INTRODUCTION

In September of 2017, the Secretary of State issued an audit report evaluating Oregon state government’s succession planning. The report highlights the many challenges our workforce will face in the coming years. According to the audit, “[t]he lack of a succession planning framework increases workforce risks, such as not developing or retaining knowledgeable and skilled employees to perform critical functions.”1

What will be your legacy at the state? If you or one of your team members moved on today, would projects reach a satisfactory close or remain incomplete? Succession planning ensures the work we do remains valuable by capturing and transitioning skills and knowledge. Succession planning is critical to the state so agencies can ensure business continuity to Oregonians now and in the future.

There are thousands of unique jobs at the state, each with a set of roles and responsibilities that must be fulfilled to ensure the safety, continuity of business, and general enjoyment of our beautiful state. Many positions require special skills and some are specific to the public sector. This means these skills may not be readily available which, in turn, may make the positions difficult to fill.

Developing a sustainable succession plan is a priority. This workbook is intended to provide general instructions to help assess, identify, develop and evaluate a succession planning process and help you map your career path. This workbook covers how to identify critical positions, assess you and your team’s needs, and determine both position and employee competencies. You are encouraged to work with your HR Business Partners and supervisors to answer specific questions related to position descriptions, critical position evaluations, position management, classifications, your development and any other issues that may come up.

Visit the DAS CHRO Succession Planning website at:
http://www.oregon.gov/das/HR/Pages/success-plan.aspx

1 See, Oregon Secretary of State Audit, Audit Highlights #2, September 2017 (https://sos.oregon.gov/audits/Documents/2017-21.pdf)
WHAT IS SUCCESSION PLANNING?

Succession planning is the strategy of assessing and forecasting workforce needs by identifying critical positions and developing competencies (knowledge, skills, and abilities) to meet those needs. It begins even before a vacancy exists through agency strategic planning and budget processes. It touches every aspect of a position’s lifecycle.

Succession planning connects important positions at risk of vacancy with capable position candidates through recruitment plans and employee development.

Through a careful assessment of your workforce, you will be able to do the following:

→ Assess positions critical to the functions of your team, division, or agency by identifying position competencies
→ Meet with employees to discuss goals and development necessary in both the short and long term for potential succession into critical positions
→ Assess gaps in your workforce
→ Identify individuals capable of assuming critical positions during a critical position’s vacancy
→ Align a succession plan for current and future business needs
→ Evaluate your succession plan and adjust competencies, employee goals, and recruitment strategies, if necessary
→ Develop recruitment plans targeting the competencies needed to best fill the position
→ Ensure incorporation of affirmative action, diversity and inclusion responsibilities in agency recruitment plans

Succession planning is the essential groundwork to maintain the day-to-day work and support for appropriate workforce strategies.
Connecting today's workforce with tomorrow's demands!

http://www.oregon.gov/das/HR/Pages/success-plan.aspx
THE FOUR STEPS TO A SUCCESSFUL SUCCESSION PLAN

Succession planning will vary slightly from agency to agency. Different resources, organizational designs and business focus all mean succession planning should be flexible and adaptable in order to accommodate varying needs and achieve business continuity. However, the agency can follow the four-step succession planning process to guide succession planning activities.

<table>
<thead>
<tr>
<th>STEP 1</th>
<th>ASSESS</th>
<th>Assess and communicate the agency’s or team’s mission and vision for the current and future workforce</th>
</tr>
</thead>
<tbody>
<tr>
<td>STEP 2</td>
<td>IDENTIFY</td>
<td>Identify critical and highly critical positions and competencies</td>
</tr>
<tr>
<td>STEP 3</td>
<td>DEVELOP</td>
<td>Create employee plans for competency development</td>
</tr>
<tr>
<td>STEP 4</td>
<td>EVALUATE</td>
<td>Adjust competencies, employee goals, and recruitment strategies, if necessary</td>
</tr>
</tbody>
</table>
SUCCESION PLANNING SUPPORTS WORKFORCE PLANNING

Strategic succession planning should not be done in isolation from the broader workforce planning process. Specifically, a detailed review to discover workforce gaps helps identify key positions and employees for development. It is also important to understand the difference between succession planning and workforce planning.

Workforce planning is a set of procedures an agency can implement to maintain the most efficient employee/management team possible. Workforce planning falls into two broad categories – operational and strategic.

Operational workforce planning involves streamlining day-to-day operations. Examples include:

→ Optimizing work schedules and employee hours
→ Identifying functional needs and hiring new employees to meet those needs
→ Identifying obsolete functions and reassigning work, as necessary
→ Ensuring managers are clearly communicating the vision and expectations

Strategic workforce planning deals with broad-based issues that evolve over months and years and can influence all areas of the agency. Examples include:

→ Establishing or developing a framework for anticipating vacancies (succession plan)
→ Looking ahead at what the future workforce needs
→ Anticipating budget impacts
→ Sharing knowledge with other parts of the agency and providing developmental opportunities for employees to cross train

Without a succession plan in place, workforce planning becomes a reactive process – hiring someone who is in the right place at the right time versus proactive process – hiring the right someone, at the right time, in the right place, in the right position. When both plans work together, you have established competencies for specific positions along with employee competencies and development plans to support the work being done both today and in the future.
STEP 1 – ASSESS: YOUR MISSION AND VISION

Grounding your succession plan in your agency’s mission positions the agency to better endure future challenges and take advantage of future opportunities. Once the mission is clear, make sure to communicate the direction, so everyone is able to follow. Please use the following questions to start the assessment process. For additional tools, please see the CHRO’s Succession Planning website.

→ What is your mission? And how and what do you/your team do to support it? (e.g., maintain the flow of transportation on major roadways for the safety, efficiency and sustainability of our customers.)

→ What functions or positions are at the core of how your team accomplishes its mission? (e.g., collects, researches, analyzes and converts new and unique tabular and spatial water resource information; Water Resource Data Technician 2)

→ What fundamental competencies are necessary to fulfill your team’s mission? What competencies do you need to develop to help with the mission? (e.g., accuracy, efficiency, planning and organization, compliance, equipment operation and safety - competencies can be found on the CHRO’s Succession Planning website and in Workday)

→ How does succession planning (the strategy of maintaining these competencies and positions) fit into your team’s mission and goals? Does your development align with the mission and goals? (e.g., the team has required training and a mentorship/peer ship-based approach to ensure team members discuss and share knowledge, experience and workload transition.)
ASSESS: AGENCY’S FUTURE WORKFORCE

Instructions: Think broadly about the agency’s future needs and challenges. The constant evolution of technology and innovation will change the way we conduct future business. A competent new hire for a critical position today may not fit the position in ten years, five years, or even one year.

Effective succession planning anticipates changes and ensures a ready bench of capable candidates for every critical position. Please use the following questions to start the assessment process. For additional tools, please see the CHRO’s Succession Planning website.

→ What potential challenges will the agency face in the next five years? In the next ten years? Do you have the ability to not only move forward, but upward along with those challenges? (e.g., implementation of new programs for Oregonians that requires specialized knowledge not currently utilized.)

→ What potential challenges will you, your team, division or agency face?

→ What competencies, skills or resources will you, your team, division or agency need to effectively deal with these challenges?

→ As of today, to what extent are these competencies available within your team? What about within the agency as a whole? What knowledge can you share?

→ Do you have any gaps in future need and current availability within your current skill set? How would you prioritize resolving these gaps in competencies, skills and/or resources?

---

2 The State of Alaska, Division of Personnel originally developed the concept of “defining the future” as an initial step in workforce planning. The questions included in the workforce planning report inspired these questions.
ASSESS: THE BASICS OF POSITION MANAGEMENT

Position management is the process of determining the number of positions needed, the skill and knowledge required and the organizational grouping to fulfill the agency’s mission.

The legislature, through the budget process, authorizes how many positions an agency has at any given time (not including temporary employees). Each time the legislature approves funding for positions, it approves the funding, not the position classifications. It is up to the agency to ensure the proper positions are allocated within the approved funding. Both managers and human resources professionals should always consult with the assigned budget analyst during the project management process.

Read the scenarios below and see if any sound familiar. Read on to see suggestions on how to better manage positions and ensure the business needs are met.

Scenario 1

The legislative session is over and a bill passed to establish a new program in your agency. The new program best fits in your division. The legislature approved enough funding for six new positions to staff the program. What do you need to do?

From the manager:

- What is the purpose of the program?
- What is the length of the program (permanent or limited)?
- What is the funding source?
- What is the organizational structure of the workforce needed to complete the program’s work?
- What are the primary goals and objectives each position needs to accomplish?
- How and by whom are the program’s decisions made?
- Consulted with budget analyst?

From HR:

- What are the duties to be performed by each position? Already received or need review?
- Which classifications are appropriate?
- Position numbers assigned?
- Have all policies, rules, laws, collective bargaining agreements been reviewed to ensure compliance?
- How soon do the positions need to be delivering service(s)?
- Location? Onboarding needs? Time to fill? Need internal knowledge/external competency and skills?
- Consulted with budget analyst?

Outcome: By working together, the manager and HR determine the appropriate classifications within the budget allotted and came up with a hiring plan to staff the program.
Scenario 2
You identified a “critical” management position that will soon be vacant due to an employee transferring to a different agency. The employee provided two months’ notice. You would like to hire the employee’s replacement while the employee is still here to ensure a proper knowledge transfer takes place. Is it ok to have the position filled by two employees?

From the manager:
- Is there a written resignation notice?
- Is the agency’s approval process for a double fill complete?
- Is there a plan with the outgoing employee’s knowledge transfer process?
- Is a meeting scheduled with the outgoing employee about the job duties to ensure proper classification?
- Is the onboarding plan for the incoming employee drafted?
- Has a recruitment plan been discussed?
- Is the budget sufficient?
- Consulted with budget analyst?

From HR:
- Has the agency appointing authority approved the double fill?
- What is the plan for the recruitment of a critical position?
- Has there been a meeting with the hiring manager/appointing authority to discuss double fill and recruitment?
- Is the documentation ready for the outgoing employee (personnel actions, exit checklist)?
- Are the entrance and exit surveys ready to be sent out once the new employee is hired and the outgoing employee leaves?
- Is the position classified correctly?
- Have all policies, rules, laws, collective bargaining agreements been reviewed to ensure compliance?
- Consulted with budget analyst?

Outcome: By working together and having a plan to resolve the double fill, the appropriate steps were followed to successfully transition the two employees. The agency leveraged appropriate resources and assets to ensure continuity of business within the relevant policies and business practices.
Scenario 3
You have a vacant Info Systems Specialist (ISS) 8 position you don’t need to immediately fill, but you have a pressing need for an additional ISS4. Is it ok to substitute one for the other?

From the manager:
- What is the funding source for the position?
- What are the primary goals and objectives for the ISS4 position?
- Is the need for the ISS4 ongoing, temporary or limited duration?
- What was the original purpose for the ISS8?
- Do you anticipate a need for the ISS8 position in the future? If so, when?
- Consulted with budget analyst?

From HR:
- What are the duties to be performed by the ISS4?
- Why is the ISS8 not needed at this time?
- Is the ISS4 classification appropriate?
- Permanent? LD? Represented? Overtime eligible?
- Can this body of work be completed by a temporary employee or absorbed in the current workforce?
- Is the position need defined?
- Have all policies, rules, laws, collective bargaining agreements been reviewed to ensure compliance?
- Is the ISS4 need ongoing? Will it be part of a permanent finance plan (PFP)?
- Consulted with budget analyst?

Outcome: The agency restructured the PFP to include an ISS4 position to fund the additional work.
Scenario 4
You have Office Specialist (OS) 2, Operations and Policy Analyst (OPA) 1 and Fiscal Analyst (FA) 2 positions your program has held vacant for budget savings. You realize the positions being vacant has not impacted the work and what you really need is an FA3 as a lead worker over an ongoing critical project. What are your options?

From the manager:
- What is the funding source for the three vacant positions?
- Is it possible to add duties to an existing position and reclass it up to the FA3 level?
- What does the agency’s strategic plan have listed for the vacant positions? Is there a future need for any of them?
- Is it prudent to abolish the three positions and establish the FA3 position?
- Where has the work for the vacant positions been redistributed?
- Could this be a developmental opportunity for a current employee to work out of class as opposed to establishing a new position?
- Is the FA3 a permanent or limited duration position?
- Will it be part of a PFP?
- Consulted with budget analyst?

From HR:
- What are the duties to be performed by the FA3?
- Is leadwork appropriate for the FA3?
- What classifications/positions will be included in the lead work duties?
- Is there a current lead worker assigned any of those duties?
- Are the duties clearly defined and justified at the FA3 level?
- Why are the other positions not needed at this time?
- Can this body of work be completed by a temporary employee or absorbed in the current workforce?
- What has changed in the work group that justifies this level?
- Have all policies, rules, laws, collective bargaining agreements been reviewed to ensure compliance?
- Does this impact the agency’s plan for span of control?
- What are the training resources?
- Consulted with budget analyst?

Outcome: By abolishing the three positions and establishing the FA3 position, the agency sees a reduction in costs and increased service levels, plus can use some of the savings for support, training or to meet other needs.
**Scenario 5**
You will have a vacant position, which was determined “critical” during the succession planning review. The incumbent has been in the position for 18 years. What should the agency do prior to posting the recruitment?

**From the manager:**
- Can the work be redistributed to others? If so, make sure this doesn’t create a classification change or if it does, appropriate work-out-of-class is paid.
- Review the position’s duties closely to determine any changes to the position description or classification prior to recruiting. Do any duties need to be changed, updated or removed?
- Does the position description adequately and accurately describe the duties?
- Have there been meetings with the incumbent leading up to the employee’s departure to ensure a knowledge transfer will be complete prior to the employee leaving?
- Has a workload assessment on the team been done to determine how long the position can remain vacant prior to impacting the work?
- Have the competencies been determined?
- Consulted with budget analyst?

**From HR:**
- What is the plan for the recruitment of a critical position?
- Has there been a meeting with the hiring manager/appointing authority to discuss the recruitment?
- Is the documentation ready for the outgoing employee (personnel actions, exit checklist)?
- Is the exit survey ready to be sent out once the outgoing employee leaves?
- Is the position classified correctly?
- Has there been a workforce analysis done prior to posting the recruitment?
- Have the necessary competencies been reviewed to determine proficiency levels?
- Is the necessary information available for the pay equity analysis?
- Have all policies, rules, laws, collective bargaining agreements been reviewed to ensure compliance?
- Consulted with budget analyst?

**Outcome:** By working together, the position will be appropriately classified with the correct level of work assigned. Sitting down with the hiring manager to discuss the position prior to posting the recruitment helps HR be a strategic partner and target the appropriate applicant pool for a successful recruitment.
**STEP 2 – IDENTIFY: CRITICAL POSITIONS AND COMPETENCIES**

Identifying critical positions and competencies is crucial to an effective succession plan. It provides the agency with a full-scale look at how it conducts business, identifies workplace gaps and allows managers to understand the risks of vacancies in certain areas.

A critical position, if vacant, creates a significant impact within the team, public or agency. The vacancy would impact things like safety, fiscal responsibility, project implementation, responding to customer demands, equipment maintenance, etc. A review of all positions to determine vacancy impact allows the agency to be better prepared when vacancies, both anticipated and unanticipated, occur.

When doing the critical position analysis, make sure you focus on the duties and competencies of the position, not the person filling the position. If you are clear on the position’s purpose, the competencies come naturally. To help agencies determine a position’s critical measure, the chart below and tools on the CHRO’s Succession Planning website will help narrow in and focus on the specifics.

<table>
<thead>
<tr>
<th>NOT A CRITICAL POSITION</th>
<th>CRITICAL POSITION</th>
<th>HIGHLY CRITICAL POSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Vacancy would cause limited impact</td>
<td>• Vacancy would cause an impact</td>
<td></td>
</tr>
<tr>
<td>• Limited specialized knowledge or skills required</td>
<td>• Some specialized knowledge or skills required</td>
<td></td>
</tr>
<tr>
<td>• Strong recruitment potential</td>
<td>• Challenging recruitment</td>
<td></td>
</tr>
<tr>
<td>• Competitive compensation package</td>
<td>• Moderately competitive compensation package</td>
<td></td>
</tr>
<tr>
<td>• Limited direct promotional opportunities</td>
<td>• Skill set in demand</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Promotional opportunities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Anticipate vacancy within the next 1 to 5 years</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Vacancy would cause a significant impact</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Specialized knowledge or skills required</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Very challenging recruitment</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• No competitive compensation package/compression issues</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Skill set in high demand</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Promotional opportunities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Anticipate vacancy within the next year</td>
<td></td>
</tr>
</tbody>
</table>
**Competencies** sometimes go beyond the minimum qualifications (a set of knowledge, skills and abilities expected to fill the position) or position description. Competencies are skills necessary to successfully complete the duties of a position. There are two types of competencies: non-technical and technical.

- Technical competencies are practical skills or licenses necessary to fulfill the required job duties, such as a commercial driver’s license or typing a certain number of words per minute.
- Non-technical competencies are fundamental professional and leadership skills.

While you may have a good idea about the position’s competencies, you should also talk with the incumbent to consider the incumbent’s observations. Those observations may identify other competencies not currently reflected in the job description. If other competencies are identified, make sure to check in with other employees in the same position, if possible, doing the same body of work to ensure consistency in competencies. If obvious differences arise, you are encouraged to talk with your assigned HR Business Partner to ensure the position’s proper classification.

Please see the tools and resources on the CHRO’s Succession Planning website to help get a better understanding of how to determine both technical and non-technical competencies.
IDENTIFY ACTIVITY: CRITICAL POSITIONS SCENARIO

Agency ABC is preparing to implement a new document management system in three months. All the major decisions are made and budget is approved. The agency hired three limited duration positions to work exclusively on the project. The agency is located in Salem and, for the most part, pays competitively to the Salem market.

Using Score Sheet (page 18 in workbook), Critical Position chart (page 14 in workbook) and the Competency worksheet (pages 19-21 in workbook), carefully review each position and identify the following:

- current level of position criticalness;
- two non-technical competencies; and
- one technical competency

When determining if a position is highly critical, critical or not critical, think about the current workload and understand the agency evaluates this on an annual basis. A highly critical position today may not be at the next evaluation.

NOTE: There are normally a limited number of highly critical positions.

<table>
<thead>
<tr>
<th>Classification</th>
<th>Job Title</th>
<th>Main Duties</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Executive Manager (PEM) E</td>
<td>CIO</td>
<td>Overseeing the procurement, management, development, operations and continual improvement of all informational technology for the agency; Carry out agency IT vision and goals; Identify budgetary needs and prepare budget requests; Manage and direct IT staff; Communicate IT direction to leadership and staff.</td>
</tr>
<tr>
<td>Info Systems Specialist (ISS) 8</td>
<td>System Architect</td>
<td>Contributes to the data systems architecture, design and development; Produces software design specifications for development and maintenance of new and existing mission critical systems.</td>
</tr>
<tr>
<td>Info Systems Specialist (ISS) 7</td>
<td>Programmer/Analyst</td>
<td>Writes and maintains programs; Designs and implements changes to complex application software; Maintain system software licensing; Updates software as required; Performs analysis for updates to existing software; Troubleshoots software; Facilitates meetings with stakeholders, users and customers.</td>
</tr>
<tr>
<td>Role/Position</td>
<td>Title/Description</td>
<td>Responsibilities</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Info Systems Specialist (ISS) 7 (limited duration)</td>
<td>Sr System Administrator</td>
<td>Lead implementation of new document management system; Process map and stage gate process with CIO, agency leadership and Legislators; Help provide network administration and development for the agency.</td>
</tr>
<tr>
<td>Info Systems Specialist (ISS) 5</td>
<td>Helpdesk Tech (LW)</td>
<td>Assists in complex technical user issues; Organizes deployment of updated technology; Lead worker over ISS4 classification; Prepares reports and statistical data on key performance measures for Helpdesk response and customer service satisfaction.</td>
</tr>
<tr>
<td>Info Systems Specialist (ISS) 4 (2 positions)</td>
<td>Helpdesk Tech/Network</td>
<td>Points of contact to report user issues and document work in ticketing system; Support other areas in IT; Logging and tracking all customer contacts; Manage day to day service delivery problems.</td>
</tr>
<tr>
<td>Info Systems Specialist (ISS) 4 (1 position)</td>
<td>Field Tech</td>
<td>In-person customer service to problem solve user issues; Support other areas in IT; Install, move, track, update, lifecycle staff technology.</td>
</tr>
<tr>
<td>Sr. Project Manager (limited duration)</td>
<td>Sr. Project Manager</td>
<td>Manage project implementation of new document management system; Liaison between vendor and IT staff to ensure proper communication.</td>
</tr>
<tr>
<td>Training &amp; Development Specialist (TDS) 2 (limited duration)</td>
<td>Trainer/Developer</td>
<td>Develop and deliver key user training for implementation expectations and daily use of new document management system utilizing effective adult learning techniques.</td>
</tr>
<tr>
<td>Executive Support Specialist (ESS) 1</td>
<td>Executive Assistant</td>
<td>Provide administrative support to CIO; Manage day-to-day workflow from the IT group; Reconcile monthly budget reports; Answer phones; Customer service; Travel arrangements.</td>
</tr>
</tbody>
</table>
**IDENTIFY ACTIVITY (continued): SCORE SHEET TO ID CRITICAL POSITIONS**

Please circle the number that indicates the extent to which you agree with the following statements.  

<table>
<thead>
<tr>
<th>Statement</th>
<th>Strongly Disagree</th>
<th>Disagree</th>
<th>Somewhat Disagree</th>
<th>Somewhat Agree</th>
<th>Agree</th>
<th>Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. If this position were left vacant, it would cause serious difficulties in delivering on the agency’s commitments and priorities.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>2. If this position were left vacant, it would cause serious difficulties in achieving operational and strategic goals at the department level.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>3. If this position were left vacant, it would cause serious difficulties in meeting legislative, compliance or regulatory requirements.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>4. If this position were left vacant, it would be detrimental to health, safety or security.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>5. There is a significant likelihood that the incumbent will leave this position in the next three years.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>6. The skills and competencies required to perform the duties of this position are highly sought after in the labor market.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>7. This position has a high turnover rate.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>8. This position would be difficult to fill because it requires specialized skills and experience not readily available in today’s job market.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>9. This position is difficult to fill because of the position’s location.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>10. This position would be difficult to fill because the compensation is not competitive in today’s labor market.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>11. This position requires a high degree of and has an immediate need for, specialized/agency knowledge to ensure continuity of service.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>12. There is no immediate internal bench strength for this position if vacant.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>13. There is no other similar position in the agency.</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>

**Criticality Score**  

<table>
<thead>
<tr>
<th>Score Range</th>
<th>Description</th>
<th>0-10</th>
<th>11-20</th>
<th>21-30</th>
<th>31-40</th>
<th>41-50</th>
<th>51-65</th>
</tr>
</thead>
</table>

*This tool is modeled after the Government of New Brunswick’s tool entitled, "Tool for Identifying Critical Positions and Risk Assessment" at www.gnb.ca.*
**IDENTIFY ACTIVITY (continued): ID CRITICAL LEVEL AND COMPETENCIES**

**Instructions:** Using the IT Division staff scenario, identify the level (highly critical, critical, and not critical) for each position. Also, list two non-technical competencies and one technical competency from the list on the following pages. Really think about the most important competencies necessary to efficiently and effectively complete the job duties and tasks.

<table>
<thead>
<tr>
<th>Position Level</th>
<th>Non-Technical Competency</th>
<th>Technical Competency</th>
</tr>
</thead>
<tbody>
<tr>
<td>CIO</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Principal Executive Manager (PEM)</td>
<td></td>
<td>1.</td>
</tr>
<tr>
<td>Level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>System Architect</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Info Systems Specialist (ISS)</td>
<td>8</td>
<td>1.</td>
</tr>
<tr>
<td>Level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Programmer/Analyst</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Info Systems Specialist (ISS)</td>
<td>7</td>
<td>1.</td>
</tr>
<tr>
<td>Level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sr. System Admin</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Info Systems Specialist (ISS)</td>
<td>7 (LD)</td>
<td>1.</td>
</tr>
<tr>
<td>Level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Helpdesk Tech</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Info Systems Specialist (ISS)</td>
<td>5 (LW)</td>
<td>1.</td>
</tr>
<tr>
<td>Level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Helpdesk Tech/Network</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Info Systems Specialist (ISS)</td>
<td>4 (2 positions)</td>
<td>1.</td>
</tr>
<tr>
<td>Level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Field Technician</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Info Systems Specialist (ISS)</td>
<td>4 (1 position)</td>
<td>1.</td>
</tr>
<tr>
<td>Level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sr Project Manager</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(limited duration)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Level:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Position Level</td>
<td>Non-Technical Competency</td>
<td>Technical Competency</td>
</tr>
<tr>
<td>---------------------------------------------------------</td>
<td>--------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Trainer/Developer Training &amp; Development Specialist (TDS) 2 (limited duration)</td>
<td>1.</td>
<td>1.</td>
</tr>
<tr>
<td></td>
<td>2.</td>
<td></td>
</tr>
<tr>
<td>Executive Asst Executive Support Specialist (ESS) 1</td>
<td>1.</td>
<td>1.</td>
</tr>
<tr>
<td></td>
<td>2.</td>
<td></td>
</tr>
</tbody>
</table>

**NON-TECHNICAL COMPETENCIES:**

- Accountability*
- Accuracy
- Attention to detail
- Business acumen*
- Change management
- Coaching
- Communication*
- Conflict mediation
- Creativity
- Critical thinking
- Customer focus
- Decision making
- Diversity
- Drive for results
- Efficiency
- Emotional intelligence
- Empathy
- Entrepreneurial
- Equity*
- Evaluating others
- Excellence*
- Facilitation
- Flexibility
- Future oriented
- Goal directed
- Handle stress
- Initiative
- Innovation*
- Integrity*
- Intentional engagement*
- Interpersonal skills
- Leadership
- Mentoring & developing*
- Objectivity
- Planning and organization
- Proactive
- Problem solving
- Professionalism
- Project management
- Quality oriented
- Reliability
- Respect for others
- Responsiveness
- Safety
- Self-management
- Setting objectives
- Social responsibility
- Stewardship*
- Strategic thinking
- Sustainability
- Teamwork
- Time management
- Versatility

*Statewide competency
TECHNICAL COMPETENCIES:

→ Accounting
→ Business intelligence
→ Computer literacy
→ Compliance
→ Data collection and analysis
→ Education
→ Eligibility determination
→ Engineering
→ Equipment operation
→ Facilities management

→ Financial management
→ Health oriented
→ Human resources management
→ Information security
→ Landscape maintenance
→ Legal knowledge
→ Mathematical
→ Mechanical knowledge
→ Medical knowledge
→ Natural resources knowledge

→ Office operations
→ Performance management
→ Programming
→ Quality management
→ Record keeping
→ Research
→ Risk management
→ Training and development

Connecting today’s workforce with tomorrow’s demands!
http://www.oregon.gov/das/HR/Pages/success-plan.aspx
STEP 3 – DEVELOP: IDENTIFYING AND ASSESSING POTENTIAL CANDIDATES

The key purpose of identifying and assessing core job competencies is to help develop the workforce for future roles.

This step of the succession planning process helps interested candidates develop the requisite skills prior to a vacancy so our workforce has the skills and abilities to help maintain the body of work during the recruitment process. Agencies are strongly encouraged to consult with their respective HR Business Partners to ensure the steps used for identifying potential candidates support decisions based on merit, equity and respect. **Understand this process is about preparation not pre-selection.**

Some critical questions that may help prepare for this step include:
- Have there been one-on-one discussions with employees regarding their career goals and interests?
- Do you communicate developmental opportunities to all employees?
- Do employees understand the purpose and process of succession planning? Specifically, do they understand they are not guaranteed a promotion as a result of this process?
- Are employees who were not considered for a current opportunity encouraged to ask for developmental opportunities for future consideration?
- Are an appropriate number of candidates being developed for critical positions?
- How will the candidate pool demonstrate the agency’s plan for employment equity and diversity?

Some key points to remember as you work on learning and development plans are:
- Plans should focus on decreasing or removing the gap between expected competencies and the current knowledge, skills and abilities of candidates.
- Manage expectations – successful succession and workforce plans are based on learning and development rather than merely filling a vacancy. Remember, be proactive, not reactive.
- There are a wide range of learning and development opportunities to consider, which can include:
  - Job assignments that develop and/or improve a candidate’s competencies;
  - Job rotations; and
  - Formal training.

Ensure appropriate strategies are in place to support the transfer of knowledge to candidates for key jobs, which can include:
- Mentoring, coaching or job-shadowing;
- Documenting critical knowledge;
- Maintaining an Employee Desk Manual for key positions;
- Exit interviews/surveys; and
- Establishing communities of practice.
DEVELOP: 10 TIPS FOR EFFECTIVE ONE-ON-ONE MEETINGS*

1. One-on-ones are the perfect opportunity to talk about an employee’s career aspirations and provide positive and supportive feedback about an employee’s development.

2. Make sure to ask for the employee’s feedback about the agency and suggestions and recommendations on how things could improve.

3. If you or the employee is new, this is the time to start the employee engagement process – ask how recognition is received and how the employee likes to be recognized for a job well done, how the team celebrates success and manages missed opportunities.

4. This is the time to communicate agency vision and personalize the employee’s role in that vision.

5. Talk about future trainings and developmental opportunities that may be of interest to the employee. This helps you identify budget needs for the training and development needs of your staff.

6. Be thoughtful and respectful about the location of the meeting. Limit distractions and interruptions. This may be the only time the employee has the opportunity to share things not otherwise shared in a staff meeting, cubicle or impromptu setting.

7. For some it may be helpful to email the employee a couple of days before to ask about specific topics or information the employee would like to discuss. This allows you to prepare, resolve or approve issues on the spot (i.e., cost of training, job rotation or WOC opportunities, etc.).

8. Gauge how much time is needed for the meeting. Normally 30 minutes is sufficient, but sometimes there is more information to share, so make sure to allow for additional time so you and the employee do not feel rushed.

9. Performance management meetings are separate from one-on-ones and should be scheduled separately.

10. Take notes for your supervisory file and have those ready for each one-on-one to make sure you and the employee have had a chance to complete any tasks from prior meetings (i.e., set up informational interviews, provide approvals for trainings, costs for software, etc.).

* Inspired by information from Talent Map [https://www.talentmap.com/one-on-one-meetings-with-employees/]
DEVELOP: EMPLOYEE PROFILE

(Employee to complete for developmental purposes only – return to manager after completion)

<table>
<thead>
<tr>
<th>Name:</th>
<th>OR #:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Title:</td>
<td>Date:</td>
</tr>
<tr>
<td>Supervisor:</td>
<td></td>
</tr>
</tbody>
</table>

**Agency/State Work Experience**

<table>
<thead>
<tr>
<th>AGENCY/POSITION</th>
<th>DUTIES</th>
<th>FROM DATE</th>
<th>END DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Previous Employment and Transferable Skills**

<table>
<thead>
<tr>
<th>COMPANY/POSITION</th>
<th>DUTIES</th>
<th>FROM DATE</th>
<th>END DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Overall Summary** (Describe any major accomplishments or challenges)

__________________________________________

__________________________________________

__________________________________________

**Key Strengths** (List 2-3 of your key technical or professional competencies, skills or knowledge)

__________________________________________

__________________________________________

__________________________________________

**Development Needs** (List 2-3 key experiences you need or skills and experience you would like to develop in order to move to the next level)

__________________________________________

__________________________________________
DEVELOP: EMPLOYEE PROFILE (continued)

Functional/Technical Expertise (i.e. customer service, labor management, etc.)

__________________________________________________________________________

__________________________________________________________________________

Courses/Workshops/Seminars (i.e. Ascent, Project Management)

__________________________________________________________________________

__________________________________________________________________________

Formal Education – Degree(s)/License(s)/Certification(s)

__________________________________________________________________________

__________________________________________________________________________

Community Involvement/Volunteer Work

__________________________________________________________________________

__________________________________________________________________________

Languages Spoken other than English

__________________________________________________________________________

Career Interests (i.e. future roles, projects or areas of interest)

__________________________________________________________________________

__________________________________________________________________________

Geographic Mobility
Are you willing to relocate outside your current area? Yes ☐ No ☐
Specify city or region:

__________________________________________________________________________

Comments:

__________________________________________________________________________

__________________________________________________________________________

Is there anything else we should know?

__________________________________________________________________________

__________________________________________________________________________
### DEVELOP: INDIVIDUAL DEVELOPMENT PLAN

<table>
<thead>
<tr>
<th>Name:</th>
<th>OR #:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Title:</td>
<td>Date:</td>
</tr>
<tr>
<td>Supervisor:</td>
<td></td>
</tr>
</tbody>
</table>

**Goals should be SMART:**
- **S** – Specific, Significant
- **M** – Measurable, Meaningful
- **A** – Attainable, Achievable
- **R** – Realistic, Reasonable
- **T** – Trackable, Timely

<table>
<thead>
<tr>
<th>Goals (Manager and Employee identify and discuss)</th>
<th>Agreement Initials</th>
<th>Date Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal Description</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity to Achieve Goal</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Timeline</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mgr</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EE</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Goal 1                                           |                   |               |
| Goal 2                                           |                   |               |
| Goal 3                                           |                   |               |

<table>
<thead>
<tr>
<th>Training and Development Plan (Manager and Employee identify and discuss)</th>
<th>Agreement Initials</th>
<th>Date Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competencies to be developed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Suggested Training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Timeline</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mgr</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EE</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Goal 1                                           |                   |                |
| Goal 2                                           |                   |                |
| Goal 3                                           |                   |                |

### Connecting today’s workforce with tomorrow’s demands!

http://www.oregon.gov/das/HR/Pages/success-plan.aspx
**DEVELOP: EMPLOYEE ENGAGEMENT**

Please review the following questions and provide your honest feedback. Your answers will help your agency make sure employees feel valued and motivated and ensure employee development is on track to meet career goals within your agency.

1. How long have you been with your agency?
   - □ 0-5 years
   - □ 5-10 years
   - □ 10-15 years
   - □ 15-20 years
   - □ 20+

2. What aspect(s) of your job make(s) you the most happy?

3. What aspect(s) of your job make(s) you the least happy?

4. What may make you leave the agency to pursue a position in another agency or organization?

5. How do you like to receive recognition (e.g., email, thank you card, one-on-one, group setting, etc.)?

6. Does the agency provide you with enough recognition for your hard work (please elaborate)?

7. What could the agency do to help you to reach the next goal in your career development?

8. Have you discussed this with your supervisor?

9. If you have discussed your career development goals with your supervisor, what has been done to help you meet that goal?

10. If you could make one change to either the agency or your position, what would it be?

11. Anything you would like to add?
**DEVELOP: KNOWLEDGE MAPPING QUESTIONS**

Our goal is to help you be successful in your current role and to support any efforts to develop the knowledge and skills necessary for any future roles you are working towards. When you move on to your next role, we want to ensure the hard work you did is captured for the next person to fill your position. The questions below will prompt you to think about several aspects of your job. Try not to include standard skills common to the job that others in a similar position would already possess.

1. What special knowledge or skills do you have that your office would miss when you leave?

2. If you had only one day to brief your replacement, what would you put on your list of things to share?

3. Looking back, what things do you wish the person you replaced taught you early in your job?

4. What are the key resources (procedures, manuals, checklists, etc.) you use to do your job?

5. What pieces of knowledge are you most worried about slipping through the cracks when you leave?

6. Are there some important types of knowledge that take a long time for someone else to learn but are critical to your job? What are they?

7. How did you learn the things you know? What resources, training or work assignments, etc., helped teach you?

8. What is unique about your background compared to the typical employee in a position like yours that has helped you be successful?

9. Who do you contact for assistance most frequently in order to do your job?

10. What are the most frequent issues or questions people bring to you? Which consume the most time?

*Adapted from Tennessee Valley Authority’s Knowledge Retention Program, Iowa Department of Administrative Services Human Resource Enterprise Knowledge Retention Program and Delaware’s Knowledge Mapping Questions*
STEP 4 – EVALUATE

Evaluate your succession planning progress using strategic performance measures. Identify limitations to meeting your workforce needs. Ensure you are prepared for a successful recruitment and transition when a critical position vacancy occurs.

Evaluating succession planning efforts will help to ensure the effectiveness of the process by providing information regarding:

1. How the process operates – the relationship between inputs, activities, outputs and outcomes.
2. Impact of the process relative to stated goals and objectives.
3. Functional strengths and weaknesses.
4. Potential gaps in planning and assumptions.

Planning to collect and assess these types of information will ensure the agency monitors its succession planning activities, appropriately measures success, and adjusts the process accordingly given sufficient evidence. Some evaluative questions to consider might include:

- Has the succession plan improved business continuity in critical positions?
- Are successful candidates performing well in their new roles?
- What is the impact of learning and development efforts? Are employees ready to compete for a vacant critical position?
- Is the candidate pool diverse and reflective of employment equity values?
- What are the areas for improvement in the succession planning process?

Once a succession plan has been established, monitoring its efficiency and effectiveness will be essential. Thus, each succession plan should be developed within an evaluation framework in order to measure progress and success, as well as provide any evidence to support changes to the succession planning process.
Succession and workforce planning are the cornerstones to consistently fulfill the agency’s mission. Both provide managers with the ability to hone in on the specific competencies necessary to fill any position. It also provides an opportunity for managers to have meaningful conversations with employees on their goals, competencies and valuable work they provide every day.

Here are some do’s and don’ts on utilizing the succession and workforce planning information in an effort to maximize your efforts.

**DO:** take the opportunity in one-on-one discussions to talk about an employee’s goals -- both present and future -- and how you can help with their development. If those discussions lead to the employee’s retirement plans, that is the appropriate time to learn more.

**DO NOT:** go around asking employees when they plan to retire.

**DO:** ensure employees of all ages and years of service are considered in the succession plan.

**DO NOT:** presume an employee’s retirement plans based on age or years of service.

**DO:** treat all applicants and employees the same and fill positions with the best person for the position based on the established competencies and the applicant’s or employee’s skills and attributes.

**DO NOT:** pass over an employee for development or promotional opportunities based on an employee’s age or eligibility to retire.

**DO:** review the list to understand where the workforce competencies are to ensure the appropriate development opportunities or recruitment strategies align.

**DO NOT:** review the list of employees and compare or discuss status with other employees.

**DO:** ensure the competencies necessary for the position match the position description and classification so you find the best fit for the position.

**DO NOT:** plan your future workforce by assuming you are going to hire someone just like the person in the position.

**DO:** take every opportunity to open the lines of communication with your employees. This helps drive the work, purpose and common goals of the team.

**DO NOT:** make your decisions based solely on data.