



# CEA

*(Career Executive Assignment)*

## SUCCESSION PLAN

*As of*  
*JULY 2010*



*DIVISION OF WORKFORCE PLANNING & DEVELOPMENT*

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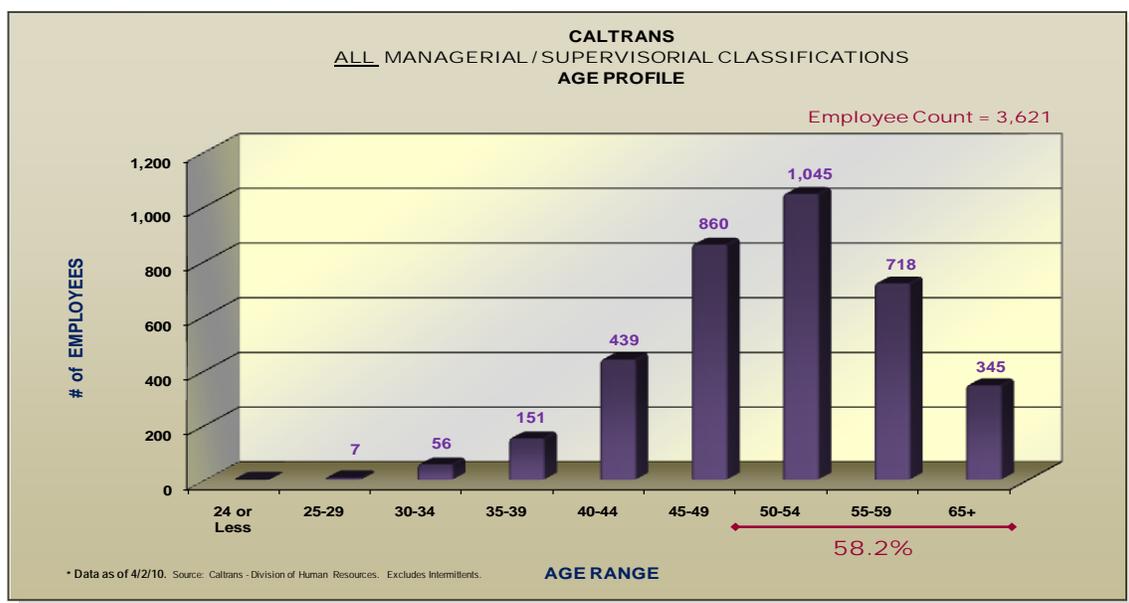
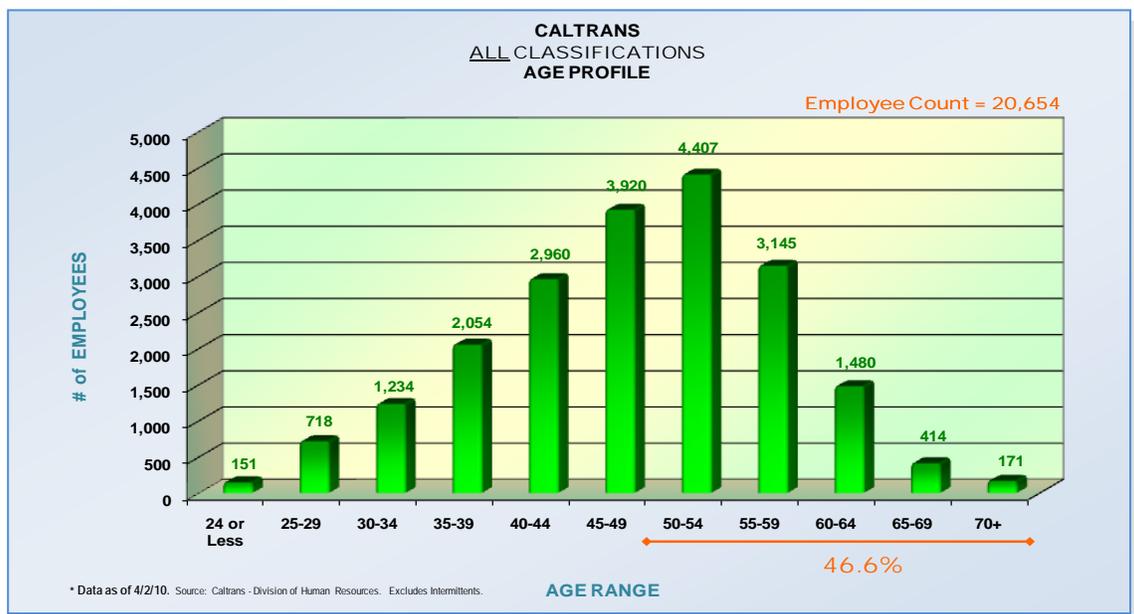
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# 1. SUCCESSION PLANNING OVERVIEW

Succession Planning specifically focuses on having the right leadership in place at every level of the organization. For Caltrans, this process involves determining where leadership positions are promoting from within the Department, identifying demographic composition and patterns through data analysis, and effectively developing existing staff to become the Department's future leaders. The Succession Planning process also underscores the importance of introducing coordinated Knowledge Transfer strategies within the Programs to ensure institutional know-how does not vanish when existing leaders retire.

## FY 09-10 AGE PROFILES

### All Caltrans Classifications vs. Leadership (Managerial / Supervisorial) Classifications



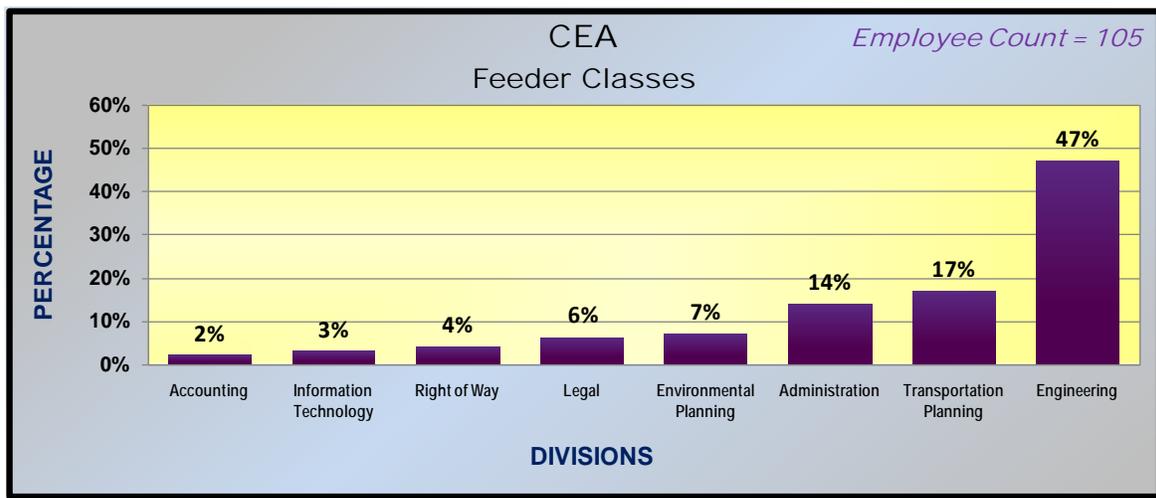
The **Career Executive Assignment (CEA)** occupational group represents the largest segment of executive leadership within the Department. They are charged with guiding and managing Caltrans' five major Program areas (Capital Outlay Support, Operations, Maintenance, Administration, and Local Assistance) and are largely concentrated at the Division Chief level and above throughout Headquarters as well as the 12 geographic Districts.

CEA's are a diverse group, hailing from a multitude of classes and disciplines from across the Department. The occupational series / groups focused on to date in the Workforce Planning process comprise the majority of 'feeder' classes, or candidate pool, for the CEA level. More specifically, it is the supervisory and senior classes that sit atop the career ladders of these respective occupational series where candidates are primarily sourced from.

## 2. CEA & CORE FEEDER CLASSES

As of April 2010, the Department has **105** individuals serving in the capacity of CEA. The chart below shows the eight core occupational groups / series CEA staff promote from, as well as the current overall distribution pattern between the functional areas. Clearly, Engineering classifications supply the greatest proportion of the Department's existing executive leadership – at almost one half of the entire population.

### Core Feeder Occupational Groups - CEA Series

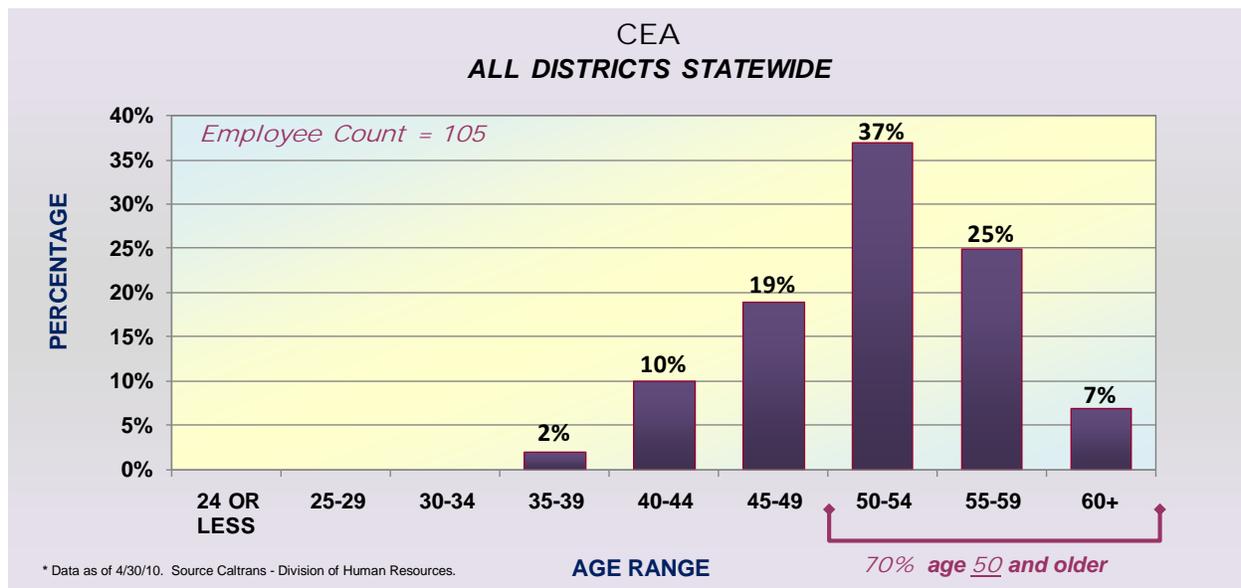


\* Data as of 4/30/10. Source Caltrans - Division of Human Resources.

### 3. CEA DEMOGRAPHIC INFORMATION

Succession Planning will play an increasingly critical role in the Department going forward as evidenced by the fact that **70 percent** of CEA staff are 50 years of age or older. Although the average age of retirement for CEA's is currently **59**, this still does little to diminish the reality that nearly three-quarters of the *entire* CEA occupational group has reached retirement eligibility.

#### CEA Series Age Profile



### 4. PROJECTING LEADERSHIP GAPS

Having looked at the current age profile and staffing levels of the CEA series, it is clear that over the next 5 to 10 years there will be an estimated **70 vacancies** within this classification. Therefore, grooming employees in supervisory and managerial positions for the CEA level is paramount.

An examination of age profiles at the Supervising and Senior levels within the respective occupational feeder groups / series is also important, as impending retirements there could eventually create potential shortages in the CEA candidate pool. The table below provides a summary showing the percentage of employees in these select CEA feeder classes that have reached retirement eligibility.

RIGHT OF WAY		ENVIRONMENTAL PLANNING		ADMINISTRATION		TRANSPORTATION PLANNING		ENGINEERING	
CLASS	% Age 50+	CLASS	% Age 50+	CLASS	% Age 50+	CLASS	% Age 50+	CLASS	% Age 50+
Supervising Right of Way Agent	59%	Supervising Environmental Planner	40%	Staff Services Manager III	67%	Supervising Transportation Planner	83%	Supervising Transportation Engineer	51%
— ↑ —		— ↑ —		— ↑ —		— ↑ —		— ↑ —	
Senior Right of Way Agent	58%	Senior Environmental Planner	51%	Staff Services Manager II	52%	Senior Transportation Planner	60%	Senior Transportation Engineer	48%

\* Data as of 4/30/10. Source Caltrans - Division of Human Resources

It should be noted that the individual Workforce Plans for these respective occupational groups / series attempt to address retirement concerns and Workforce Gaps within the confines of their own career ladders/paths. By closing the gaps and rectifying issues within each group or series, the overall candidate pool for the CEA series will ultimately benefit.

## 5. DEVELOP PRIORITIES & IMPLEMENT SOLUTIONS

With the data clearly showing the Department needing to develop and prepare its Senior-level classifications and above for eventual succession into executive leadership positions, the Division of Workforce Planning and Development crafted and administered a questionnaire to start the process of identifying issues and developing priorities.

The Succession Planning Questionnaire (distributed in the third quarter of 2009) polled current CEA's within the Department and sought to gain insight from those in executive leadership positions. The chief goals were to gauge perceptions with regard to the promotional readiness of their staff, and also gather thoughts as to how the Department can better prepare, train, and mentor the next generation of leaders. Participants provided several key findings with regard to the critical skill sets and tools necessary for fostering successful executive leadership candidates.

### Key Findings from Questionnaire

- **68%** responded that Training Programs, including the current Leadership Training Program (LTP) and Executive Development Program (EDP), were **critical** for those managers who have expressed interest in becoming a CEA and or already in the class of CEA.
- **38%** said work / job rotation programs would be an effective way to develop, retain, and grow candidates both for a CEA assignment and within an existing assignment as well.

- Understanding key principles of management, budgeting, and communication with *both* internal and external audiences ranked high among core skills for CEA assignment consideration.
- CEA's expressed that the Department is not providing enough leadership development within the CEA feeder classes.
- Responses conveyed that recruiting for CEA appointments is increasingly becoming a hard sell due to supervisory class pay scales in certain occupational groups compared to that of CEA pay ranges.
- Participants articulated a need for future CEA's to have access to job shadowing, or opportunities to "act" in various roles/positions.
- Respondents agreed that early and sustained development of employees and clearly identifying promotional opportunities are critical best practices in boosting employee retention. This reinforces the findings of the individual occupational group / series Workforce Plans.

Insights and suggested recommendations from survey respondents were then developed into a list of possible solutions for Action Planning efforts. A table capturing these solutions is shown below. Please note that these are merely proposed CEA solutions, and have yet to be formally approved by executive management.

### ***Proposed CEA Solution Alternatives***

SOLUTION # 1
<b><i>Reinstitute Leadership Training Classes to Develop the Leaders of Tomorrow</i></b>
Contracts for the CSUS Leadership Training Class series were not renewed by the Department due to budgetary issues.
<b>Management Training Program (MTP)</b> - Designed for mid-level managers to develop and improve managerial skills through experiential learning exercises, small group problem solving / networking, and a 360-degree individual assessment tool.
<b>Leadership Training Program, Part One (LTP I)</b> - Intended for Designated Managers to assess, develop, and integrate leadership skills, theories, and practices to address critical issues confronting the Department through a highly interactive training environment. Program includes experiential learning exercises, a 360-degree individual assessment tool, and small group problem solving / networking.
<b>The Leadership Training Program, Part Two (LTP II)</b> - 'Mobility Challenge' is an executive development program building upon LTP I. Provides additional rigor preparing management for the next level of leadership by combining theory, practice, and application into a seamless development program.
SOLUTION # 2
<b><i>If Leadership Classes are Reinstated, Allow all Senior-level Employees to Participate</i></b>
Even prior to formal Succession Planning efforts, it became evident Senior-level staff were not receiving the necessary leadership training to prepare for CEA positions. Allowing participation of all willing and qualified Senior-level staff to the entire Leadership Program series would be ideal.

### SOLUTION # 3

#### ***Reinstitute Executive Development Program in a Form Allowing for More Participants***

Completion of Leadership Training courses provide the foundation for excellence in leadership at the Department. In turn, the Executive Development Program (EDP) provides the necessary experience to compete for CEA vacancies.

From 2001- 2010, 45% of eligible EDP participants have been appointed as CEAs, for a current Departmental total of 9 individuals. Given the amount of projected CEA retirements in the next five years, it is necessary to explore new ways of developing a larger candidate pool for upcoming vacancies.

### SOLUTION # 4

#### ***Knowledge Transfer***

LTP II graduates should be encouraged to hold leadership forums to discuss practical applications of the 5 Practices of Exemplary Leadership. Attendance and interaction would introduce staff to concepts otherwise unavailable while the Leadership Series is off-line. Suggested timeframe: conducted bi-monthly in both Headquarters and Districts.

A Mentoring Program tool kit has recently been introduced by the Learning & Development Office (LDO). Such a program would involve management volunteers providing mentoring to employees at appropriate levels as requested. Aspects include: discussion of career paths and necessary skills development for advancement as well as recommendations for job-shadowing opportunities, which could eventually lead to more formal job-rotation programs being introduced within functional areas. Following these steps would demonstrate the Department's commitment to career development and foster a larger, more qualified applicant pool for future positions.

### SOLUTION # 5

#### ***Outside Vendors for Classroom Training Without Contracts***

A variety of external vendors offer leadership training courses. However, the Department gets a discount of 5% - 33% for comparable courses if provided on a contractual basis. The contract also allows for customization of the classes to include Caltrans Mission, Values, and current trends.

### SOLUTION # 6

#### ***Utilize Vendors for e-Learning to Minimize Costs***

Many vendors offer business and leadership classes via the internet, ranging from \$150/person to several thousand \$/s/person. Pricing varies depending on subject matter, instruction level, and duration of the course. Task-oriented courses tend to be more effective and offer more value than those of an advanced / theoretical nature, where classroom environments are still preferable. Any online course would need to be carefully audited before allowing employees to participate.

### SOLUTION # 7

#### ***Develop In-house e-Learning Training Tools and Protocols***

Preliminary research has been conducted for developing online training via the Intranet (Onramp). Several off-the-shelf products are available, ranging in cost from zero to \$5,000/year for licensed use. A multi-divisional e-Learning steering committee is researching the feasibility of these products, which could be a cost-effective alternative to using outside contractors (e.g. \$50,000 + in development costs for just one course).

## SOLUTION # 8

### ***Update LDO Library's Leadership and Management Collection***

The LDO library/collection is an under-utilized resource for employee development. Due to fiscal restrictions, library inventory has gone without updates in several years. Outdated VHS materials need upgrading to more contemporary DVD titles, as well as procuring current Leadership, Management, and Business Communication literature/media in sufficient quantities to serve 20,000 + employees.

## S U M M A R Y

With Caltrans facing a turnover of nearly *three-quarters* of its CEA's over the next 5 to 10 years, placing an early and sustained emphasis on developing future managers and executives with the right leadership skills is imperative. Through Workforce Planning efforts at the individual occupational group / series levels within the Department, a foundation is being built to support a viable Succession Planning process to supply Caltrans with the leaders of tomorrow.

