers, the leadership succession management plan needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 3: Develop Succession Management Plan
Key Activity #3: Develop an implementation plan

Key Activity #3	Develop an implementation plan with the blueprint for putting succession management strategies in place
Purpose	To describe how the identified strategies will be implemented
Activity Outputs	Review Phase 3 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #3. As an output of this activity, you will have an implementation plan that provides a blueprint for putting succession management strategies in place.

<u>Major Triggers That May Drive an Update to This Activity's Output</u>

Following are key triggers that should prompt you to update your implementation plan during the annual review. If your agency has experienced changes in any of these factors, you should check the box (es) and revisit your plan to make appropriate changes:

- ☐ Succession Management Plan
- ☐ New Leadership
- ☐ Sponsors/Champions
- ☐ Resources to administer/communicate plan

<u>Annual Review Questions</u>

Each year, you should consider the following questions to ensure your implementation plan adequately describes how the succession management plan will be implemented:

1. Does the implementation plan describe what, when, how, and by whom the succession management strategies in the succession management plan will be implemented?

   ☐ Yes
   ☐ No

   If no, then why (e.g., the succession strategies and plan, or parts thereof, have been rewritten/revised, implementation actions for some strategies were not previously written in sufficient detail)?

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Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that the implementation plan adequately describes the details for implementing each strategy (e.g., designate an implementation team, rewrite/revise the implementation plan to indicate resources, timelines, and activities for each strategy)?

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2. Does the implementation plan appropriately identify how to communicate, oversee succession management, and maintain senior leadership commitment to it (i.e., does it include a communications and change management plan)?

   ☐ Yes
   ☐ No

   If no, then why (e.g., staff who were responsible for communication activities have been reassigned, actions previously identified were not implemented, changes in the succession management plan require new ways of communicating, senior leaders are focused on new strategic objectives)?

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., reengage senior leaders, rewrite/update appropriate parts of the plan)?

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<u>What To Do Next</u>

If you recorded any mitigating strategies in the section above, or if you checked any boxes next to the major triggers, the implementation plan needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 3: Develop Succession Management Plan
Key Activity #4: Develop an evaluation plan

Key Activity #4	Develop an evaluation plan that identifies what metrics the agency will use to measure the effectiveness of all succession management programs.
Purpose	To ensure the agency is meeting its succession targets while in compliance with Federal laws, rules, regulations, and guidelines.
Activity Outputs	Review Phase 3 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #4. As an output of this activity, you will have an evaluation plan describing how the agency will ensure it meets its succession targets in compliance with Federal guidelines.

<u>Major Triggers That May Drive an Update to This Activity's Output</u>

Following are key triggers that should prompt you to update your evaluation plan during the annual review. If your agency has experienced changes in any of these factors, you should check the box(es) and revisit your plan to make appropriate changes:

- ☐ Succession Management Plan
- ☐ Implementation Plan
- ☐ Human Resources Information System

<u>Annual Review Questions</u>

Each year, you should consider the following questions to ensure your evaluation plan helps the agency know if implementation is succeeding or if midcourse corrections are required and what the agency will do to resolve implementation problems if they occur:

1. For each strategy in the succession management plan, does the evaluation plan identify measures/metrics, a data collection method, frequency of data collection, and who is responsible for tracking the measures?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., the succession management plan has been revised, resources have not been available to plan for or conduct an evaluation, the agency has been focusing on succession strategies rather than evaluation)?

   ___

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   ___

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that the evaluation plan is complete and up-to-date (e.g., give a team responsibility for evaluation of succession management, update old evaluation plan to account for revised succession management plan)?

2. Has the agency accurately indicated how it will analyze and report on the measures/metrics?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., the agency has changed the evaluation plan, cannot determine how to gather/analyze desired data, the original reporting schedule was too aggressive)?

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., revise the process for documenting and reporting metrics data, find alternative resources to support analysis/reporting)?

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What To Do Next

If you recorded any mitigating strategies in the section above, the evaluation plan needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 4: Implement Succession Management Plan

Phase 4 of the SLSM Model, implementing the succession management plan, is made up of three key activities: 1) to communicate succession management policies and the agency's commitment to them clearly, 2) to implement succession strategies, and 3) to collect data about implementation and produce status reports. Events may have occurred in the agency over the past year, e.g., development of a new succession management plan that will require you to revamp your implementation activities. With this in mind, go to the questions and guidance for reviewing each Phase 4 activity. Follow the questions and guidance for Key Activity 1 and then move on to the other 2 key activities in the order presented below.

Phase 4: Implement Succession Management Plan
Key Activity #1: Communicate about succession management

Key Activity #1	Communicate clearly about succession management
Purposes	• To keep stakeholders informed and continue to shape the evolving leadership culture, i.e., to manage the change represented by implementation of succession management. • To help stakeholders understand the need and support for a new way of addressing succession management.
Activity Outputs	Review Phase 4 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #1. As an output of this activity, you will have policies and practices that support succession management and clear communications about the policies and practices.

<u>Major Triggers That May Drive an Update to This Activity's Outputs</u>

Following are key triggers that should prompt you to update your communications strategy during the annual review. If your agency has experienced changes in any of these factors, you should check the box (es) and revisit your plan to make appropriate changes:

☐ Succession Targets Description
☐ Succession Management Plan
☐ Implementation Plan
☐ Evaluation Plan
☐ Changes in policies/programs/practices

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Annual Review Questions

Each year, you should consider the following questions to ensure succession management policies are clearly communicated:

1. Has information about how the agency's succession management program operates within the agency been communicated to key audiences?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., major operational issues in the agency took precedence over planned communication events, sponsors or staff responsible for communication activities were reassigned to other duties)?

   ____

   ____

   ____

   If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

   - ☐ Level 1 = No impact to efficiency or effectiveness of the mission
   - ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
   - ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, strategic goal milestones will not be achieved on time, "non-critical" programs will be cancelled)
   - ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

   If Level 3 or 4, what is the mitigating strategy to ensure that how succession management works in the agency is communicated to all audiences (e.g., reinvigorate existing communication plan, develop new communication techniques and activities)?

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   ____

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

2. Have specific roles and activities been communicated to key audiences, including the agency head and other senior leaders, senior executives, managers and supervisors, nonsupervisory employees, the CHCO, and other human capital practitioners?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., agency has not defined roles clearly, major operational issues in the agency took precedence over planned communication events, sponsors or staff responsible for communication activities were reassigned to other duties)?

   ___

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   If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

   - ☐ Level 1 = No impact to efficiency or effectiveness of the mission
   - ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
   - ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
   - ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

   If Level 3 or 4, what is the mitigating strategy (e.g., clearly define roles, reinvigorate existing communication plan, develop new communication techniques and activities)?

   ___

   ___

   ___

3. Are senior leaders being rewarded for reinforcing and modeling the behaviors that will make succession management successful?

   - ☐ Yes
   - ☐ No

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, then why (e.g., the agency is rewarding other behaviors, performance plans do not reflect succession management responsibilities)?

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that the agency's commitment to succession management is communicated agency-wide (e.g., engage in two-way conversation between CHCO and agency head/other senior leaders about the status of communications and implementation of succession management, hold appropriate orientation/training classes, revise performance plans to reflect succession management responsibilities, revise awards programs)?

What To Do Next

If you recorded any mitigating strategies in the section above, the communications strategy needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 4: Implement Succession Management Plan
Key Activity #2: Implement succession strategies

Key Activity #2	Implement succession strategies
Purpose	To put policies/programs/practices into place that meet succession strategies
Activity Output	Review Phase 4 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #2. As an output of this activity, you will have active, visible succession management strategies in place for targeted groups.

Major Triggers That May Drive an Update to This Activity's Outputs

Following are key triggers that should prompt you to update your implementation strategy during the annual review. If your agency has experienced changes in any of these factors, you should check the box (es) and revisit your plan to make appropriate changes:

- ☐ Succession Targets Description
- ☐ Succession Management Plan
- ☐ Implementation Plan
- ☐ Evaluation Plan
- ☐ Changes to policies/programs/practices

Annual Review Questions

Each year, you should consider the following questions to ensure your succession management plan is being implemented appropriately:

1. Is the agency achieving the major milestones included in your plan?
   - ☐ Yes
   - ☐ No

   If no, then why (e.g., inadequate resources to implement some of the strategies included in the succession management plan, staff who were responsible for key initiatives were reassigned, timely interventions were not made when an initiative(s) got off track)?

   ____

   ____

   ____

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that the succession management plan is implemented as intended (e.g., assign appropriate resources to implementation activities, revise milestones that prove unworkable for any reasons(s), set up a schedule and methodology for regular milestone monitoring)?

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<u>What To Do Next</u>

If you recorded any mitigating strategies in the section above, the implementation strategy needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 4: Implement Succession Management Plan
Key Activity #3: Collect metrics data

Key Activity #3	Collect metrics data
Purpose	To track progress toward meeting succession targets
Activity Output	Review Phase 4 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #3. As an output of this activity, you will have progress and status reports on implementing succession management strategies.

Major Triggers That May Drive an Update to This Activity's Outputs

Following are key triggers that should prompt you to update your data collection strategy during the annual review. If your agency has experienced changes in any of these factors, you should check the box(es) and revisit your plan to make appropriate changes:

- ☐ Succession Targets Description
- ☐ Succession Management Plan
- ☐ Implementation Plan
- ☐ Evaluation Plan
- ☐ Changes in policies/programs/practices

Annual Review Questions

Each year, you should consider the following questions to ensure you are tracking progress in implementing your succession management plan effectively:

1. Has data been gathered as specified in the evaluation plan?
   - ☐ Yes
   - ☐ No

   If no, then why (e.g., responsibilities for data collection were not clearly identified, it did not prove feasible to gather some data due to difficulty with data collection source or process, focus on data collection lost due to changes in sponsors or staff)?

   ____

   ____

   ____

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that data is collected as specified in the evaluation plan (e.g., reinvigorate data collection, revise the evaluation plan if some data collection sources do not materialize or data collection process is unworkable)?

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What To Do Next

If you recorded any mitigating strategies in the section above, the data collection strategy needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 5: Evaluate Succession Strategies

Phase 5 of the SLSM Model, to evaluate succession strategies, is made up of two key activities: 1) to analyze the results of succession management implementation and 2) recommend improvements. Events may have occurred in the agency over the past year that will require you to revamp your evaluation activities. With this in mind, go to the questions and guidance for reviewing each Phase 5 activity. Follow the questions and guidance for Key Activity 1 and then move on to key activity 2.

Phase 5: Evaluate Succession Strategies
Key Activity #1: Report Results

Key Activity #1	Develop and distribute a report of results
Purpose	To ensure leaders, sponsors, and stakeholders are made aware of succession management results, including merit system compliance results, for their action
Activity Output	Review Phase 5 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #1. As an output of this activity, you will have an evaluation report that includes key findings, information about how well the targets have been met, and identification of promising practices.

<u>Major Triggers That May Drive an Update to This Activity's Outputs</u>

Following are key triggers that should prompt you to update your evaluation strategy during the annual review. If your agency has experienced changes in any of these factors, you should check the box(es) and revisit your plan to make appropriate changes:

- ☐ Succession Targets Description
- ☐ Succession Management Plan
- ☐ Implementation Plan
- ☐ Evaluation Plan

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Annual Review Questions

Each year, you should consider the following questions to ensure that the succession management strategies are meeting succession targets:

1. Has the metrics data been analyzed to understand it in the context of goals, objectives, and environmental factors?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., data was not collected as intended or only partial data was collected, data was collected but other priorities interfered with the analysis process, resources not available to analyze data)?

   ____

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   ____

   If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

   - ☐ Level 1 = No impact to efficiency or effectiveness of the mission
   - ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
   - ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
   - ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

   If Level 3 or 4, what is the mitigating strategy to ensure that the metrics data is analyzed (e.g., analyze existing data immediately, institute a collection and analysis plan?

   ____

   ____

   ____

2. Has a report of key findings been disseminated based on the analysis?

   - ☐ Yes
   - ☐ No

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, then why (e.g., analysis was not completed at all or in a timely manner, staff to draft the report has not been identified or was diverted to other imitative)?

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy (e.g., assign responsibility for writing the report, write and disseminate report)?

What To Do Next

If you recorded any mitigating strategies in the section above, the data collection strategy needs to be updated.

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Phase 5: Evaluate Succession Strategies
Key Activity #2: Recommend improvements

Key Activity #2	Present recommendations and an action plan for improvement including: • Documentation of promising practices • Identification and implementation of lessons learned
Purposes	• To promote continuous improvement in succession management • To ensure results are used to improve succession management • To ensure succession management policies/programs/practices support achievement of succession targets
Activity Outputs	Review Phase 5 of the SLSM Model to see the results you will achieve by accomplishing Key Activity #2. As an output of this activity, you will have an action plan for improvement that includes strategies for revising policies/programs/practices based on lessons learned and promising practices.

Major Trigger That May Drive an Update to This Activity's Outputs

Following is a key trigger that should prompt you to update your evaluation strategy during the annual review. If the results in this report are driving change or new initiatives, you should check the box and revisit your plan to make appropriate changes:

☐ Evaluation Report (from Phase 5, Key Activity 1)

Annual Review Questions

Each year, you should consider the following questions to ensure your evaluation has led to identifying corrective actions and improvements to succession management:

1. Has your agency documented corrective actions and improvements needed (e.g., changes in succession targets by positions and competencies, succession strategies, communication activities, or evaluation activities)?

   ☐ Yes
   ☐ No

   If no, then why (e.g., no corrective actions or improvements emerged, insufficient resources assigned to write action plan/lessons learned, senior leader attention diverted elsewhere)?

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that corrective actions and improvements are identified (e.g., resources assigned to determine and document corrective actions and improvements, reengage senior leaders)?

2. Have promising practices for succession management been identified and communicated?

- ☐ Yes
- ☐ No

If no, then why (e.g., agency did not plan to gather/disseminate promising practices, insufficient resources assigned to identify promising practices)?

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that promising practices are identified (e.g., include identification of promising practices in implementation plan, assign resources to effort)?

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____

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3. Does the evaluation report identify lessons learned for future succession management activities?

   - ☐ Yes
   - ☐ No

   If no, then why (e.g., no prominent lessons learned emerged, insufficient resources assigned to identify/disseminate lessons learned)?

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Job Aid: Succession Management Continuous Improvement Review Tool (continued)

If no, what is the anticipated level of impact on the agency mission if this question is not properly addressed?

- ☐ Level 1 = No impact to efficiency or effectiveness of the mission
- ☐ Level 2 = Little impact to efficiency or effectiveness of the mission
- ☐ Level 3 = Some impact to efficiency or effectiveness of the mission (e.g., some critical leadership positions will not be filled, service delivery will slow down temporarily, agency strategic goal milestones will not be achieved on time, "non-critical" agency programs will be cancelled)
- ☐ Level 4 = Major impact to efficiency or effectiveness of the mission (e.g., agency program will be cancelled, delivery of timely and/or quality service to the public will be jeopardized, or goals and objectives included in the agency Performance Budget will not be met)

If Level 3 or 4, what is the mitigating strategy to ensure that lessons learned are included in the report of results (e.g., resources assigned to determine and document lessons learned)?

Job Aid: Succession Management Continuous Improvement Review Tool (continued)

Summary Sheet for Recording Mitigating Strategies for Key Activities

Purpose of this Summary Sheet: This sheet can help you compile the changes you need to make to your agency's succession management plan. In addition, completing this summary sheet may help in providing documentation for 1) pertinent parts of the annual Human Capital Management Report, 2) establishing and implementing the agency's human capital accountability system plan, and 3) conducting human capital program audits.

Instructions: Review the previous pages in this job aid, and find those activities for which you've indicated a mitigating strategy is needed (i.e., those discrepancies rated as a level "3" or "4" impact). Place a check in the "Yes" box for those activities, and describe the mitigating strategy in the right column. The description can be concise, but it should clearly indicate a method you will use.

Phase and Activity	Mitigating strategy Needed? *(Check Yes or No.)*	Mitigating Strategy (if applicable)
Phase 1: Establish Strategic Alignment		
Key Activity 1: Analyze the agency's requirements	☐ Yes ☐ No	
Key Activity 2: Develop the business case	☐ Yes ☐ No	
Phase 2: Identify Succession Targets and Analyze Talent Pool		
Key Activity 1: Identify succession targets	☐ Yes ☐ No	
Key Activity 2: Analyze the talent pool	☐ Yes ☐ No	
Phase 3: Develop Succession Management Plan		
Key Activity 1: Analyze policies, programs, and practices	☐ Yes ☐ No	
Key Activity 2: Identify succession management strategies	☐ Yes ☐ No	
Key Activity 3: Develop an implementation plan	☐ Yes ☐ No	
Key Activity 4: Develop an evaluation plan	☐ Yes ☐ No	
Phase 4: Implement Succession Management Plan		
Key Activity 1: Communicate about succession management	☐ Yes ☐ No	
Key Activity 2: Implement succession strategies	☐ Yes ☐ No	
Key Activity 3: Collect metrics data	☐ Yes ☐ No	
Phase 5: Evaluate Succession Strategies		
Key Activity 1: Report results	☐ Yes ☐ No	
Key Activity 2: Recommend improvements	☐ Yes ☐ No	

Case Example
Recommending Improvements at the Veterans Health Administration

The Veterans Health Administration (VHA) has 21 divisions or "networks" across the United States, with 200,000 employees and 1,300 work sites. In order to oversee the succession management process and ensure continued improvement and ongoing quality across such a vast area, the VHA instituted a National Leadership Board. The Board provides a national meter for performance, and the VHA's approach includes conducting regional assessments that roll up and report to the National Leadership Board. The Board provides overall advice and continuity, but the implementation and evaluation of the succession management process is regional.

The foundational principles of the succession management process are to recognize leadership development as an investment and to emphasize that employees are equally responsible for their ongoing growth and development. The leadership mission is to foster a learning organization.

At the regional level, the VHA forms ad hoc workgroups drawn from identified leadership (those individuals acknowledged by other leaders as continually demonstrating significant leadership characteristics and a philosophy that matches that of the leadership mission). The leadership workgroups design the Leadership Program (e.g., content elements, how people apply). Each design concept is then vetted up through various committees to the National Leadership Board, again to ensure national consistency while allowing for regional flavor and strategy, localized according to culture and need. A Deployment Committee then oversees the regional application of the Leadership Program.

In order to recommend improvements, the Coordinators who manage each of the 21 networks (or divisions) have regularly scheduled meetings each quarter to assess the success of the individual programs, and discuss what can be learned on a national, broad-based level. The questions are simple: "What can be improved?" and "What can we do differently?"

The regions then run a web-based Annual Planning Evaluation specifying issues, challenges, or problems—along with documented successes. Next, the Deployment Committee goes through each assessment and identifies plans that are weak, poorly described, or have recommended actions that have not been accomplished. The Deployment Committee is responsible for providing feedback and guidance for ongoing improvement. As a data-driven, scientific organization, the VHA includes a sophisticated set of clinical, business, and financial measures as part of the overall process.

Recommendations for improvement are fed back up the system to the National Leadership Board, again to ensure consistency in application and quality across the VHA. Regional programs are then further refined, continually building on lessons learned annually.

Appendix: Glossary of Terms Used in This Guide

Term	Definition
A	
Accountability System	A system that contributes to agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements.
Agency Strategic Human Capital Management Plan	A plan that sets forth how the agency's human capital management strategies will be aligned with the agency's mission, goals, and objectives through analysis, planning, investment, and management of human capital programs. Broadly stated, the plan describes what the agency will do to ensure its employees have the mission-critical competencies required to carry out the agency's strategic goals. This includes workforce planning and deployment, including succession management; recruiting and retaining talent; achieving performance goals; and addressing unique programmatic challenges.
Agency Strategic Plan	A formal description of how an agency will carry out its mission over a period of time. The strategic plan must include the agency's mission, its strategic goals, the strategies to be used to achieve the goals (including workforce adjustments, staff skills, and human resource programs), a description of the relationship between annual program performance goals and the agency's strategic framework, key factors that could affect achievement of strategic goals, and a description of program evaluations used in preparing the strategic plan. GPRA requires agencies to develop and maintain strategic plans covering a 5-year period; the plan is updated every 3 years.
Alignment	The positioning of the human capital system's policies, practices, and strategies in relationship to the agency's strategic plan and performance plan, so what is done in the system is in direct support of the agency's mission, goals, and objectives.

Term	Definition
B	
Bench Strength	The readiness of the internal talent pool to fill key leadership positions. Agencies can measure bench strength by determining the numbers of leaders and potential leaders at various levels who have critical competencies and experience necessary for progression to higher leadership levels.
Benchmarking	An organization change process directed toward continuous improvement. A benchmark is a comparative standard for evaluating accomplishments against known exemplars of excellence. It is a targeted goal beyond current capabilities, but for which the organization is striving. It is a search for best practices among recognized leaders who sustain superior performance, and is focused on analyzing what the superior organization did to improve that could be applied in other places.
Business Case	A method for projecting and documenting the benefits to be gained as a result of investing resources in a given strategy. A business case typically provides a cost/benefit analysis, information on return on investment over time, etc. Business cases tell agencies about the likely consequences of certain actions.
C	
Candidate Development Program	A formal program for developing future executives that consists of a wide variety of development experiences (e.g., classroom training, rotational assignments, mentoring).
Change Management System	A formal plan for helping leaders within an agency facilitate change by monitoring and addressing problems in the transition process. The plan should identify what needs to be done to keep the change and transition on track and measure progress against change milestones.
Chief Human Capital Officers Act of 2002 (CHCO Act)—Title XIII of Public Law 107-296	This act establishes Chief Human Capital Officers (CHCOs) in agencies, the Chief Human Capital Officers Council led by the Director of OPM, strategic human capital management systems, the relationship of strategic human capital management to agency performance plans and reports, and human resources flexibilities. It clarifies management accountability for managing human resources.
Coaching	Observing an employee at work and providing feedback and facilitative problem-solving to enhance performance and correct deficiencies. Coaches use timely feedback to reinforce positive behavior or correct actions inconsistent with the agency's mission or vision. Coaching focuses on helping an employee develop the skills and knowledge required to perform effectively.
Communication Plan	A formal plan for communicating information about succession management initiatives (initially and on an ongoing basis), including information about who to keep informed, when information will be communicated, who will communicate information, and how information will be disseminated.

	Term	Definition
	Competency	An observable, measurable set of skills, knowledge, abilities, behaviors, and other characteristics an individual needs to successfully perform work roles or occupational functions. Competencies are typically required at different levels of proficiency depending on the specific work role or occupational function. Competencies can help ensure individual and team performance aligns with the organization's mission and strategic direction.
	Competency Gap	The difference between the projected or actual availability of mission-critical competencies and the projected or actual demand for such competencies. Identification of current or future gaps typically addresses the size, composition, and competency proficiency levels of the workforce.
	Critical Success Factors	The areas on which agencies and human capital practitioners should focus to achieve a system's standard and operate efficiently, effectively, and in compliance with merit system principles. Each of the five HCAAF systems is based on critical success factors that make up the overall system. For example, Succession Management is a critical success factor associated with the Leadership and Knowledge Management System.
D		
	Development Strategies	Development/learning strategies appropriate for leaders or rising leaders (e.g., planned job assignments, formal development, coaching and mentoring, assessment and feedback, action learning projects, communities of practice, shadowing).
F		
	Federal Workforce Flexibility Act of 2004 (Public Law 108-411)	Legislation enacting several reforms relating to Federal human capital management, Federal employee career development and benefits, and pay administration. In the act, changes to seven specific flexibilities are cited and the authorities related to them are broadened and increased.
G		
	Government Performance and Results Act of 1993 (GPRA) (Public Law 103-62)	The primary legislative framework through which agencies are required to set strategic goals, measure performance, and report on the degree to which goals are met.
H		
	Human Capital Assessment and Accountability Framework (HCAAF)	A framework establishing and defining five human capital systems that together provide a single, consistent definition of human capital management for the Federal Government. The HCAAF outlines an ongoing process of human capital management in every Federal agency that works across five systems: Strategic Alignment, Leadership and Knowledge Management, Results-Oriented Performance Culture, Talent Management, and Accountability.

	Term	Definition
	Human Capital Officer (HCO)	The OPM representative to a Federal agency expected to partner with the agency to advance and maintain a strategic, effective, efficient, and compliant human capital system to support the agency's mission accomplishment. The HCO is the ambassador to the agency in the transformation of human capital in the Federal Government.
K		
	Key Elements	A description of what you would expect to see in an effective critical success factor. Each critical success factor contains several key elements.
L		
	Leadership and Knowledge Management System	A system that ensures continuity of leadership by identifying and addressing potential gaps in effective leadership and implements and maintains programs that capture organizational knowledge and promote learning.
	Leadership Competency Model	A model that describes the sets of skills and abilities required for individuals to guide the workforce. In the Federal sector, OPM's Executive Core Qualifications (including Fundamental Competencies) is the accepted model. It reflects the qualifications necessary to succeed in the Government-wide Senior Executive Service and is also used by agencies in selecting managers and supervisors. A description of this competency model is located at http://www.opm.gov/ses/recruitment/ecq.asp.
M		
	Mentoring	A formal or informal relationship between senior and junior employees for the purpose of supporting learning and development. A mentor holds a higher position and is usually outside the employee's chain of supervision. Informal mentor relationships often develop in the workplace. When agencies establish formal mentoring programs, they assign mentors to protégés and provide formal orientation to them in their roles.
	Metrics	Measurements that provide a basis for comparison. Strategic human capital management requires a reliable and valid set of metrics that provides an accurate baseline against which individual agency progress can be assessed.
	Mission-Critical Occupations	Occupations agencies consider core to carrying out their missions. Such occupations usually reflect the primary mission of the organization without which mission-critical work cannot be completed.
R		
	Recruitment Strategies	Strategies by which an agency identifies and reaches out to high-potential candidates (e.g., internally and through community and academia outreach, national and local outreach) and by which the agency engages employees in development to help meet succession targets. OPM's HCAAF Resource Center describes effectiveness and compliance results for the recruitment critical success factor at http://www.opm.gov/hcaaf_resource_center/6-3.asp.

	Term	Definition
	Retention Strategies	Strategies that describe incentives an agency can offer to retain leadership talent (e.g., retention bonuses, alternative promotion pathways, quality of worklife programs).
S		
	Strategic Alignment System	A system led by senior management—typically the CHCO—promoting alignment of human capital management strategies with agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of human capital programs.
	Strategic Leadership Succession Management Model (SLSM Model)	A model developed by OPM to assist agencies in planning, designing, implementing, and evaluating succession management programs as part of implementing the HCAAF. The SLSM Model provides guidance for human capital practitioners and supervisors, managers, and senior leaders who play a leadership role in ensuring and addressing potential gaps in effective leadership.
	Succession Gap	The difference, at a particular point in time, between an agency's succession targets and the number of qualified leaders and aspiring leaders in the talent pool; if there is a sufficient number of qualified leaders and aspiring leaders to meet the targets, then there is no succession gap.
	Succession Management	A systematic approach for building a leadership pipeline/talent pool to ensure leadership continuity; developing potential successors in ways that best fit their strengths and the agency's needs; identifying the best candidates for categories of positions; and concentrating resources on the talent development process yielding a greater return on investment.
	Succession Management Plan	The document used to communicate initiatives, programs, and activities associated with the succession management strategy. The Plan is intended to obtain buy-in and support, articulate expectations, and ensure policies and practices are modified, when necessary, to support succession management efforts. The succession management plan must include the strategies to meet succession targets, an implementation plan, and an evaluation accountability plan. (See Job Aid: Elements of a Succession Management Plan, pp. 69-74.)
T		
	Talent Management System	A system that addresses competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, promote, and retain quality talent.
	Talent Pool	The diverse pool of high-potential leaders (internal and external) identified to meet numeric targets and competency targets. At a minimum, agencies should include supervisors, managers, and executives in the leadership talent pool, but agencies may also wish to include aspiring leaders or other groups.

Target	A description of the agency's current and projected workforce needs, at particular points in time, for key leadership populations and subgroups (e.g., by bureaus or departments, headquarters vs. field, critical vs. noncritical leadership positions, technical vs. line management) in terms of numbers of leadership positions, numbers of individuals to be developed, and desired competencies. In setting targets, an agency needs to determine its ideal ratio of candidates to open leadership positions—that is, the number of people the agency wants to have ready at particular points in time to step into a given leadership position.