CALHR
CALIFORNIA DEPARTMENT OF HUMAN RESOURCES

Succession Plan Checklist

What is the Succession Plan Checklist?

The Checklist is a tool to support and identify the most critical tasks for an organization's Succession plan. 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 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 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 Succession Management Model (https://www.calhr.ca.gov/state-hr-professionals/Pages/State-of-California-Succession-Management-Model.aspx). The following steps will assist in utilizing the Checklist to conduct a thorough evaluation:

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

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

Note: The Succession 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	Click here to enter text.	**Plan Date**	Click here to enter text.
Consultant	Click here to enter text.	**Date Reviewed**	Click here to enter a date.

Phase 1: Documentation of organization strategic direction, critical functions, and environmental factors that impact organization's workforce.	R	Met	Notes
Message of support from executive		☐	
Succession Management Coordinator contact information.		☐	
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.	R	Met	Notes
Identification of key positions, which could include various levels of leadership, highly technical positions, and other mission critical positions. (1)	√	☐	

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.	R	Met	Notes
Methodology to identify and prioritize key positions and the pipeline(s) to potentially succeed them. (2)	√	☐	
Current and future competencies needed for key positions. (3)	√	☐	

Phase 3 continued: Part 2: assesses internal competency and staffing resources to identify gaps for filling succession management needs through employee recruitment, development and/or retention.	R	Met	Notes
Methodology for assessing the pipeline’s current competencies and overall readiness. (5)	√	☐	
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. (6)	√	☐	

Phase 3 continued: Part 3: identifies strategies to address succession planning needs based on competency gaps existing in the current talent pool.	R	Met	Notes
Development strategies to better position the organization’s entire talent pipeline for career advancement readiness. (i.e., Recruitment, Professional Development, Knowledge Transfer) (4)	√	☐	
Action plan containing specific, measurable, achievable, realistic and time-based solutions for addressing identified current and future succession planning gaps. (7)	√	☐	

Phase 4: A coordinated and measurable effort to carry out and support the strategies of the succession plan.	R	Met	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.	R	Met	Notes
Process to evaluate the succession plan’s effectiveness for accomplishing planned outcomes. (8)	√	☐	
Current plan covering no more than a five-year span, unless otherwise strategically aligned with enterprise goals. (9)	√	☐	
Action plan being adhered to and adjusted as needed.		☐	

Phase 5: An evaluation of the outcomes and effectiveness of the succession plan and related activities.	R	Met	Notes
Governance established and providing continuing plan monitoring.		☐	
Demonstrated progress in implementing corrective measures and resolving/mitigating issues.		☐	

Policy Requirements Reference

1) Key Positions
    - Determine metrics for identifying key positions.
    - Identify key positions.
    - If applicable, establish methodology for determining priority within key positions.

    Minimum requirement: Method for identifying Key positions, which could include various levels of leadership, highly technical positions, and other positions that have a high impact on the success of your organization's mission.

2) Methodology to identify and prioritize key positions and the pipeline(s) to potentially succeed them.
    - Determine metrics for identifying pipeline.
    - (If applicable) Establish application and selection process for the pipeline into the succession program.

    Minimum requirement: Process for identifying a leadership pipeline to potentially succeed key leadership positions.

3) Competencies of Key Positions – Current and Future
    - Develop/identify competency model.
    - Determine baseline competencies.
    - Establish method for finding out the key position competencies.
    - Develop evaluation/survey/interview tool to carry out method.

    Minimum requirement: Establish method for determining the key competencies.

4) Development strategies for organization's entire talent pipeline.
    a. Identify currently existing development opportunities, refer to workforce plan.
    b. Determine if existing strategies need improvements, and identify opportunities for developing new strategies that would benefit staff at all levels.
    c. Create career development opportunities, and or identify improvements to existing strategies.

    Minimum requirement: Proposed strategies containing SMART goals, or identification of existing strategies (if not already identified in the workforce plan), for career development opportunities available to all organization's employees.

5) Methodology for assessing the pipeline's current competencies and overall readiness.
    a. Develop evaluation/survey/interview tool to carry out method.

    Minimum requirement: Methodology for assessing the pipeline's current competencies and overall leadership readiness.

6) Identification of current and future gaps in competencies.
    a. Establish method for conducting gap analysis.

b. Develop evaluation/survey/interview tool to carry out method.
c. Conduct competency gap analysis.

Minimum requirement: Establish method for conducting gap analysis

7) Targeted strategies for addressing the pipeline's competency gaps.
    a. Identify current and future competency gaps.
    b. Identify existing strategies
    c. Determine if existing strategies need improvements, and identify opportunities for developing new strategies that would further close competency gaps.
    d. Create strategies, and or identify improvements to existing strategies.

    Minimum Requirement: Proposed strategies containing SMART goals, which aim to close the competency gap.

8) Action plan

    Minimum requirement: Action plan containing specific, measurable, achievable, realistic and time-based metrics for addressing succession planning gaps.

9) Process to evaluate.

    Minimum requirement: Proposed method, and frequency, for evaluating plan's effectiveness for accomplishing planned outcomes.

10) No more than a 5-year life span