

Succession Management Plan Checklist

What is the Succession Management Plan Checklist?

The Checklist is a tool to support and identify the most critical tasks for an organization's succession management plan (SMP). Completion of the Checklist assists organizations and CalHR in identifying:

- **Success Factors:** Recognize factors that impact the effective completion of an organization's succession management plan.
- **Skill Gaps:** Determine gaps in competencies necessary for leadership and other critical roles.
- **Compliance:** Ensure alignment with regulatory requirements.

When should we use the Checklist?

The organization can use the Checklist when they are creating and evaluating their succession management plan. CalHR reviews compliance with these requirements through an annual survey and collects SMPs each July to ensure adherence.

Who should use the Checklist?

The succession management steering committee, or individual(s) involved in succession management for an organization, should utilize the Checklist.

Why use the Checklist?

The Checklist supports a structured approach to succession planning, ensuring alignment with the organization's strategic objectives and workforce needs.

How does an organization use the Checklist?

1. **Review SMP Policy Requirements:** Review the items in the first column to determine if your organization's SMP includes the necessary deliverables and aligns with policy requirements
2. **Mark Off Policy:** Tick off items the plan meets in the second column.
3. **Repeat as Needed:** Continue evaluating until all policy requirements/deliverables are met.

Note: *The SMP Checklist is not an evaluation of the effectiveness of succession management strategies. Each strategy should include key performance indicators to evaluate the effectiveness of the plan.*

For Assistance: Contact CalHR's Statewide Workforce Planning Unit at wfp@calhr.ca.gov with any questions or feedback on the Checklist.

Organization:

Plan Date:

Reviewer:

Date Reviewed:

Policy Requirements	Included	Notes
1. Strategic Alignment Description of how plan aligns with strategic goals and any workforce-related risk controls reported in the State Leadership Accountability Act (SLAA) report.	<input type="checkbox"/>	
2. Key Position Identification Identification of key positions. Key positions are defined as leadership, highly technical and other mission-critical positions	<input type="checkbox"/>	
3. Methodology for Prioritization Methodology to identify and prioritize key positions and the pipeline(s) to potentially succeed them.	<input type="checkbox"/>	
4. Competency Model Competency model identification	<input type="checkbox"/>	
5. Key Position Competencies Current and future competencies needed for key positions.	<input type="checkbox"/>	
6. Pipeline Readiness Assessment Methodology for assessing the pipeline's current competencies and overall readiness for succession to key positions.	<input type="checkbox"/>	
7. Gap Analysis Identification of current and future gaps between the pipeline's existing competencies (supply) and the competencies needed (demand) to perform duties of key positions and targeted strategies for addressing the pipeline's competency gaps.	<input type="checkbox"/>	
8. Underutilization Plan Underutilization plan for any key positions that are in areas of underutilization as defined in WFA.	<input type="checkbox"/>	
9. Development Strategies Development strategies to position the organization's pipeline for career advancement readiness (i.e., Recruitment, Professional Development, Knowledge Transfer, Mentoring.)	<input type="checkbox"/>	
10. Implementation Action Plan Implementation action plan with solutions for addressing current and future SMP gaps that includes the following: <ul style="list-style-type: none"> • Strategy description • Alignment with strategic, WFA, and any Underutilization Plan goals • Timeline for implementation • Key Performance indicators • Success Criteria 	<input type="checkbox"/>	

<p>11. Evaluation Process Process and timeline to evaluate the SMP’s effectiveness for accomplishing planned outcomes using key performance indicators and benchmark data.</p>	<input type="checkbox"/>	
<p>12. Current Plan The current plan covering no more than a five-year span, unless otherwise strategically aligned with enterprise goals.</p>	<input type="checkbox"/>	
<p>13. Approval Signature of Department Director.</p>	<input type="checkbox"/>	