

GETTING THE MOST OUT OF
**SUCCESSION
PLANNING**



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CHAPTER 1: SUMMARY OF BEST PRACTICES FOR SUCCESSION PLANNING

INTRODUCTION

This summary provides insight into the best practices for succession planning and offers guidelines for you to consider in terms of your own succession planning process. Why is succession planning important? By making the proper investment in succession planning, your organization can strengthen its ability to build the next generation of leaders and gain a competitive advantage. Developing talent for the future is one of the most critical issues facing organizations. Despite growing awareness around the importance of succession planning, few organizations have taken the necessary steps. For example, according to an IPMA research study in 2004, roughly two-thirds of U.S. employers surveyed did not have a workforce planning process already in place. Unfortunately, there is no cookie-cutter solution to succession planning. It can't happen in one easy step. If this reality seems daunting to you, this document will be useful as a guide to help you navigate through the planning process. Accordingly, this summary draws upon published research and provides insight into how leading organizations have approached succession planning, as well as the specific practices that have made them a success. This document has simplified the best practices into a more manageable number of steps that can be applied to succession planning in any organization.

According to published research, by following these steps, you will benefit from having:

- A higher hit rate for selecting the right candidates
- Greater consistency across business units in terms of planning
- Better integration of succession management with strategic planning
- Stronger engagement and retention among high potentials

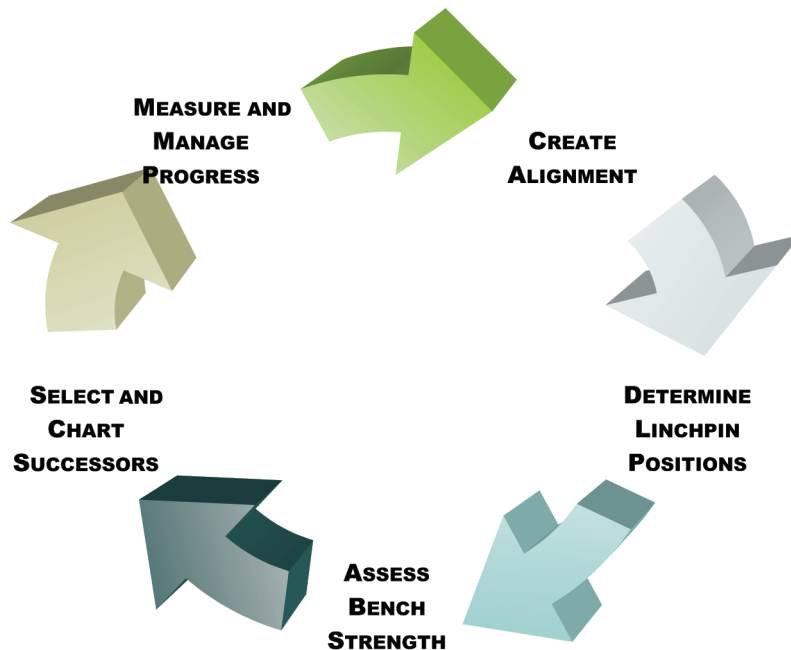
As you read through each step in the sections to follow, focus on the practices used by the leading companies and consider their application to your organization. In general, succession planning is a senior leadership-driven process and therefore, regardless of the industry, the best practices should be considered in terms of the potential success they can bring to your organization.

For more information on published research in succession planning, please refer to the Resource Guide provided in Part 5 of the Development Tools section (see page 26).

THE FIVE STEPS OF EFFECTIVE SUCCESSION PLANNING

How do leading organizations approach succession planning? Typically, they connect several processes together. They focus on selecting the right successors (succession planning), making their career paths visible (career planning), and providing the right learning opportunities (development planning). As a result, they tend to select the right people, with the right skills, for the right roles, at the right time.

The five steps in the model below illustrate how leading organizations have approached succession planning. The details of each step are outlined in the sections to follow. Please note that career planning and development planning are also best practices of leading organizations. Since these are considered to be beyond the scope of succession planning, they can be addressed independently in a separate summary.



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CHAPTER 1: SUMMARY OF BEST PRACTICES FOR SUCCESSION PLANNING

CREATE ALIGNMENT

In leading organizations, the commitment to succession planning generally starts at the very top (e.g., with the CEO's involvement) and reaches out to every stakeholder. Also, they strengthen alignment by making succession planning an integral part of the corporate strategy and weaving it into existing human resource systems (e.g., selection, performance management, and action planning).

The following examples illustrate how you might build alignment into your succession planning strategy.

Bright Horizons Family Solutions	
• Industry: Childcare • Founded: 1986 • # of employees: 18,400 • 2007 Sales: \$774.6 Million	Succession plans were aimed at reinforcing the company strategy. For instance, the criteria to compare candidates were linked to the principles underlying the organization's strategy (e.g., four drivers of performance, also known as "The 4 Ps").
AlliedSignal	
• Industry: Diverse Industrial Conglomerate • Founded: 1899 • # of employees: 12,800 • 2008 Sales: \$36.6 Billion	Succession plans were integrated into the company's operating principles (e.g., The 7 Primary Principles) and business planning cycle. For instance, executives were responsible for identifying the bench strength implications of an operation's business strategy.
Ralston Purina Petcare Company's Customer Development Group	
• Industry: Dog and Cat Food Manufacturing • Founded: 1894 • # of Employees: 7,000 • 2007 Sales: \$828.3 Million	Succession plans supported existing human resource systems: • Succession plans were integrated within the operational plans • Competencies used to compare candidates were drawn from the existing performance management system • Action plans included ways to address gaps in the talent pipeline
RCMP	
• Industry: Police Services • Founded: 1873 • # of employees: 28,000 • Sales: N/A	Succession plans were central to the organization's decision-making process (e.g., for development, placement, and promotion) and multi-year human capital planning process.

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Statistics Canada	
• Industry: Local Government Administration • Founded: 1912 • # of employees: 5,400 • Sales: N/A	The human capital requirements (i.e., succession plans) were regularly reviewed in light of the organization's long-term business objectives.
Sonoco Products	
• Industry: Packaging and Container Manufacturing • Founded: 1884 • # of employees: 18,600 • 2007 Sales: \$4.0 Billion	Succession plans shared a common language with existing human resource systems and were also aligned to Sonoco's "people, values, culture, and business objectives."
The Bank of New York Mellon	
• Industry: Financial • Founded: 1869 • # of employees: 42,100 • 2007 Sales: \$14.9 Billion *The Bank of New York purchased Mellon Financial in 2007, at which time it became The Bank of New York Mellon.	They focused on strengthening alignment between Human Resources and business units. For instance, HR business partners were appointed to act as liaisons to the business units. Their role involved assessing the succession planning needs of the business unit and providing the necessary planning tools.

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DETERMINE LINCHPIN POSITIONS

Effective succession initiatives place greater focus on linchpin positions that are considered essential to the long-term health of the organization – not just focusing on a few positions at the very top. Accordingly, these positions are given a higher priority in terms of building “ready now” backups. Typically, corporate-wide talent pools are harvested and used as an enterprise resource in order to fill these positions efficiently.

The following examples illustrate how you might address the need to determine linchpin positions below the top level.

Cigna	
• Industry: Health Insurer • Founded: 1792 • # of employees: 26,600 • 2008 Sales: \$292 Million	Succession reviews were cascaded from the top layer (Executive Management Team) to the fourth employee layer. Each layer of management reviewed the candidates below them, and subsequently passed all completed reviews to the next level above them for further analysis.
Lockheed Martin	
• Industry: Aerospace Products and Parts Manufacturer • Founded: 1926 • # of employees: 140,000 • 2007 Sales: \$41.8 Billion	They identified candidates at both the director and vice president levels who showed the most potential to advance one to two levels above their current positions.
Merrill Lynch (Global Markets and Investment Banking Group)	
• Industry: Investment Management • Founded: 1907 • # of employees: 20,000 • 2008 Sales: \$11.3 Billion	Plans targeted high potentials at each “officer” level including managing director, director, and vice president.
Ralston Purina Petcare Company’s Customer Development Group	
	Every employee was viewed as a candidate for advancement. For instance, all employees completed a personal succession planning worksheet, which was then integrated into the succession plan for the manager’s position.
Sonoco Products	
	They identified and assigned greater priority to linchpin positions. For instance, the plant manager role was seen as key because it represented the first opportunity for managers to be responsible for multiple functions.

ASSESS BENCH STRENGTH

In addition to assessing a candidate's ability to produce results, leading organizations tend to focus on potential. This is based on whether candidates possess the knowledge, skills, and attributes expected of the next generation of leaders. Ideally, both assessments would be designed to support existing measurement systems (e.g., performance appraisals, 360-degree feedback) and allow the organization to rank individuals on a uniform set of criteria. Typically, senior leaders meet as a group or jointly with human resources to review candidates. This discussion tends to be targeted, formal, and open.

The following examples illustrate how you might address the need to assess your bench strength.

Dow Chemical	
• Industry: Plastic Resins and Synthetic Fibers • Founded: 1897 • # of employees: 45,514 • 2008 Sales: \$57.5 Billion	Assessments were based on a common set of competencies (e.g., seven leadership attributes) to be used throughout the organization instead of using different sets within each business.
The Bank of New York Mellon	
	Assessments were based on a common set of competencies, values, and skills that were critical to any future position (i.e., allowed for comparisons across functions, locations, and operating units).
Lockheed Martin	
	They used a core set of criteria (key management and leadership behaviors), considered necessary for every leader to possess, to uniformly evaluate potential in all leaders.
Bank of America	
Bright Horizons Family Solutions Cigna Merrill Lynch (Global Markets and Investment Banking Group) Unilever (Indonesia Group)	All of these companies assessed their bench strength in a similar manner. They used a nine-box talent matrix that compared candidates on two dimensions: performance and potential. • Performance was tracked based on current results (e.g., the "WHAT," in terms of whether the results fell below standard, at standard, or above standard) • Potential for success at the next level (e.g., the "HOW," in terms of high, medium, and low potential) was tracked by evaluating whether candidates possessed the critical knowledge, skills, and behaviors • Typically, candidates with stronger scores on both dimensions were given a higher ranking overall and therefore were assigned greater priority in terms of succession planning • Generally, individual development plans were created to address any gaps in proficiency levels

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SELECT AND CHART SUCCESSORS

After the candidates are ranked, leading organizations chart the pipeline of successors. This provides an overall snapshot of those candidates who have been identified for backup under each of the key positions. Action plans are often created to address two kinds of gaps (i.e., backups are either missing or they lack the skill required). Wherever possible, this process is transparent to those who are being considered for succession.

The following examples illustrate how you might address the need to identify and chart your successors.

Cigna	
	A “Succession Chart” was used for each key position, outlining those candidates who were identified as backups. Different backups were chosen who could do the job either “now” or “within one to two years.” Action plans addressed those positions lacking appropriate backups.
AlliedSignal	
	Executives created a “Succession Depth Document” to depict the succession pipeline. For key positions, different candidates were selected who could do the job “now,” “in one to two years,” and “in two to five years” from now. Gaps in any category were addressed via development action planning.
Merrill Lynch (Global Markets and Investment Banking Group)	
	Different high potentials were identified who could do the job either immediately (“could do the job tomorrow” or “do it with additional development”) or in the future (“one to three years out”).
Ralston Purina Petcare Company’s Customer Development Group	
	After successors were identified, every employee was kept up to date on their own relative placement and career potential (e.g., employees had access to their own individual succession review form online) – even those who were not selected as successors.
Eli Lilly	
• Industry: Pharmaceutical Manufacturing and Sales • Founded: 1876 • # of employees: 40,600 • 2008 Sales: \$18.6 Billion	Once selected, high potentials were told about their status (but were not told exactly how high or what role they were being considered for). Each employee was given the responsibility to maintain his/her own personal development records via online tools.

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MEASURE AND MANAGE PROGRESS

After the succession plans are created, leading organizations generally monitor the progress of the initiative overall, as well as the follow-through on any succession plans being delivered. Typically, metrics are established to track who is where and which jobs they are being groomed for. Metrics allow these organizations to identify gaps in terms of who is ready for the top positions, and make the necessary adjustments to the succession planning process.

The following examples illustrate how you might address the need to measure and manage progress.

AlliedSignal	
	Clear expectations were established for leaders to follow through on their succession planning commitments. Accordingly, negative consequences (e.g., potential implications for personal bonus) would be applied to those who failed to deliver on their action plans. Regular follow-up sessions were conducted by human resource management to review executives' progress (e.g., every six months).
Sonoco Products	
	Accountability was given to each division for generating its own successors. Frequent checkpoints were applied throughout the year to help uncover potential problems (e.g., identifying gaps that need to be filled).
Bank of America	
• Industry: Financial • Founded: 1884 • # of employees: 210,000 • 2008 Sales: \$124.3 Billion	Follow-through from business unit leaders was encouraged by top executives and further reinforced by scheduling annual audits.
Lockheed Martin	
	Progress was measured in terms of tracking physical movement, lateral movement, and promotions (these were 23%, 45% and 40%, respectively). Percentage of "serious" candidates in line for each key position was 61%.
Unilever (Indonesia Group)	
• Industry: Consumer goods manufacturing, marketing, and distribution in Indonesia • Founded: 1933 • # of employees: 3,164 • 2008 Sales: \$3.26 Billion	The impact of the succession planning initiative was measured using: • Global people survey (e.g., measured how employees view "succession planning practices") • Employee trends (e.g., maintained a retention rate of 98% and a recruitment success rate of 75-80%)
Dow Chemical	
	Internal hire rates were tracked for key positions (e.g., target was set at 75%- 80%), along with turnover of top talent (e.g., in 2000, the rate was 1.5% for high potentials).
Eli Lilly	
	Number of successors as backup for each key position was tracked (e.g., target was set for "at least two Ready Now candidates"). The target was set at 3:1 for the number of high potentials to incumbents in a position (at the director level).

PROPOSED NEXT STEPS

Below are next steps for you to consider in terms of applying the best practices featured in this document in your organization.

1. Identify the practices that would fit well into the context of your organization (consider one to three options).
2. Engage internal stakeholders and build consensus around the chosen practices.
3. Access additional information to learn more about the chosen practices (i.e., key contacts at leading organizations).
4. Implement the chosen best practice as a “people initiative” and measure success.

CHAPTER 2: HANDS-ON GUIDE TO SUCCESSION PLANNING

INTRODUCTION

This guide provides a detailed look at the actions you need to consider to effectively implement succession plans within your organization. These actions underlie each of the five broader steps presented in the model in Chapter 1 and recapped on page 13.

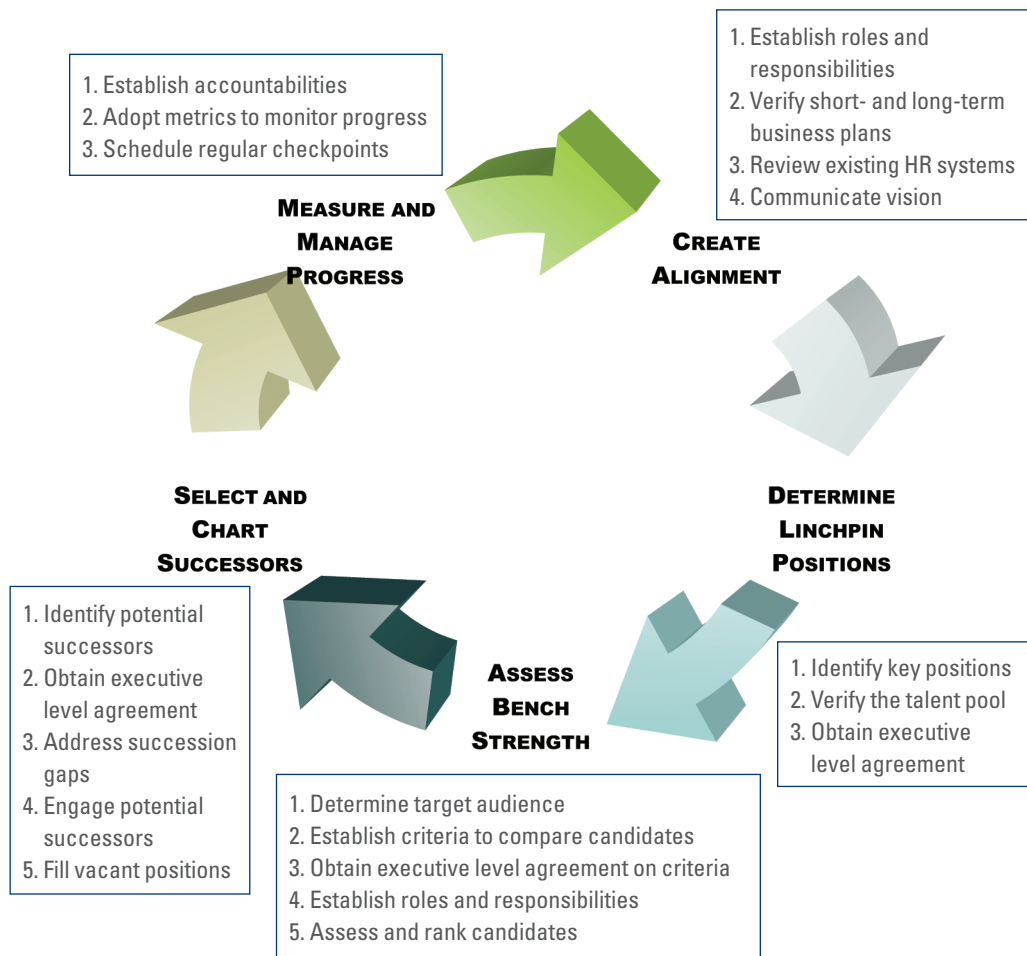
By following these actions, your organization will have a hands-on guide through the planning process. As a result, your organization's ability to build the next generation of leaders will be strengthened, creating a competitive advantage.

Why are these actions important? With the published research on succession planning in mind, it is critical to go to the next level of detail and find out exactly what it is you need to do in your organization in order to follow the best practices from leading organizations. After all, the actions required to execute each of the five steps need to be customized in order for your organization to truly benefit from them.

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Based on the insight we've gained from published research, leading organizations tend to follow this general path:



To help you translate these broad steps into more specific actions, the sections to follow highlight which actions are recommended for you to consider. As you read through this document, consider how the actions identified might apply to your organization and what needs to be altered in order to work successfully in your organization.

CREATE ALIGNMENT

In leading organizations, the commitment to succession planning generally starts at the very top (e.g., with the CEO's involvement) and reaches out to every stakeholder. Also, they strengthen alignment by making succession planning an integral part of the corporate strategy and weaving it into existing human resource systems (e.g., selection, performance management, and action planning).

Consider using the following actions to help build alignment into your succession planning strategy:

1. ESTABLISH ROLES AND RESPONSIBILITIES OF STAKEHOLDERS

- Establish who is accountable for creating the succession plans
- Meet with the CEO to establish their role and how they plan to support the initiative
- Meet with senior leaders and the remaining stakeholders (e.g., frontline managers, staff) to establish their roles and needs for the succession plan
- Clarify the role of Human Resources
- Confirm what the stakeholders expect in terms of the anticipated benefits from the succession planning initiative at the individual, divisional, and organization levels

2. VERIFY BOTH SHORT- AND LONG-TERM BUSINESS PLANS

- Identify the short- and long-term business plans for the organization and any potential implications for human capital
- Ensure that succession plans outline the human capital required (e.g., talent pipeline) to achieve the business plans
- Uncover any corporate and/or divisional business needs that are relevant to succession planning, and ensure that the plans are designed in such a way that these needs are being addressed (e.g., high turnover areas, roles that have certification, or other accreditation that requires time/cost)

3. REVIEW EXISTING HUMAN RESOURCE SYSTEMS

- Highlight any language considerations that need to be integrated into the succession plans (e.g., adopt the same language that is used in corporate documents such as the organization's Mission, Vision, and Values)
- Identify where the succession plans might be able to support existing human resource systems such as:
 - Selection
 - Performance appraisals
 - Promotions
 - Personal development action planning

4. COMMUNICATE THE VISION

- Based on what was established in earlier meetings, communicate the vision to all stakeholders
- Clearly outline the purpose of the succession planning initiative and how it will have an impact at the individual, divisional, and organization levels
- Outline who's involved and the plan for next steps

DETERMINE LINCHPIN POSITIONS

Effective succession initiatives place greater focus on linchpin positions that are considered essential to the long-term health of the organization – not just focusing on a few positions at the very top. Accordingly, these positions are given a higher priority in terms of building “ready now” backups. Typically, corporate-wide talent pools are harvested and used as an enterprise resource in order to fill these positions efficiently.

Consider the following actions to help you determine linchpin positions:

1. IDENTIFY KEY POSITIONS

- Divisional executives can work together with their managers to pinpoint the most critical positions below them (i.e., those positions that need to be given higher priority in succession plans)
- Positions to be targeted should be:
 - Essential to the long-term health of the organization
 - Any human capital identified earlier when verifying short- and long-term plans
 - Critical from either a leadership or technical standpoint
- On an organizational chart, flag all key positions that have been identified
- **Please note that Part 1 under the Development Tools section includes an Organizational Chart template (see page 20)**

2. VERIFY THE TALENT POOL

- For key positions, determine the likely place to find “backups” from within the organization (i.e., look at past internal movement)
- Confirm whether or not the goal is to use a corporate-wide talent pool as the basis to find backups

3. OBTAIN EXECUTIVE LEVEL AGREEMENT

- Create a venue for executives to jointly discuss and debate all of the key positions that have been flagged as well as the anticipated talent pool expected to fill these positions
- Once the decision has been made, it might be helpful to diagram the remaining key positions on an organizational chart

ASSESS BENCH STRENGTH

In addition to assessing a candidate's ability to produce results, leading organizations tend to focus on potential. This is based on whether candidates possess the knowledge, skills and values expected of the next generation of leaders. Ideally, both assessments would be designed to support existing measurement systems (e.g., performance appraisals, 360-degree feedback) and allow the organization to rank individuals on a uniform set of criteria.

Consider the following actions to help assess your bench strength:

1. DETERMINE TARGET AUDIENCE

- Identify the internal candidates who are being considered for advancement (e.g., determine whether all employees are being considered or only pockets within the organization) from within the talent pools

2. ESTABLISH THE CRITERIA TO COMPARE CANDIDATES

- Meet with executives ahead of time to confirm the criteria used to compare candidates
- If possible, build from existing tools (e.g., performance appraisals, 360-degree feedback assessments, competency models, job descriptions, role requirements)
- Identify the values, knowledge, behaviors, and skills that candidates need to possess in order to succeed in the future

3. OBTAIN EXECUTIVE LEVEL AGREEMENT ON THE CRITERIA

- Create a venue for executives to jointly discuss and debate the criteria used to compare candidates
- Once the final decision has been made, post the criteria for all stakeholders to see

4. ESTABLISH ROLES AND RESPONSIBILITIES

- Determine who (e.g., executives, directors and/or line managers) is responsible for assessing which candidates
- Communicate the criteria and process for assessing candidates to all stakeholders

5. ASSESS AND RANK CANDIDATES

- Ideally, all candidates are measured on the same universal criteria (this enables comparisons to be made across functions, operating units, and locations)
- Rank candidates using current results along two dimensions:
 - **Current performance:** based on objective measures of the results that have been produced (e.g., the "WHAT," in terms of whether the results fell below standard, at standard, or above standard)
 - **Demonstration of values:** based on objective measures of whether the candidates possess the knowledge, skills, and behaviors that correspond to the values that are essential to the

organization's success in the future (e.g., the "HOW," in terms of high, medium, and low)

- Candidates with stronger scores on both dimensions are given a higher ranking overall
 - Both dimensions can be used as a matrix to plot and compare candidates
 - **Please note that both a Candidate Assessment Template and a Ranking Template are provided in Parts 2 (on page 21) and 3 (on page 23), respectively, of the Development Tools section**
- Wherever possible, additional rankings can be made based on the candidate's potential, career history, and training qualifications that have been completed

SELECT AND CHART SUCCESSORS

After the candidates are ranked, leading organizations chart the pipeline of successors. This provides an overall snapshot of those candidates who have been identified for backup under each of the key positions. Action plans are often created to address two kinds of gaps (i.e., backups are either missing or they lack the skill required). Wherever possible, this process is transparent to those who are being considered for succession.

Consider the following actions, before a vacancy occurs, to help you identify and chart your successors:

1. IDENTIFY POTENTIAL SUCCESSORS

- Based on the assessment of candidates, identify those with the highest ranks as "potential successors" in each of the three categories:
 - Ready now (could do it tomorrow)
 - Ready in one to two years
 - Ready in two to five years
- For each position being targeted, aim for two to three potential successors under each planning category
- Ideally, divisional executives would encourage their managers to help identify the potential successors below them
- Consolidate individual lists of names for potential successors into a Succession Depth Chart for the entire organization (identifying both the key positions and potential successors)
- **The Organizational Chart template provided in Part 1 of the Development Tools section (on page 20) can be used to plot the potential successors within your organization**

2. OBTAIN EXECUTIVE LEVEL AGREEMENT ON SUCCESSION DEPTH CHART

- Create a venue for executives to jointly discuss and debate the potential successors chosen
- Arrive at a final decision on the potential successors

3. ADDRESS SUCCESSION GAPS

- Identify any positions where:
 - A potential successor is missing in any of the three planning categories
 - The potential successor identified is lacking in the skill required to be successful in that position
- Create action plans to address any gaps identified (**refer to the Succession Candidate Development Plan in Part 4 of the Development Tools section, on page 24**)

4. ENGAGE POTENTIAL SUCCESSORS

- Inform potential successors about their status and what is expected of them
- Assist potential successors in creating their personal development plan, which is directed at helping them prepare to be ready to fill the appropriate position in the future
- Inform all candidates (those who were not chosen as successors) on their relative status and career potential

5. FILL VACANCIES

- When an identified key position becomes vacant, fill it with the most suitable successor

MEASURE AND MANAGE PROGRESS

After the succession plans are created, leading organizations generally monitor the progress of all succession plans expected to be delivered. Typically, metrics are established to track who is where and which jobs they are being groomed for. Metrics allow these organizations both to identify gaps in terms of who is ready for the top positions, and to make the necessary adjustments to the succession planning process.

Consider the following actions to help you measure and manage progress:

1. ESTABLISH ACCOUNTABILITIES FOR DELIVERING SUCCESSION PLANS

- Identify who is responsible for delivering plans for each key position and who will enforce or hold others accountable to deliver on their plans
- Communicate expectations around what it means to deliver on a succession plan and the consequences for either delivering or not delivering as expected

2. ADOPT METRICS TO MONITOR PROGRESS

- Track who is being groomed for which job as a backup, and whether they are progressing according to their development plan
- Adopt objective metrics to track the degree of success such as:
 - Percentage of movement (lateral, promotions) within the organization (e.g., some best practice

companies have achieved 45% and 40% on these, respectively)

- Ratio of potential backups per key position (e.g., some best practice companies use a 3:1 target)
- High potential employee retention rates (e.g., some best practice companies have maintained a rate of 98%)
- Internal hire rate by key position (e.g., some best practice companies have set the target at 75%)

3. SCHEDULE REGULAR CHECKPOINTS

- Schedule regular checkpoints (e.g., every business quarter) to monitor progress on the delivery of each item in the succession plan
- Checkpoints should involve the following people:
 - Executives should meet with those from each layer of management below them who are responsible for delivering succession plans
 - CEOs and executives should meet as a team to review overall progress throughout the organization
- Create action plans to address any gaps in terms of succession plans not being delivered as expected

DEVELOPMENT TOOLS

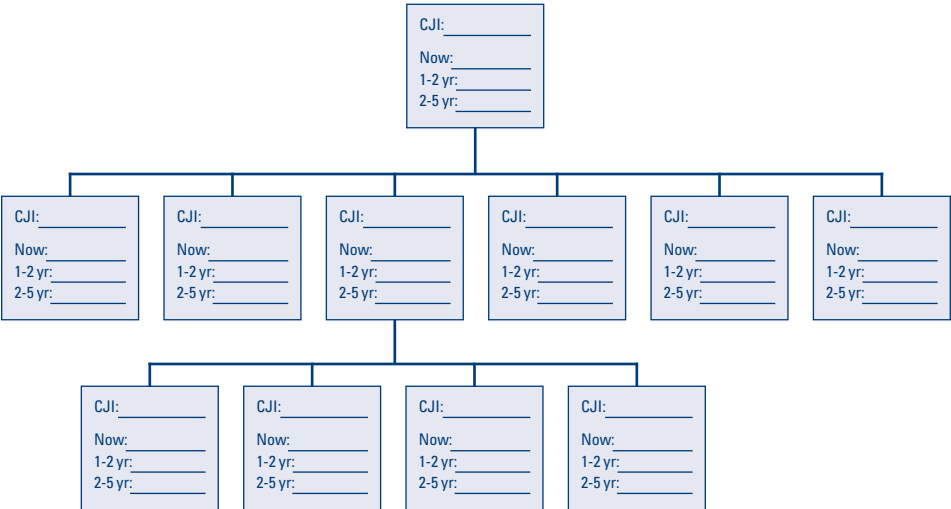
PART 1: ORGANIZATIONAL CHART TEMPLATE

INSTRUCTIONS

- Create an organizational chart diagram that mirrors the template provided below
- For each key position, identify the current job incumbent, as well as potential successors from the larger candidate pool who are ready now, ready in 1-2 years, and ready in 2-5 years

LEGEND

- CJI = Current job incumbent
- Now = Ready now (potential successor)
- 1-2 yr = Ready in 1-2 years (potential successor)
- 2-5 yr = Ready in 2-5 years (potential successor)



PART 2: CANDIDATE ASSESSMENT TEMPLATE – DEMONSTRATING OUR CORPORATE VALUES

Please rate the leader's performance on each behavior indicated using the following five-point scale:

Poor	Fair	Good	Very Good	Excellent	Not Able to Rate
1	2	3	4	5	N

	POOR	FAIR	GOOD	VERY GOOD	EXCELLENT	NOT ABLE TO RATE
Personal Leadership						
1. Takes personal ownership to ensure delivery on commitments (e.g., responsibilities, assignments, and expectations).	1	2	3	4	5	N
2. Consistently models the behaviors expected of others.	1	2	3	4	5	N
3. Takes personal responsibility for the consequences of own actions/decisions.	1	2	3	4	5	N
4. Immediately puts into practice new learning gained from experience.	1	2	3	4	5	N
5. Shows openness to new and different things.	1	2	3	4	5	N
6. Identifies possible options or solutions to a problem before deciding upon a course of action.	1	2	3	4	5	N
7. Establishes personal and/or business goals that are challenging, yet achievable.	1	2	3	4	5	N
8. Shows persistence in reaching business and/or personal goals.	1	2	3	4	5	N
Supporting Others						
9. When coaching others, ensures that feedback remains helpful (e.g., timely, informative, specific, and practical).	1	2	3	4	5	N
10. When assigning work, outlines the span of control that the individual has to make decisions during execution.	1	2	3	4	5	N
11. When managing others, regularly delegates/assigns greater responsibilities to promote their development/growth.	1	2	3	4	5	N
12. Provides a compelling vision and/or sense of purpose for the team/department/organization.	1	2	3	4	5	N
13. Ensures that everyone on the team is aligned to the common goal.	1	2	3	4	5	N
14. Helps the team to work together to solve problems or work through conflict (identifies solutions that meet the needs of each party involved).	1	2	3	4	5	N
15. When managing others, clearly establishes what is expected of them regarding their performance (e.g., standards and goals).	1	2	3	4	5	N
16. When managing others, regularly reviews individuals' performance with them to discuss whether or not they are meeting expectations.	1	2	3	4	5	N
17. Recognizes and celebrates progress against key milestones (individual and/or team).	1	2	3	4	5	N
18. When making decisions, gathers input from those being affected.	1	2	3	4	5	N

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Managing Relationships						
19. Displays openness and honesty.	1	2	3	4	5	N
20. Listens without interrupting.	1	2	3	4	5	N
21. Asks questions to help clarify own understanding.	1	2	3	4	5	N
22. Builds a personal connection (e.g., asks about personal interests) with others when the opportunity arises.	1	2	3	4	5	N
23. Provides timely and relevant communication (e.g., regarding a decision, changes, and information).	1	2	3	4	5	N
24. Seeks to understand the viewpoints of others.	1	2	3	4	5	N
25. Demonstrates a willingness to share ideas and suggestions (e.g., improvements in processes and products).	1	2	3	4	5	N

PART 3: CANDIDATE RANKING TEMPLATE

INSTRUCTIONS

- Create a candidate ranking matrix that mirrors the 9-box template provided below
- Using their assessment results, evaluate each candidate based on two dimensions:
 - **Performance Level:** the results that have been produced (e.g., using performance appraisal ratings such as “falling below standard,” “at standard,” or “above standard”)
 - **Demonstration of Values:** whether candidates demonstrate the knowledge, skills, and behaviors that correspond to core values (e.g., using 360-degree feedback or performance appraisal ratings that would indicate either a “high,” “medium,” or “low” level of competence)
- Based on their results, candidates can be plotted into the matrix
- Accordingly, candidates with strong scores on both dimensions are plotted in the top right corner (Box 1), and therefore are given a higher ranking
- Conversely, low scores on both dimensions are plotted in the bottom left corner (Box 9)
- Plotting all candidates gives you an overall snapshot of how they compare

Performance Level Results fall above standard Results meet the standard Results fall below standard	Box 4	Box 2	Box 1
	• Moderate ranking • Candidate tends to <i>capitalize</i> on results without maintaining values • Action: Determine whether coaching would help the candidate to demonstrate the values more consistently; provide required coaching		• Highest ranking • Candidate tends to <i>maximize</i> results without compromising values • Action: Ready to advance
	Box 7	Box 5	Box 3
	Box 9	Box 8	Box 6
	• Lowest ranking • Candidate tends to <i>compromise</i> both relationships and results • Action: Coaching required for overall improvement		• Moderate ranking • Candidate tends to <i>socialize</i> without managing quality of results • Action: Determine whether coaching would help the candidate to produce results above the standard; provide required coaching
	Low	Medium	High
	Demonstration of Values		

PART 4: SUCCESSION CANDIDATE DEVELOPMENT PLAN

HOW TO USE IT

- The Individual Development Plan is best used in the initial planning meeting as well as in the regular follow-up meetings (three- or six-month)
- The form is meant to encourage open discussion between the succession candidate and his/her manager (along with other applicable stakeholders) on a wide variety of learning and development strategies
- When completing the form, make sure that the candidate's development goal has been properly specified, as well as the success factors, strategies, or actions required to achieve this target
- In order to complete this form, the manager should refer to the following candidate documentation:
 - Profile requirements for the new position
 - Assessment results showing the candidate's performance on results (i.e., performance appraisal) and his/her ability to demonstrate corporate values (i.e., 360-degree feedback assessment)
- The manager should take the completed form to the meeting and revise it based on input
- The manager and candidate should have regular follow-up meetings to revisit the form and track progress

INDIVIDUAL DEVELOPMENT PLAN TEMPLATE

EMPLOYEE:	MANAGER:	DATE:
POSITION RECOMMENDED FOR NEXT MOVE:		
A. Development Goal (one goal per form)		B. Learning and Development Strategies
<i>What development (strengths to build upon and/or areas of continued development) is required for the position recommended?</i> <i>Is your goal Specific, Measurable, Action-Oriented, Realistic, Time-Bound?</i>		<i>What on-the-job learning assignments and coaching/mentoring opportunities are recommended?</i> <i>What formal/structured training, programs, education are recommended?</i>
C. Resources Required		D. Actions to Achieve Development Goal
<i>What resources (people, time) have been considered to help accomplish the goal?</i> <i>Have you considered the possible obstacles and help required to manage these?</i>		<i>Have all actions, those involved, and dates been identified?</i>
E. Deadline Commitment		F. Approval
IDP Start date: _____		Employee's Signature: _____
IDP Review Date: _____		Manager's Signature: _____
IDP Completion Date: _____		

PART 5: RESOURCE GUIDE

“Choose Tomorrow’s Leaders Today”

Robert M Fulmer, PhD
(Graziadio Business Report, 2002)

“Developing Your Leadership Pipeline”

Jay A. Conger, Robert M. Fulmer
(Harvard Business Review, 2003)

“Growing Talent as if Your Business Depended on It”

Jeffrey M. Cohn, Rakesh Khurana, Laura Reeves
(Harvard Business Review, 2005)

“Keys to Best Practice Succession Management”

Robert Fulmer
(Human Resources Magazine, 2005)

The Leadership Pipeline

Ram Charan, Stephen Drotter, James Noel
Jossey-Bass (2001)

Linkage Inc.’s Best Practices in Succession Planning

Mark R. Sobol, Phil Harkins, Terence Conley
John Wiley and Sons (2007)

“Sonoco Products Co. (A): Building a World-Class HR Organization”

Boris Groysberg, Cate Reavis, David A. Thomas
(Harvard Business Review, 2004)

“Succession Planning and Management is Critical Driver of Organization Transformation”

J. Christopher Mihm, Director, Strategic Issues
(United States General Accounting Office, Testimony Before the Subcommittee on Civil Service and Agency Organization, Committee on Government Reform, House of Representatives; 2003)

“Workforce Planning Not a Common Practice IPMA-HR Study Finds”

Gilbert L. Johnson, Judith Brown
(International Public Management Association for Human Resources, 2004)