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). The Checklist assists organizations and CalHR in identifying areas of strength and weakness in succession management efforts. Completion of the Checklist assists organizations and CalHR in identifying:

- Factors that contribute/hinder to the successful completion of your organization's succession management plan.
- Training or consultation areas that may be needed.
- Identifying gaps in knowledge, skills, and abilities for competency development.
- Additional improvement areas in the completion of your organization's succession management efforts where best practices can be implemented.

When should an organization use the Checklist?

The organization can use the Checklist when they are creating and evaluating their succession management plan.

Who should use the Checklist?

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

How does an organization use the Checklist?

The Checklist is organized into five phases which are aligned with the State of California Workforce Planning Model and the three parts of the State of California Succession Management Model. The following steps will assist in utilizing the Checklist to conduct a thorough evaluation:

1. Determine whether or not the organization's SMP contains/demonstrates the SMP deliverables listed in the first column of each section. For detailed information about the SMP Item, refer to the associated part in the State of California Succession Management Model.
2. Check the box in the second column if the plan contains/demonstrates the SMP Deliverable and/or policy requirement.
3. Use results to begin making improvements to your succession management efforts.

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4. Continue utilizing the Checklist to evaluate and improve succession management efforts until all SMP deliverables have been achieved, indicating a complete succession management effort.

Note: The Succession Management Plan 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:

Consultant: Date Reviewed:

Phase 1: Documentation of organization strategic direction, critical functions, and environmental factors that impact organization's workforce.	Included	Notes
Message of support from executive.	☐	
Succession Management Coordinator contact information.	☐	
Policy Requirement 1 Description of how plan aligns with strategic goals and any workforce-related risk controls reported in the State Leadership Accountability Act (SLAA) report.	☐	
Identification and analysis of internal factors and the impact on mission, critical functions, and future implications.	☐	
Summary of the succession plan development approach or process and how plan addresses organization's unique challenges.	☐	

Phase 2: Comprehensive analysis of the organization's staffing and competency gaps and an ordered list of the organization's classifications by risk level.	Included	Notes
Policy Requirement 2 Identification of key positions. Key positions are defined as leadership, highly technical and other mission-critical positions.	☐	

Phase 3: Strategies for where you want your organization's workforce to be in the next three to five years which will serve as the basis for your succession plan. Part 1: A written document identifying the prioritized high-risk key positions to be addressed through succession management at your department. Part 2: assesses internal competency and staffing resources to identify gaps for filling succession management needs through employee recruitment, development and/or retention. Part 3: identifies strategies to address succession planning needs based on competency gaps existing in the current talent pool.	Included	Notes
Policy Requirement 3 Methodology to identify and prioritize key positions and the pipeline(s) to potentially succeed them.	☐	
Policy Requirement 4 Competency model identification.		
Policy Requirement 5 Current and future competencies needed for key positions.	☐	
Policy Requirement 6 Methodology for assessing the pipeline's current competencies and overall readiness for succession to key positions.	☐	
Policy Requirement 7 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.	☐	
Policy Requirement 8 Underutilization plan for any key positions that are in areas of underutilization as defined in WFA.	☐	
Policy Requirement 9 Development strategies to position the organization's pipeline for career advancement readiness (i.e., Recruitment, Professional Development, Knowledge Transfer, Mentoring.)	☐	
Policy Requirement 10 Implementation action plan with solutions for addressing current and future succession management gaps that includes the following: • Strategy description • Alignment with strategic, WFA, and any Underutilization Plan goals • Timeline for implementation • Key Performance indicators • Success Criteria	☐	

Phase 4: A coordinated and measurable effort to carry out and support the strategies of the succession plan.	Included	Notes
Training plan for educating and providing tools and resources to all parties identified in each strategy's project plan regarding their responsibilities.	☐	
Communication plan to provide information to stakeholders and employees and maintain engagement and support for the plan.	☐	

Phase 5: An evaluation of the outcomes and effectiveness of the succession plan and related activities.	Included	Notes
Policy Requirement 11 Process and timeline to evaluate the SMP's effectiveness for accomplishing planned outcomes using key performance indicators and benchmark data.	☐	
Policy Requirement 12 Current plan covering no more than a five-year span, unless otherwise strategically aligned with enterprise goals.	☐	
Action plan being adhered to and adjusted as needed.	☐	
Governance established and providing continuing plan monitoring.	☐	
Demonstrated progress in implementing corrective measures and resolving/mitigating issues.	☐	
Policy Requirement 13 Signature of Department Director.	☐	

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Policy Requirements Reference

To meet the minimum requirements a SMP must include the following:

1. Description of how plan aligns with strategic goals and any workforce-related risk controls reported in SLAA.

2. Identification of key positions. Key positions are defined as leadership, highly technical and other mission-critical positions.

3. Methodology to identify and prioritize key positions and the pipeline(s) to potentially succeed them.

4. Competency model identification.

5. Current and future competencies of key positions.

6. Methodology for assessing the pipeline's current competencies and overall readiness for succession to key positions.

7. 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.

8. Underutilization plan for any key positions that are in areas of underutilization as defined in WFA.

9. Development strategies to position the organization's pipeline for career advancement readiness.

10. Implementation action plan with solutions for addressing current and future succession management gaps that includes the following:

    a. Strategy description

    b. Alignment with strategic, WFA, and any Underutilization Plan goals

    c. Timeline for implementation

    d. Key Performance indicators

    e. Success Criteria

11. Process and timeline to evaluate the succession management plan's effectiveness for accomplishing planned outcomes using key performance indicators and benchmark data.

12. Current plan covering no more than a five-year span, unless otherwise strategically aligned with enterprise goals.

13. Signature of Department Director.