<u>**Succession Planning: Considerations and Proposals**</u>

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<u>**Introduction:**</u>

The Operational Review as conducted by the Ministry of Education stressed the need for succession planning in all key positions. The following report outlines a plan to move forward on this key recommendation. It also addresses the need for exit interviews which is suggested in the Ministry report as well.

Succession planning is a process whereby an organization ensures that employees are <u>recruited</u> and or <u>developed internally</u> to fill each key role within the company. Through your succession planning process, you recruit superior employees, develop their knowledge, skills, and abilities, and prepare them for advancement or promotion into ever more challenging roles.

Through the succession planning process, you also retain superior employees because they appreciate the time, attention, and development that you are investing in them. To effectively do succession planning in your organization, you must identify the organization's strategic long term goals while looking to hire superior staff.

<u>**Background Information:**</u>

<u>Best Practice:</u> Research has found that well planned succession approaches possess several traits that characterise their succession management plans. First, their succession systems are constantly ongoing. They reflect a unified approach to ensure consistency and maintain objectivity.

The best systems are <u>developmentally oriented</u>, rather than simply replacement oriented. The system becomes a proactive vehicle for managers and senior staff to reflect on the progress of their talent and the opportunities they require for genuine development.

Best practice succession systems are also effective at <u>spotting gaps</u> in talent and identifying important lynchpin positions – the select set of jobs that are critical to the overall success of the organization. Succession planning does the job of monitoring the succession process, enabling the Board to ensure current staff are on the appropriate career path.

Development Activities: General:

- They use a variety of developmental activities including mentoring, coaching and job rotation.

- They try new approaches to development, including special assignments and action learning.(teachable moments)

- The most important developmental activity is job assignments or work experience. Staff need to spend considerable time balancing the organization's need to fill vacant positions with growth assignments for employees within their sector.

- Consideration needs to be given to financially supplementing formal education and training programs for key staff and future leaders

- Processes need to be in place to identify future leaders very early in their careers

Internal:

Most best practice organizations agree that the vast majority of the real learning employees encounter takes place on the job. Consequently, most of these companies have special assignments or action learning programs in place.

One of the most common and effective approaches is a taskforce assignment based on real and significant issues confronting the Board. Best practice organizations all participate in mentoring and coaching programs as well while encouraging staff to dialogue and meet with employees in other Boards to look at best practice and new models of operation and approach.

Internal Research:

Initially, the Human Resources Department needs to:

- Prepare a spreadsheet indicating potential retirements and resignations. (see sample in Appendix #2)

- Dialogue with senior staff and management staff to determine future needs for staff at all levels.

- Set specific goals for each area of responsibility.

- Develop a five year plan for succession and for individual internal staff to ensure that they are experienced and ready to take on new challenges and responsibilities.

- Dialogue with individual staff as to career planning and expectations for the future.

- Develop an external hiring recruitment plan.

- Develop a business case and budget for the plan to include such things as advertising and interview processes and the costs of courses, certifications and professional development.

Proposals:

Finalize a plan that includes specific objectives for each employee group within all departments. This plan would include such things as the following:

- Career path plans for individual internal staff

- An annually update data that reflects potential staff turn over whether it be through resignation, retirement, attrition or downsizing due to declining enrolment and the resulting consolidation of positions

- Tie in performance appraisals to growth plans for individual staff

- Produce retirement projections

- Budget forecasting – salary for departing and newly appointed staff

- Develop an annual recruitment plan

- Consider possible incentive plans for early retirements

- Deal with possible settlement agreements for staff that may be redundant or terminated

- Consider the use of exit surveys in order to influence future hiring and fine tune the jobs that are created by attrition, resignation and retirement. (See sample in Appendix #1)

Potential Pitfalls:

- Failure to communicate the program for succession – staff need to know the avenues for success

- Thinking inside the box – do not overlook employees who may seem too young, too old or who posses traits that are uncharacteristic of the incumbent – soft skills are often an area that is ignored.

- Ignoring the options – look at lateral and upward succession – current employees may be a better fit in a different role at the same level as their current position

- Passive employee identification – identification needs to be a joint exercise between the organization and the employees – relying solely on self identification may not produce the desired results

Appropriate planning and identification will ensure that your best employees do not fall between the cracks or leave the Board prematurely for professional reasons. Training and professional development will enhance employee loyalty and morale. Increasing employee loyalty and broadening their knowledge and qualifications will arm the Board with the necessary tools for success.

Policy Development:

The following is a sample draft policy that can be considered for implementation while driving all succession planning activities.

Succession Planning Policy:

Intent:

The S.C.D.S.B. has enacted this policy to ensure that effective and logical replacements for key job incumbents are available in the areas of: senior / executive staff, school administration, management, technical and professional positions. These can be recruited and developed within the organization. The major focus of this policy is groom current employees for future openings in key positions. This planning is a result of an integrated Human Resources system that utilizes forecasting, career planning and development , assessment and performance appraisal.

Keys to Success:

1. Identify critical positions within the Board

2. Predict future vacancies in such positions

3. Identify the employees who would be considered to fill these positions

4. Implement training and development plans for these individuals

5. Ensure that individual qualifications are in place when positions become available

Succession Planning Committee:

This committee will be chaired by the senior Human Resources staff member with management/superintendent members from all departments.

The committee will:

1. Provide leadership initiatives

2. Organize on-going meetings to identify potential openings , establish potential candidates and review all pertinent data

3. Organize the process for job competitions including application requirements, interview formats and selection criteria

4. Present an annual report to the Director of Education on the status of succession planning for the upcoming year and for the long term

Performance Reviews:

These are designed to keep employees on track with direction and goals that lead to their continuous improvement while providing potential career enhancement opportunities. They should identify strengths and areas for growth with appropriate strategies for success. The cycle and tracking of these appraisals will be standardized in all departments. They must be based on standards, goals and objectives in the department and support the Strategic Plan of the Board.

Data Tracking:

Tracking should annually update the following and project a minimum of three years forward:

- The number of key positions relying on succession planning

- Percentage of high potential employees to the total workforce

- Promotion tracking over the past five years

- Years of service for all key staff

- List of potential retirements, promotions, attrition

- Key positions listed with the potential heir apparent

- Key positions listed where there seems to be no heir apparent

- Plans for outside recruitment when no internal candidates are available

Training and Development:

In order to effectively groom candidates, they may be provided with any or all of the following:

- <u>Mentoring / Coaching</u>: Senior employees will be identified to provide mentoring and share their knowledge and experience and essential skills

- <u>Job Shadowing</u>: Candidates will work alongside top performers in the board and network with staff from other Boards

- <u>Cross Training</u>: Employees will be trained by current staff on the duties and required skills for other jobs within the Department/Board.

- <u>Formal Training</u>: When a candidate is selected for a position, there will be specific training and orientation for a period of time where the new and current employee have a minimum of 5 working days together on site.

Implementation:

The Succession Planning Committee will work together to ensure the following:

- Monitoring to ensure that data is properly tracked and developed

- Training/Mentoring programs have been developed

- Meetings are conducted on a regular basis -a minimum of three per year

- Development of potential candidates is closely monitored

- Assist the Director in the process of filling vacancies

Note: The draft policy above needs to be vetted with key stakeholders for further input and direction. In the meantime, many of the action items can be initiated to identify needs, trends and data on potential succession needs.

Catholicity:

The following is an excerpt from the <u>CPCO's Catholic Leadership Framework</u> documents and it provides important direction when considering individuals for key positions in the organization.

Indicators:

• The Board's leadership development model is faith based and encourages adult faith formation.
• The Board's leadership development model is based on a definition and a shared understanding of effective leadership that is consistent with evidence of best practice.
• The Catholic leadership development framework is consistent with evidence-based best practices, institutionalized, and communicated to all personnel.
• Catholic leadership development processes reflect contemporary understandings of leadership and learning.
• The Board's Catholic leadership plan is evaluated on an on-going basis.

Additional Information:

The Board will want to see the results of the project noted below as it may also shed some light on best practice when it comes to Succession Planning. CODE has been selected to lead the Institute for Education Leadership Research Project, "Succession Planning and Talent Development - Research to Practice, 2009" with Patti Haskell as the project lead.

The purpose of the project is:

>>to collect examples of exemplary resource materials for Succession Planning and Talent Development in use in Ontario's school systems and to synthesize and produce a comprehensive web-based resource to support school board succession planning activity.

>> to work in partnership with Curriculum Services Canada to produce a web version of the resources gathered as set out in the requirements of the project by the IEL. CODE will also like to appoint a work team representative of the educational leadership associations of the province and therefore OCSOA and ECCODE have been invited to participate in the project as part of this team.

>> evaluate the resources gathered and determine which should be published.

Document: Succession Planning for Ontario Schools and School Boards.

In addition to this project, the Institute for Educational Leadership has recently published a commissioned study on succession planning entitled, " <u>Succession Planning for Ontario Schools and School Boards</u>." While the focus in on replacing Principals and Vice-Principals in schools across Ontario, the key principles in doing so are nicely articulated in the document and they mirror many of the features expressed earlier in this document.

Exit Interview Survey – Sample:

Check which best describes your feelings about the following aspects of your employment:

Duties of the job	**Very Satisfied**	**Satisfied**	**Dissatisfied**

Training and Development Programs

Opportunities for advancement

Salary

Benefits

Working Conditions

Co-workers

Supervisor

Overall

Reasons for leaving: Comment on any of the following that may apply:

Better job opportunity, Commute, Family/Personal reasons, not challenged, pay, relationships, supervisor, other...

Additional Comments:

Appendix
#2

Sample Tracking
Form

NAME	BIRTH DATE	2009 AGE	2009 SERV	Aug-09 TOTAL	Aug-10 TOTAL	Aug-11 TOTAL	Aug-12 TOTAL	Aug-13 TOTAL	
John Doe	Aug-48	61	39	100	102	104	106	108	Aug-09
Mary Smith	Jul-47	62	36	98	100	102	104	106	Aug-09
etc.....	Sep-50	59	38	97	99	101	103	105	Aug-09
	Oct-49	60	34	94	96	98	100	102	Aug-09
	Oct-50	59	33	92	94	96	98	100	Aug-09
	May-53	56	34	90	92	94	96	98	Aug-09
	Aug-52	57	33	90	92	94	96	98	Aug-09
	Dec-53	56	33	89	91	93	95	97	Aug-09
	Jun-52	57	31	88	90	92	94	96	Aug-09
	Oct-53	56	32	88	90	92	94	96	Aug-09
	Sep-54	55	30	85	87	89	91	93	Aug-09
	Jun-55	54	30	84	86	88	90	92	Aug-09
	Dec-57	52	30	82	84	86	88	90	Aug-09
	Dec-56	53	29	82	84	86	88	90	Aug-09
	Jun-57	52	28	80	82	84	86	88	Aug-09
	Jan-59	51	28	79	81	83	85	87	Aug-09
	Dec-59	50	26	76	78	80	82	84	Aug-09
	Sep-59	50	24	74	76	78	80	82	Aug-09
	May-60	49	25	74	76	78	80	82	Aug-09
	Apr-61	48	25	73	75	77	79	81	Aug-09
	Sep-57	52	15	67	69	71	73	75	Aug-09
	Feb-64	45	20	65	67	69	71	73	Aug-09
	01-Oct-53	56	34	90	92	94	96	98	Aug-09

NOTE: Service recorded above taken from personnel files – it is conceivable the employee may have
additional service – board has no record if past service purchased i.e. leaves

NOTE: TEN (10) P/VPs are not included – will not reach age 50 during this 5-year projection

NOTE: ELEVEN (11) Principals/Vice-Principals (approx. 34% of the 32 P/VPs) have met or exceeded the 85 factor in 2009

The data sample above indicates age, years of service and retirement factors – in this case when PVP's hit their 85 / 90

factors over a 4 year period to 2012. The shaded area indicates when staff hit the minimum 85 factor for retirement and is based on their age and years of service. This type of data needs to be updated annually for all staff in all departments.