



DEPARTMENT OF THE ARMY
US ARMY INSTALLATION MANAGEMENT COMMAND
HEADQUARTERS, UNITED STATES ARMY GARRISON
2837 BOYD AVENUE
FORT HUACHUCA, ARIZONA 85613-7001

IMHU-ZA

13 Oct 2020

MEMORANDUM FOR Fort Huachuca United States Army Garrison

SUBJECT: POLICY 20-34, Succession Management

1. REFERENCES.

- a. 5 USC § 2301, Merit System Principles
- b. Army Regulation (AR) 690-950, Career Program Management
- c. AR 350-1, Army Training and Leader Development
- d. United States Army Installation Management Command (IMCOM) Policy Memorandum 690-950-2, IMCOM Civilian Succession Management

2. PURPOSE. To provide guidance for implementing succession planning at U.S. Army Garrison (USAG) Fort Huachuca.

3. APPLICABILITY. This policy applies to USAG Fort Huachuca civilian employees.

4. POLICY. USAG Fort Huachuca will integrate succession management at all levels to ensure skills are available to meet command priorities within the Civilian workforce. Transparent and consistent processes are necessary for all echelons to adhere to Merit System Principles involved in the hiring of Army Civilians.

5. PROCEDURE. The Succession Planning Toolkit (Enclosure) is intended to assist supervisory personnel in using the five step succession planning process noted in reference (b). The command team, directors, and office chiefs will meet annually to review plans.

- a. Succession management includes strategic alignment, workforce analysis, competency modeling, gap analysis and leadership assessment. It provides strategies to address workforce gaps, lessen the impact of institutional knowledge loss and maximize talent utilization.

IMHU-ZA
SUBJECT: POLICY 20-34, Succession Management

b. Succession management processes ensure qualified and experienced leaders and functional staff are developed and assigned into opportunities that maximize their capabilities. This supports mission continuity, sustained morale, and provides an environment for success, underpinned by counseling, coaching, teaching and mentoring.

6. This memorandum supersedes USAG, POLICY 19-57- Succession Management.

7. The proponent for this policy is USAG Fort Huachuca Directorate of Human Resources at (520) 533-7720.

Encl



JARROD MORELAND
Colonel, MI
Commanding

Distribution: E

SUCCESSION PLANNING TOOLKIT
United States Army Garrison (USAG)
Fort Huachuca

TABLE OF CONTENTS

CHAPTER 1- GENERAL INFORMATION	3
Overview	3
Objective	3
Succession planning and leadership	3
Succession planning and merit principles.....	3
CHAPTER 2 – SUCCESSION PLANNING PROCESS.....	3
Overview.....	4
List critical positions and project vacancy risk	4
Discuss future needs	4
Analyze gaps in the talent pool.....	4
Develop strategies to close the gaps.....	4
Annually evaluate progress and revisit plans.....	5

WORKSHEETS AND COMPETENCY DEFINITIONS

Succession Planning Status Worksheet	6
Development Worksheet	8
Employee Assessment Worksheet	9
Planning Grid	11
Leadership Assessment Form	12
DOD Core Competencies and Definitions	13

CHAPTER 1 – GENERAL INFORMATION

OVERVIEW

Succession Management provides a systematic approach to building a talent pipeline, or bench, to ensure continuity in leadership and other critical positions. Succession Management determines which competencies will be needed in the future, and prepares a pipeline to meet organizational requirements. By nurturing and developing employees from within, organizations can develop a talent pipeline for the Total Army and increase bench strength.

Succession planning is a systematic approach to building a functional and leadership pipeline or talent pool for sustainable leadership and technical continuity. Succession planning develops potential successors in ways that best fit their strengths, identifies the best candidates for categories of positions, and concentrates resources on talent development. Army enterprise and commands are inherently succession managers due to their ownership of Army positions.

OBJECTIVE

The objective of succession planning is to develop and sustain a diverse cadre of highly capable, high-performing, and results-oriented Army Civilian leaders to effectively lead in increasingly complex environments, ensure continuity of leadership, and maintain a learning organization that drives transformation and continuous improvement across the Army enterprise.

Succession Planning assists managers with forecasting needs to address gaps in knowledge and skills. The tools contained in this guide will provide managers and supervisors a process to deliberately engage in assessment, training, development, career planning and career management of personnel.

SUCCESSION PLANNING AND LEADERSHIP

Succession planning affords leaders with an opportunity to strategize and redefine how to accomplish future missions, address challenges such as diversity, recruitment, retention, and ensure continuity of critical operations. Succession plans are most effective when leaders are personally involved, hold themselves accountable for growing leaders through a rigorous and disciplined process, and seek advice from the Human Resources (HR) community.

SUCCESSION PLANNING AND MERIT PRINCIPLES

Succession planning must apply and adhere to merit principles and avoid preselection. An approach to avoid preselection is to create a talent pool and establish an open, competitive process to become a part of that talent pool. Evaluate employees against specific requirements for leader positions by assessing competencies, training, education, and developmental assignments.

- a. Focus on preparing broad pools of candidates (not hand-picked staff) for higher level leadership responsibilities, not specific positions.
- b. Aim to help all employees improve their skills.

c. Provide wide and open access to all employees who seek Training Education & Personal Development (TE&PD) opportunities.

CHAPTER 2 – SUCCESSION PLANNING PROCESS

OVERVIEW

The succession planning process steps are as follows:

- a. *Step one.* List critical positions and project vacancy risk.
- b. *Step two.* Discuss future needs.
- c. *Step three.* Analyze gaps in the talent pool.
- d. *Step four.* Develop strategies to close the gaps.
- e. *Step five.* Annually evaluate progress and revisit plans.

Several worksheets are included in this toolkit to aid in your succession planning process.

LIST CRITICAL POSITIONS AND PROJECT VACANCY RISK

This succession planning worksheet can assist supervisors in listing critical positions and to project vacancy risk, by determining the criticality of the position and whether or not there are personnel available to fill the roles until critical positions are filled using merit system principles.

DISCUSS FUTURE NEEDS

The developmental worksheet, employee assessment worksheet, the planning grid, and leadership assessment forms can assist with supervisors with analyzing what is needed in the future.

ANALYZE GAPS IN THE TALENT POOL

The developmental worksheet, employee assessment worksheet, the planning grid, and leadership assessment forms can assist supervisors with analyzing gaps in order to strategize to close those gaps.

DEVELOP STRATEGIES TO CLOSE THE GAPS

Review appropriate competencies at Army Career Tracker (ACT),
<https://actnow.army.mil>.

The Competency Management System (CMS) tool, which may be used for employee/supervisory assessments of the core and individual professional development competencies, is accessible at:

<https://dodhrinfo.cpms.osd.mil/Directorates/HRSPAS/Strategic-Human-Capital-Management/Pages/Competency-Management.aspx>.

Assessment of identified competencies needed will provide supervisory personnel with proficiencies that can be utilized, as well as gaps that need to be addressed. These gaps can be identified in Individual Development Plans (IDP).

ANNUALLY EVALUATE PROGRESS AND REVISIT PLANS

Successful succession planning is driven by developing subordinates. The director meets with division chiefs at an interval determined by the director. Division chiefs will share their worksheets, the gaps they have identified, and their needs with directors. Directorates can then prioritize their directorate level needs to address gaps in competencies and personnel, and develop a plan to address those needs.

The Garrison Command Team will meet with directors annually to evaluate progress and revisit plans.

Succession Planning Status Worksheet (Sample)

Position / Title	Incumbent	Retirement Status	Criticality	# of Staff Ready now	# of Staff Ready 1-2 years
Chief	Dave	A	1	0	1
Chief	Sally		1	0	0
Program Manager	Maria	B	1	0	2
Specialist	Don	A	2	1	0
Specialist	Rick		2	1	0
Assistant	Shelly		N/A	N/A	N/A

Retirement Status	Criticality
A. Retirement likely within 1 year B. Retirement likely within 3 years C. Retirement eligible within 5 years	1. Critical – Must “hit the ground running” 2. Very important – fully functional in six months

Positive Attributes	Areas for Improvement
Technically Competent	Technically OK / Poor
Meets/Exceeds Standards	Lazy
Quality	Re-work needed
Team Player	Blames Others
Good Customer Service	Personality OK/poor
Easy to work with	Doesn't work well with everyone
Good/OK with change	Hates change
Flexible	Inflexible
Conscientious	Cares too much about self
Punctual	Late / not always punctual
No nonsense	Annoying
Good communicator	Doesn't communicate well
Keeps me informed	Defensive/avoids direct communication
Brings me solutions/recommendations	Gossips about others
Likeable	Points the finger
Loyal	Talks poorly about the organization
Respectful to others	Causes conflicts issues
A good trainer to new people	Annoyed by others / Impatient
Safety focused	Cuts corners
Has high morale / motivated	Has low morale / unmotivated
Positive attitude	Negative attitude / Pessimistic
Good relations between divisions	Offends others
Sets and Achieves Goals	Stagnant
Dependable	Fickle
Self-Motivated	Apathetic
Engaged	Disengaged

Supervisors can use their own descriptors of attributes or develop their own lists based on DOD Core Competencies or Leadership Competencies on page 13 of this toolkit.

Planning Grid

Worksheet will assist in determining developmental needs of organization. Note the number of people that fit into each box. This should assist in planning and prioritizing developmental needs.

	Under Performance	Effective Performance	Outstanding Performance
High Potential	Box 5: Seasoned professional capable of expanded role. May experience problems that require coaching/mentoring	Box 2: Does extremely well at current job with potential to do more; give stretch assignments to help prepare for next level.	Box 1: Consistently excellent at a variety of assignments; superstar. Big picture thinker; problem-solver; self-motivated.
Medium Potential	Box 8: With coaching, could progress within level; focus on stretch goals for this employee	Box 6: May be considered for larger job at the same level, may need coaching in several areas, including people skills.	Box 3: Current role may still provide opportunity for growth/development; needs more strategic thinking.
Low Potential	Box 9: May be a candidate for reassignment, reclassification to a lower level or exit the org.	Box 7: Effective performer, may have reached potential; coach employee on becoming more innovative, focus on lateral thinking.	Box 4: Experienced high performer; has reached limit of career potential. Valuable employee; Needs to develop communications / delegation skills.

Leadership Assessment Form

Leadership Area	Very Strong (8)	Somewhat Strong (6)	Proficient (4)	Needs Developing (2)
Support of Agency Values				
Behaves consistently with values	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Displays respect for others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is a good team player	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Identifies with management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leadership Promise				
Is motivated to lead	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accepts leadership responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mobilizes resources/people to action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leads teams that have high morale	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interpersonal Skills				
Communicates clearly and effectively	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Makes effective presentations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Demonstrates diplomacy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is trusted and respected	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Demonstration of Results				
Displays objective indicators of success	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shows positive team/unit results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accomplishes major assignments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provides follow-through on tasks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Developmental Orientation				
Has accurate self-insight	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is coachable; accepts feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has history of learning from experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Quickly learns new tasks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Self-initiates developmental activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change-Oriented				
Is a promoter of change initiatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Volunteers for projects/opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Helps others to embrace change/initiatives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Total				

DOD CORE COMPETENCIES AND DEFINITIONS

Further proficiency level definitions and illustrations for each competency can be found at https://dodhrinfo.cpms.osd.mil/Directorates/HRSPAS/Strategic-Human-Capital-Management/Documents/DODCivilian_LeadershipCompetency.pdf

Accountability: Fosters and ensures an environment that administers all resources in a manner that instills public trust while accomplishing the mission. Monitors progress and evaluates outcomes to improve organizational efficiency and effectiveness. Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and ensures sound management processes and procedures are in place, ensuring that national interests are well served. Accepts responsibility for mistakes. Complies with established control systems and rules.

Computer Literacy: Demonstrates skill in using job-relevant information systems and/or software applications, such as word processing, spreadsheets, automated research tools, database applications, and the Internet.

Conflict Management: Anticipates and takes steps to prevent counterproductive confrontations. Manages and resolves conflict and disagreements in a constructive manner.

Continual Learning: Assesses and recognizes own strengths and weaknesses; pursues self-development. Uses challenges as opportunities to improve and become more effective. Pursues chances to stretch skills to further professional growth. Seeks ways to improve the capacity of others and the organization through knowledge sharing, mentoring, and coaching.

Creativity and Innovation: Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting edge programs/processes/solutions.

Customer Service: Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services; is committed to continuous improvement.

Decisiveness: Makes well-informed, effective, and timely decisions, whether data are limited or vast, or solutions produce unpleasant consequences; perceives the impact and implications of decisions. Analyzes critically, synthesizing patterns among diverse systems and looking at interdependencies. Gauges unintended consequences. Uses sound judgment to simultaneously integrate and weigh situational constraints, risks, and rewards.

Developing Others: Develops the ability of others to perform and contribute to the organization by inspiring and providing a learning environment of ongoing feedback and opportunities to learn through formal and informal methods, enabling employees to address skill gaps and realize their highest potential. Actively encourages and supports enhancement of a joint perspective.

Entrepreneurship: Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Identifies potential risks early and implements effective abatement or control measures. Takes calculated risks to accomplish organizational objectives. Defines evaluation criteria and continuously collects, assesses, shares and responds to data appropriately.

External Awareness: Actively seeks to understand others' cultural, religious, political, and societal norms and customs; builds language proficiency as required by the mission. Maintains an integrated understanding of Congressional and globalization factors that would influence defense, domestic and foreign policy and uses it in strategic and operational planning. Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; is aware of the organization's impact on the external environment.

Flexibility: Is open to change and new information; rapidly adapts to new information, changing conditions and strategy, or unexpected obstacles, processes, and requirements.

Financial Management: Understands the organization's financial processes. Prepares, justifies, and administers the program budget. Applies sound resource management principles, business/industry "best practices," and applicable policies, regulations and laws to support operations. Aligns resources with policy and the strategic direction and priorities. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities.

Human Capital Management: Builds and manages workforce based on organizational goals, budget considerations, and staffing needs. Ensures that employees are appropriately recruited, selected, appraised, and rewarded; takes action to address performance-based deficiencies. Manages a multi-sector workforce and a variety of work situations.

Influencing / Negotiating: In representing the organization, establishes and maintains relationships with key individuals/groups; understands what motivates them. Persuades others; builds consensus through give and take; gains cooperation from others to obtain information, find solutions, and accomplish goals.

Interpersonal Skills: Develops and maintains effective working relationships, especially in difficult situations. Engages and inspires others. Treats others with courtesy, sensitivity, and respect. Considers and responds appropriately to the needs and feelings of different audiences/situations/cultures. Actively solicits feedback. Exemplifies professionalism, tact and empathy. Builds trust and commitment.

Integrity / Honesty: Nurtures ethically-minded organizations through personal discipline, values, self-control and policies that reinforce ethical behavior. Demonstrates selflessness of action by doing the right thing regardless of personal and professional consequences. Behaves in an honest, fair, and ethical manner without regard to pressure from other authorities. Shows consistency in words and actions. Instills trust and confidence; models high standards of ethics.

Joint Perspective: Has an in-depth understanding of how the Department of Defense operates and how Services, Components, stakeholders, partners, and customers integrate toward mission accomplishment. Applies Joint doctrine when planning, coordinating, and communicating the organization's policies and processes. Considers interoperability in communications, logistics, and information sharing so that systems are integrated across organizational lines. Reviews and applies concepts from applicable studies, laws, regulations, and policies, plans, programs, systems, criteria and standards related to joint capabilities, operations, or programs.

Leveraging Diversity: Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization. Seeks out diverse ideas, opinions and insights, respecting the values and perceptions of others. Examines biases and seeks insights to avoid stereotypical responses and behavior.

National Security: Understands the role of military leaders and armed forces in the development of national security and foreign policies; classical methods of maintaining peace; military-civilian relations in the developed and less developed states; the impact of rapid technological change and weaponry in international politics; and the role of the military in the shaping of war and peace.

Oral Communication: Demonstrates ability to clearly and effectively articulate, present, and promote varied ideas and issues (to include sensitive or controversial topics) before a wide range of audiences. Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed.

Partnering: Develops networks and builds alliances; collaborates across boundaries to build strategic relationships and achieve common goals.

Political Savvy: Identifies the internal and external politics that impact the work of the organization. Perceives organizational and political reality and acts accordingly. Uses diplomacy in dealing with issues involving others.

Problem Solving: Identifies and analyzes problems; weighs relevance and accuracy of information; seeks/generates and evaluates alternative perspectives/solutions; makes timely/effective recommendations, based on potential implications of findings or conclusions. Critically evaluates to identify the causes of problems, and chooses courses of action that balance the interests of the mission and stakeholders.

Public Service Motivation: Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests.

Resilience: Deals effectively with pressure, ambiguous and emerging conditions, and multiple tasks; remains optimistic and persistent, even under adversity or uncertainty. Recovers quickly from setbacks. Anticipates changes and learns from mistakes.

Strategic Thinking: Formulates objectives and priorities, and implements plans consistent with the long-term interests of the organization in a global environment that takes into consideration the environment, resources, capabilities, constraints, and

organizational goals and values. Capitalizes on opportunities and manages risks and contingencies, recognizing the implications for the organization and stakeholders.

Teambuilding: Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals.

Technical Credibility: Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise. Remains current with technology, tools, trends, and evolving practices in area of expertise.

Technology Management: Identifies, evaluates, and assimilates information from among multiple streams and differentiates information according to its utility; utilizes information to adjust self, situational, or global awareness. Keeps up-to-date on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.

Vision: Communicates a clear mission and set of values, providing guideposts for decision-making and action. Takes a long-term view and builds a shared vision with others; acts as a catalyst for organizational change. Influences others to translate vision into action.

Written Communication: Writes to convey information in a clear, concise, organized, and convincing manner for the intended audience, using correct English grammar, punctuation, and spelling. Expresses thoughts persuasively and uses effective modes to reinforce message retention.

LEADERSHIP COMPETENCIES AND DEFINITIONS

The following leader attributes and core leadership competencies are outlined in FM 6-22, Army Leadership:

Leads Others: Leaders motivate, inspire, and influence others to take initiative, work toward a common purpose, accomplish critical tasks, and achieve organizational objectives. Influence focuses on motivating and inspiring others to go beyond their individual interests and focus on contributing to the mission and the common good of the team.

Builds Trust: Building trust forms the bedrock of mutual respect, shared understanding, and common experiences. For teams and organizations to function at the highest level, a climate of trust needs to exist. Leaders create a climate of trust by displaying consistency in their actions, and through relationship-building behaviors such as coaching, counseling, and mentoring.

Extends Influence: Leaders can influence beyond their direct line of authority and chain of command. Influence can extend across units, to unified action partners, and to other groups. A key to extending influence beyond the chain of command is creating and communicating a common vision and building agreement. In these situations, leaders use: indirect means of influence, diplomacy, negotiation, mediation, arbitration, partnering, conflict resolution, consensus building, and coordination.

Leads by Example: Leaders can influence others by acting in a manner that provides others with an example by which to measure and model their own behavior. Leading by example is a form of influence where leaders provide models rather than explicit direction.

Communicates: Leaders communicate by clearly expressing ideas and actively listening to others. By understanding the nature and importance of communication and practicing effective communication techniques, leaders will relate better to others and be able to translate goals into actions.

Creates a Positive Environment/Fosters Esprit De Corps: Leaders have the responsibility to establish and maintain appropriate expectations and attitudes that foster healthy relationships and a positive organizational climate. Leaders are charged with improving the organization while accomplishing missions. They should leave the organization better than it was when they arrived.

Prepares Self: Leaders ensure they are prepared to execute their leadership responsibilities fully. They are aware of their limitations and strengths and seek to develop themselves. Leaders maintain physical fitness and mental well-being. They continue to improve the domain knowledge required of their leadership roles and their profession. Only through continuous preparation for missions and other challenges, being aware of self and situations, and practicing life-long learning and development can an individual fulfill the responsibilities of leadership.

Develops Others: Leaders encourage and support others to grow as individuals and teams. They facilitate the achievement of organizational goals through assisting others to develop. They prepare others to assume new positions elsewhere in the organization, making the organization more versatile and productive.

Stewards the Profession: In planning, the Army requires its leaders to think beyond their current team, mission, and direct chain of leadership. Leaders steward the profession when they act to improve the organization even when the effects may not be realized until after their tenure. Stewarding the profession is about life-long learning, a commitment to an effective future organization, and developing others.

Gets Results: A leader's ultimate purpose is to get results by accomplishing missions the right way. A leader gets results by providing guidance and managing resources as well as demonstrating the other leader competencies. This competency focuses on consistent and ethical task accomplishment through supervising, managing, monitoring, and guiding the team's work. Taken together, these components require initiative on the part of the leader to make decisions, take action to solve problems, and accomplish the mission.