Leadership Succession Plan

California Department of Human Resources

2017-2021

A Message from the Director

I am very pleased to present the first CalHR 2017-2021 Leadership Succession Plan (LSP). This plan was designed to help CalHR identify, assess, and develop employees to ensure leadership continuity and build talent from within the organization.

In 2016, the California Department of Human Resources (CalHR) developed and implemented its first-ever workforce plan. The new CalHR workforce plan provided a roadmap for how the organization would address workforce challenges associated with building and sustaining a workforce with the capability to support operational and strategic objectives.

The new CalHR workforce plan includes a number of short and long-term talent management strategies. One of the top priorities is to develop and implement a leadership succession plan. To address this, and other enterprise level projects critical to our organization's success, CalHR formed a cross-divisional Talent Management Action Committee (TMAC). The TMAC, in partnership with the Human Resources Office and the Statewide Workforce Planning & Recruitment Unit, created a succession program for managers that will provide competency based development opportunities to ensure readiness for future executive level professional opportunities. In addition, a succession plan was created to provide professional development opportunities for the entire leadership pipeline. Although CalHR has already started to invest and develop its leadership pipeline, we must continue our efforts.

It is our responsibility and privilege to be part of the change to address one of California's leading workforce challenges—succession planning, as identified by the State Leadership Accountability Act (SLAA). The plan will ensure all employees have access to leadership development opportunities while building deep bench strength across the organization of potential candidates ready to fill leadership roles. CalHR strives to foster a culture of learning to support our employees, the organization, and the State of California.

Richard Gillihan
Director, Department of Human Resources

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Introduction

Succession planning is a proactive approach to identifying and developing current employees with the potential to fill key leadership positions and identifying and closing organizational competency gaps. It demonstrates an ongoing desire to develop the organization's greatest resource—its employees. Succession planning is a tactic undertaken by organizations as part of workforce planning efforts. Without a comprehensive succession plan, organizations are not prepared to fill critical positions vacated by unexpected departures or retirements.

The CalHR LSP aims to take a proactive and strategic approach towards identifying and implementing comprehensive succession planning strategies to increase the competency levels throughout the department. The LSP will identify an executive leadership program and several strategic initiatives that will be undertaken in the next four years to ensure leadership continuity and encourage employee growth and development within the entire leadership pipeline.

Overview

Methodology

In January 2016, CalHR released its first workforce plan and the top initiative identified was developing and implementing a succession leadership plan. CalHR's internal TMAC was created to support internal workforce initiatives associated with CalHR's "Team of Experts" Strategic Plan goal. The TMAC formed a cross-divisional subcommittee to develop a succession plan and program for the department.

The LSP aligns with CalHR's newly developed Statewide Leadership Development Model, and recently implemented Workforce and Succession Plans Requirement Policy.

CalHR's LSP is built on five guiding principles:

1) The initial focus of the LSP is on CalHR leadership positions at the Division Chief level, the majority of which are Career Executive Assignments (CEA). Therefore, emphasis is placed on strategies to prepare the candidate pool in classifications closest to these leadership positions.
2) The cornerstone of the LSP is the Executive Leadership Preparation Program (ELPP), designed to prepare managers for executive leadership responsibilities.
3) Although emphasis is placed on succession planning for our senior management positions, the LSP takes into consideration development needs of the entire leadership pipeline.
4) Future iterations of the LSP will address other critical leadership and non-leadership positions at CalHR.
5) Diversity and inclusion in CalHR are foundational values contributing to the success of our high performing leadership team, organization and the LSP.

The LSP ultimately addresses the progressive development of internal leaders from supervision up to senior management positions. The LSP also takes into consideration "bridging" strategies designed to ensure clear and desirable paths for all employees to enter management careers.

Our Leadership Pipeline

CalHR is a relatively small department with about 300 permanent staff. The CalHR leadership pipeline is comprised of 181 people, consisting of level I managers and equivalent positions up to CEAs with one director and two deputy directors leading the organization. There are six exempt positions in the leadership pipeline. Forty-six percent of the leadership pipeline manage staff.

Table 1. Leadership Pipeline Categories and Number of Positions.

Leadership Pipeline Categories	Number of Positions	Supervisorial
Executive Development	16	16
Manager Development	27	25
Supervisor Development	87	15
Bridging Development (Non-Mgmt)	52	0
Total	182	56

Appendix A illustrates the classifications represented in each category. Additional demographic statistics can be found in CalHR's workforce plan.

LSP Initiatives

The need to develop strong future leaders is a significant driver for the LSP. CalHR's leadership pipeline helps facilitate the execution of CalHR's mission, vision, and strategic goals. The LSP initiatives aim to provide opportunities for professional growth and development to the leadership pipeline to ensure enhancement of their abilities and readiness for future promotional opportunities.

The LSP initiatives are divided into five categories: leadership pipeline Development, Bridging Development, Supervisor Development, Manager Development, and Executive Development. The leadership pipeline Development initiatives apply to CalHR's entire leadership pipeline and the other categories are separated by classification as referenced in Table 1 and Appendix A. The list of LSP

initiatives are further outlined in Appendix C: Action Plan.

Leadership Pipeline

The leadership pipeline initiatives seek to create a learning environment and opportunities to promote leadership development for all CalHR employees. The initiatives include training specific to each classification group, department-wide mentorship opportunities, and leadership resources. The goal is to motivate and encourage employees to further develop and build on their competencies.

Staff to Leadership Bridging

Every role at CalHR contributes to the ongoing success of the organization. CalHR recognizes associate analyst and journey level staff as the next generation of potential leaders. CalHR intends to raise awareness on leadership career paths and prepare the individuals interested in leadership with the

skills to transition from technical expert to manager. The Bridging Development Initiatives will prepare and develop the bridging staff with the key competencies that are useful in many of the day-to-day responsibilities of a management role such as leading teams, developing initiatives, collaborating with others, and problem-solving.

Leaders as Supervisors

CalHR supervisors provide day-to-day operational support and are CalHR's first level of leadership. Supervisory positions are typically the entry into management for many staff who join with little or no prior leadership training and/or experience. Supervisors play a critical role as they have direct impact on employee engagement, retention, and job satisfaction.

The foundational development is critical to a supervisor's success and their ability to deliver results. As supervisors learn through their day-to-day job responsibilities, CalHR will provide continuing leadership development opportunities to refresh and enhance their management abilities.

Leaders as Managers

CalHR managers facilitate the execution of CalHR's mission and vision by leading and delivering results throughout the organization. Management is getting things done effectively and efficiently through supervisors and subordinate staff. Managers collaborate across organizational lines with an enterprise approach to day-to-day decision making and carrying out organizational initiatives. Managers have an increased level of accountability and responsibility for the quality and productivity of their assigned team. Managers' level of political acumen heighten their ability to think clearly with an enterprise wide focus and make sound decisions that contribute to CalHR's success. Managers are responsible for fostering employee engagement and a positive, professional workplace culture.

Leaders as Executives

The CalHR Executive Team is responsible for articulating CalHR's vision and fostering an inclusive, engaged workforce. Executives show others what the organizational values mean through your behaviors. Executives demonstrate the highest level of proficiency in leadership competencies and serve as role models within CalHR. Executives routinely demonstrate enterprise wide collaboration and engage in cooperative partnerships with external stakeholders. Executives will support, mentor, and coach participants in the ELPP to accelerate growth in the next generation of leaders.

The action plan is further outlined in Appendix B: Action Plan.

LSP Gap Analysis

A gap analysis determines the gap between workforce supply and demand. Performing a competency gap analysis will identify the current and future supply and demand in skill, knowledge, and ability in CalHR's leadership pipeline. At this time, the gap analysis will be primarily focused on addressing the gaps between the candidate pool in classifications closest to the CEA positions (Guiding Principle #1).

CalHR will determine the competency gap for the ELPP participants through a 360-degree assessment process, which is an individual assessment to provide participants with feedback on their leadership

behaviors. The ELPP participants will complete an initial and follow-up 360- degree assessment to show a comparison of their results and measure improvement.

CalHR's strategy to close the overall competency gaps outside of the ELPP are through the Leadership Performance Evaluation (LPE) and Individual Development Plans (IDP). The LPE is a competency based evaluation process for all management levels currently being piloted in three divisions within CalHR. Upon successful completion of the LPE pilot, CalHR intends to expand the process enterprise-wide in fiscal year 2018-19. An IDP is a tool to assist employees in their personal and career development. CalHR will reinforce the importance and increase the overall rate of IDPs for all employees to enhance their competencies for their career goals.

Additional strategies to close the competency gaps within the department are further outlined in Appendix C: Action Plan.

Executive Leadership Preparation Program (ELPP)

Program Overview

CalHR is implementing a new Executive Leadership Preparation Program (ELPP) to prepare leaders for handling senior or executive level leadership responsibilities (Guiding Principle #1). The ELPP is an executive leadership development program designed to help participants gain the personal insight and perspective to further expand their leadership potential and enhance key leadership skills. The goal is for participants to acquire and close the competency gaps that will enable them to become qualified competitors for future CalHR leadership positions.

While the ELPP helps develop managers to handle increased levels of leadership responsibility, it does not guarantee promotional opportunities. The ELPP operates within the parameters of the merit based civil service system to maintain an equitable hiring process and candidate selections remain transparent.

ELPP Leadership Positions

The Executive Management team are the 15 positions identified as most critical in supporting CalHR's Director and Deputy Directors. As a result, these positions are the focus of the ELPP's first iteration.

Table 2. Programs/Divisions and Leadership Positions

Program/Division	Functional Title	Classification
Administrative Services	Chief of Administration	CEA A
Benefits	Chief of Benefits	CEA B
Communications	Deputy Director of Communications	Exempt
Information Technology	Chief Information Officer (Data Processing Manager IV)	DPM IV
Labor Relations	Assistant Chief of Labor Relations	Exempt

Legal	Deputy Chief Counsel	CEA C
Legislation	Deputy Director of Legislative Affairs	Exempt
Personnel Management	Chief of Personnel Management	CEA B
Savings Plus	Administrator	CEA A
Selections	Chief of Selections	CEA A
Workforce Development Programs and Special Projects	Chief of Workforce Development Programs and Special Projects	CEA A
Office of Financial Management and Economic Research	Chief of Financial Management and Economic Research	CEA A
Office of Civil Rights	Chief of Civil Rights	CEA A

The sixteen (16) executives participated in a Succession Planning Survey identifying critical competencies for their positions. The classifications ranged from CEA A to CEA B, and Exempt. All classifications are Executive Management level.

Table 3. Gender and Classification

Gender	# CEA B	# CEA A	Exempt
Men	1	4	4
Women	2	3	2

Participants identified and ranked the Core and Leadership competencies which contribute towards their ability to lead the Division's/Program's critical functions, and support the mission and achieve strategic goals.

Table 4. Core and Leadership Competencies

Core Competencies	Leadership Competencies
Adaptability	Business Acumen
Collaboration	Inspirational Leadership
Communication	Results-Driven
Customer Engagement	Stewardship
Digital Fluency	Talent Management
Ethics and Integrity	Vision and Strategic Thinking
Fostering Diversity	
Innovative Mindset	
Interpersonal Skills	
Resilience	

The top three common competencies identified in the survey results were: 1) Collaboration; 2) Communication; 3) Ethics & Integrity. While most leadership competencies received a high-ranking score, the core competencies were rated as a higher priority to the Executive Management team. Leadership competencies were secondary.

Table 5. Competencies

Top 3 - Core Competencies	Secondary Top 3 - Leadership Competencies
Collaboration	Inspirational Leadership
Communication	Results-Driven
Ethics & Integrity	Business Acumen

ELPP Candidate Pool

The ELPP aims to address those positions most closely able to promote into CalHR's executive leadership roles, which include SSM II and III positions or equivalent. The group that will participate in the program are the SSM II and III positions or equivalents.

Minimum Qualifications

In order to ensure optimal utilization of resources, applicants must meet the minimum qualifications:

- SSM II and III positions or equivalent
- Not on probation, Limited Term or Training and Development Assignment
- In good standing
- Supervisor approval

Application Process

An announcement will be emailed to CalHR employees inviting them to participate in a seminar to answer questions about the program. For the purposes of CalHR's ELPP administration, a self-nomination process will be used to identify participants. Employees interested in participating in the

program will discuss their interest with their manager and Division Chief and complete an application. The application will include among other things, identification of the following:

- Years of State Service
- Position of interest
- Education
- Internal and external leadership experience
- Statement of interest
- Leadership Philosophy
- Self-assessment of competency levels

The application process will serve as an equitable and objective process for identifying and selecting interested candidates. Applications will be reviewed by Human Resources to ensure all minimum requirements for participation are met. The program participants will include a limited number of participants each year. If the number of applicants exceeds the capacity of the program, a selection process will be applied.

Leadership Development Plan

Feedback is critical to improving performance and should be used in conjunction with setting developmental goals. The participant, manager and mentor will collaboratively identify up to two developmental goals. They will identify an appropriate timeline within the duration of the program and desired results to monitor progress on achieving each developmental goal. The goal of development planning is to understand participant strengths and gaps, and then to set goals and a plan of action that will prepare the participant to successfully assume new roles.

Division Chiefs, managers, and mentors monitor participants' progress on an ongoing basis and track completed milestones. Progress updates on participant's progress will be completed, at minimum annually, and sent to Personnel.

ELPP Components

The ELPP will include the following:

- Initial 360 assessment to provide participants with feedback on their leadership behaviors and receive important feedback on how others perceive them as leaders
- StrengthsFinder assessment for participants to identify their top five strengths and a training session
- SMART goals training session to understand and set SMART goals to incorporate in development action plan
- Two (2) full day competency based training sessions that are aligned with specific core and leadership competencies identified by the executive team
- One (1) elective workshop to address a specific skills gap
- Two (2) one (1) hour coaching sessions for the initial and follow-up 360 assessments
- Follow-up 360 to measure improvement
- Monthly one-on-one mentoring sessions with an executive
- Focus group evaluation sessions

Appendix B illustrates the final program structure and offerings.

Conclusion

CalHR's employees are its most valuable resource. The organization strives to foster a culture that supports the development of its staff. With the CalHR Workforce Plan complete, and many of the initiatives underway, we are excited to roll out succession planning as the next phase of securing and developing our workforce. As we move forward to build a deeper bench to continue to ensure the success of CalHR's important mission, we continue to listen to the voices of our valued employees.

Appendices

Appendix A: Leadership Pipeline Categories and Classifications

Appendix B: Executive Leadership Preparation Program Overview

Appendix C: Action Plan

Appendix A: Leadership Pipeline Categories and Classifications

Classification – Bridging Development
Associate Governmental Program Analyst
Personnel Program Analyst
Administrative Assistant II
Associate Personnel Analyst
Senior Accounting Analyst
Accounting Administrator I (Spec)
Senior Accounting Officer (Spec)
Senior Programmer Analyst (Spec)
Staff Information System Analyst (Spec)
System Software Specialist II (Tech)
Associate Information System Analyst (Spec)
Labor Relations Counsel I/II/III/IV

Classification – Supervisor Development
Staff Services Manager I
Staff Services Manager II
Personnel Program Advisor
Staff Personnel Program Analyst
Staff Programmer Analyst (Spec)
Staff Information System Analyst (Sup)

Classification – Manager Development
Staff Services Manager III
Personnel Program Manager II
Staff Services Manager II (Managerial)
Data Processing Manager II
Senior Programmer Analyst (Sup)
System Software Specialist II/III (Sup) & (Tech)
Personnel Program Manager I

Classification – Executive Development
Director (Exempt)
Deputy Director of Operations (Exempt)
Deputy Director of Labor Relations (Exempt)
Chief Counsel (Exempt)
Deputy Director of Legislative Affairs (Exempt)
Deputy Director of Communications (Exempt)
Career Executive Assignments
Data Processing Manager IV

Appendix B: ELPP Overview

ELPP Component Overview
Open To Managers II & III Positions or Equivalent
Program limited to: Dependent on available mentors
Self-Nominate With Application _Minimum Qualifications are:_ • Supervisor Approval • In good standing • Cannot be on probation, Limited Term or Training & Development Assignment _Application Process includes:_ • Years of State Service • Position of interest • Education • Internal and external leadership experience • Statement of interest • Leadership Philosophy • Self-assessment of competency levels
Participate in 360 LPI Survey with an hour coaching session to review results
Applicant completes Leadership Development Plan based on "skills gap" from StrengthsFinder and 360 assessment, and the leadership competencies identified for the Executive Management position of interest
2 Leadership Workshops + 1 Elective Workshop (to address a specific skills gap) Based on Executive Interviews and CalHR Values & Goals
Paired with executive for 9-month mentorship Meet monthly
Leadership Book or other resource – tied to one of the workshop topics
Participate in follow-up 360 LPI Survey with an hour coaching session to review results
Focus group evaluation sessions for participants and executives

Appendix C: Action Plan

Initiative *What is the name of the initiative?*	Performance Indicators *How will we know we achieved our goal and what will success look like?*	Due Date *When will it be completed?*
LSP Initiatives – Leadership Pipeline Development		
Educate employees on Individual Development Plan toolkit containing self-service tools and resources for Managers, Supervisors and employees to access	Increase completion rate of IDPs for all CalHR employees by 20 percent each year.	Ongoing (annually due January 31st)
Develop department-wide mentorship model for all levels of leadership to support their leadership development and mentorship opportunities available to all class levels	By December 2018, 10 percent of the leadership team and non-supervisory staff will participate in a CalHR mentorship program as either a mentor or a mentee.	December 2018
Explore and expand leadership development resources available to CalHR employees	Increase CalHR employee access to a wide variety of leadership development tools and resources (i.e., access to CalPERS Learning Center and State Library).	May 2018
Identify training targeted toward the development of each classification	Training class list for each classification used at CalHR.	September 2018
LSP Initiatives – Bridging Development		
Offer a lunch time seminar hosted by a panel of CalHR leaders that talk about what it means to be part of the CalHR leadership team	Hold quarterly lunchtime seminars for non-supervisory staff interested in learning more about leadership.	September 2018

Initiative *What is the name of the initiative?*	Performance Indicators *How will we know we achieved our goal and what will success look like?*	Due Date *When will it be completed?*
Market statewide training offerings of the [So You Want to be a Supervisor](#) course, and other related external training offerings	Market trainings via various division and staff meetings and both electronic and hard copy marketing materials to increase enrollment by CalHR employees by 20 percent.	Based on program enrollment dates
Create a formal training plan to develop employees' future leadership career goals utilizing internal and external training	Formalized career development plan is on file with Personnel and employees are attending the recommended training according to their plan.	October 2018
Develop job shadow program	Twenty percent of divisions participate in program.	October 2018
LSP Initiatives – Supervisor Development		
Ensure all new supervisors attend the mandatory 80 hour training within their first year	One hundred percent of supervisors complete required training and submit certificates of completion on time.	Ongoing
Provide list of leadership classes mapped to competencies to help the supervisors determine the appropriate classes to attend for their development	Formalized list of leadership training courses is created and employees are informed and attending training relevant to their competency gaps.	October 2018
Ensure all supervisors complete their 20 hours of continued leadership development training every two years	One hundred percent of supervisors complete required training and submit certificates of completion on time.	Ongoing
Increase participation in Sacramento State's Leadership for the Government Supervisor Portfolio Program by 20 percent	Increase participation rate by 20 percent from previous year.	Based on program enrollment dates
LSP Initiatives – Manager Development		

Initiative *What is the name of the initiative?*	Performance Indicators *How will we know we achieved our goal and what will success look like?*	Due Date *When will it be completed?*
Ensure all new managers attend the 40 hour manager development training within their first year	One hundred percent of managers complete required training and submit certificates of completion on time.	Ongoing
Provide list of leadership classes mapped to competencies to managers to help them determine the appropriate classes to attend for their development	Formalized list of leadership training courses is created and employees are informed and attending training relevant to their competency gaps.	October 2018
Ensure all managers complete their 20 hours of continued leadership development training every two years	One hundred percent of managers complete required training and submit certificates of completion on time.	Ongoing
Increase participation in Sacramento State's Leadership for the Government Manager Portfolio Program by 15 percent	Increase participation rate by 15 percent from previous year.	Based on program enrollment dates
Send eligible and interested employees to the Intergovernmental Management Training Program	Market and send one eligible and interested employee a year.	Based on program enrollment dates
LSP Initiatives – Executive Development		
Ensure all new executives attend the mandatory 20 hour executive leadership development training within their first year	One hundred percent of executives complete required training and submit certificates of completion on time.	Ongoing
Offer executive coaching and/or	Develop resource page on SharePoint to provide	October 2018

Initiative *What is the name of the initiative?*	Performance Indicators *How will we know we achieved our goal and what will success look like?*	Due Date *When will it be completed?*
mentoring resources	tools/tips and resources.	
Offer two executive seminars (two hour facilitated sessions) on relevant leadership competency topics (i.e. how to be an effective project sponsor, etc.)	A minimum of two seminars offered with 80 percent or more attendance.	October 2018
Ensure all Executives complete their 20 hours of continued leadership development training every two years	One hundred percent of executives complete required training and submit certificates of completion on time.	Ongoing
Increase participation in Sacramento State's Leadership for the Government Executive Portfolio Program by 10 percent	Increase participation rate by 10 percent from previous year.	Based on program enrollment dates

LSP and ELPP Contact

CalHR Human Resources Office

Program Coordinator: Chief of Human Resources

Email: LSP@calhr.ca.gov

Phone: 916-324-9408