Succession Planning **1** — 2 — 3 for Senior Executives and Pivotal Positions

IDENTIFYING RISK: Planned & Unplanned Attrition

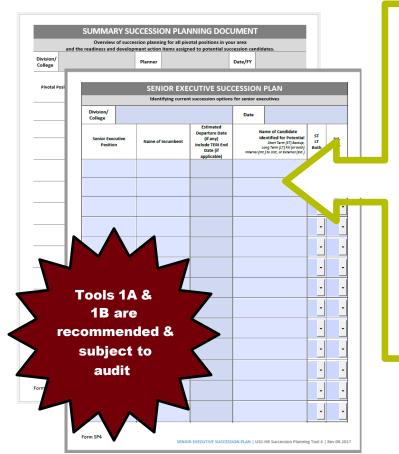
Senior Executives

STEP

 Identify senior executive positions and your plans to fill any gaps in these senior executive positions, short or long term, due to a planned or unplanned vacancy (Step 2).

Pivotal Positions Tool 1B and 1C

 Identify pivotal positions and your plans to fill any gaps in these pivotal positions, short or long term, due to planned or unplanned vacancy (Step 2).



The Senior Executive Succession Plan (Tool 1A) and the Pivotal Position Succession Plan (Tool 1B) are recommended succession planning documents and may be sent to successn@mailbox.sc.edu or saved internally within each college/campus/ division, for periodic review and audit. All succession planning documents should be reviewed and revised biannually or 6-12 months after a significant change in personnel.



Division of Human Resources Office of Organizational and Professional Development

					_	_
Division/ College			Date			
Senior Executive Position	Name of Incumbent	Estimated Departure Date (if any)	Car Identifie	ime(s) of ndidate(s) ed for Potential rrm (ST) Backup, n (LT) Fill (or both) .) to USC, or External (Ext.)	ST LT Both	Int. Ext.

Track Major Action Items to Ensure Development of Potential Succession Candidates					
Action Item	For Candidate Name	Assigned To Manage (self/other)	Deadline	Completed	

Evaluate ongoing for changes in time to departure, successor availability and development schedule and organizational needs that may affect succession planning.

Division/ College					Date	
Pivotal Pos	sition	Name of Incumbent	Estimated Departure Date (if any)	Name(s) of Candidate(s) Identified for Potentia Short Term (ST) Backup, Long Term (LT) Fill (or both, Internal (Int.) to USC, or Exter (Ext.)	Both	Int. Ext.

Track Major Action Items to Ensure Development of Potential Succession Candidates					
Action Item	For Candidate Name	Assigned To Manage (self/other)	Deadline	Completed	

Evaluate ongoing for changes in time to departure, successor availability and development schedule and organizational needs that may affect succession planning.

Pivotal Roles Assessment

Tool 1C

Employee Name:	Department:	Date:
Position Title:	Division:	Manager:

Please	indicate the extent to which	
you ag	ree with the following	
statem		
1.	This role is essential to	
	organizational success for	
	reaching goals and producing	
	results.	
2.	This role directly impacts the	
	organization's critical	
	relationships.	
3.	The loss of a person in this role	
	presents significant risk to the	
	organization.	
4.	It would be difficult to delegate	
	the duties assigned to this role.	
5.	The skills & competencies	
	required to perform this	
	position are highly sought after	
	in the labor market.	
6.	There is no internal pool for	
	this position of qualified	
	candidates who could step if it	
	becomes vacant.	
7.		
	high turnover rate.	
8.	This position would be difficult	
	to fill because it requires highly	
	specialized expertise.	
9.	It would take a long time for a	
	new hire to become fully	
	functional in this position.	
10.	This position leverages long-	
	term partner relationships.	
	Total:	

Source: University of Virginia

Manager Comments:

Strongly Disagree:	0
Disagree:	1
Disagree Somewhat:	2
Agree Somewhat:	3
Agree:	4
Strongly Agree:	5

HIGH	Vital	41-50
	Mandatory Succession	
	Plan	
	Significant	21-40
	Succession Plan	
	Strongly	
	Recommended	
	Fundamental	11-20
	General succession	
	plans as needed	
LOW	No urgent need for	0-10
	succession plan	

A Critical Role significantly impacts the overall essential needs of the organization.

A Critical Role may include hierarchical level, specialized knowledge, skills and abilities, external relationships, strategic change initiatives and leadership roles.

Succession Planning 1 — 2 — 3 for Senior Executives and Pivotal Positions

IDENTIFYING POTENTIAL CANDIDATES

Short Term Tool 2 Back Up / Interim

STEP

- Identify who has been trained to perform their duties and most critical tasks in the short term. Can be multiple people.
- Identify who could be trained. (Step 3)

	Short-Term Ba position vacate temporarily. D	ckup –Internal Id unexpected Io not limit you	d the table below, to record the inc I Candidate: Consider who could pr ly. If there is not one single individu rself to those individuals in your im nilar skills and duties.	ovide immediate, s ual, consider how y	short-term backup fo ou could divide the c	or a duties			
Assessed Succession Canadates	strong candida	tes who could	didate: Consider high potential employees who are now, or may develop into I compete for the position through the search and selection process. Consider those interest in promotion, not fully challenged in their current position, and/or are						
	Long-Term skills or knc		VACANCY C	DF PIVOTAL	POSITION PL	AN			
		Us	e this form to facilitate assessment o	f risk, and developm	nent of mitigation stra	ategies, for key positions.			
	N	Division/ College		Plann	ner				
			Pivotal Position Title	Name of	Incumbent	Today's Date			
		ART 1 – Identify Pivotal Positions and Time to Departur	Specialized knowledge, skills and abi	lities (KSA):					
	If the curre	ions and Tim	How would vacancy affect the area in trends, opportunities, challenges, vis		s and leadership (critic	al functions, relationships, future			
	support for	ositi							
	developme	e le	Anticipated date or timeframe of	Encl. a					
	the organiz	vot		Within the year 2-3 years	3-5 years	Date of departure, if known			
1 C 1	Capture de tools used 1	IV Pi	eligibility, desire for transfer, etc.) and note reason:						
	plan with d	enti	How long would it take to recruit for	or replace this positi	ion?				
	will work to are four ste	르	How long would it take a qualified re		Secondary as been				
	1.) An	R 1	How much critical institutional know			ture? Does a procedure or			
	3.) Ide	PA	operational guide exist or need deve	loping for this position	on? If so, please note	your plan to accomplish.			
U	Note: It is i unexpected goals, will succession	REFLECT	Does this position need to be refilled, opportunity to restructure the positic strategic goals for this area and the s	on (PD), department	or division to better m	eet the long-term vision and			
	1.) Pix		Brainstorm individuals, internally an	nd externally, who <u>m</u>	nay have the potential	l, below or on Tool 5:			
	2.) Ca	5	-						
alue	the	essia							
	3.) Or;	ucci 3 <i>B</i>							
	chi	ial S s and :							
	Develop pic	tent ates 3A c							
		PART 2 – Identify Potential Suc Candidates Utilize: Tools 3A and 3B	Use the following succession plannin work with members of your manage	ement team whenev	er possible to comple	te your assessments.			
		! – Idei Utilize	1.) Leadership Performance and Po individual employees in the area						
		12	2.) 9 Box-Model: After scoring each			Model for a bigger picture view of tely positioned each individual.			
P2		PAR				e them for a future role. (Tool 3B)			
P2		PAR		r, should provide eac	h individual to prepare	e them for a future role. (Tool 3B)			

Long Term Tool 2 Potential Replacement

- Identify who has been developed to fill this role: duties, relationships, expectations, exposure, etc.? Can be multiple people.
- Identify who could be recruited and developed. (Step 3)

The Vacancy of Pivotal Position Plan facilitates assessment of risk, and development of mitigation strategies, for key positions.

Best practice for discussions and reflection around key positions, organizational structure and the readiness of potential replacements.

Refer to policy HR 2.00 for postretirement employment options.

Building our talent pool: over 1,800 LEAD graduates and over 200 graduates in our leadership development programs The Pipeline for Academy Leaders (PAL) and the Emerging Leader Program (ELP)



	VACANCY (OF PIVOTAL POSITION PLA	Ν				
	e this form to facilitate assessment o	frisk, and development of mitigation strate	gies, for key positions.				
Division/ College	Planner						
	Pivotal Position Title	Name of Incumbent	Today's Date				
me to Departur	Specialized knowledge, skills and abi	lities (KSA):					
PART 1 Identify Pivotal Positions and Time to Departure	How will vacancy affect the area in t trends, opportunities, challenges, vi	erms of operations and leadership (critical fur sion and goals)?	nctions, relationships, future				
iify Pivotal	Anticipated date or timeframe of departure: (consider retirement eligibility, desire for transfer, etc.) and note reason:	 □ Within the year □ 3-5 years □ 2-3 years □ 5-10 years 	Date of departure, if known				
dent	How long will it take to recruit for or						
1	How long will it take a qualified replacement to become fully functional?						
PART	How much critical institutional knowledge becomes unavailable with this departure? Does a procedure or operational guide exist or need developing for this position? If so, please note your plan to accomplish.						
REFLECT	opportunity to restructure the positi	/replaced as it currently exists or does this imp on (PD), department or division to better meet university? Please consider future operations	t the long-term vision and				
	Brainstorm individuals, internally a	nd externally, who <u>may have the potential</u> , bo	elow or on Tool 5:				
c							
ssio							
aucce 3B							
tial S s and 3							
tent lates 3A (
Identify Potential Succession Candidates tilize: Tools 3A and 3B	Use the following succession planning tools to <u>assess the readiness</u> of your selected individuals. To avoid bias, work with members of your management team whenever possible to complete your assessments.						
Ū.	1.) Leadership Performance and Potential Assessment: Answer "yes" or "no" to questions and "score" your individual employees in the areas of Leadership Performance and Leadership Potential. (Tool 3A)						
PART 2	 9 Box-Model: After scoring each individual, plot your results on the 9-Box Model for a bigger picture view of the readiness of each person. Review the traits to ensure you have accurately positioned each individual. Note what you, or their manager, should provide each individual to prepare them for a future role. (Tool 3B) 						
	Employees identified as candidates	for THIS VACANCY move to Part 3.					
REFLECT	Reflect on career planning conversat	ions with your staff and other potential candic	lates across the organization.				

Use the referenced tools, and the table below, to record the individuals <u>selected as candidates</u> for succession:

Short-Term Backup –Internal Candidate: Consider who could provide immediate, short-term backup for a position vacated unexpectedly. If there is not one single individual, consider how you could divide the duties temporarily. Do not limit yourself to those individuals in your immediate area. Consider others across the organization in a role with similar skills and duties.

Long-Term Fill - Internal Candidate: Consider high potential employees who are now, or may develop into strong candidates who could compete for the position through the search and selection process. Consider those who have demonstrated an interest in promotion, not fully challenged in their current position, and/or are serving in functions that are becoming obsolete or less critical to operations. Look across the organization.

Long-Term Fill - External Candidate: Consider a candidate, external to the organization, who has specialized skills or knowledge not found within the organization nor easily developed internally.

Assessed Succe	Name	Short-Term (ST) Backup Long Term (LT) Fill or Both; Internal (Int.) or External (Ext.) Candidate	If the individual is not currently prepared, briefly note additional knowledge, skills and abilities (KSA) needed. Capture details on IDP in Part 4.	Date of Anticipated Readiness
Top As		□ ST □ LT □ Int. □ Ext.		
To		□ ST □ LT □ Int. □ Ext.		
		□ ST □ LT □ Int. □ Ext.		
		□ ST □ LT □ Int. □ Ext.		
		🗆 ST 🗆 LT 🗆 Int. 🗆 Ext.		

If the current manager(s) of the designated candidates are not in a position to develop and provide ongoing support for these individuals in the necessary operational competencies and leadership behaviors outlined in their development plan - consider moving them under a different, proven leader or identify a mentor from elsewhere in the organization.

Capture development goals in their **Individual Development Plan (IDP).** Individual Development Plans (IDPs) are tools used to help employees develop their skills by setting goals and then organizing those goals into a cohesive plan with defined timeframes and expected results. Succession Planners, succession candidates and managers will work together to tailor the IDP to ensure it meets the needs of the individual and the organization. There are four steps to developing an IDP:

- 1.) Analyze Development Needs 2.) Set Goals
- 3.) Identify Activities, Training and Experiences 4.) Define Success Criteria and Time Lines

Note: It is important to monitor and evaluate IDP results. IDPs evolve as individuals evolve (or not, due to the unexpected, lack of support, opportunities, etc.). Employees, who are not on track with their development goals, will need to be re-evaluated. You may need to accelerate the development of other identified potential succession candidates to fill the gap.

te	 Pivotal Position: has anything changed in their departure date? Candidate: is their development on track; are they still employed and engaged; are 	Target Evaluation Date
Part 5 Evaluate	they still interested in this role or a different role/career; motivations aligned?	
Pa Eva	3.) Organization: has anything changed in the organization that could necessitate a change in this plan (direction of organization, vision, goals, talent pool)?	
PREPARE	Develop plans to onboard the final, selected candidate; initiate strategic salary discussions with H	R Class & Comp.

REFLECT

Create Individua

Part 4

Development Plans (IDP)

Utilize: Tool

Succession Planning 1 — 2 — 3 for Senior Executives and Pivotal Positions

STEP

3

ASSESSING & DEVELOPING POTENTIAL CANDIDATES

Identify & Assess

9-Box Assessment9-Box ModelPotential Talent Pool Worksheet

Develop

Individual Development Plan (IDP) Cross Training and Knowledge Management Worksheet

The Office ofOrganizationalandProfessionalDevelopmentisavailabletoassistyouwithdeveloping your succession plans.

They have provided multiple **tools** to spark *impartial* discussions, reflection and thoughtful assessment during this process. In addition, roadmaps to cross train and develop your potential candidates.

Please contact Nathan Strong (7-3508) or Kim Pruitt (7-3529) to set schedule an appointment.

Ongoing career development conversations, planning and exposure are critical to the development of our existing and future high potential successors.



SOUTH CAROLINA

PERFORMANCE-POTENTIAL ASSESSMENT								
			succession planner should answer the following questions prior to placing	indiv	idua	ıls		
on the 9-Box to ensure consistency and	remo	ve any	bias in assessing your employees' performance and potential.					
Employee Name:			College/Division & Position:					
Defining Leadership Performance		No	Defining Leadership Potential	Hi-2	Med-1	Low-0		
 Is self-motivated and results-focused with a solid history of high job performance and goal achievement 			1. Could the employee perform at a higher level, in a different position or take on increased responsibilities within the next year (consider the person's ability only, not whether there is a position available to support this growth)?					
2. Respectfully challenges the status quo, displaying creativity, innovation and progressive thinking; is open, and easily adapts to, new processes, perspectives and changes in business processes and practices, even when generated by others			 Could the employee perform at a higher level, in a different position, or take on increased responsibilities within the next three years (consider the person's ability only, not whether there is a position available to support this growth)? 					
3. Is effective in resolving interpersonal conflict; displays an ability to stay focused on the situation and negotiate effective solutions.			 Can you envision this employee performing two levels above his or her current position in the next five to six years? 					
4. Displays excellent verbal and written communication skills by delivering clear, concise and convincing messages			4. Is the organization likely to value growth of the skills and competencies of this employee over the next several years?					
 High standard of personal conduct: honest, trustworthy, accountable for their actions/responsibilities, and delivers on their promises 			5. Could the employee learn the additional skills and competencies he or she needs to be able to perform at a higher or different level?					
 Builds strong, positive relationships that create success for themselves and those around them; effective at mobilizing resources to respond to problems and opportunities as they arise 			6. Does the employee demonstrate leadership ability—by showing initiative and vision, delivering on promised results, communicating effectively, and taking appropriate risks?					
 Has a positive attitude, is inspiring and inclusive; collaborates and communicates respectfully and exemplifies a selfless, team- approach in accomplishing our mission 			7. Does the employee display an ability to interact comfortably with people at a higher level or in different areas?					
8. Thinks strategically-understands and pursues opportunities that fit with broader strategy; applies good judgment in problem analysis and critical thinking			8. Does the employee demonstrate comfort with a broader organization perspective than his or her job currently requires?					
9. Eager to learn and grow, actively seeks personal development opportunities and excels at rapidly developing new skills necessary to successful job performance			9. Does the employee demonstrate flexibility and motivation to move into a job that might have different requirements than any they have held previously?					
10. Actively solicits feedback, responds openly without defensiveness, and learns from feedback and alters behavior			10. Does the employee welcome opportunities for learning and development?					
To evaluate this employee's performance, calculate the number of "yes" responses (yes=1 pt.), check the score box below and find corresponding box on Tool 3B (9-Box) and record name. TOTALS			To evaluate this employee's potential, calculate the number of checked boxes in each column (Hi=2 pts., Med=1 pt., Low=0 pt.), check the score box below and find the corresponding box on Tool 3B (9-Box) and record name. TOTALS					
0-3 = Low □ 4-7 = Medium □ 8-10 = High □	0-6 = Low □ 7-13= Medium □ 14-20 = High □							

Division/Colle	ge: Planner:	Date):
oility	Solid Performer, Trusted, High Professional High Performance/Low Potential	Strong Performer, Current Star High Performance/Moderate Potential	Future Leader, Star Performer Ready High Performance/ High Potential
Leadership Performance - Ability		Solid Performer, Key Player, Core Employee Moderate Performance/Moderate Potential	Strong Performer, Emerging Leader Moderate Performance/High Potential
Leade	Under/Low Performer, Icebergs, Talent Risk Low Performance/Low Potential		Solid Performer, Enigmas, Rough Diamonds Low Performance/High Potential
9-Model	Low (0-15) Limited	Medium/Moderate(15-22) Growth	High (23-30) Mastery
Fillable		Leadership Potential - Aspiration	, ,

Ability	High/Outstanding (8-10) Exceeds Expectations	 Solid Performer, Trusted, High Professional High Performance/Low Potential Traits: accomplishes all important work; seen as a technical leader, a subject matter expert (SME) and a resource for others; has reached their potential; good fit in their role; Goal(s): retention, capture/document their knowledge; use as a lead or trainer for others Provide: recognition, continue developing them in their area 	 Strong Performer, Current Star High Performance/Moderate Potential Traits: accomplishes all important work; acts as a leader and role model; may exhibit capability and competencies beyond current role; leadership development still necessary in some areas; tactical focus Goal(s): engage and develop for next level up Provide: a career progression conversation and opportunities for them to display leadership in their current role: job enlargement, special project, lead a team; may need lateral transfer if existing manager unable to provide leadership development and opportunities 	 Future Leader, Star Performer - Ready High Performance/ High Potential Traits: accomplishes all important work; exhibits capability and competencies beyond current role; excels at relationship building and has wide spread influence beyond current role Goal(s): retention, prepare and utilize for succession Provide: a career progression conversation; accelerated leadership development to include stretch assignments; recognize and reward their efforts
eadership Pertormance - A	Medium/Good (4-7) Meets Expectations	 Questionable Performer, Effective, Grinders Moderate Performance/Low Potential Traits: accomplishes most important things; is not viewed as a leader in their area; proficient in their current role Goal(s): help employee be successful in their current role; coach to improve their performance; may be a candidate for a lateral move Provide: training and development; coaching; recognize their improvement efforts 	 Solid Performer, Key Player, Core Employee Moderate Performance/Moderate Potential Traits: accomplishes most important things; displays some executive competencies, leadership and ability as a role model Goal(s): retain in current role and continue development for future potential; may be considered for job enlargement Provide: more time and development 	Strong Performer, Emerging Leader Moderate Performance/High Potential Traits: accomplishes most important things; acknowledged as a leader and role model displaying executive competencies; displays capability one level above current role; strategic focus Goal(s): prepare and develop for promotion Provide: coaching and feedback to improve performance; identify career goals and support with a development plan and opportunities to learn and grow (team, project)
Lea	Low (0-3) Needs Improvement	Under/Low Performer, Icebergs, Talent Risk Low Performance/Low Potential Traits: not accomplishing most important things; not meeting the standards of their current role; not capable of making higher contributions Goal(s): help them be successful in their role or move them to a more appropriate position (laterally or demotion) or consider an exit plan Provide: diagnose causes (bad hire, lack of information, competencies & skills) and provide: coaching, feedback, performance plan or exit Low (0-15)	Questionable Performer, Inconsistent Low Performance/Moderate Potential Traits: not accomplishing most important things; capable of making higher contributions Goal(s): determine what is lacking for success in current role and focus on improving performance, likely to have range to move up one level/challenge. Provide: Provide coaching, training and development and frequent and specific feedback; recognize efforts Medium/Moderate (15-22)	Solid Performer, Enigmas, Rough Diamonds Low Performance/High Potential Traits: not accomplishing most important things; displays executive competencies and acknowledged as a team player and role model Goal: determine and address the root cause(s) of their performance problems to maximize their potential; worthy of development Provide: diagnostic conversation to identify any frustrations and necessary interventions: job fit, manager fit, career aspirations; develop in needed areas High (23-30)
	odel	Limited	Growth	Mastery
K	ley		Leadership Potential - Aspiration	

Individual Development Plan (IDP)

Employee Name:_____

Period From:______To:_____

CRITICAL BEHAVIORS/GOALS	CONTRIBUTION TO ORGANIZATION	DEVELOPMENTAL ACTIVITIES/ACTION STEPS (assignments, coaching, formal training)	MANAGER'S ROLE (or involvement of others, if applicable)	MEASURES	TARGET DATES/ MILESTONES	RESULTS (manager and/or employee comments)
What do I want? What do I need to learn? What specific behaviors do I need to model or exhibit in this competency or skill?	How does this help the college or department meet its needs?	What steps will I take to achieve this? Remember to use <u>SMART</u> goals.	What resources or support will I need? Potential costs involved?	What will my success criteria be?	What is my target completion date?	How have I succeeded in adapting my behavior or learning new skills?
Goal 1 (long-term):						
Goal 2:						
Goal 3:						
Goal 4:						

Supplemental Worksheets & Sample Forms

POTENTIAL TALENT POOL WORKSHEET

REFLECT: Does this worksheet reflect a robust and diverse talent pool? Have you considered other talent resource needs (or excess) across the									
university to address succession-planning university-wide and engage and retain our top talent?									
POSITION/ TITLE									
CURRENTLY HELD BY:									
CANDIDATES									
MOST READY									
TODAY:									
_									
NEAR TERM CANDIDATES									
(Potential in									
1-3 years)									
i Sycursy									
FUTURE CANDIDATES									
(Potential in 5+ Years)									
5, 16013									

Knowledge Management and Transfer (Cross-Training) – Worksheet For tasks and activities (not entire roles) that need to be captured and cross-trained for continuity of operations.														
Critical To	2.)	Continu	ity of busine	g knowledge that otherwise would exit with the employee and missing, could impede business operations ty of business operations during expected/unexpected absences and vacancies: FMLA, Succession, Turnover, Promotion, etc. ing and training new hires more efficiently and effectively through documented processes										
Area	Da	ate			C	Division or (College					l	Manager	
Ar	Emp	loyee							Position					
Instructions	 Complete this worksheet with the employee to rank activities in order of importance and designate people for cross training. What core activities do you do at work? Each process name should have a verb (action word). Each process should relate to only one delegable job role. Examples: conduct performance reviews, conduct interviews, perform monthly reports, reconcile weekly finance statements, schedule all class schedules, reserve all rooms, facilitate a conference, enter all payments, etc. Rank each activity in order of critical business operation importance and supply the amount of time you spend on this task each week. 													
vity	Rank		C	ore Work	(Activity			Est. Hours Spent Weekly on Activity	Primary	Backup 1 Name & Deadline	Backup 2 Name & Deadline	Assigned Trainer	Process Documented (Y/N) & Deadline	Assigned to Document
Rank and Note Each Core Work Activity	1													
Worl	2													
Core	4													
ach (5													
ote E	6													
N pu	7													
ink ai	8													
Ra	9													
	10													

Core Work Activity / Business Process - Documentation Guidelines

Purpose: When designating an activity as a critical business operation process and assigning it for cross training, create a business process document to define/outline all aspects of this activity for successful training and to capture as part of your knowledge management strategy. Below is just a sample of the things necessary to document a process for effective sharing of activity knowledge.

Activity/Business	Purpose of the Activity and the Scope of work.		
Process	What is the intention/objective of the process (why do it?) and when and where does it apply?		
Roles	Roles of all involved in process and their functions to ensure role clarity		
ContactsExternal contact information – special phone numbers, email addresses for the customer/client/end-user. (ex. spInternal contact information - for those involved in the process.			
Definitions & Acronyms	Consistent operational definitions; acronyms should be defined to ensure proper interpretation		
Process Flow	 Standards & Guidelines (any standards, policies, rules governing this process) Process (show a flowchart where necessary) Procedures (step 1, step 2, step 3) Consider that many people who perform the same activity, may go about it a different way. Agree on a common process for training, assisting others and reduction of errors. Entry Criteria: what is required before this process can begin - time, an event, receipt, etc. Input Actions: by owner and all involved parties that have a role in this process Output: What deliverables or other output are required of this process and how should they be formatted/delivered? Metrics: Where are measurements captured or automatically entered? Exit Criteria: What is the condition required before the process is declared complete - filed, saved, sent to someone else, etc.? 		
Tools	 Templates (any standardized templates, forms, web links, etc. that will need to be shared to perform this process) Checklists (any checklists that will need to be shared to perform this process) Training (any specialized training, skills or certifications necessary to perform this process) Equipment/Software necessary to those performing this activity/process 		
Approvals/Verifications	Who needs to review, approve or verify this data to consider it completed? Is there a checklist to fill out or an approval form? Is this process monitored or audited, and filed a certain way or sent to others?		
Deadlines	What is the start to finish timeframe of this process? It is due daily, weekly, monthly or annually?		

PIVOTAL POSITION SUCCESSION PLAN

Identifying current succession options for all pivotal positions Return completed form to successn@mailbox.sc.edu

Division/ College		Planner		Date	
Pivotal Position	Name of Incumbent	Estimated Departure Date (if any)	Name(s) of Candidate(s) Identified for Potential Short Term (ST) Backup, Long Term (LT) Fill (or both) Internal (Int.) to USC, or External (Ext.)	ST LT Both	Int. Ext.
Director of Students	Sally Jones	6/30/18	Jim May	ST	Int.
Director of Students	Sally Jones	6/30/18	Sammie North	ST	Int.
Director of Students	Sally Jones	6/30/18	Maggie Smith	LT	Int.
Director of HR	Tim West	12/31/17	Cleo Capable	LT	Int.
Director of HR	Tim West	12/31/17	Betty Focus	LT	Int.
Director of HR	Tim West	12/31/17	James Able	LT	Int.
Director of Finance	Barbara Case	4/27/18	Bill Sugar	ST	Ext.
Director of Finance	Barbara Case	4/27/18	Maggie Trainor	ST	Int.
Director of Housing	Jerry Lexar	12/31/17	Kelly Baker	ST	
Director of Housing	Jerry Lexar	12/31/17	Larry James	ST	Int.
Director of Housing	Jerry Lexar	12/31/17	Rachel Moore	ST	

PIVOTAL POSITION SUCCESSION PLAN | USC-HR Succession Planning Tool 1B | Rev 2.2018

Track Major Action Items to Ensure Development of Potential Succession Candidates									
Action Item	For Candidate Name	Assigned To Manage (self/other)	Deadline	Completed					
Include Betty at all leadership meetings and ask her to present and represent the group for her area	Betty Focus	AVP of HR							
Include Betty in higher-level decision- making opportunities. Ask for her suggestions.	Betty Focus	AVP of HR							
Cleo should meet with 3 key institutional partners in finance, provost and HR to learn more about our processes	Cleo Capable	Cleo	06/2018						
Cleo should work on her skills in the areas of reporting and analysis	Cleo Capable	Cleo	06/2018						
James should complete LEAD training	James Able	James	12/2018						
James to become a lead in his area with 1 full time employee and 2 student workers	James Able	Director of HR	12/2018						
Involve James in problem solving; ask for his opinion, coach	James Able	Director of HR	12/2018						

Evaluate ongoing for changes in time to departure, successor availability and development schedule and organizational needs that may affect succession planning.

VACANCY OF PIVOTAL POSITION PLAN										
Use this form to facilitate assessment of risk, and development of mitigation strategies, for key position Division/ Division of Education Planner Frank Dustin										
College	Division of Education	Planner	Frank Dustin							
	Pivotal Position Title	Name of Inc	cumbent	Today's Date						
ē	Director of HR	Tim W	est	5/1/17						
ne to Departu	Specialized knowledge, skills and abilitie 15 years or more experience in strategi Large organizations, higher education,		and human capital p	lanning						
Identify Pivotal Positions and Time to Departure	How would vacancy affect the area in terms of operations and leadership (critical functions, relationships, future trends, opportunities, challenges, vision and goals)?									
Pivotal	departure: (consider retirement	•	☐ 3-5 years ☐ 5-10 years	Date of departure, if known						
tify	eligibility, desire for transfer, etc.) and note reason:			12/31/17						
lden	How long would it take to recruit for or	4-6 months								
	How long would it take a qualified replacement to become fully functional?1-2 years									
PART 1	How much critical institutional knowledge becomes unavailable with this departure? Does a procedure or operational guide exist or need developing for this position? If so, please note your plan to accomplish. Situational and institutional knowledge, Precedence									
REFLECT	Does this position need to be refilled/re opportunity to restructure the position strategic goals for this area and the uni	(PD), department or a	livision to better mee	t the long-term vision and						
	Brainstorm individuals, internally and	externally, who <u>may</u>	have the potential, b	elow or on Tool 5:						
c	Betty Focus	Marcu	s Pan							
ssio	Bonita South	Flora P	resent							
ucce	Bob Lawyer									
ial Su ind 3	James Able									
tentia ates 3A ai	Cleo Capable									
PART 2 Identify Potential Succession Candidates Utilize: Tools 3A and 3B	 Use the following succession planning tools to <u>assess the readiness</u> of your selected individuals. To avoid bias, work with members of your management team whenever possible to complete your assessments. 1.) Leadership Performance and Potential Assessment: Answer "yes" or "no" to questions and "score" your individual employees in the areas of Leadership Performance and Leadership Potential. (Tool 3A) 2.) 9 Box-Model: After scoring each individual, plot your results on the 9-Box Model for a bigger picture view of the readiness of each person. Review the traits to ensure you have accurately positioned each individual. Note what you, or their manager, should provide each individual to prepare them for a future role. (Tool 3B) Employees identified as candidates for THIS VACANCY move to Part 3. 									
REFLECT	Reflect on career planning conversation	s with your staff and	other potential candic	lates across the organization.						

Use the referenced tools, and the table below, to record the individuals <u>selected as candidates</u> for succession:

Short-Term Backup –Internal Candidate: Consider who could provide immediate, short-term backup for a position vacated unexpectedly. If there is not one single individual, consider how you could divide the duties temporarily. Do not limit yourself to those individuals in your immediate area. Consider others across the organization in a role with similar skills and duties.

Long-Term Fill - Internal Candidate: Consider high potential employees who are now, or may develop into strong candidates who could compete for the position through the search and selection process. Consider those who have demonstrated an interest in promotion, not fully challenged in their current position, and/or are serving in functions that are becoming obsolete or less critical to operations. Look across the organization.

Long-Term Fill - External Candidate: Consider a candidate, external to the organization, who has specialized skills or knowledge not found within the organization nor easily developed internally.

Name	Short-Term (ST) Backup Long Term (LT) Fill or Both; Internal (Int.) or External (Ext.) Candidate	If the individual is not currently prepared, briefly note additional knowledge, skills and abilities (KSA) needed. Capture details on IDP in Part 4.	Date of Anticipated Readiness
Betty Focus	\Box ST \boxtimes LT \boxtimes Int. \Box Ext.	More exposure to executives and high-level decision making	12/31/17
Cleo Capable	\Box ST \boxtimes LT \boxtimes Int. \Box Ext.	Institutional specific knowledge, reporting and analysis (performance)	12/31/18
James Able	\Box ST \boxtimes LT \boxtimes Int. \Box Ext.	Leading others, exposure to difficult situations and problem solving at a leadership level	06/30/18
	□ ST □ LT □ Int. □ Ext.		
	ST 🗆 LT 🗆 Int. 🗆 Ext.		

If the current manager(s) of the designated candidates are not in a position to develop and provide ongoing support for these individuals in the necessary operational competencies and leadership behaviors outlined in their development plan - consider moving them under a different, proven leader or identify a mentor from elsewhere in the organization.

Capture development goals in their **Individual Development Plan (IDP)**. Individual Development Plans (IDPs) are tools used to help employees develop their skills by setting goals and then organizing those goals into a cohesive plan with defined timeframes and expected results. Succession Planners, succession candidates and managers will work together to tailor the IDP to ensure it meets the needs of the individual and the organization. There are four steps to developing an IDP:

1.) Analyze Development Needs 3.) Identify Activities, Training an

Set Goals

3.) Identify Activities, Training and Experiences 4.) Define Success Criteria and Time Lines

Note: It is important to monitor and evaluate IDP results. IDPs evolve as individuals evolve (or not, due to the unexpected, lack of support, opportunities, etc.). Employees who are not on track with their development goals, will need to be re-evaluated. You may need to accelerate the development of other identified potential succession candidates to fill the gap.

e	 Pivotal Position: has anything changed in their departure date? Candidate: is their development on track; are they still employed and engaged; are 	Target Evaluation Date
Part 5 Evaluate	they still interested in this role or a different role/career; motivations aligned?	
Pai	3.) Organization: has anything changed in the organization that could necessitate a change in this plan (direction of organization, vision, goals, talent pool)?	12/31/17
REPARE	Develop plans to onboard the final, selected candidate; initiate strategic salary discussions with	HR Class & Comp.

REFLECT

Create Individua

Part 4

Ρ

Development Plans (IDP)

4

PERFORMANCE-POTENTIAL ASSESSMENT											
Worksheet for populating the Performance and Potential 9-Box Grid: Each succession planner should answer the following questions prior to placing individuals on the 9-Box to ensure consistency and remove any bias in assessing your employees' performance and potential.											
Employee Name: Betty Focus Consistency and remove any bids in assessing your employees performance and potential.											
	g Leadership Performance	Yes	No		Defining Leadership Potential	Hi-2	Med-1	Low-0			
	and results-focused with a solid history of high and goal achievement	\boxtimes			1. Could the employee perform at a higher level, in a different position or take on increased responsibilities within the next year (consider the person's ability only, not whether there is a position available to support this growth)?	\boxtimes					
innovation and pr new processes, pe	enges the status quo, displaying creativity, ogressive thinking; is open, and easily adapts to, erspectives and changes in business processes on when generated by others	\boxtimes			2. Could the employee perform at a higher level, in a different position, or take on increased responsibilities within the next three years (consider the person's ability only, not whether there is a position available to support this growth)?	\boxtimes					
	lving interpersonal conflict; displays an ability the situation and negotiate effective solutions.	\boxtimes			3. Can you envision this employee performing two levels above his or her current position in the next five to six years ?		\boxtimes				
	verbal and written communication skills by oncise and convincing messages	\boxtimes			4. Is the organization likely to value growth of the skills and competencies of this employee over the next several years?	\boxtimes					
	personal conduct: honest, trustworthy, heir actions/responsibilities, and delivers on	\boxtimes			5. Could the employee learn the additional skills and competencies he or she needs to be able to perform at a higher or different level?	\boxtimes					
themselves and th	itive relationships that create success for lose around them; effective at mobilizing ond to problems and opportunities as they arise	\boxtimes			6. Does the employee demonstrate leadership ability—by showing initiative and vision, delivering on promised results, communicating effectively, and taking appropriate risks?	\boxtimes					
communicates res	tude, is inspiring and inclusive; collaborates and spectfully and exemplifies a selfless, team- nplishing our mission		\boxtimes		7. Does the employee display an ability to interact comfortably with people at a higher level or in different areas?		\boxtimes				
_	y-understands and pursues opportunities that rategy; applies good judgment in problem al thinking	\boxtimes			8. Does the employee demonstrate comfort with a broader organization perspective than his or her job currently requires?	\boxtimes					
opportunities and	l grow, actively seeks personal development excels at rapidly developing new skills essful job performance	\boxtimes			9. Does the employee demonstrate flexibility and motivation to move into a job that might have different requirements than any they have held previously?	\boxtimes					
-	edback, responds openly without d learns from feedback and alters behavior		\boxtimes		10. Does the employee welcome opportunities for learning and development?	\boxtimes					
To evaluate this employee's performance, calculate the number of "yes" responses (yes=1 pt.), check the score box below and find corresponding box on Tool 3B (9-Box) and record name. TOTALS					To evaluate this employee's potential, calculate the number of checked boxesin each column (Hi=2 pts., Med=1 pt., Low=0 pt.), check the score box belowand find the corresponding box on Tool 3B (9-Box) and record name. $0-6 = Low \square$ $7-13 = Medium \square$ $14-20 = High \boxtimes$						
$0-3 = Low \square 4-7 = Medium \square 8-10 = High \boxtimes$ $0-6 = Low \square 7-13 = Medium \square 14-20 = High \boxtimes$											

Division/Coll	ege: F	lanner:	Dai):	
lity High/Outstanding (8-10) Exceeds Exnectations			ormer, Current Star ance/Moderate Potential	Future Leader, Star Performer Ready High Performance/ High Potential Betty Focus	
Leadership Performance - Ability ^{Hig}				Strong Performer, Emerging Leader Moderate Performance/High Potential Cleo Capable	
Lead					
9-Model Fillable		Leader	ship Potential - Aspiration		

DIIIty	High/Outstanding (8-10) Exceeds Expectations	 Solid Performer, Trusted, High Professional High Performance/Low Potential Traits: accomplishes all important work; seen as a technical leader, a subject matter expert (SME) and a resource for others; has reached their potential; good fit in their role; Goal(s): retention, capture/document their knowledge; use as a lead or trainer for others Provide: recognition, continue developing them in their area 	 Strong Performer, Current Star High Performance/Moderate Potential Traits: accomplishes all important work; acts as a leader and role model; may exhibit capability and competencies beyond current role; leadership development still necessary in some areas; tactical focus Goal(s): engage and develop for next level up Provide: a career progression conversation and opportunities for them to display leadership in their current role: job enlargement, special project, lead a team; may need lateral transfer if existing manager unable to provide leadership development and opportunities 	Future Leader, Star Performer - Ready High Performance/ High Potential Traits: accomplishes all important work; exhibits capability and competencies beyond current role; excels at relationship building and has wide spread influence beyond current role Goal(s): retention, prepare and utilize for succession Provide: a career progression conversation; accelerated leadership development to include stretch assignments; recognize and reward their efforts
Leadership Performance - /	Medium/Good (4-7) Meets Expectations	 Questionable Performer, Effective, Grinders Moderate Performance/Low Potential Traits: accomplishes most important things; is not viewed as a leader in their area; proficient in their current role Goal(s): help employee be successful in their current role; coach to improve their performance; may be a candidate for a lateral move Provide: training and development; coaching; recognize their improvement efforts 	 Solid Performer, Key Player, Core Employee Moderate Performance/Moderate Potential Traits: accomplishes most important things; displays some executive competencies, leadership and ability as a role model Goal(s): retain in current role and continue development for future potential; may be considered for job enlargement Provide: more time and development 	Strong Performer, Emerging Leader Moderate Performance/High Potential Traits: accomplishes most important things; acknowledged as a leader and role model displaying executive competencies; displays capability one level above current role; strategic focus Goal(s): prepare and develop for promotion Provide: coaching and feedback to improve performance; identify career goals and support with a development plan and opportunities to learn and grow (team, project)
	Low (0-3) Needs Improvement	 Under/Low Performer, Icebergs, Talent Risk Low Performance/Low Potential Traits: not accomplishing most important things; not meeting the standards of their current role; not capable of making higher contributions Goal(s): help them be successful in their role or move them to a more appropriate position (laterally or demotion) or consider an exit plan Provide: diagnose causes (bad hire, lack of information, competencies & skills) and provide: coaching, feedback, performance plan or exit 	 Questionable Performer, Inconsistent Low Performance/Moderate Potential Traits: not accomplishing most important things; capable of making higher contributions Goal(s): determine what is lacking for success in current role and focus on improving performance, likely to have range to move up one level/challenge. Provide: Provide coaching, training and development and frequent and specific feedback; recognize efforts 	Solid Performer, Enigmas, Rough Diamonds Low Performance/High Potential Traits: not accomplishing most important things; displays executive competencies and acknowledged as a team player and role model Goal: determine and address the root cause(s) of their performance problems to maximize their potential; worthy of development Provide: diagnostic conversation to identify any frustrations and necessary interventions: job fit, manager fit, career aspirations; develop in needed areas
	odel	Low (0-15) Limited	Medium/Moderate (15-22) Growth	High (23-30) Mastery
K	еу		Leadership Potential - Aspiration	