



# Succession Planning and Management Guide

**As of April 11, 2022**

Authored by the Office of Human Capital Strategy (OHCS)  
within the Office of Human Resources Management  
(OHRM)



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# Introduction

This Succession Planning and Management Guide provides guidance to Department of Commerce (DOC) organizations on the planning, execution, and evaluation of succession planning and management activities.

The document includes guidelines, tools, and templates to help DOC organizations:

- a) set an organization-specific succession planning and management vision,
- b) document leadership requirements and human capital gaps,
- c) create and implement strategies to enhance identified strengths and address identified gaps, and
- d) measure progress against identified success metrics.

The Succession Planning and Management Guide was written by the workforce and succession planning team within the Office of Human Capital Strategy (OHCS) to guide implementation of the Succession Planning and Management Departmental Administrative Order (DAO). Activity recommendations are based on best practices from the private and public sector and outcomes of the Office of the Secretary (OS) Succession Planning Model. Contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) with any questions or requests.

Succession planning activities will be governed by the upcoming Department of Commerce (DOC) Succession Planning and Management DAO.

## What is Succession Planning and Management?

Succession planning and management is defined as the ongoing strategic process by which DOC organizations identify, develop, and secure talent to build a talent pool that ensures the continuity of DOC's mission through leadership and workforce shifts<sup>1</sup>. Succession planning and management activities focus on building a pipeline of talent for leadership and/or identified key positions.

The adoption of succession planning and management activities will enable more effective human resources management, strategic human capital planning, and mission delivery. Organizations are encouraged to prioritize activities based on their specific talent management and succession planning resources and priorities.



<sup>1</sup>Succession planning and management definition as documented through collaboration between the Office of Human Resources Management (OHRM) and Department bureaus and informed by OPM guidance.



# Introduction

## *The Business Case for Succession Planning and Management*

Succession planning and management equips the Department for continued mission delivery and thrives as a collaborative approach for projecting leadership demand and investing in talent development.

Less than 7% of the Federal workforce is under the age of 30 and nearly 28% of Federal employees are eligible to retire in the next 5 years. 35% of the DOC workforce and 24% of DOC's Mission Critical Occupation (MCO) population will be eligible to retire in the next 5 years (NFC, 2020). Given expected retirements and the growing need for new skillsets, this is a significant risk to our mission effectiveness and long-term organizational health ([The Biden-Harris Management Agenda Vision](#)). Effective succession planning and management will enable DOC to prevent potential disruptions to mission delivery amid leadership and workforce shifts (i.e., high levels of retirement in key positions).

The adoption of the succession planning and management activities outlined in this guide will enable DOC's organizations and bureaus to:

- Efficiently and effectively recruit, develop, retain, and deploy their workforce and
- build a pipeline of talent for leadership, Mission Critical Occupations (MCO), and key positions for current and future missions.

The guide contains detailed information, templates, and resources to help organizations effectively navigate this process. Organizations should use this information as a starting point and tailor it to fit their individual needs and goals.

Succession planning is not only a strategic business practice, but helps organizations meet key objectives and requirements outlined in:

- [DOC's Strategic Plan](#) and the annual DOC Human Capital Operating Plan (HCOP)
- The [Human Capital Framework](#), OPM's guide to [Effective Program Management](#), and DOC's annual Human Capital Operating Plan
- [President's Executive Order on Diversity, Equity, Inclusion, and Accessibility in the Federal Workforce](#)
- The Executive Office of the President's [Memorandum on Evidence-Based Policymaking: Learning Agendas and Annual Evaluation Plans](#)

# Succession Planning & Management Framework

The DOC Succession Planning and Management framework, outlined below, can be used to guide planning, execution, and evaluation of talent management and succession planning activities. The framework reflects input from DOC bureaus, OPM guidance, and industry best practices. Activities should be conducted every two to three years and are most effective when conducted sequentially.



This guide contains detailed instructions and resources for each phase of the framework. Organizations should use this information as a model for how to implement these activities to meet their organization's human capital needs.



# Key Terms

The definitions of key terms referenced throughout this document are listed below.

KEY TERM	DEFINITION
<b>Competency Benchmark</b>	<i>The proficiency level necessary for success.</i>
<b>Competency Gap</b>	<i>The disparity between the skills/competencies of an individual and the competency benchmark.</i>
<b>Critical Elements</b>	<i>Capture the knowledge, skills, and abilities that impact one's ability to be an effective leader in their position. Critical elements are a summary of Office of Personnel Management (OPM's) Executive Core Qualifications (i.e., leading change).</i>
<b>High Risk Position</b>	<i>Position currently filled by personnel with a higher likelihood of separation based on an incumbent's age, retirement date, length of service, or external market influences.</i>
<b>Human Capital Gap</b>	<i>Refers to various staffing, skills, competency, and proficiency gaps that may be present within a talent pool.</i>
<b>Key Position</b>	<i>A position (either leadership or operational) with a significant impact on mission delivery that is often difficult to fill due to the knowledge, experience, and skills required to perform successfully in the role.</i>
<b>Key Technical Competencies</b>	<i>Top technical competencies that are necessary to success across leadership positions.</i>
<b>Candidate</b>	<i>Employee that is (1) interested in a leadership position and (2) deemed "ready" for a leadership position by their supervisor.</i>
<b>Mission Critical Occupations (MCOs)</b>	<i>Occupations that (1) are considered core to executing an organization's current and/or future strategic goals and mission and (2) have the potential to put the organization's current and/or future ability to execute its strategic goals or mission at risk if human capital deficiencies exist.</i>



# Key Terms

KEY TERM	DEFINITION
<b>Pipeline</b>	<i>Based on research and best practices from the private and public sector, a pipeline is defined as having <b>3 or more candidates</b>, who are (1) interested in the position and (2) deemed “ready” for a leadership position by their supervisor (Barnett &amp; Davis, 2008).</i>
<b>Position Impact</b>	<i>The impact a position has on strategic goals and mission delivery, which is used to describe the level of disruption to mission delivery a position may have if vacant.</i>
<b>Position Risk</b>	<i>The level of impact a position has on an organization’s mission and the likelihood of vacancy. It should be considered to identify which position(s) to prioritize for succession planning activities.</i>
<b>Ready Employee</b>	<i>Employee whose supervisor rated their proficiency levels equal to or higher than the competency benchmark across the key technical competencies and critical elements.</i>
<b>Succession Planning Lead</b>	<i>Individual selected by the organization’s leadership to spearhead succession planning and management activities, navigate HR processes, and have visibility into mission delivery.</i>
<b>Talent Pool</b>	<i>Group of potential candidates not yet vetted for a position.</i>
<b>Technical Competencies</b>	<i>The knowledge, skills, and abilities that impact one’s ability to perform for a position (i.e., data management).</i>
<b>Vacancy Risk</b>	<i>The likelihood that a position will become vacant.</i>



# 1. Establish Succession Planning and Management Strategy

## 1. Establish Succession Planning & Management Strategy

- Conduct current state assessment
- Establish overarching succession planning and management priorities
- Align and develop succession planning goals and policies to broader human capital goals and Diversity, Equity, and Inclusion (DEI) objectives





## 1 PHASE OBJECTIVES

1. Establish overarching succession planning and management priorities and planned activities.
2. Identify and review succession planning and management policies.

## 2 KEY ACTIVITIES AND OUTPUTS

Detailed guidance and supporting resources for these activities are on pages [9-19](#).

### Key Activities:

- ★★★ [Conduct current state assessment](#)
-  [Align succession planning strategy to overall strategic plan](#)
-  [Review organization succession planning policies](#)
-  [Maintain and analyze data](#)
-  [Build a business case](#)

### Outputs:

- Documented baseline of current state of workforce & current activities to use to measure progress
- Understanding of how to align succession planning and management strategic plan with broader organizational objectives
- Established process to review and align policies with strategic goals
- Analysis of data, including retirement, exit, and development initiatives, to inform succession planning and management activities
- Clearly articulated business case for succession planning and management that can be used to obtain leadership support, engage participants, etc.

## 3 MEASURING PROGRESS

Use the following questions to evaluate progress towards the objectives:

1. Is a [Succession Planning Lead](#) (SPL) identified?
2. Does the Succession Planning Lead (SPL) participate in the Workforce and Succession Planning Community of Practice?
3. Is the organization's succession planning and management strategy current and documented?





# Establish Succession Planning and Management Strategy

## Key activities:



### Conduct Current State Assessment

Assess and document the organization's current state to establish a baseline to measure the progress of the succession planning and management strategy. **Utilize the DOC maturity model assessment on pages 10-15 to evaluate the maturity of succession planning and management activities across all phases.** This assessment is based on the Maturity Model, outlined below. A detailed maturity model can be found on pages 43-45 in the appendix. The results of your organization's maturity model assessment should inform which succession planning and management strategy and activities you prioritize.

#### Maturity Model Overview - Where is Your Organization Today?

	Maturity Model Overview - Where is Your Organization Today?		
Foundational	<p>Organization has informal and/or nonexistent succession planning programs. Most enabling components remain at the foundational level.</p>	<p>An organization at a foundational level typically:</p> <ul style="list-style-type: none"> <li>struggles to anticipate and prepare for workforce shifts,</li> <li>uses informal processes to guide succession planning and management activities, and</li> <li>does not yet use available workforce data to conduct succession planning and management activities</li> </ul>	<p><b>Example:</b> An organization uses informal programs to support leadership training and development. The programs are well-received but disconnected from larger efforts.</p>
Developing	<p>Organization has early and/or disconnected succession planning efforts. The majority of enabling components are at the developing level.</p>	<p>An organization at a developing level likely:</p> <ul style="list-style-type: none"> <li>engages in some formal but inconsistent succession planning processes or activities,</li> <li>conducts formal succession planning for only some key positions, and</li> <li>uses workforce data a limited amount to conduct succession planning and management activities</li> </ul>	<p><b>Example:</b> An organization's competency assessments are robust, but do not regularly inform training opportunities or recruitment strategies for the organization.</p>
Leading	<p>Organization that has succession planning programs linked to talent management programs. Most of the enabling components have matured to the leading level.</p>	<p>An organization at a leading level can consistently:</p> <ul style="list-style-type: none"> <li>engage leaders who are accountable for roles outlined in governance structures,</li> <li>analyze data to evaluate demand projections, define talent pools, and understand gaps, and</li> <li>deploy a variety of training and development methods to address gaps for both leaders and technical staff</li> </ul>	<p><b>Example:</b> An organization builds comprehensive workforce dashboards that highlight risk areas, which helps prepare the organization for leadership and workforce changes.</p>





# Establish Succession Planning and Management Strategy

## Maturity Model Assessment

### Phase 2: Determine Leadership Demand

For each statement below, please select the box that indicates the extent to which your organization conducts each activity. "Not at all" indicates that your organization does not conduct the stated activity. "Informally" indicates that the organization conducts the activity, but it is governed by unwritten rules and/or responsibilities are vague. "Formally" indicates that the activity is officially documented and conducted consistently.

1. My organization has identified a list of positions to prioritize for succession planning and management activities.

Not at all

Informally

Formally

2. My organization has specific procedures in place to assess priority position requirements, competencies, and success criteria, and maintain this data as its collected.

Not at all

Informally

Formally

3. My organization regularly assesses position risk to identify the number and percentage of priority positions that are at risk and understand the potential impact on the organization.

Not at all

Informally

Formally

4. My organization documents success criteria for priority position and archives this data in a place where it can be easily accessed and updated.

Not at all

Informally

Formally

5. My organization regularly uses available workforce data to inform succession planning and management activities and make proactive decisions about anticipated human capital gaps.

Not at all

Informally

Formally

6. My organization consistently re-validates mission critical occupations (MCO) to effectively manage and project future needs across MCO occupation series.

Not at all

Informally

Formally

The box below displays your organization's phase 2 maturity level. This is determined based on the assessment of current phase 2 succession planning activities at your organization.

Maturity is based on the [DOC Succession Planning Maturity Model](#), which places organizations at one of the three levels within each of the five succession planning phases. An overall maturity level will be provided on the [last page of this assessment](#) and should be used to inform your organization's succession planning strategy and priority areas.

Phase 2 Maturity:



# Establish Succession Planning and Management Strategy

## Maturity Model Assessment

### Phase 3: Evaluate Talent

For each statement below, please select the box that indicates the extent to which your organization conducts each activity. "Not at all" indicates that your organization does not conduct the stated activity. "Informally" indicates that the organization conducts the activity, but it is governed by unwritten rules and/or responsibilities are vague. "Formally" indicates that the activity is officially documented and conducted consistently.

1. My organization uses up-to-date workforce data to evaluate projected talent supply across the organization against current and forecasted future demand.

Not at all

Informally

Formally

2. My organization has a documented list of talent groups that are well positioned to fill priority positions when they become vacant.

Not at all

Informally

Formally

3. My organization has specific procedures in place to assess and document talent pool-wide and individual level competency gaps against defined success criteria for priority positions.

Not at all

Informally

Formally

4. My organization has specific procedures in place to identify and document gaps in its capacity to maintain and develop a diverse and inclusive talent pool and leadership pipeline.

Not at all

Informally

Formally

5. My organization regularly assesses which positions have a defined talent pipeline and uses this information to inform workforce planning activities for priority positions.

Not at all

Informally

Formally

6. My organization integrates defined competencies and career pathing into the talent management lifecycle and regularly uses this information to identify whether competency gaps are better met by providing training to existing personnel or supplementing the workforce with new personnel.

Not at all

Informally

Formally

The box below displays your organization's phase 3 maturity level. This is determined based on the assessment of current phase 3 succession planning activities at your organization.

Maturity is based on the [DOC Succession Planning Maturity Model](#), which places organizations at one of the three levels within each of the five succession planning phases. An overall maturity level will be provided on the [last page of this assessment](#) and should be used to inform your organization's succession planning strategy and priority areas.

Phase 3 Maturity:



# Establish Succession Planning and Management Strategy

## Maturity Model Assessment

### Phase 4: Mobilize and Develop Talent

For each statement below, please select the box that indicates the extent to which your organization conducts each activity. “Not at all” indicates that your organization does not conduct the stated activity. “Informally” indicates that the organization conducts the activity, but it is governed by unwritten rules and/or responsibilities are vague. “Formally” indicates that the activity is officially documented and conducted consistently.

1. My organization has an action plan to fill perceived competency gaps and facilitate specialized and institutional knowledge retention that is based on organizational capacity, best practices, and broader human capital strategies.

Not at all

Informally

Formally

2. My organization integrates individual development plans into bureau succession planning and management activities to help personnel achieve individual career goals and close organization-wide gaps.

Not at all

Informally

Formally

3. My organization uses workforce supply and demand data proactively to inform talent programs and development offerings.

Not at all

Informally

Formally

4. My organization’s learning and leadership development strategy is documented and current.

Not at all

Informally

Formally

5. My organization deploys a variety of methods to increase the number of candidates in the pipeline for priority positions.

Not at all

Informally

Formally

6. My organization deploys a variety of methods to support the workforce in acquiring desired skillsets and close identified organization-wide competency gaps.

Not at all

Informally

Formally

The box below displays your organization’s phase 4 maturity level. This is determined based on the assessment of current phase 4 succession planning activities at your organization.

Maturity is based on the [DOC Succession Planning Maturity Model](#), which places organizations at one of the three levels within each of the five succession planning phases. An overall maturity level will be provided on the [last page of this assessment](#) and should be used to inform your organization’s succession planning strategy and priority areas.

Phase 4 Maturity:



# Establish Succession Planning and Management Strategy

## Maturity Model Assessment

### Phase 5: Ingrain a Succession Planning and Management Mindset for Sustainability

For each statement below, please select the box that indicates the extent to which your organization conducts each activity. "Not at all" indicates that your organization does not conduct the stated activity. "Informally" indicates that the organization conducts the activity, but it is governed by unwritten rules and/or responsibilities are vague. "Formally" indicates that the activity is officially documented and conducted consistently.

1. My organization has policies and procedures in place that document roles and responsibilities for succession planning and management activities.

Not at all

Informally

Formally

2. My organization has engaged appropriate stakeholders that are accountable for succession planning and management activities.

Not at all

Informally

Formally

3. My organization's employees are regularly engaged in succession planning and management programs, goals, and progress.

Not at all

Informally

Formally

4. My organization regularly and consistently evaluates succession planning and management strategies to assess their effectiveness.

Not at all

Informally

Formally

5. My organization updates and refines succession planning and management strategies and activities based on regular program assessment.

Not at all

Informally

Formally

The box below displays your organization's phase 5 maturity level. This is determined based on the assessment of current phase 5 succession planning activities at your organization.

Maturity is based on the [DOC Succession Planning Maturity Model](#), which places organizations at one of the three levels within each of the five succession planning phases. An overall maturity level will be provided on the [last page of this assessment](#) and should be used to inform your organization's succession planning strategy and priority areas.

Phase 5 Maturity:



# Establish Succession Planning and Management Strategy

Your overall maturity reflects the current state assessment of your succession planning and management program.

Maturity Model Assessment <i>Overall Maturity</i>	
Phase	Maturity
<i>Establish A Succession Planning And Management Strategy</i>	
<i>Determine Leadership Demand</i>	
<i>Evaluate Talent</i>	
<i>Mobilize and Develop Talent</i>	
<i>Ingrain a Succession Planning and Management Mindset for Sustainability</i>	

**The box below displays your organization's overall maturity level.** This is determined based on the assessment of current succession planning and management activities across each phase at your organization.

*Maturity is based on the [DOC Succession Planning Maturity Model](#), which places organizations at one of the three levels within each of the five succession planning phases.*

**Overall Maturity:**

The results of your organization's assessment against the maturity model should be used to inform your organization's succession planning strategy and priority areas.



# Establish Succession Planning and Management Strategy

## Key activities:



### Strategic Alignment

Write or update a succession planning and management strategic plan that aligns with overarching organizational objectives every 2-3 years.

The succession planning and management strategy should be based on:

- the current organizational strategic plan,
- human capital operating plan (HCOP),
- current and future workforce and leadership needs, and
- established organization-wide, human capital success metrics.

As part of this process, the Succession Planning Lead (SPL), as designated by the organization, should spearhead succession planning and management activities, navigate HR processes and have visibility into mission delivery. Organizations should report succession planning and management strategies, including priorities, goals, timeline, metrics, and sustained high-level approach to key stakeholders.

Conduct an environmental scan to identify and analyze factors that may impact the workforce of their organization. Environmental scans help you identify current human capital strengths, weaknesses, opportunities, and threats (SWOT) that may impact the workforce's ability to deliver the organization's mission, both today and in the future. This information should be used to inform succession planning strategies and priorities.

The environmental scan should focus political, economic, social, technological, legal, and environmental (PESTLE) trends to identify potential organizational changes and their impact on the workforce. Additional information on how to conduct an environmental scan can be found on pages [47-50](#).



### Review Organization Succession Planning Policies

Review existing organization succession planning and management policies and establish a process for regular review moving forward to align organizational-level policies with strategic goals. Organization-specific policies should be in alignment with the DOC Succession Planning and Management DAO and [existing DAOs](#).





# Establish Succession Planning and Management Strategy

## Key activities:



### Maintain and Analyze Data

Use data to inform decisions surrounding succession planning and management activities. To do this:

- analyze succession planning data as it is collected,
- identify where additional data is needed to support initiatives, and
- maintain accurate retirement data, exit data, and development initiatives data.

Refer to the chart below for key data points to collect and analyze, including:

- employee demographics,
- retirement eligibility,
- turnover trends by organization or series,
- federal employee viewpoint survey (FEVS) results, and/or
- qualitative information on processes and procedures.

Use available data sources, such as NFC, HRStat, [MD-715](#) report, Agency Diversity Strategic Plan, or [FedScope](#) to find this data. This data can help you answer a variety of succession planning and management questions such as:

Employee Demographics	Retirement Eligibility	Hiring & Attrition Trends
<ul style="list-style-type: none"> <li>➤ What are the demographics of the current workforce supply? How does this compare to the demographics of key positions?</li> <li>➤ What vacancies exist by grade level?</li> <li>➤ Does the current talent supply (i.e., employees in the pipeline for leadership) meet the workforce demands of the future?</li> <li>➤ How does the current workforce profile impact succession planning strategies?</li> </ul>	<ul style="list-style-type: none"> <li>➤ What percentage of the current workforce is currently retirement eligible?</li> <li>➤ What additional vulnerabilities are coming up in the next five years?</li> <li>➤ Which job functions are most vulnerable and should be a focus for succession planning?</li> </ul>	<ul style="list-style-type: none"> <li>➤ How many people are entering and leaving my organization? What are the trends across grade levels, mission critical occupations (MCOs) and in relation to diversity, equity, inclusion and accessibility (DEIA)?</li> <li>➤ Are there job functions with higher-than-average separations, prompting greater focus for proactive succession planning?</li> </ul>



# Establish Succession Planning and Management Strategy

## Key activities:



### Maintain and Analyze Data

Retirement eligibility data informs decisions surrounding succession planning and management activities. A sample data set used to interpret retirement data and identify succession planning and management priorities is shown in Figures 1 and 2. Additional example of data visualizations can be found on pages [51-52](#).

The number of high- risk SES positions, defined as SES who are eligible for retirement for five or more years. This number is an example of the positions that organizations should prioritize.

### Retirement Eligibility

As of 7/31/20

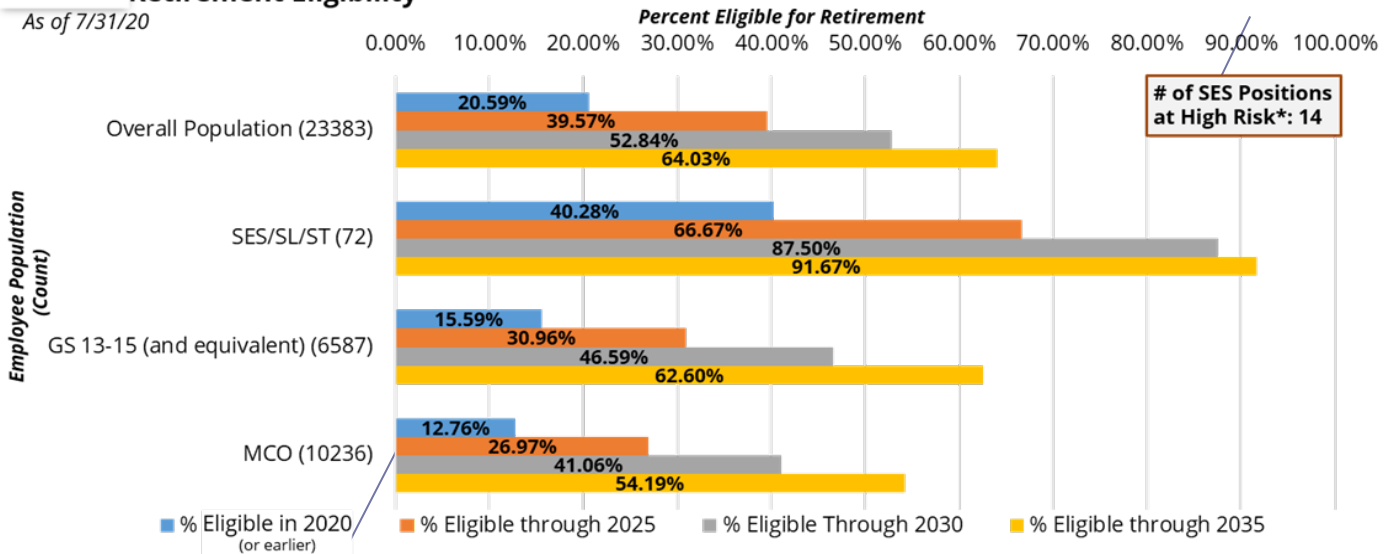


Figure 1.

Top Three At-Risk Mission Critical Occupations for		
MCO	# and % of MCO staff eligible for retirement by 2025	
0301 – Miscellaneous Administration and Program Management	1663	27.05%
2210 – Information Technology Specialist	466	38.38%
1530 – Statistician	251	17.56%

Figure 2.

The bar graph shows retirement eligibility for specific workforce segments by year of eligibility, beginning with 2020 or earlier. Each category is inclusive of the previous.

The three MCOs with the highest percentage of staff eligible to retire by 2025 (or sooner) are listed in a table.



# Establish Succession Planning and Management Strategy

## *Key activities:*



### **Build a Business Case**

Data collected in this phase informs the business case for succession planning and management. The business case is used to obtain leadership support, engage succession planning and management program participants, build a communication strategy, etc. The following questions should guide the business case development ([USGS Succession Planning Desk Guide, 2018](#)):

- What are your organization's strategic goals?
- What are your organization's workforce planning strategies?
- Define the link between your strategic goals and succession planning?
- Define the link between your workforce planning strategies and succession planning?
- Define how the succession planning program will benefit your organization?
- Identify the workforce data that will supports the case for the succession planning goals (e.g., a chart explaining the percentage of senior leaders that will retire within 5 years)?
- How are the workforce needs shifting?
- How are jobs evolving?
- What are the disruptors?

\*Note: Use leading labor market indicators to analyze trends

When developing the goals or reasons for succession planning, cite the need to:

- 1) preserve legacy of achievements and experiences,
- 2) focus planning on critical vulnerabilities in the workforce,
- 3) build pools of talent capable of competing for essential positions, and
- 4) encourage employee engagement, collaboration, and mentorship.

The business case should be articulated in one to two paragraphs or several easy-to-read slides. An example business case can be found [here](#).



## 2. Determine Leadership/ Key Position Demand



### 2. Determine Leadership/ Key Position Demand

- Identify and maintain a key position list prioritized by risk level
- Identify position requirements, competencies, risks, and success criteria
- Use hiring, retirement trends, and attrition data to understand demand shifts

## 1 PHASE OBJECTIVES

1. Identify and maintain a [key position](#) list (including leadership positions) prioritized by risk level.
2. Identify key position requirements, competencies, risks, and success criteria.

## 2 KEY ACTIVITIES AND OUTPUTS

Detailed guidance and supporting resources for these activities are on pages [21-25](#).

*Key Activities:*



[Select key positions](#)



[Review existing position data](#)



[Collect success criteria](#)



[Document success criteria](#)



[Evaluate risk](#)

*Outputs:*

List of positions to focus succession planning and management activities on (i.e., Senior Executive Service (SES) positions)

List of high priority key positions and their potential exit risks (i.e., due to retirement)

Data on the skills, knowledge, and experiences that are important in key positions and how quickly they may need to be backfilled

Accessible document(s) that organize collected success criteria data

Understanding of additional risks and/or trends in key position requiring immediate succession planning and management action

## 3 MEASURING PROGRESS

Use the following questions to evaluate progress towards the objectives:

1. Are priority positions for succession planning and management identified?
2. What procedures are in place to assess key position requirements, competencies, risks, and success criteria? Are procedures minimal, informally defined, or formally defined?
3. Are key positions assessed for risk? How many (both number and percentage) key positions are at risk? How does this affect the organization (minimal, moderate, or high risk)?



# Determine Leadership/Key Position Demand

## Key activities:



### Select Key Positions

Select key position(s) to assess for success criteria (e.g., Senior Executive Service (SES), [mission critical occupations](#) (MCOs<sup>1</sup>)) based on organizational priorities and findings from the establish succession planning and management strategy phase (e.g., positions with higher-than-average separations). Determine methods for establishing position(s) requirements and [competency benchmarks](#). Potential methods include research, [surveys](#), [interviews](#), position descriptions (PDs) review, etc<sup>2</sup>. These methods will determine how you conduct later steps in this phase.



### Review Existing Position Data

Review existing, organization-specific retirement and exit data of key positions to identify which key positions have a [high vacancy risk](#) (i.e., due to retention or retirement). Based on this data, identify [high risk positions](#) to prioritize for succession planning and management activities.

Key data points to review may include retirement eligibility, generational representation, talent pipeline, turnover trends by organization, series, or grade level, etc. One way to conduct this analysis is to review SES retirement eligibility to inform [position risk](#) level, as shown below.

Key Position	Retirement Eligibility Date	Years Past Retirement Eligibility	Timeframe
OFFICE DIRECTOR A	09/21/2013	7.2	PAST RETIREMENT ELIGIBILITY
OFFICE DIRECTOR B	03/11/2016	4.7	
OFFICE DIRECTOR C	4/23/2021	-0.4	ELIGIBLE WITHIN 5 YEARS
OFFICE DIRECTOR D	05/25/2021	-0.5	
DEPUTY OFFICE DIRECTOR A	07/23/2025	-4.7	
DEPUTY OFFICE DIRECTOR B	02/07/2026	-5.2	ELIGIBLE BETWEEN 5 AND 10 YEARS
DEPUTY OFFICE DIRECTOR C	10/19/2028	-7.9	
DEPUTY OFFICE DIRECTOR D	01/18/2031	-10.2	ELIGIBLE IN GREATER THAN 10 YEARS
OFFICE DIRECTOR E	04/17/2032	-11.4	

Figure 3.

[Go Back](#)

**Key**

■ High Vacancy Risk 
 ■ Medium Vacancy Risk 
 ■ Low Vacancy Risk

<sup>1</sup>The 2022 DOC MCO list can be found [here](#).

<sup>2</sup>Survey and interview templates to use to collect success criteria data can be found on pages [54-73](#).



# Determine Leadership/ Key Position Demand

## Key activities:



### Collect Success Criteria Data

Assess current and future key position success requirements using previously selected methods (e.g., research, [surveys](#), [interviews](#)<sup>1</sup>, position description reviews, etc.). This will help you understand what skills, knowledge and experiences are important in key positions, and how quickly they may need to be backfilled.

Sample success criteria data to consider collecting include:

- **Position summary:** Overview of the position's roles and responsibilities.
- **Suggested experience:** Overview of the experiences, education, etc. that could help prepare an individual for success in the position.
- **Key competencies:** Overview of the competencies that are important for success in the position and the required proficiency levels. Competencies may include both [critical elements](#) and [technical competencies](#). Consider utilizing the [OPM proficiency level scale](#).
- **Position impact:** Level of impact a position has on the strategic goals of the organization, its direct and indirect reports, and the organization's mission<sup>2</sup>.
- **Vacancy risk:** Likelihood that a position will be vacant and the level of gaps that exist in the pipeline for the position<sup>2</sup>.
- **Future position needs:** The top disruption risks that may alter the requirements of the position (i.e., key competencies and proficiency levels) based on changes in federal government strategic priorities, technology shifts, etc. Consider utilizing the [OPM Strategic Foresight framework](#) to project future competencies that will need to be prioritized to support long-term success.
- **Disruption risk:** Likelihood that the position is impacted by potential disruption risks in the next 1-3 years<sup>2</sup>.
- **Position pipeline:** Overview of the talent groups (i.e., grade levels, occupational series, functional areas, etc.) are best prepared to take over the position in the future. Also includes information on the existing [human capital gaps](#) (i.e., competency, skills, proficiency, etc.) that candidates in the pipeline for the position must address to be successful in the position.

[Go Back](#)

<sup>1</sup>Survey and interview templates to use to collect success criteria data can be found on pages [54-73](#).

<sup>2</sup>Sample formulas to calculate position impact, vacancy risk and disruption risk can be found on pages [77-79](#).



# Determine Leadership/ Key Position Demand

## *Key activities:*



### **Document Success Criteria**

Use collected data to document key position success criteria in an easily understandable format, which may include Knowledge, Skills, and Abilities (KSAs), [formal competency models](#), [Executive Core Qualification \(ECQs\)](#), and/or position [success profiles](#).

One way of understanding success criteria is by using a success profile which is a tool that outlines the skills and abilities needed to be successful in a position. An excerpt from the success profile for the DOC Director of Human Resources Management (OHRM) and Chief Human Capital Officer position is shown in Figure 4 on the [next page](#). Additional details on success profiles and a template can be found on pages [74-76](#).



# Determine Leadership/Key Position Demand

## Director, Office of Human Resources Management (OHRM) and Chief Human Capital Officer

<b>Incumbent:</b> Vacant	<b>Office:</b> Office of Human Resources Management
<b>Incumbent Time in Position:</b>	<b>Location:</b> Washington, DC
<b>Organization:</b> OS	<b>Reports to:</b> Chief Financial Officer and Deputy Assistant Secretary for Administration (CFO/ASA)
<b>Size of Organization:</b> 134	<b>Number of Reports:</b> 0-9
<b>Series:</b> 0201	<b>Related Positions:</b> Deputy Director for Human Resources Management and Deputy Chief Human Capital Officer, Bureau Principle Human Resources Managers (PHRMs)

Rank	Top Critical Elements	Required Proficiency Level**
1	Results Driven	Level 5: Expert
2	Building Coalitions	Level 5: Expert
3	Leading People	Level 4: Advanced
4	Business Acumen	Level 4: Advanced
5	Leading Change	Level 4: Advanced

Rank	Top Technical Competencies	Required Proficiency Level**
1	Human Resources Administration	Level 5: Expert
2	Human Capital Management	Level 5: Expert
3	Communications and Stakeholder Management	Level 4: Advanced
4	Organizational Performance Management	Level 4: Advanced
5	Project Management	Level 4: Advanced

### Future Position Needs

	Environmental	Social	Legal
<b>Top Disruption Risks</b>	<ul style="list-style-type: none"> <li>- The transition to Enterprise Services (ES) impacts the manner in which operational work is conducted and will impact the workforce and the skillsets required for success</li> <li>- Position will need to collaborate closely with OPM and other federal agencies to gather insights and navigate changes</li> <li>- Changes in policies (i.e. Executive Orders) impact the nature of the work and the responsibilities of this position</li> </ul>		
<b>Projected Future Competency Needs</b>	<b>Critical Elements</b>	Building Coalitions, Results Driven, Business Acumen	
	<b>Technical</b>	Financial Management, Process Control, Administration and Management	

Figure 4.





# Determine Leadership/Key Position Demand

## Key activities:



### Evaluate Risk

Review data for additional risks and/or trends in key positions. This will help you identify human capital risks that could pose a threat to future mission delivery and determine which positions should be prioritized for immediate succession planning activities. Human capital risks include likelihood of separation, retirement eligibility, lack of knowledge retention, etc.

Develop criteria to evaluate risk level. For example, one way to evaluate risk level is by evaluating if a position meets one or more of the following criteria:

- Incumbent has been eligible for retirement for 5 or more years
- Incumbent is 62 or older
- Incumbent has 25 or more years of service

The below sample dashboard shows an analysis of position risk across an organization based on the above criteria. Additional information and more dashboard views can be found on pages [80-82](#).

The risk factors show the number of positions with a higher likelihood of separation based on the incumbent's age, length of service, or retirement date.

Four categories of retirement eligibility are displayed for personnel. The data provide a comparison baseline for understanding the data.

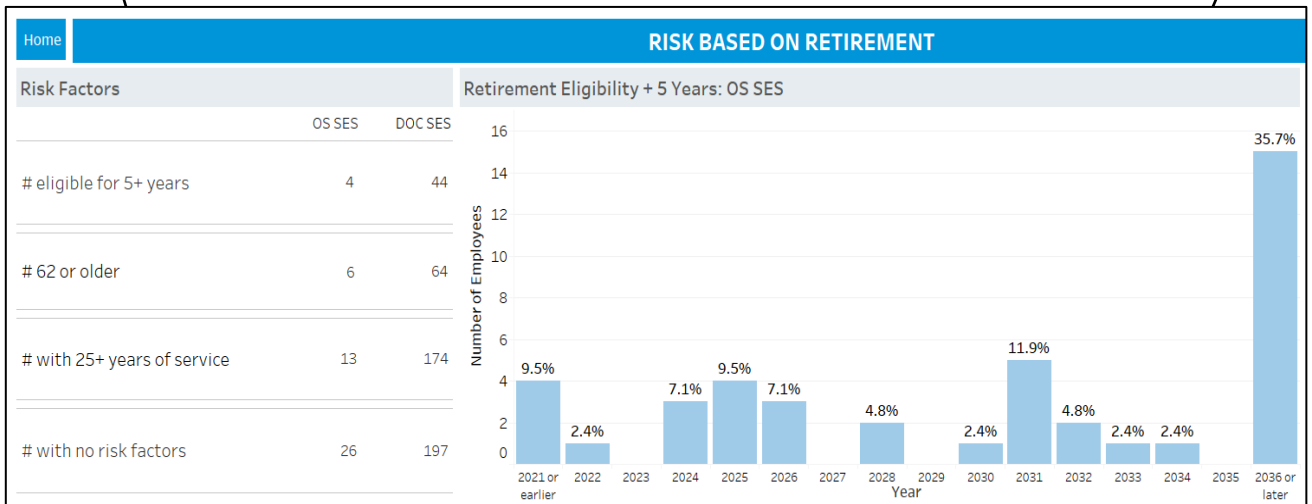


Figure 5.



## 3. Evaluate Talent



### 3. Evaluate Talent

- Develop and communicate a process to evaluate talent pools
- Evaluate talent pool against developed success criteria
- Identify major competency gaps and position risks for key positions

## 1 PHASE OBJECTIVES

1. Develop and communicate a process to evaluate identified talent pools for priority key positions.
2. Evaluate [talent pool](#) against developed success criteria and leadership capabilities.
3. Identify major competency gaps and position risks for key positions.

## 2 KEY ACTIVITIES AND OUTPUTS

Detailed guidance and supporting resources for these activities are on pages [27-30](#).

Key Activities:



[Identify talent pool](#)



[Assess talent pool competencies and leadership capabilities and determine gaps](#)



[Assess talent pool demographics](#)



[Evaluate Talent Pipeline](#)



[Determine gap closure activities](#)

Outputs:

List of talent groups within the organization that are well positioned to potentially fill key positions

Documented talent pool-wide and individual-level gaps

Documented gaps in the organization's capacity to maintain a diverse and inclusive leadership pipeline

Understanding positions that do not have a defined talent pipeline in place to inform workforce planning for leadership roles/ key positions

Understanding of whether identified competency gaps can be better met by providing training to the existing workforce or by supplementing the workforce with new personnel

## 3 MEASURING PROGRESS

Use the following questions to complete a self-assessment on progress towards the objectives:

1. Is the workforce data available to evaluate projected talent supply limited, inconsistent, or consistent?
2. Has a goal of potential candidates for each critical position been identified? Are critical positions evaluated for major competency gaps and position risks? How many critical positions (both number of positions and percentage of total positions) have gaps and/or are at risk?
3. How many critical positions were (both number of personnel and percentage of total personnel) assessed against identified success criteria?



# Evaluate Talent

## *Key activities:*



### **Identify Talent Pool**

Identify a list of talent pools within the organization that are well positioned to potentially fill key positions. Talent pools could include occupational series, grade levels, functional areas, etc.



### **Assess Talent Pool Competencies and Leadership Capabilities**

Assess identified talent pool to understand [competency gaps](#) (using research, [self-assessment](#), [supervisor assessment](#), [interviews](#), etc.) based on established occupational competency models. Sample self- and supervisor assessments used to assess talent pool competencies can be found on pages [84-110](#). A sample competency model can be found [here](#).

Use behavioral assessments (i.e., [Myers-Briggs Type Indicator \(MBTI\)](#), [Emotional Quotient Inventory \(EQ-i\)](#), [DiSC](#), etc.) to evaluate leadership capabilities.

Document talent pool-wide and individual-level competency gaps and share findings with stakeholders. One way to visualize talent pool-wide competency gaps is through a dashboard. Sample dashboard views can be found on pages [28](#) and [111-112](#).

Feedback reports and development plans can be used to document individual-level competency gaps and can be shared with employees to guide development conversations with their supervisor. Sample templates can be found on pages [113-123](#).



# Evaluate Talent

Summary information breaks down the talent pool into several categories based on interest in leadership and employee readiness.

## TALENT POOL SUMMARY

237	# Total Staff Participants	151	# Interested in Leadership	147	# Interested in OS Leadership	46	# Ready Now	93	# Ready in 1-2 years (by 2023)	124	# Ready in 3-5 years (by 2026)	147	# with Updated IDP	2,099	Average Summary Growth Indicator Score	Office
-----	----------------------------	-----	----------------------------	-----	-------------------------------	----	-------------	----	--------------------------------	-----	--------------------------------	-----	--------------------	-------	--	--------

### Gap Analysis by Critical Elements

Building Coalitions	Business Acumen	Leading Change	Leading People	Results Driven
---------------------	-----------------	----------------	----------------	----------------

#### Critical Elements Ranked:

- Results Driven
- Leading People
- Leading Change
- Building Coalitions
- Business Acumen

#### Enhance Strengths

Content to be added in a later phase.

#### Address Gaps

Content to be added in a later phase.

At or Above SES Ask

Within 1 Proficiency Level of SES Ask

Not Within 1 Proficiency Level of SES Ask

The gap analysis by critical elements item shows the competency gaps for key critical elements. Competency gaps were based on supervisor proficiency rating compared to the proficiency level required for the key positions.

### Gap Analysis by Technical Competencies

Accounting	Acquisition Strategy	Admin. & Mgmt.	Comm. & Stakeholder Mgmt.	Compliance	Data Mgmt.	Data Systems
Enterprise Architecture	Financial Mgmt.	Human Capital Mgmt.	HR Admin.	IT Strategy & Planning	Legal, Govt., & Jurisprudence	Org. Awareness
Org. Performance Mgmt.	Process Control	Project Mgmt.	Research	Risk Mgmt.	Security	Tech. Awareness & Application

#### Top 5 Office Technical Competencies:

- Comm. & Stakeholder Mgmt.
- Admin. & Mgmt.
- Org. Awareness
- Risk Mgmt.
- Legal, Govt., & Jurisprudence

#### Enhance Strengths

Content to be added in a later phase.

#### Address Gaps

Content to be added in a later phase.

Red critical elements and technical competencies to indicate the largest gaps. Green indicates the absence of a gap.

The gap analysis by technical competencies item shows the competency gaps for key technical competencies. Competency gaps were based on supervisor proficiency rating compared to the proficiency level required for the key positions.

Figure 6.



# Evaluate Talent

## Key activities:



### Assess Talent Pool Demographics

Assess talent pool demographics and identify gaps in the organization’s capability to maintain a diverse and inclusive leadership pipeline. It is critical for the Federal Government to strengthen its ability to recruit, hire, develop, promote, and retain our Nation’s talent and remove barriers to equal opportunity. A growing body of evidence demonstrates that diverse, equitable, inclusive, and accessible workplaces yield higher-performing organizations ([President’s Executive Order on Diversity, Equity, Inclusion, and Accessibility in the Federal Workforce](#)).

[The DOC Diversity & Inclusion Strategic Plan](#) outlines the need for organizations to collectively cultivate a broadly diverse pipeline for leadership positions. Utilize talent pool demographic data to identify gaps and inform succession planning strategies to build a more diverse leadership pipeline.

The sample graph below shows employees in the leadership pipeline by race and can be used to identify underrepresented groups that may require additional interventions.

**Leadership Pipeline by Race/ Ethnicity**

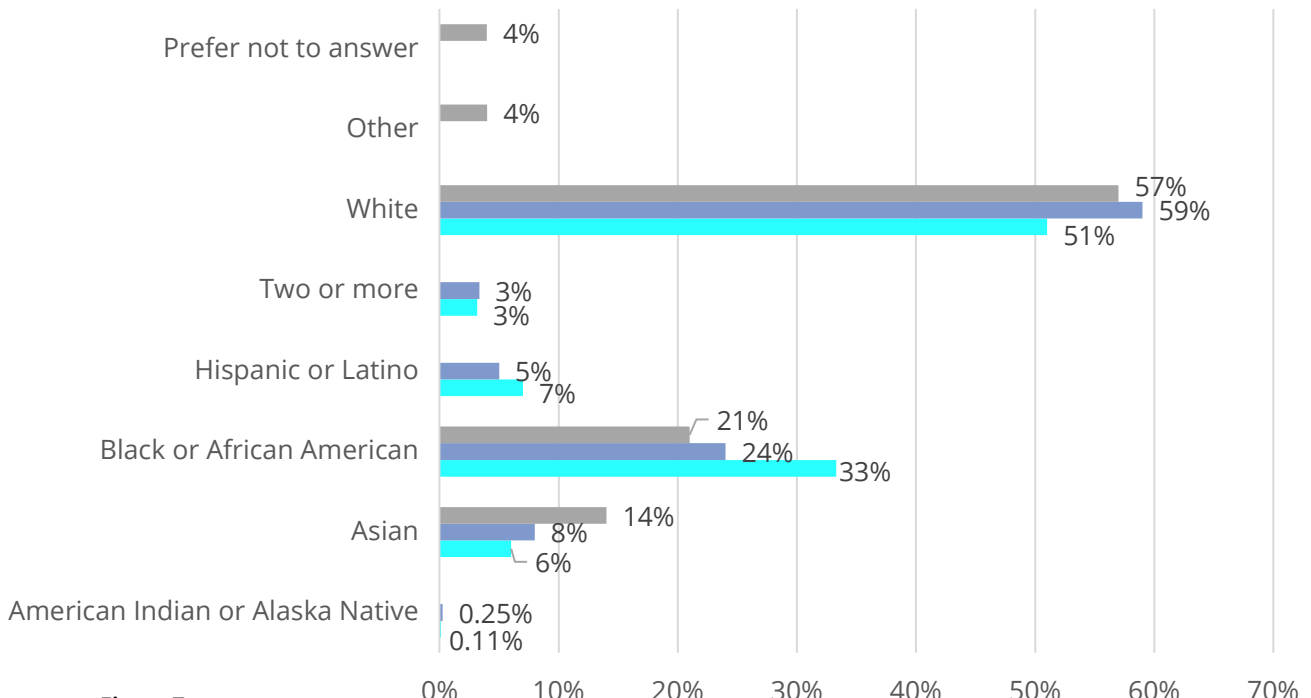


Figure 7.

Key

■ Employees in Pipeline ■ Total GS13-15 (and Equivalent) Employees ■ Total Employees



# Evaluate Talent

## Key activities:



### Evaluate Talent Pipeline

Based on research and best practices from the private and public sector, **an existing pipeline is defined as having 3 or more candidates**, who are (1) interested in the position and (2) deemed “**ready**” for a leadership position by their supervisor (Barnett & Davis, 2008). However, organizations should evaluate the appropriate size for their pipelines based on the size of the organization and the criticality of the key positions.

Identify positions where a robust pipeline is not in place and update position risk list accordingly.

A sample position risk list Figure 8 is shown below

Position	Position Risk	Candidate Count
OFFICE DIRECTOR A	HIGH	0
DEPUTY OFFICE DIRECTOR A	HIGH	2
OFFICE DIRECTOR B	MEDIUM	3
DEPUTY OFFICE DIRECTOR B	MEDIUM	3
OFFICE DIRECTOR C	LOW	5
DEPUTY OFFICE DIRECTOR C	LOW	6

Figure 8.



### Determine Gap Closure Activities (Build vs. Buy)

Consider whether identified competency and diversity gaps can be better met by “building” or “buying” new talent. “Building” talent involves implementing targeted development activities to develop existing staff within the office. “Buying” talent involves recruiting new personnel to supplement the workforce.

Gap closure recommendations will align with activities conducted in phase four, mobilize & develop talent.



## 4. Mobilize & Develop Talent



### 4. Mobilize & Develop Talent

- Create a structured approach to filling competency gaps and communicate gaps to leaders so they understand risks
- Integrate assessment results into formal development plans
- Support employee development through targeted programs






### 1 PHASE OBJECTIVES

1. Create and implement a structured approach to filling competency gaps.
2. Formalize new development goals for target talent populations.

### 2 KEY ACTIVITIES AND OUTPUTS

Detailed guidance and supporting resources for these activities are on pages [32-35](#).

#### Key Activities:

-  [Establish knowledge transfer approach & process](#)
-  [Develop and implement position pipeline growth strategies](#)
-  [Develop and implement talent pool competency gap closure strategies](#)
-  [Monitor and evaluate effectiveness of identified strategies](#)
-  [Integrate results into development plans](#)

#### Outputs:

- Documented approach, processes and resources to facilitate specialized and institutional knowledge retention
- Activities and programs to increase the number of candidates in the pipeline for high-priority positions
- Activities and programs to acquire desired skillsets to close identified competency gaps
- Understanding of the effectiveness of current strategies to inform future iterations of activities
- Robust development plans to help achieve individual career goals and close organization-wide gaps

### 3 MEASURING PROGRESS

Use the following questions to evaluate progress towards the objectives:

1. Does the organization have a defined action plan (none, informal, formal) to fill perceived competency gaps?
2. Are development goals integrated (informally, formally) into the organization's succession planning and management activities?



# Mobilize & Develop Talent

## Key activities:



### Establish Knowledge Transfer Approach and Processes

Establish and implement an organizational approach, processes, and tools/ resources for knowledge transfer for high-risk positions through tools like exit and stay interviews, mentorship programs, effective document storage, process mapping, job-shadowing, knowledge transfer reports, etc.

Effective knowledge transfer facilitates specialized and institutional knowledge retention, which minimizes transition disruptions and enables continued mission delivery. Use Table 1 (provided by the International Trade Administration (ITA)) as guidance when you build your knowledge transfer approach. Sample knowledge management tools, techniques, and outputs are outlined on pages [125-127](#).

Knowledge Management Goals:	Knowledge Management is:	Knowledge Management is not:
Getting the right information to the right people at the right time	A way to support achievement of strategic goals	A stand alone program or project and should not be measured as such
Sharing experiences and insights	Customized to an organizational structure, products, services and needs	An off the shelf product or program that can be copied
	A change in employee's behavior and attitudes	Just about getting information to the front office and the portal
To maximize expertise and improve productivity	Identifying and sharing critical organizational knowledge	Overloading employees with information
	Getting the most from the intellectual capital of an entire team	Creating additional workload which does not add value
	Integrated in daily activities and processes	Purely a technology solution

Table 1





# Mobilize & Develop Talent

## *Key activities:*



### **Develop and Implement Position Pipeline Growth Strategies**

Use collected evidence and data (e.g., workforce analysis, key positions, position risk, talent pool, pipeline diversity) to develop and implement strategies and action plans to increase the number, quality, and diversity of candidates in the pipeline for high-priority positions. Activities should include:

- Use the findings from the Determine Leadership Demand and Evaluate Talent Phases to identify development needs of potential candidates (i.e., major talent pool skillset gaps),
- Draft targeted development strategies to build additional skillsets in the existing workforce,
- Draft targeted recruitment strategies to improve acquisition of talent with desired skillsets,
- Draft strategy to meet diversity and inclusion goals through development and strategic recruitment in line with the [President's Executive Order on Diversity, Equity, Inclusion, and Accessibility in the Federal Workforce](#),
- Develop a talent mobility plan by considering personnel within the organization or Department who could be moved to a new position to develop desired skillsets,
- Draft strategy for short-term or specialized talent areas where contractor support is needed, and/or
- Implement a talent acquisition plan in line with [A Time for Talent: Improving Federal Recruiting and Hiring](#).



# Mobilize & Develop Talent

## Key activities:



### Develop and Implement Talent Pool Competency Gap Closure Strategies

Where there is a competency gap, develop and implement strategies and action plans to acquire desired skillsets for talent pools. Activities selected for implementation should consider:

- Assessment of existing development resources that can address identified gaps (i.e., existing Commerce Learning Center (CLC) trainings),
- Resources needed (i.e., full time staff (FTE), software, etc.) to conduct selected gap closure activities,
- Need for acquisition of development resources (i.e., online coursework) where needed,
- Scalability of selected gap closure activities to additional populations in the organization,
- Overview of participation requirements (i.e., participant time commitment) for various activities, and/or
- Implementation roadmap of training, executive development programs (EDPs), coaching, mentoring and/or other programs to address competency gaps of a target talent segment. Consider using USAJob's [Open Opportunities platform](#) to post and locate opportunities.

A list of sample development activities to support competency gap closure can be found [here](#).



### Monitor and Evaluate Effectiveness of Identified Strategies

Monitor and evaluate the effectiveness of talent mobilization and development activities so you can refresh and improve strategies to better meet the needs of the workforce and your organization. The assessment should include:

- Evaluation of development outcomes, including impact on position risk,
- Evaluation of talent acquisition targets and outcomes, including impact on position risk, and/or
- Capture of lessons learned from initiatives to refine future iterations of activities.



# Mobilize & Develop Talent

## *Key activities:*



### **Integrate Results into Development Plans**

Following the completion of competency or other workforce assessments, SPLs should distribute results and recommended development activities to employees and their supervisors (i.e., employees in the talent pool) for integration into their formal [individual development plans](#).

Host information briefings to share key results, discuss how they inform formal development plans, and discuss the role of employees and supervisors in driving development. Request copies of completed development plans to track major trends in activities prioritized by employees (i.e., types of trainings). Use this information to inform organization development activity prioritization and resource allocation.



# 5. Ingrain a Succession Planning & Management Mindset for Sustainability



## Ingrain a Succession Mindset (Ongoing)

- Establish and review policies that document roles and expectations
- Leverage succession planning to grow the next generation of diverse talent
- Build a communication strategy to increase buy-in and leadership engagement
- Use available technology to maintain updated workforce data
- Evaluate and update program









## 1 PHASE OBJECTIVES

1. Establish policies and procedures that document clear roles and expectations for leadership and employees in the succession planning and management process.
2. Gain a succession planning and management executive champion.
3. Leverage succession management as a tool to grow the next generation of diverse talent (e.g., socialize organization policies, develop metrics, show effectiveness).
4. Refine succession planning and management strategies and activities.

## 2 KEY ACTIVITIES AND OUTPUTS

Detailed guidance and supporting resources for these activities are on pages [38-39](#).

### Key Activities:

-  [Develop and communicate policies and governance](#)
-  [Obtain leadership engagement](#)
-  [Communicate activities](#)
-  [Develop long-term communication plan](#)
-  [Engage stakeholders](#)
-  [Evaluate succession planning program](#)
-  [Provide report\(s\)](#)
-  [Update program](#)

### Outputs:

- Defined policies and governance structures that encourage stakeholders to be accountable for succession planning and management activities
- Engaged executive champion for succession planning activities
- Personnel understand key activities and responsibilities
- Documented plan to foster sustained engagement across the organization
- Enhanced engagement in and understanding of goals and responsibilities
- Evaluation of workforce trends and progress towards defined metrics
- Understanding of the effectiveness of implemented succession planning and management strategies and activities
- Refined succession planning and management strategies and activities



# Ingrain a Succession Planning & Management Mindset for Sustainability

## 3 MEASURING PROGRESS

Use the following questions to evaluate progress towards the objectives:

1. Does the organization have policies and procedures that document clear roles and expectations for succession planning and management activities? Is the organization succession planning and management program appropriately resourced (e.g., staffing, funding, tools)?
2. Is there stakeholder engagement that demonstrates progress toward succession planning and management goals?
3. How frequently is leadership engaged in succession planning and management programs, goals, and progress?
4. Are the organization's succession planning and management strategies and gap closure strategies still effective? And, are updates or changes needed?
5. Does the organization's strategic priorities require change to the organization's succession planning and management approach?



# Ingrain a Succession Planning & Management Mindset for Sustainability

## Key activities:



### Develop and Communicate Policies and Governance

Develop policies and governance for talent management that encourage stakeholders throughout the organization to be accountable for succession planning and management activities and own their role in succession planning and management. organization-specific policies should be in alignment with the forthcoming Department of Commerce Succession Planning Departmental Administrative Order (DAO) and [existing DAOs](#).

Communicate policies and governance structure to appropriate stakeholders across the organization.



### Obtain Leadership Engagement

Obtain leadership engagement by gaining a succession planning and management champion.

A list of sample responsibilities for this champion can be found on page [133](#).



### Communicate Activities

Communicate succession planning and management activities and responsibilities to appropriate personnel (e.g., communicate knowledge transfer expectations to upcoming retirees).



### Develop Long-Term Communication Plan

Develop a long-term communication plan to foster sustained succession planning and management engagement within the organization, including communication of data points that convey succession planning and management needs, available talent development programs, and program updates. This plan should include:

- Strategic communication for the overall succession planning and management program to organization leadership emphasizing leadership's role, responsibilities, and accountability in supporting/ facilitating succession planning and management, and/or
- Notifying participants and stakeholders of succession planning and management program activities and their impact.

Additional communication strategy guidance can be found on pages [129-132](#).



# Ingrain a Succession Planning & Management Mindset for Sustainability

## Key activities:



### Engage Stakeholders

Regularly engage and educate leaders, supervisors, and other key stakeholders throughout the organization on succession planning and management activities, outcomes and successes. This may include activities like:

- Setting up recurring working groups for Succession Planning Leads (SPLs) across the organization to discuss key challenges and potential solutions,
- Developing micro-learning videos to discuss key succession planning concepts,
- Hosting brown bag lunches with employees and supervisors to discuss their role in driving their own development to help achieve broad succession planning goals, and/or
- Hosting information sessions with human capital staff to discuss how succession planning goals and outcomes should inform their work (i.e., learning and development priorities).



### Evaluate Succession Planning Program

Regularly review workforce trends and progress towards established succession planning and management metrics.

Key metrics may focus on retention rates, hiring outcomes, gap analysis, key positions (i.e., SES leadership, [mission critical occupations](#) (MCOs)), FEVS results, effectiveness of gap closure methodologies, progress on training and development activities, percent of people in the pipeline that fill critical positions etc.)



### Provide Report(s)

Report on the effectiveness of the organization's succession planning and management strategies and activities on a routine basis.

An aggregate list of questions that can be used to measure succession planning and management maturity can be found on pages [10-15](#).



### Update Program

Update succession planning and management strategies and activities based on evaluation results.



## Conclusion

The successful implementation of ongoing succession planning and management activities will equip the Department for continued mission delivery. The use of the succession planning and management best practices outlined in this guide will enable organizations to build their current and future workforce to ensure the continuity of DOC's mission through leadership and workforce shifts.

The guidance, tools and templates provided in this succession planning and management guide are intended to support DOC organizations in investing in their workforces and maturing their succession planning and management capabilities.

Please contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) if you have any questions.





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# **Establish a Succession Planning and Management Strategy**



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# DOC Succession Planning and Management Program Maturity Model



To inform overall organization maturity, programs are evaluated as “foundational,” “developing” or “leading” across five succession planning phases based on the descriptions below and on the next page.

A maturity assessment template, based on the maturity model outlined below, that you can use document your organization’s current maturity level and understand future maturity goals can be found on pages [10-15](#).

DOC Succession Planning and Management Program Maturity Model		
Category	 Establish a Succession Planning and Management Strategy	 Determine Leadership Demand
<b>FOUNDATIONAL</b>	<ul style="list-style-type: none"> <li>No formal succession planning and management strategy</li> <li>Informal processes used to align strategic goals with succession planning</li> <li>Informal processes to establish baseline metrics and perform a regular review of succession planning and management program against success metrics</li> <li>Fragmented use of available data to support initiatives</li> </ul>	<ul style="list-style-type: none"> <li>Leadership demand planning is largely based on recent turnovers</li> <li>Informal or fragmented governance, processes and data inform workforce demand planning</li> <li>Informal processes used to identify critical functions/roles, and define success criteria</li> <li>Little or no engagement with mission to forecast needs</li> <li>Basic understanding of how to define mission critical occupations (MCO)s</li> </ul>
<b>DEVELOPING</b>	<ul style="list-style-type: none"> <li>Succession planning and management activities are conducted, but not as part of the broader strategy</li> <li>Some formal processes used to document baseline metrics for success and perform a regular review of succession planning and management program</li> <li>Some tools and processes used to analyze succession planning and management data and identify where more data is needed</li> </ul>	<ul style="list-style-type: none"> <li>Leadership demand planning is performed for some positions</li> <li>Some formal governance, processes and data is used to inform workforce demand planning, but use may be limited</li> <li>Some tools and processes used to identify critical functions/ roles, engage the mission and define success criteria</li> <li>Consistent identification and validation of MCOs</li> </ul>
<b>LEADING</b>	<ul style="list-style-type: none"> <li>A formal strategy, which is linked to broader strategic objectives, guides succession planning and management activities</li> <li>Robust processes used to document baseline metrics and routinely review succession planning and management programs against established metrics</li> <li>Formal and regularly-used tools and processes used to analyze and maintain succession planning and management data (i.e., exit data, retirement data, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Leadership demand planning is consistently performed for positions throughout the organization by an established team</li> <li>Formal governance, processes and data use inform workforce demand planning and create outputs to make proactive decisions and identify anticipated gaps</li> <li>Robust tools and processes used to identify critical functions/roles, engage the mission and define success criteria</li> <li>Consistent use of MCO identification processes for effectively managing and projecting needs for MCOs</li> </ul>




# DOC Succession Planning and Management Program Maturity Model

DOC Succession Planning and Management Program Maturity Model (continued)		
Category	 Evaluate Talent	 Mobilize and Develop Leaders
<b>FOUNDATIONAL</b>	<ul style="list-style-type: none"> <li>Limited to no use of available workforce data to evaluate projected talent supply for MCOs across the organization</li> <li>Informal processes and roles are used to define talent pools or talent pools are not clearly established</li> <li>Informal tools and processes used to assess talent against defined success criteria and succession priorities</li> <li>No formally defined competencies and career paths</li> </ul>	<ul style="list-style-type: none"> <li>Informal or limited use of workforce demand and supply data to inform talent programs and services (i.e., talent acquisition, development opportunities, etc.)</li> <li>No or informal leadership development strategy</li> <li>Provides no or limited development activities</li> </ul>
<b>DEVELOPING</b>	<ul style="list-style-type: none"> <li>Inconsistent use of available workforce data to evaluate projected talent supply for MCOs across the organization</li> <li>Limited formal processes to define talent pools or assess talent against defined success criteria</li> <li>Some defined competencies and career paths, but not fully integrated into the talent management process (i.e., inconsistently utilized to evaluate the talent pool or make decisions related to development)</li> </ul>	<ul style="list-style-type: none"> <li>Workforce supply and demand data used to inform talent programs and services (i.e., talent acquisition, development opportunities, etc.) on an ad-hoc or limited basis</li> <li>High-level leadership development strategy that lacks actionable steps for stakeholders across the organization</li> <li>Provides some development activities to empower employees and leaders, but they are not targeted at addressing gaps</li> </ul>
<b>LEADING</b>	<ul style="list-style-type: none"> <li>Consistent use of predictive analytics to evaluate projected talent supply across the organization against current and forecasted future demand</li> <li>Formal and regularly-used tools and processes to define talent pools and assess talent against defined success criteria and succession priorities maintained by a team or regular process</li> <li>Defined competencies and career paths are fully integrated into the talent management process (i.e., consistently utilized to evaluate the talent pool)</li> </ul>	<ul style="list-style-type: none"> <li>Consistent use of workforce supply and demand data to proactively inform talent programs and services (i.e., talent acquisition, development opportunities, etc.)</li> <li>Clearly defined learning and leadership development strategy that has actionable steps for stakeholders across the organization</li> <li>Deploys a wide variety of methods to empower employees and leaders to address gaps</li> </ul>



# DOC Succession Planning and Management Program Maturity Model

**DOC Succession Planning and Management Program Maturity Model (continued)**

Category	 <b>Ingrain a Succession Mindset</b>
<b>FOUNDATIONAL</b>	<ul style="list-style-type: none"> <li>• No policies or procedures that encourage accountability for succession planning activities, and limited communications to key stakeholders regarding succession planning efforts and priorities, metrics for success</li> <li>• Limited to no communication to key stakeholders regarding succession planning efforts and priorities</li> <li>• Limited to no participation across stakeholders in decision-making/ risk identification across the organization and in programs and activities that demonstrate progress towards succession planning goals (i.e., no use of IDPs, no formal mentoring programs, etc.)</li> <li>• No use of self-assessments for succession planning programs and policies</li> </ul>
<b>DEVELOPING</b>	<ul style="list-style-type: none"> <li>• Limited policies or procedures that encourage key leaders in the organization to be accountable for succession planning activities, and inconsistent communications to key stakeholders regarding succession planning efforts and priorities</li> <li>• Inconsistent communication to key stakeholders regarding succession planning efforts and priorities</li> <li>• Inconsistent participation across stakeholders in decision-making/ risk identification across the organization and in programs and activities that demonstrate progress towards succession planning goals (i.e., limited use of IDPs, limited participation in formal mentoring programs, etc.)</li> <li>• Inconsistent use of self-assessments for succession planning programs and policies</li> </ul>
<b>LEADING</b>	<ul style="list-style-type: none"> <li>• Robust policies and procedures that encourage stakeholders throughout the organization to be accountable for succession planning activities and own their role in succession planning</li> <li>• Frequent and transparent communication to key stakeholders regarding succession planning efforts and priorities</li> <li>• Consistent participation across stakeholders in decision-making/ risk identification across the organization and in programs and activities that demonstrate progress towards succession planning goals (i.e., consistent use of IDPs, high levels of participation in formal mentoring programs, etc.)</li> <li>• Frequent use of self-assessments for succession planning programs</li> </ul>



# Current State Assessment: Sample Qualitative Assessment

## Sample maturity analysis template

Each snapshot should contain high-level documentation of the activities currently occurring within each of the four succession planning dimensions.

Highlight specific strengths and opportunities to show where bright spots and areas of need currently exist.

Succession Planning Program Features				Strength	Opportunity
Determine Leadership Demand	Evaluate Talent	Mobilize and Develop Leaders	Ingrain a Succession Mindset		
<i>Maturity Level</i>	<i>Maturity Level</i>	<i>Maturity Level</i>	<i>Maturity Level</i>		
<b>Bureau Considerations</b>					
Each bureau has a unique set of workforce and cultural considerations that inform their succession planning and talent management practices.					
<b>Cultural Considerations</b>					

Figure 9.

Determine the maturity of each of the four succession planning components based on existing efforts.



# SWOT Analysis Process

Below is a workforce planning process for developing a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis.

## External Environmental Scan (PESTLE) Process:



### Step 1 – Research Articles and Trends

- Identify stakeholders for the Environmental Scan.
- Conduct facilitated discussions with stakeholders on current trends that may impact the workforce and their ability to deliver the organization's mission, both today and in the future.
- Conduct Research for market analysis (i.e., Labor market data, Pay Surveys, emerging skills, technology changes, FedScope).
- Review and assess at least five sources to address PESTLE.
  - o PESTLE is the recommended tool.

**Political** – Changes in political administration priorities and agendas, new executive orders, etc.

**Economic** – Changes in Department or office budgets, changes in unemployment levels or the job market, shifts in the costs or living and disposable income levels, etc.  
Growth rates (Economic), interest rates, exchange, inflation

**Social** – Cultural norms and expectations, shifts around workplace expectations and career attitudes, emphasis on Diversity, Equity and Inclusion (DEI), population growth and/or demographic (National and/or local) rates, age distribution, etc.

**Technology** – New or emerging technologies, robotics, artificial intelligence, rate of change in technology, infrastructure, research, artificial intelligence and innovation.

**Legal** – Changes to legislation in economic, social, environmental and/or technology.

**Environmental** – Transition to remote or hybrid work, migration of work to shared services model, etc.

- o Stakeholders should synthesize the research into current and future trends.



# SWOT Analysis Process

## **Step 2** – Review Trends for Accuracy and Discuss

- Identify the data for review
- Use Charting Tools to Visualize Data
- Identify Trends
- Look for patterns
- Did we get the right concept of the trend?
- Are there any trends that should be removed?
- Are there any external trends that should be added? Get stakeholder consensus on the current and future trends.

## **Step 3** – Opportunities and Threats

Stakeholders determine current and future trends as Opportunity, Threat or Both to the organization/mission.

- How do the trends affect the way the organization carries out the mission or conducts business?

## **Step 4** – Risk Assessment

- Stakeholders should determine the likelihood of a trend happening, and the potential impact of the trend on the organization.
- Identify your risk criteria
- Complete risk matrix

## **Step 5** – Finalize External Opportunity and Threat Information.

- Get stakeholder consensus on final current and future trends that pose a risk or opportunity to the organization/mission.
- Brief to leadership and other relevant groups as part of strategic planning process.





# SWOT Analysis Process

## Internal Strengths and Weaknesses Process



### Step 1 – Internal Strengths

- Identify stakeholders for the Internal Environmental Scan of strengths and weaknesses.
- Brainstorm with stakeholders on current strengths of the workforce in your organization
  - What does your organization's workforce do best?
  - What resources/ assets does the workforce of your organization have?
  - Where can the organization leverage those resources/ assets?
  - Review Employee Engagement results (Federal Employee Viewpoint Survey)

### Step 2 – Internal Weaknesses

- Brainstorm with stakeholders on current Weaknesses of the workforce of your organization/agency
  - Where could the workforce of your organization improve?
  - What major human capital gaps exist in your organization's workforce?
- Review Employee Engagement (Federal Employee Viewpoint Survey) results
- Stakeholders should rank the Weaknesses by importance and impact to the Department.

### Step 3 – Risk Assessment

- Once a list of all Strengths and Weaknesses has been assessed, stakeholder should rank the Strengths and Weaknesses based on a scale of 1 to 5 (1 – Strongly Disagree, 2 – Disagree, 3 – Somewhat, 4 – Agree, 5 – Strongly Agree)

**Step 4 – Finalize** all data and map the Strengths, Weaknesses, Opportunities and Threats on the risk matrix.



# SWOT Analysis Process

## SWOT Matrix Example



Figure 10.

## Risk Matrix Example

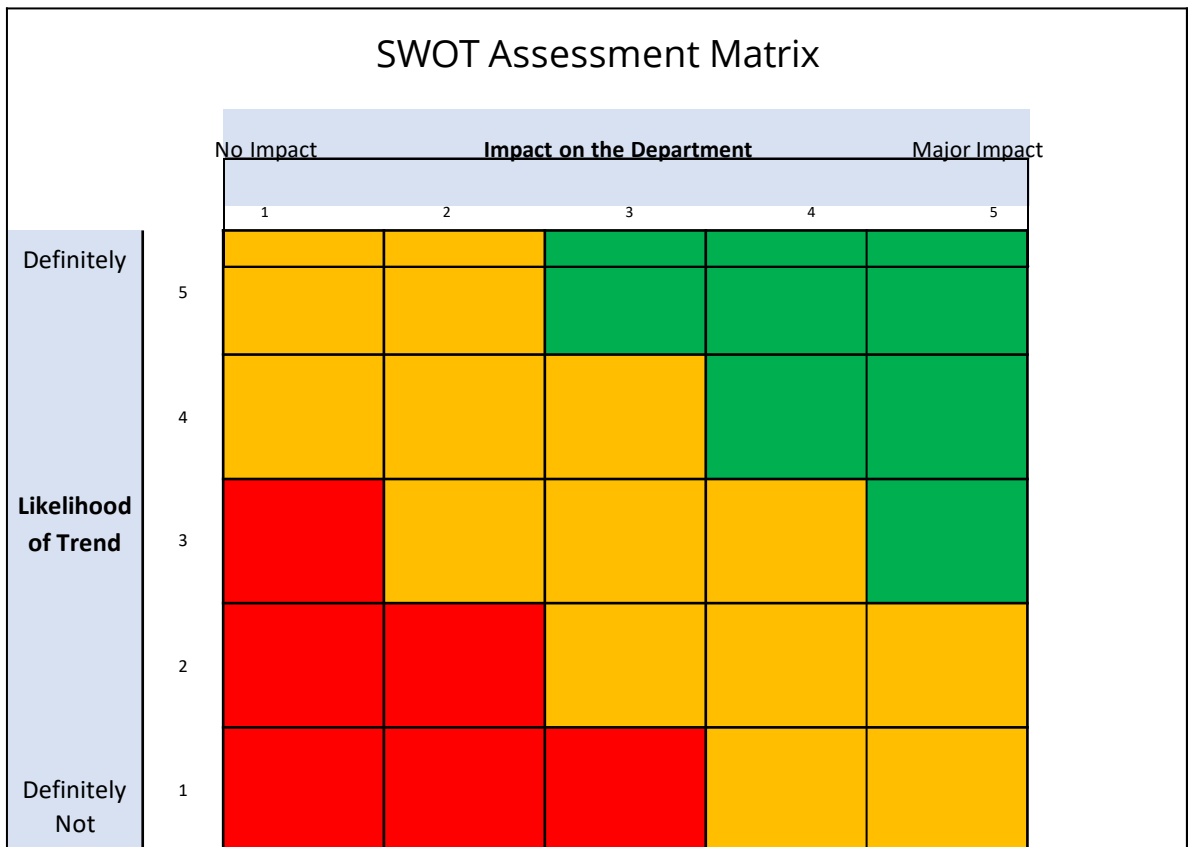


Figure 11.

**TIP:** Map the top five Strengths, Weaknesses, Opportunities, and Threats based on the likelihood and impact to the Department



# Data Visualization Samples

Retirement Projections by Year

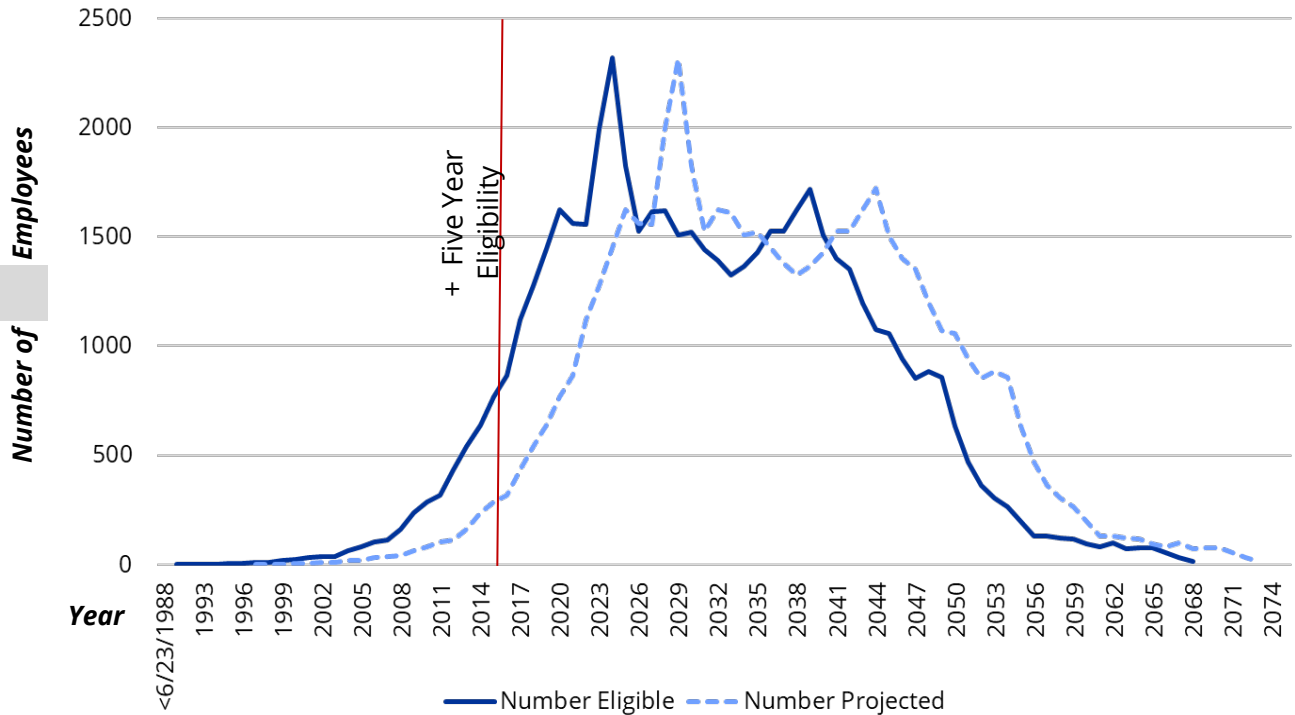


Figure 12.

Retirement Eligibility by Race

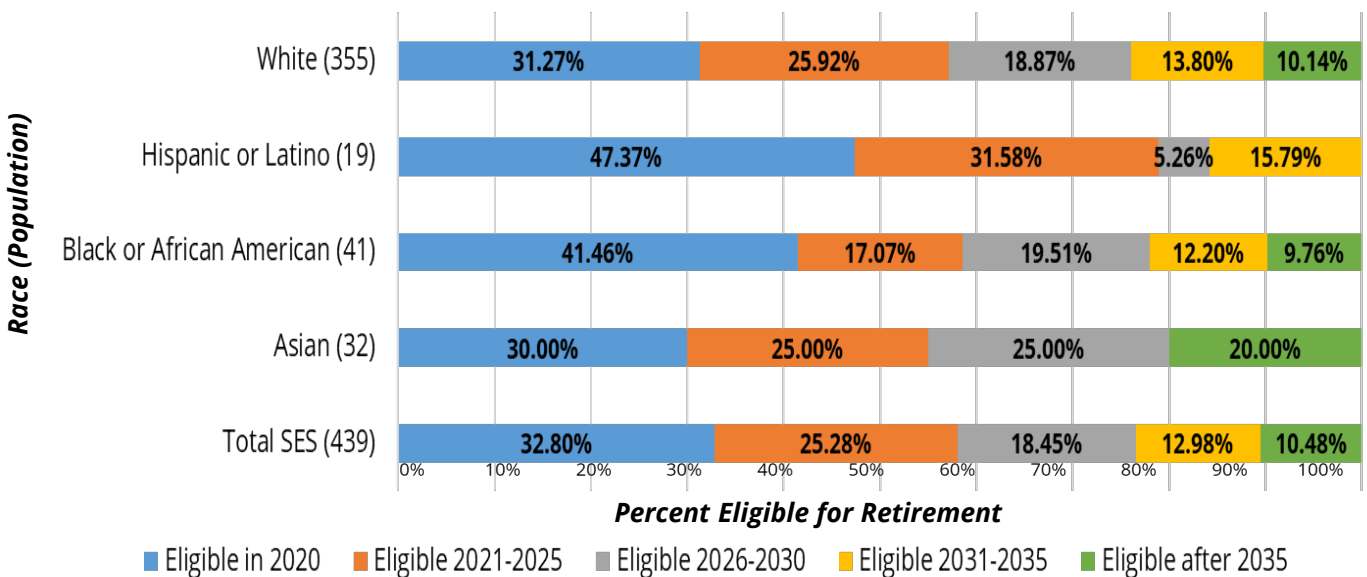


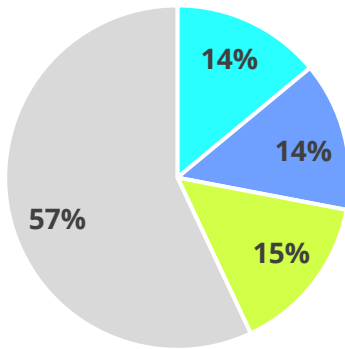
Figure 13.



# Data Visualization Samples

## Retirement Eligibility by Grade Level

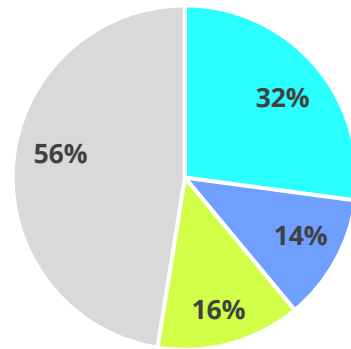
### Office-Wide



- Past Retirement Eligibility
- Eligible Within 5 Years
- Eligible Within 5 to 10 Years
- Eligible in Greater than 10 Years

Figure 14.

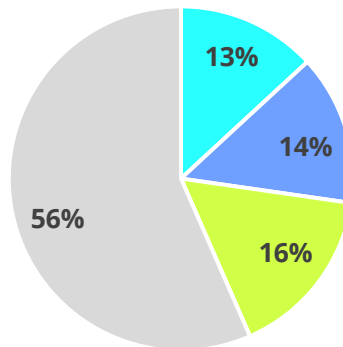
### SES/SL/ST



- Past Retirement Eligibility
- Eligible Within 5 Years
- Eligible Within 5 to 10 Years
- Eligible in Greater than 10 Years

Figure 15.

### GS 13-15 (and equivalent)



- Past Retirement Eligibility
- Eligible Within 5 Years
- Eligible Within 5 to 10 Years
- Eligible in Greater than 10 Years

Figure 16.



# Determine Leadership/Key Position Demand

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# Sample Leadership Survey

DOC OS SES Succession Planning Survey

## Department of Commerce (DOC) Office of the Secretary (OS) Senior Executive Service (SES) Succession Planning Survey

The Office of Human Capital Strategy's (OHCS) workforce and succession planning team, within the Office of Human Resources Management (OHRM) is conducting a comprehensive OS succession planning assessment to identify the critical skills necessary for each SES position. The Department is taking a proactive approach as 50% of SES within OS are eligible to retire in the next 5 years. Our goal is to prevent the occurrence of a leadership vacuum after senior staff exit the organization.

To address this, it is critical to identify and develop the skills required to continue supporting our mission and to create the conditions for economic growth and opportunity now and in the future. As part of this succession planning effort, we are identifying the key skills necessary for success in each SES position through your responses to this survey.

Thank you for taking the time to participate. We encourage your honest response throughout the survey and ask that you respond based on the current expectations for this position. Any sensitive information (i.e., personal identification information, plans to vacate a position, etc.) will be removed from final documents prior to distributing them. Please note, the results of this survey will be used to inform activities to support organizational success and will not be used to evaluate individual performance or staffing decisions.

This survey should take no longer than 30 minutes to complete. Please contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) if you have questions or technical issues related to the survey.

*If you need to leave the survey, click "save" before exiting. You will then be directed to a page that provides a unique URL for you to save so that you can start from where you left off when you're able to return to the survey.*

*You will have to start the survey from the beginning if you do not click save prior to exiting the survey.*



# Sample Leadership Survey

## Demographic/Position Information

Please share additional information about this position to help us understand the role.

### 1. What is the official position title for which you are completing this survey?

- ASSISTANT GENERAL COUNSEL FOR ADMINISTRATION
- ASSISTANT GENERAL COUNSEL FOR EMPLOYMENT, LITIGATION & INFORMATION
- ASSISTANT GENERAL COUNSEL FOR LEGISLATION AND REGULATION
- ASSOCIATE DEPUTY GENERAL COUNSEL
- CHIEF, CONTRACT LAW DIVISION
- CHIEF COUNSEL FOR COMMERCIAL LAW DEVELOPMENT
- CHIEF COUNSEL FOR ECONOMIC AFFAIRS
- CHIEF COUNSEL FOR ENFORCEMENT & COMPLIANCE
- CHIEF COUNSEL FOR INDUSTRY AND SECURITY
- CHIEF COUNSEL FOR INTERNATIONAL COMMERCE
- CHIEF DATA OFFICER
- CHIEF, ETHICS DIVISION
- CHIEF FINANCIAL OFFICER AND DIRECTOR OF ADMINISTRATION
- CHIEF, GENERAL LAW DIVISION
- CHIEF INFORMATION OFFICER
- CHIEF PRIVACY OFFICER AND DIRECTOR OF OPEN GOVERNMENT
- DEPUTY ASSISTANT SECRETARY FOR ADMINISTRATION
- DEPUTY CHIEF INFORMATION OFFICER FOR MANAGEMENT AND BUSINESS OPERATIONS
- DEPUTY CHIEF INFORMATION OFFICER FOR SOLUTIONS AND SERVICE DELIVERY
- DEPUTY DIRECTOR FOR FACILITIES & ENVIRONMENTAL QUALITY
- DEPUTY DIRECTOR, OFFICE OF BUDGET
- DEPUTY DIRECTOR, OFFICE OF FINANCIAL MANAGEMENT SYSTEMS
- DEPUTY DIRECTOR, OFFICE OF SECURITY
- DEPUTY FOR ACQUISITION PROGRAM MANAGEMENT
- DEPUTY FOR PROCUREMENT MANAGEMENT, POLICY AND PERFORMANCE EXCELLENCE
- DIRECTOR, ADMINISTRATIVE OPERATIONS
- DIRECTOR, HUMAN CAPITAL CLIENT SERVICES
- DIRECTOR, FINANCIAL MANAGEMENT SYSTEMS
- DIRECTOR, FINANCIAL MANAGEMENT & DEPUTY CHIEF FINANCIAL OFFICER
- DIRECTOR, FINANCIAL REPORTING AND INTERNAL CONTROLS
- DIRECTOR FOR ACQUISITION MANAGEMENT
- DIRECTOR FOR FACILITIES AND ENVIRONMENTAL
- DIRECTOR, OFFICE OF BUDGET
- DIRECTOR, OFFICE OF CIVIL RIGHTS
- DIRECTOR FOR OFFICE OF INTELLIGENCE



# Sample Leadership Survey

**2. Are you completing this survey for a position that you do not currently hold?**

- Yes
- No

This Question is Conditionally Shown if: (2 = Yes)

**2.1. What is your name?**

This Question is Conditionally Shown if: (2 = Yes)

**2. Are you acting in this position?**

- Yes
- No

This Question is Conditionally Shown if: (2 = Yes)

**3. How long have you been acting in this position?**

This Question is Conditionally Shown if: (2 = No)

**4. How long have you held this position?**

- Less than 1 year
- 1-2 years
- More than 2 years but less than 5 years
- 5 years or more

This Question is Conditionally Shown if: (2 = No)

**5. Is this your first time serving in an SES position?**

- Yes
- No

**3. To which position does this position directly report?**

**4. How many people directly report to you (i.e., employees that you are responsible for assigning work to and monitoring performance of)?**

- 0-9
- 10-19
- 20+

**5. What, if any, other SES positions are similar to or share responsibilities with this SES position (i.e., position with similar roles and responsibilities in another office, position with which you collaborate to execute major responsibilities, etc.)? *If none, please answer N/A.***

**6. What are the major roles and responsibilities in this SES position (i.e., provide input and review for policy and administrative documents requiring DOC approval)?**





# Sample Leadership Survey

## Position Impact

The following questions measure the impact of the position for on DOC's strategic goals as outlined in the DOC Strategic Plan.

**7. What degree of oversight does this position have on Strategic Goal 1: accelerating American leadership, particularly in regard to expanding commercial space activities, advancing innovation, and strengthening intellectual property protection?**

- Position **directly oversees** (i.e., oversees programs, initiatives, or personnel) this strategic priority
- Position **indirectly oversees** (i.e., assists or enables programs, initiatives, or personnel) this strategic priority
- Position **does not oversee** this strategic priority

**8. What degree of oversight does this position have on Strategic Goal 2: enhancing job creation, particularly in regard to increasing aquaculture production, reducing and streamlining regulations, strengthening domestic commerce and the U.S. industrial base, increasing US exports, and increasing inward investment into the United States?**

- Position **directly oversees** (i.e., oversees programs, initiatives, or personnel) this strategic priority
- Position **indirectly oversees** (i.e., assists or enables programs, initiatives, or personnel) this strategic priority
- Position **does not oversee** this strategic priority

**9. What degree of oversight does this position have on Strategic Goal 3: strengthening US economic and national security, particularly in regard to enforcing the nation's trade laws and security laws, enhancing the nation's cybersecurity, reducing extreme weather impacts, and deploying public safety broadband?**

- Position **directly oversees** (i.e., oversees programs, initiatives, or personnel) this strategic priority
- Position **indirectly oversees** (i.e., assists or enables programs, initiatives, or personnel) this strategic priority
- Position **does not oversee** this strategic priority

**10. What degree of oversight does this position have on Strategic Goal 4: fulfilling constitutional requirements and supporting economic activity, particularly in regard to conducting a complete and accurate decennial census and providing accurate data to support economic activity?**

- Position **directly oversees** (i.e., oversees programs, initiatives, or personnel) this strategic priority
- Position **indirectly oversees** (i.e., assists or enables programs, initiatives, or personnel) this strategic priority
- Position **does not oversee** this strategic priority

**11. What degree of oversight does this position have on Strategic Goal 5: delivering customer-centric service excellence, particularly in regard to engaging Commerce employees, accelerating information technology modernization, and consolidating functions for cost savings?**

- Position **directly oversees** (i.e., oversees programs, initiatives, or personnel) this strategic priority
- Position **indirectly oversees** (i.e., assists or enables programs, initiatives, or personnel) this strategic priority
- Position **does not oversee** this strategic priority



# Sample Leadership Survey

## Critical Elements

Responses to the following questions will be used to understand the critical elements that are the most impactful to OS SES positions and the required proficiency levels for success. The critical elements are summaries of the Office of Personnel Management's (OPM) executive core qualifications. Click [here](#) to read the definition for each executive core qualification. According to OPM, proficiency levels indicate different levels of expertise or mastery in a competency. Click [here](#) to read the definition for each proficiency level.

**12. Please rank the critical elements by impact to the position. Ranking as 1 indicates the critical element that most impacts the success of the position and ranking as 5 indicates the critical element that least impacts the position. Click [here](#) to access the OPM definition for each executive core qualification.**

	Leading Change
	Leading People
	Results Driven
	Business Acumen
	Building Coalitions

**13. Please rank the proficiency levels associated with the critical elements you ranked above. The proficiency levels are based on OPM standards for SES employees.**

Click [here](#) to read the definition for each level.

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
What proficiency level for the #1 critical element is required for success in this position?					
What proficiency level for the #2 critical element is required for success in this position?					
What proficiency level for the #3 critical element is required for success in this position?					



# Sample Leadership Survey

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
What proficiency level for the #4 critical element is required for success in this position?					
What proficiency level for the #5 critical element is required for success in this position?					

### Technical Competencies

For the following questions, the provided technical competencies are a representative sample of OPM competencies that are the most relevant to the OS SES population.

Responses will be used to understand the technical competencies that are the most impactful to SES positions and the required proficiency levels for success. This list is intended to be used for reference and is not exhaustive. Please feel free to add additional technical competencies as necessary. Click [here](#) to for a full list of OPM competencies and their definitions.

**14. Please rank the top five technical competencies by impact to the position, where 1 indicates the competency that most impacts the success of the position and 5 indicates the competency that least impacts the position. Click [here](#) to for a full list of OPM competencies and definitions for each.**

	Acquisition Strategy
	Administration and Management
	Communications and Stakeholder Management
	Compliance
	Data Management
	Data Systems
	Enterprise Architecture
	Financial Management
	Human Capital Management



# Sample Leadership Survey

	Human Resources Administration
	IT Strategy and Planning
	Legal, Government, and Jurisprudence
	Organizational Awareness
	Organizational Performance Management
	Process Control
	Project Management
	Research
	Risk Management
	Security
	Technology Awareness and Application
	Other

**15. Are there any *additional* technical competencies or areas of knowledge not listed above that are important for success in this position? *If yes, please list them below.***

**16. Please rank the proficiency levels associated with the technical competencies you ranked above. The proficiency levels are based on OPM standards for SES employees. *Click [here](#) to read the definition for each level.***

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
What proficiency level for the #1 technical competency is required for success in this position?					
What proficiency level for the #2 technical competency is required for success in this position?					



# Sample Leadership Survey

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
What proficiency level for the #3 technical competency is required for success in this position?					
What proficiency level for the #4 technical competency is required for success in this position?					
What proficiency level for the #5 technical competency is required for success in this position?					



# Sample Leadership Survey

## *Prior Experience*

The following questions are intended to gather information regarding relevant experience, training and certifications, and other successful attributes that may help prepare individuals for success in this position.

**17. What prior experience or knowledge would best prepare a future incumbent for success in this position? If none, please answer N/A.**

**18. Is prior experience as an SES necessary for success in this position?**

- Yes
- No

**This Question is Conditionally Shown if: (above = No)**

**18.1 What other experience, is necessary for success in this position?**

**19. Have you attended any executive development courses (i.e., SES Candidate Development Program, Federal Executive Institute)?**

- Yes
- No

**This Question is Conditionally Shown if: (20 = Yes)**

**19.1 Which executive development program did you complete? Which agency sponsored your participation?**

**20. What education, trainings, and/or certifications assisted your success in this position? *If none, please answer N/A.***

**21. Based on your experience, are there other attributes or areas of knowledge that would prepare a future incumbent for success in this position? *If none, please answer N/A.***



# Sample Leadership Survey

## Position Pipeline

The questions in this section are intended to gather information on the pool of candidates that directly or indirectly report to this position and who could possibly fill this position in the future.

**22. How many GS 13 or equivalent positions directly report to you? *If none, please answer 0.***

**23. How many GS 14 or equivalent positions directly report to you? *If none, please answer 0.***

**24. How many GS 15 or equivalent positions directly report to you? *If none, please answer 0.***

**25. How many of the GS 13-15 or equivalent positions that directly report to you are currently vacant? *If none, please answer 0.***

**26. Which career path (i.e., occupational series, job family, functional areas, etc.) is best prepared to step into this role? *(i.e., employees in the 2210 series with Cybersecurity experience)***

**27. Please complete the below matrix based on the number of GS13-15 or equivalent positions that directly report to you.**

	Now?	In 1-2 years?	In 3-5 years?
How many GS 13 or equivalent employees are or will be ready to assume the responsibilities of this position...			
How many GS 14 or equivalent employees are or will be ready to assume the responsibilities of this position...			
How many GS 15 or equivalent employees are or will be ready to assume the responsibilities of this position...			



## Sample Leadership Survey

**28. In your opinion, what staffing, skills, competency, proficiency, and/or other human capital gaps exist within the GS 13-15 or equivalent population that directly or indirectly report to this position?**

- There are **few to no** gaps, representing little to no potential impact to mission delivery
- There are **moderate** gaps, representing some potential impact to mission delivery
- There are **significant** gaps, representing high potential impact to mission delivery

**29. Please explain why you selected the above level of gaps.**

**30. What do you consider to be the most urgent development need for each level of GS 13-15 or equivalent of your direct reports?**

### *Vacancy Risk*

*The following questions measure the risk of vacancies in the position for which you are answering this survey. This information will be used to support organizational leaders and to build success profiles that will ultimately inform succession planning priorities and strategies at OS.*

**31. Please select the timeframe in which you will most likely vacate this position due to retirement.**

- 1-2 years (or by 2024)
- More than 2 years but fewer than 5 years (or by 2027)
- More than 5 years but fewer than 10 years (or by 2032)
- I am not likely to vacate this position due to retirement within the next 10 years

**32. Please select the timeframe in which you will most likely vacate this position due to events other than retirement (i.e., job change).**

- 1-2 years (or by 2024)
- More than 2 years but fewer than 5 years (or by 2027)
- More than 5 years but fewer than 10 years (or by 2032)
- I am not likely to vacate this position due to events other than retirement within the next 10 years





# Sample Leadership Survey

## Future Position

The following questions are intended to gather information on the top potential disruptors to your position based on DOC and federal government strategic priorities and technology and other trends, as well as the future competencies needed to support long-term success.

**33. Please rank the top 3 factors that are likely to influence and/or disrupt this position in the future (i.e., shift in mission priorities, change in necessary skillsets, etc.).**

	Political (i.e., changes in administrative priorities, etc.)
	Economic (i.e., budget changes, job market shifts, international trade, etc.)
	Technological (i.e., integration of automation and artificial technology, etc.)
	Legal (i.e., changes in laws or regulations, etc.)
	Environmental (i.e., transition of work to Enterprise Services, etc.)

**34. Please describe how the factors may influence this position in the future.**

**35. In your opinion, how likely is it that these disruption risks will impact the position in the next 1-3 years?**

- Highly likely
- Somewhat likely
- Not likely

**36. Given the aforementioned disruption risks, please rank the top 3 most important critical elements that future candidates for this position will need for long-term success at OS.**

	Leading Change
	Leading People
	Results Driven
	Business Acumen
	Building Coalitions

**37. Given the aforementioned disruption risks, please rank the top 3 most important technical competencies that future candidates for your position will need for long-term success at OS.**

	Acquisition Strategy
	Administration and Management
	Communications and Stakeholder Management
	Compliance
	Data Management
	Data Systems
	Enterprise Architecture
	Financial Management



## Sample Leadership Survey

	Human Capital Management
	Human Resources Administration
	IT Strategy and Planning
	Legal, Government, and Jurisprudence
	Organizational Awareness
	Organizational Performance Management
	Process Control
	Project Management
	Research
	Risk Management
	Security
	Technology Awareness and Application
	Other

**38. Is there anything else that we should know about what enables success for this position now or in the future? *Please note - this is the final question in the survey.***

Thank you for your participation! Please press the submit button to record your answer.

Contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) if you have questions or comments related to our DOC Succession Planning effort.



# Sample Interview Guide

Interviewee Name	
Current Position & Series	
Office	
Facilitators	
Date	

## Introductions & Background

### 1. General Team Introductions (1 minute)

Thank you for participating in this OHCS succession planning effort for OS. We really appreciate your willingness to spend time with us as we work roll out our succession planning program.

### 2. Describe Project Objectives and Goals (2 minutes)

The goal of this project is to support OS in developing a succession planning program to build and maintain a leadership pipeline that enables and empowers the organization's future capacity, sustainability, productivity, and business performance. In the first phase of this program, we are evaluating leadership demand by building success profiles for each currently occupied OS SES position. These profiles will enable us to evaluate OS GS13-15 talent pools and identify a set of tactical development areas for staff to build the skillsets necessary as a potential successor for your position and support long-term mission delivery. Following the interviews, we will share the success profiles with stakeholders across DOC, validate a suite of success profiles to account for potential leadership changes or needs in the next five years, and deploy a prototype Tableau dashboard that captures and visualizes retirement, position impact, and vacancy risk data for OS SES positions.

## Interview Questions

*Note to interviewer: Italicized questions should be asked to interviewees who are speaking on behalf of multiple positions.*

Overview (2 minutes)	
1. In a few words or a sentence, can you tell us about your perspective on DOC succession planning?	



# Sample Interview Guide

*\*Note to interviewer: Ask if unable to confirm via email prior to interview\**

2. During today's interview, we would like to explore **x** position(s) in addition to your own. Are you able to speak to this position? If not, who should we speak to about this position to validate the success profile we generated?

### Competencies (6 minutes)

3. What are the most critical elements of this position?

- a. How do you see this position evolving in the future? What do you believe will be the most critical components or activities of this position in the future?
- b. *For **x** position, what are the crucial activities? How do you see these activities evolving in the future?*

4. In the succession planning survey, you indicated that **Leading people, Results driven, Leading change, Business acumen, and Building coalitions** are the most impactful to this position.

- c. Can you tell us a little bit more about how these elements enable the crucial activities for this position? How might the most important critical elements to support long-term success in this position change in the future?
- d. *For **x** position, what are the most important critical elements? How might these evolve in the future?*



## Sample Interview Guide

5. In the succession planning survey, you also indicated that **Organizational Performance Management, Legal, Government, and Jurisprudence, Communications and Stakeholder Management, Risk Management, and Project Management** are the most impactful to this position.
- e. Can you tell us a little bit more about how these competencies enable the crucial activities for this position? How might the technical competencies necessary to support long-term success in this position change in the future?
  - f. *For x position, what are the most important technical competencies? How might these evolve in the future?*

**Prior Experience (5 minutes)**



# Sample Interview Guide

<p>6. What experience would help a future employee succeed in this position?</p> <ol style="list-style-type: none"> <li>a. What types of previous positions or roles would help set a candidate for this position up for success? Are there any trajectories of positions, or career paths, that would help prepare a candidate to be successful in this position?</li> <li>b. Does a candidate need to have SES experience to be successful in this position? If so, what type of SES experience is necessary?</li> <li>c. Does a candidate need to complete a SES CDP to be successful in this position?</li> <li>d. <i>For x position, are there any other important types of previous positions or roles that could help set a candidate up for success? Does this position require SES experience?</i></li> </ol>	
<p>7. How has the previously discussed experience requirements informed your staffing or other human capital decisions (i.e., informed position description or learning and development priorities for your team)?</p>	
<p>8. How has the SES CDP program helped prepare candidates for this position or similar SES positions at DOC? What types of things are the most helpful to learn through that program?</p>	

**Position Pipeline (5 minutes)**



# Sample Interview Guide

*\*Note to interviewer: Ask if interviewee indicated they are highly likely to vacate their position in the next 5 years (pull from survey question #36 & #38)\**

9. In the succession planning survey, you indicated you are likely to vacate your position in **More than 5 years but fewer than 10 years (or by 2032)**. With that in mind, what are some key activities that you are prioritizing to set your employees and position up for long-term success?

g. How can the succession planning program office support your efforts?

10. In the succession planning survey, you indicated that **1** employees could be ready, today, to step into this position. What are the key factors that you used to evaluate employees to make that determination?

a. What competencies or experiences do these individuals have that place them in a position to be ready, today, to step into this position?

b. *For **x position**, how many employees would be ready, today, to step into this position? How did you make that determination? What competencies or experiences do these individuals have that place them into a position to be ready, today, to step into this position?*



## Sample Interview Guide

<p>11. In the succession planning survey, you indicated that employees that could step into this position in the future could come from <b>905 - must be an attorney with vast international experience</b>. Why did you select these groups?</p> <p>a. <i>For x position, what talent groups or career paths (i.e., grade level, occupational series, job family, functional area) could employees that could step into this position in the future come from? Why did you select those groups?</i></p>	
<p>12. In the succession planning survey, you indicated that <b>There are few to no gaps, representing little to no potential impact to mission delivery</b> of staffing, skills, competency, proficiency, and/or other human capital gaps within these talent groups. Can you tell us more about those gaps?</p> <p>a. What are the key factors that you utilized to make this assessment?</p> <p>b. <i>For x position, are there staffing, skills, competency, proficiency, and/or other human capital gaps within the talent groups for the position?</i></p>	





# Sample Interview Guide

## Future Position Needs (5 minutes)

*Note to interviewer: The questions in this section are intended to capture the factors that may affect your position in the future. The impact could be immediate or long term. Examples of disruption risks include political (i.e., change in administrative priority), economic (i.e., job market shifts), social (i.e., workplace culture shifts), technological (i.e., automation), legal (i.e. changes in laws), and environmental (i.e., organizational restructuring).*

13. Based on your survey responses, it looks like **Political, Economic,** and **Technological** disruption risks may cause shifts in this position. Can you tell us more about those factors and how they might impact this position in the future?
- a. For *x position*, are there any other potential disruption risks? How might they impact *x position*?

## Wrap-up (2 minutes)

14. Is there anything else that we haven't covered that you think is important for us to know?
15. Do you have any questions for us? (*if time allows*)

## Close Out (2 minutes)

*\*Includes time for interviewee questions\**

Thank you so much for your time and participation. As we mentioned earlier, the information that you provided will be used to help us understand OS's future capacity, sustainability, productivity, and business performance. Following the completion of our interviews, we will build success profiles for all SES positions across OS. We will share your success profile with you for validation in the coming weeks.



# Sample Success Profile: Quick Reference Guide (QRG)

Success profiles capture high-level Office of the Secretary (OS) Senior Executive Service (SES) position information. Success profiles and the succession planning dashboard provide information that helps OHCS understand what OS needs in its leadership cadre and potential risks present in key positions. The following questions provide an overview of the success profiles and the processes they support.

- 1. What is a success profile? How is the DOC Office of Human Capital Strategy (OHCS) succession planning team using them?** *Success profiles are a tool used to outline the skills and abilities needed for successful job performance and understand the perceived talent pipeline and potential risk to key positions. The OHCS succession planning team is using success profiles to understand requirements of SES positions and build a dashboard that will be used to inform succession planning and talent development activities.*
- 2. What is the succession planning dashboard?** *The succession planning dashboard visualizes position information such as retirement eligibility and projections, length of service and age risk factors, and vacancy risk and position impact scores.*
- 3. Where did the data within the success profiles come from? How were the data collected?** *SES employees within the OS completed surveys and participated in interviews from January to March 2021 to populate each success profile with the skills and abilities required for success in each position. For vacant positions, the OHCS team conducted interviews with SES employees that could speak to the skills, abilities, roles, and responsibilities of these positions to build out these success profiles.*
- 4. Why are success profiles important and how are they useful?** *Success profiles can be used to inform succession planning activities and other human resources processes, such as learning and development, performance management, workforce planning, and classification and staffing. Success profiles:*
  - Inform succession planning by prioritizing positions based on risk, identifying human capital gaps, and directing development programs.*
  - Highlight the top technical competencies and critical elements required for success in a particular position, which can be used to prepare individual development programs and broader development opportunities across DOC.*
  - Support performance management by providing a resource to compare employee performance against position requirements.*
  - Provide a holistic view of human capital gaps and potential risk, so they can be used to build out strategic recruitment initiatives and consider potential new roles needed for the future.*
- 5. Who should I contact if I want more information regarding success profiles and their use?** *Contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) for questions regarding success profiles, succession planning, and related activities.*



## Determine Leadership/Key Position Demand



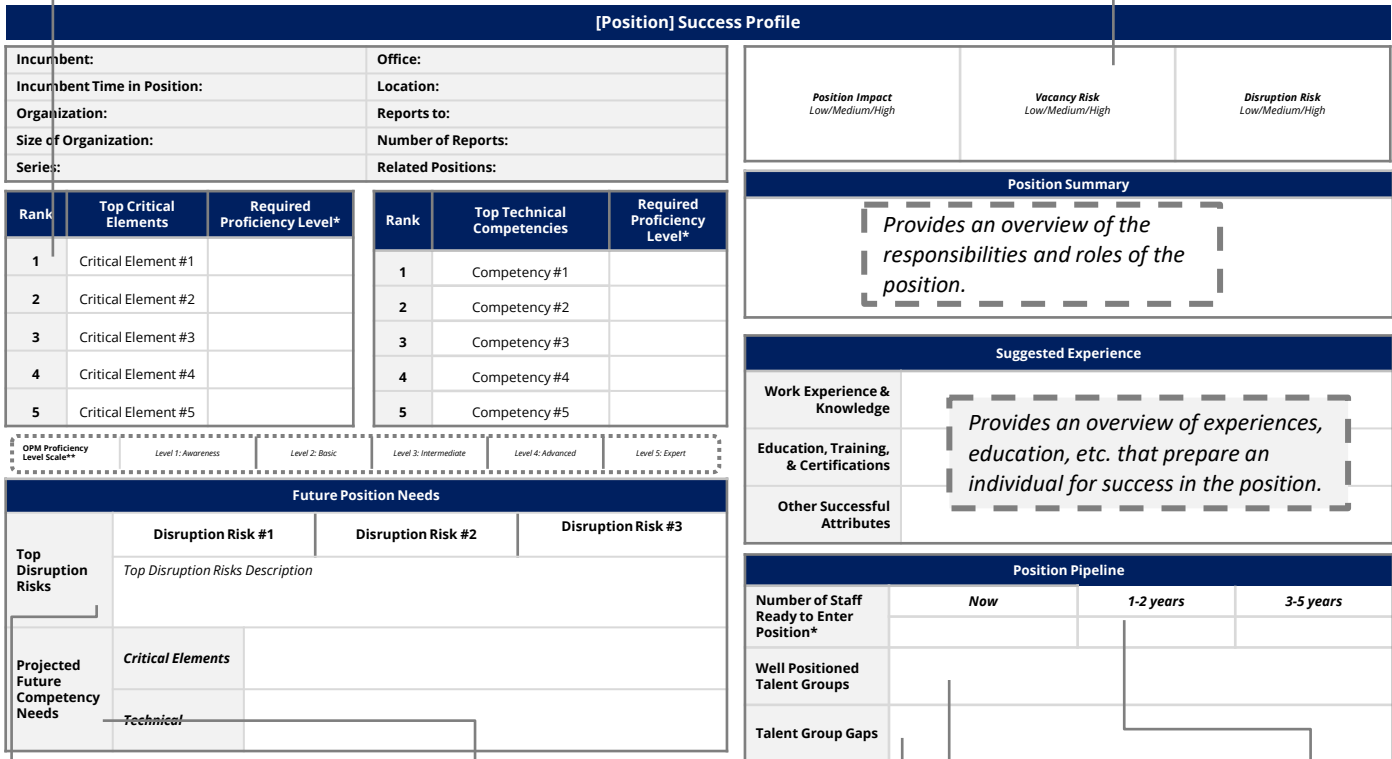
Provides an overview of the critical elements and technical competencies that are most important for success in the SES position and the required proficiency levels. **Critical elements** are based on the Office of Performance Management's (OPM) Executive Core Qualifications (ECQ). **Technical competencies** are the skills and knowledge needed to perform the duties of the position effectively. Proficiency levels are based on OPM standards.

Provides an overview of the position's relative impact, vacancy risk, and disruption risk.

**Position impact** refers to the impact a position has on the strategic goals of the organization, direct and indirect reports, and the organization's mission.

**Vacancy risk** is the likelihood that a position will be vacant and the level of gaps that exist in the pipeline for the position.

**Disruption risk** is the likelihood that the position is impacted by the disruptors in next 1-3 years.



\*Office of Personnel Management Proficiency Levels can be found [here](#).

\*\*Provided for reference

**Figure 18.**

Provides a description the top 3 disruption risks to the position based on DOC and federal government strategic priorities, technology, and other trends.

**Disruption risks** refer to events that threaten to disrupt organizational strategies, which may alter the requirements of a position.

Uses the OPM Strategic Foresight framework to provide an overview of projected future critical elements and technical competencies that will need to be prioritized to support long-term success.

Provides an overview of the existing gaps (i.e., competency, skills, proficiency, etc.) that candidates in the pipeline must develop to be successful in the position.

Provides an overview of which talent groups (i.e., grade levels, occupational series, job families, functional areas, etc.) are best prepared to take over the position in the future.

Provides the number of GS13-15 and equivalent staff that are ready assume the responsibilities of the position now, in 1-2 years, and in 3-5 years.

[Position] Success Profile



<b>Incumbent:</b>	<b>Office:</b>
<b>Incumbent Time in Position:</b>	<b>Location:</b>
<b>Organization:</b>	<b>Reports to:</b>
<b>Size of Organization:</b>	<b>Number of Reports:</b>
<b>Series:</b>	<b>Related Positions:</b>

<b>Position Impact</b> Low/Medium/High	<b>Vacancy Risk</b> Low/Medium/High	<b>Disruption Risk</b> Low/Medium/High
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Position Summary		

Suggested Experience	
<b>Work Experience &amp; Knowledge</b>	
<b>Education, Training, &amp; Certifications</b>	
<b>Other Successful Attributes</b>	

Position Pipeline		
<b>Number of Staff Ready to Enter Position*</b>	<b>Now</b>	<b>1-2 years</b>
<b>Well Positioned Talent Groups</b>		<b>3-5 years</b>
<b>Talent Group Gaps*</b>		

Rank	Top Critical Elements	Required Proficiency Level*	Rank	Top Technical Competencies	Required Proficiency Level*
1	Critical Element #1		1	Competency #1	
2	Critical Element #2		2	Competency #2	
3	Critical Element #3		3	Competency #3	
4	Critical Element #4		4	Competency #4	
5	Critical Element #5		5	Competency #5	

<b>OPM Proficiency Level Scale**</b>	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
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Future Position Needs		
<b>Top Disruption Risks</b>	<b>Disruption Risk #1</b>	<b>Disruption Risk #2</b>
		<b>Disruption Risk #3</b>
<b>Projected Future Competency Needs</b>	<i>Top Disruption Risks Description</i>	
	<b>Critical Elements</b>	
	<b>Technical</b>	

Figure 19.

\*Office of Personnel Management Proficiency Levels: <https://www.opm.gov/policy-data-oversight/assessment-and-selection/competencies/proficiency-levels-for-leadership-competencies.pdf>  
 \*\*Provided for reference



# Evaluate Risk: Sample Indicator Score Methodology

Below is an overview of the methodology used to calculate the vacancy impact, vacancy risk, and disruption risk scores.

Category	Criteria	Description / Survey Questions	High (3)	Medium (2)		Low (1)	Scoring Methodology
Point Assigned			3	2.5 (Vacancy Plan Only) / 2	2	1	
<b>Position Impact</b>	<b>Accelerate American Leadership</b>	Q7: What impact does the position have on accelerating American leadership, in particular with regards to expanding commercial space activities, advancing innovation, and strengthening intellectual property protection?	Position directly oversees (i.e., oversees programs, initiatives, or personnel) this strategic priority	Position indirectly oversees (i.e., assists or enables programs, initiatives, or personnel) this strategic priority		Position does not oversee this strategic priority	Take the average of the score of all 8 data points to determine the Vacancy Impact Score.
	<b>Enhance Job Creation</b>	Q8: What impact does the position have on enhancing job creation, in particular with regards to increasing aquaculture production, reducing and streamlining regulations, strengthening domestic commerce and the US industrial base, increasing US exports, and increasing inward investment into the US?	Position directly oversees (i.e., oversees programs, initiatives, or personnel) this strategic priority	Position indirectly oversees (i.e., assists or enables programs, initiatives, or personnel) this strategic priority		Position does not oversee this strategic priority	
	<b>Strengthen US Economic and National Security</b>	Q9: What impact does the position have on strengthening US Economic and National Security, in particular with regards to enforcing the nation's trade laws and security laws, enhancing the nation's cybersecurity, reducing extreme weather impacts, and deploying public safety broadband?	Position directly oversees (i.e., oversees programs, initiatives, or personnel) this strategic priority	Position indirectly oversees (i.e., assists or enables programs, initiatives, or personnel) this strategic priority		Position does not oversee this strategic priority	
	<b>Fulfill Constitutional Requirements and Support Economic Activity</b>	Q10: What impact does the position have on fulfilling Constitutional requirements and supporting economic activity, in particular with regards to conducting a complete and accurate decennial census and providing accurate data to support economic activity?	Position directly oversees (i.e., oversees programs, initiatives, or personnel) this strategic priority	Position indirectly oversees (i.e., assists or enables programs, initiatives, or personnel) this strategic priority		Position does not oversee this strategic priority	



# Evaluate Risk: Sample Indicator Score Methodology

Below is an overview of the methodology used to calculate the vacancy impact, vacancy risk, and disruption risk scores.

Category	Criteria	Description / Survey Questions	High (3)	Medium (2)		Low (1)	Scoring Methodology
Point Assigned			3	2.5 (Vacancy Plan Only) / 2	2	1	
Position Impact	<b>Deliver Customer-Centric Service Excellence</b>	Q11: What impact does the position have on delivering customer-centric service excellence, in particular with regards to engaging Commerce employees, accelerating information technology modernization, and consolidating functions for cost savings?	Position directly oversees (i.e., oversees programs, initiatives, or personnel) this strategic priority	Position indirectly oversees (i.e., assists or enables programs, initiatives, or personnel) this strategic priority	Position does not oversee this strategic priority		Take the average of the score of all 8 data points to determine the Vacancy Impact Score.
	<b>Staff Directly Impacted</b>	Q3: How many employees is this person directly responsible for?	20+	10-19	0-9		
	<b>Staff Indirectly Impacted</b>	Q4: How many employees is this person indirectly responsible for?	30+	20-29	0-19		
	<b>MCO?</b>	Is this position classified as a mission critical occupation?	Yes	N/A - Score of 2 not possible	No		



# Evaluate Risk: Sample Indicator Score Methodology

Below is an overview of the methodology used to calculate the vacancy impact, vacancy risk, and disruption risk scores.

Category	Point Assigned	Criteria	Description / Survey Questions	High (3)	Medium (2)		Low (1)	Scoring Methodology	
				3	2.5 (Vacancy Plan Only) / 2	2	1		
Vacancy Risk		<b>Talent Pool</b>	Q27: What staffing, skills, competency, proficiency, and/or other human capital gaps exist within the GS 13-15 or equivalent population in this person's office?	There are significant gaps, representing high potential impact to mission delivery.	There are moderate gaps, representing some potential impact to mission delivery.		There are few to no gaps, representing little to no potential impact to mission delivery.	Take average of talent pool, retirement eligibility and vacancy plan data points (see below) to get overall Vacancy Risk Score	
		<b>Retirement Eligibility (NFC)</b>	What is the probability of the employee retiring in the next five years?	Currently eligible for retirement	ASSIGNED 2.5: Eligible for retirement in 0-24 months	Eligible for retirement in 25-60 months	Eligible for retirement in 61 months or more		
		<b>Retirement Vacancy Plan</b>	Q28: What is the timeframe to vacate this position due to retirement?	1-2 years (or by 2024)	ASSIGNED 2.5: More than 2 years but fewer than 5 years (or by 2027)	More than 5 years but fewer than 10 years (or by 2032)	I am not likely to vacate this position due to retirement within the next 10 years.		Take higher number from these two items to get one "vacancy plan" score, which will be incorporated into overall Vacancy Risk Score
		<b>Non-Retirement Vacancy Plan</b>	Q29: What is the timeframe to vacate this position due to events other than retirement?	1-2 years (or by 2024)	ASSIGNED 2.5: More than 2 years but fewer than 5 years (or by 2027)	More than 5 years but fewer than 10 years (or by 2032)	I am not likely to vacate this position due to retirement within the next 10 years.		
Disruption Risk		<b>Likelihood of Near-Future Impact</b>	Q32: How likely is it that the disruption risks will impact positions in the next 1-3 years?	Highly likely	Somewhat likely		Not likely	Take this one value to determine the Disruption Risk Score.	



# Sample Dashboard Visualizations

## Risk Based on Retirement

This dashboard view contains information that will help leaders determine succession planning needs based on retirement eligibility for the SES population. The number of risk factors associated with each position are aggregated to determine the number of high-risk positions.

The risk factors show the number of positions with a higher likelihood of separation based on the incumbent's age, length of service, or retirement date.

Four categories of retirement eligibility are displayed for personnel. The data provide a comparison baseline for understanding the data.

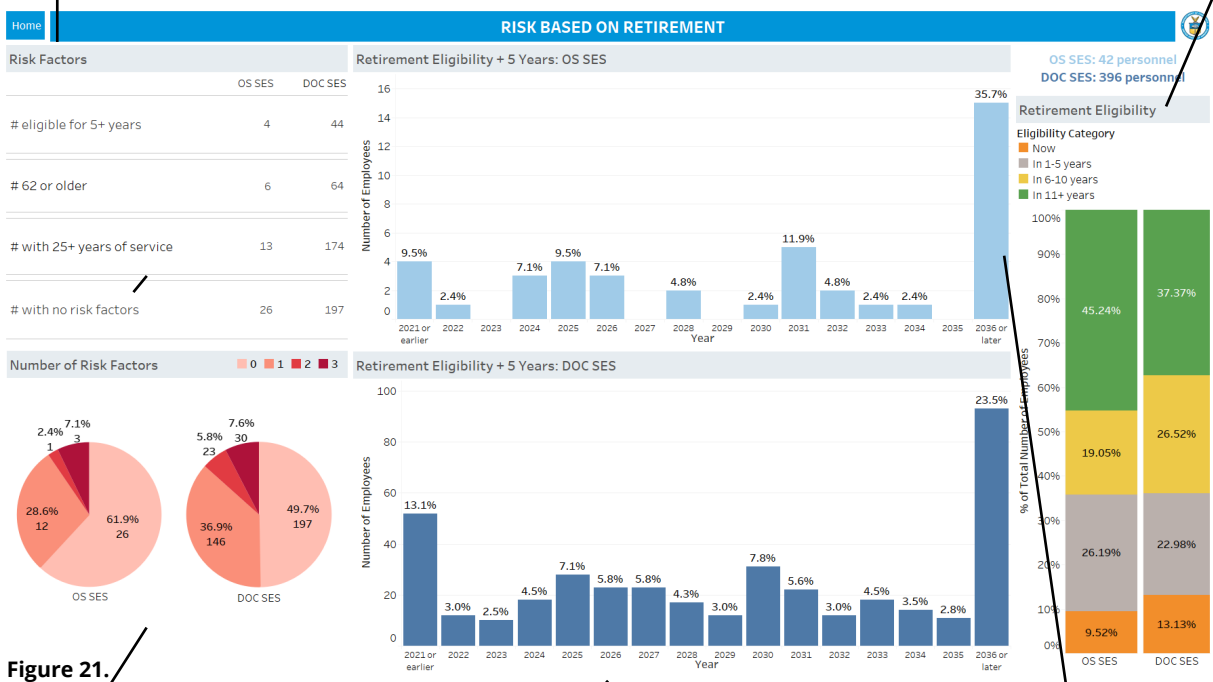


Figure 21.

This chart shows the number of positions with the number of risk factors. There can be up to three risk factors associated with each position. There are several positions with incumbents that have no risk factors.

"Retirement Eligibility + 5 Years" shows the number of personnel across all of the employees projected to retire by year based on the eligibility date reported in NFC plus five years. It provides a comparison baseline for understanding the OS-specific data.

"Retirement Eligibility + 5 Years" shows the number of personnel projected to retire by year based on the eligibility date reported in NFC plus five years.





# Sample Dashboard Visualizations

## Risk Based on Age

This dashboard view contains information that will help leaders determine succession planning needs based on the age of the SES population. The number of risk factors associated with each position are aggregated to determine the number of high-risk positions.

Positions with high-risk personnel are a focus of succession planning. As such, risk factor charts are duplicated on this view.

The age distribution item depicts the number of personnel who may be likely to leave based on this risk factor. Those aged 62 or older are flagged as at risk here as they are in the risk factors section.

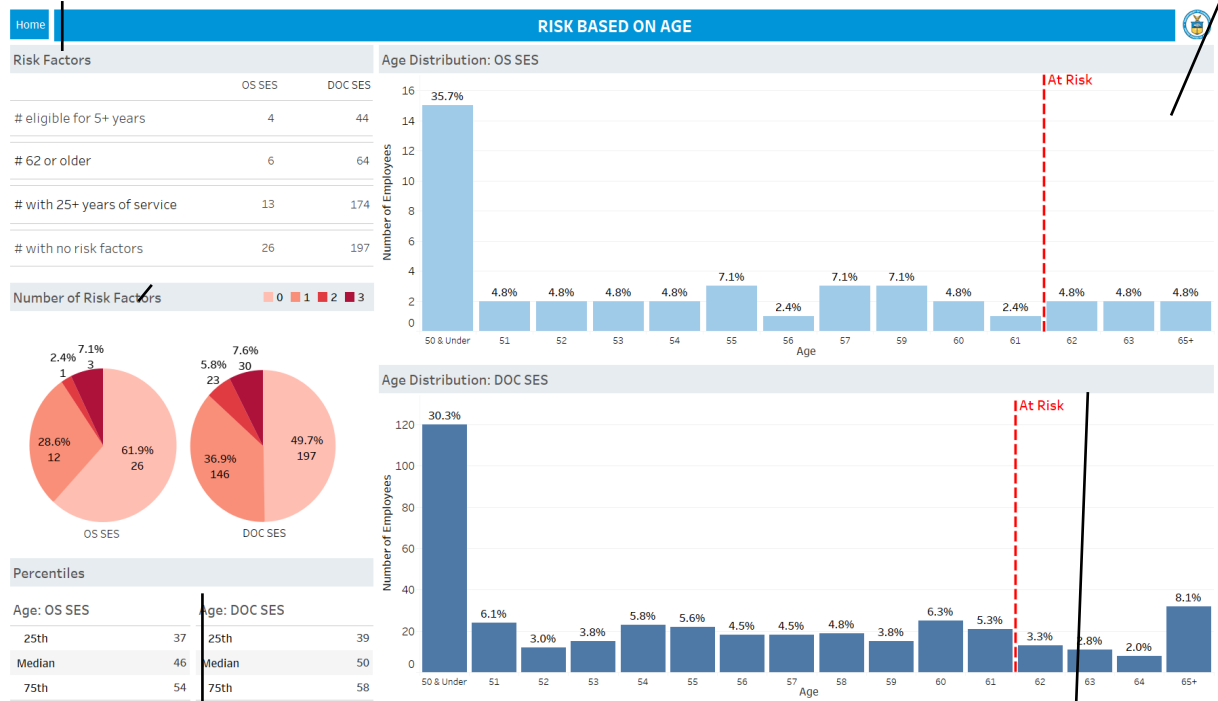


Figure 22.

Percentiles are provided for comparison of age in context of the overall population. For example, the 25<sup>th</sup> percentile is the age and length of service below which 25% of personnel fall.

The age distribution item depicts the number of all personnel who may be likely to leave based on this risk factor and provides a baseline for comparison. Those aged 62 or older are flagged as at risk here as they are in the risk factors section.



# Sample Dashboard Visualizations

## Risk Based on Length of Service

This dashboard view contains information that will help leaders determine succession planning needs based on length of service of the SES population. The number of risk factors associated with each position are aggregated to determine the number of high-risk positions.

Positions with high-risk personnel are a focus of succession planning. As such, risk factor charts are duplicated on this view.

The length of service distribution item depicts the number of personnel who may be likely to leave based on this risk factor. Those with 25+ years of service are flagged as at risk here as they are in the risk factors section.

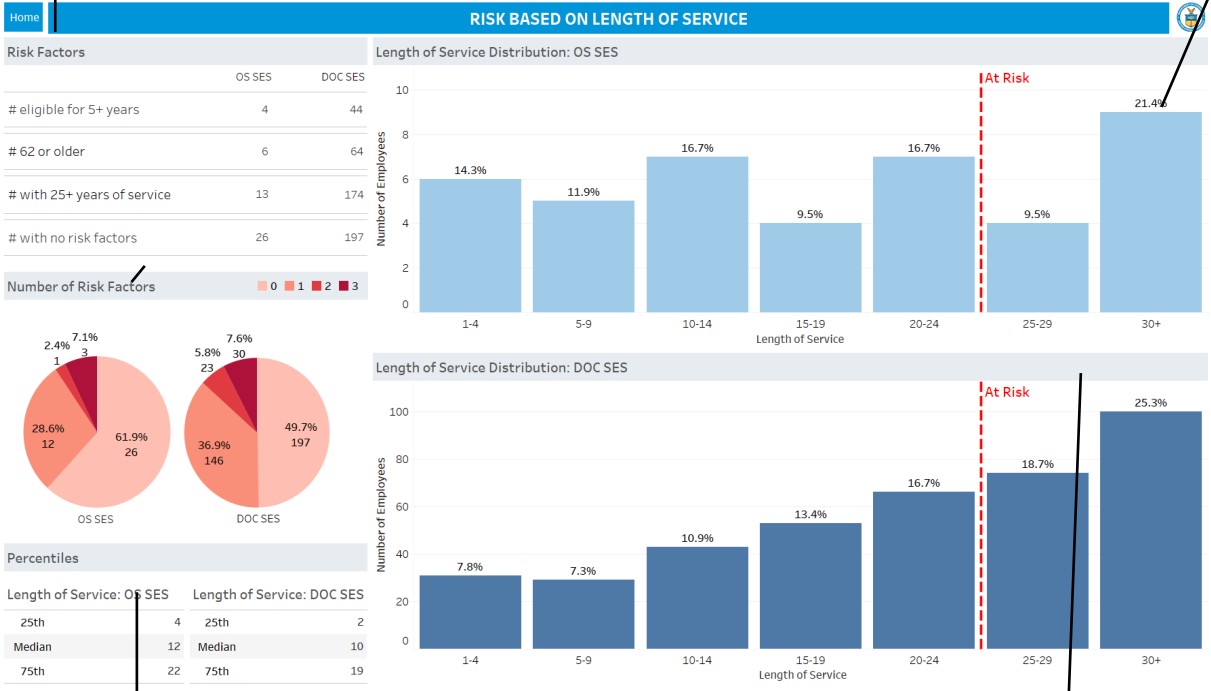


Figure 23.

Percentiles are provided for comparison of age in context of the overall population. For example, the 25<sup>th</sup> percentile is the age and length of service below which 25% of personnel fall.

The age distribution items depicts the number of all DOC SES who may be likely to leave based on this risk factor and provides a baseline for comparison to OS SES. Those with 25+ years of service are flagged as at risk here as they are in the risk factors section.



# Evaluate Talent

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# Sample Self- Assessment

DOC OS GS 13-15 (and equivalent) Succession Planning Competency Self-Assessment

## Department of Commerce (DOC) Office of the Secretary (OS) Succession Planning Competency Self-Assessment

The Office of Human Capital Strategy's (OHCS) workforce and succession planning team, within the Office of Human Resources Management (OHRM) is implementing a comprehensive Office of the Secretary (OS) leadership succession planning program that spans four phases as outlined in the OS Evaluate Talent Quick Reference Guide (QRG). In phase one, OHCS worked with Senior Executive Service (SES) employees to document the skillsets that DOC OS leaders need to enable mission delivery. OHCS is now conducting an assessment of the OS GS 13-15 (and equivalent) population to evaluate their skillsets against those identified as critical to success as an OS SES. The results of this assessment will be used to identify organization-wide development areas and develop actionable strategies to address them to support long-term mission delivery.

Thank you for taking the time to participate in this self-assessment. We encourage your honest responses and ask that you respond based on your **current** proficiency level in each of the critical elements and listed competencies. Please refer to the Evaluate Talent QRG for definitions for each proficiency level, which are taken from the Office of Personnel and Management's (OPM's) definitions. You may also find it helpful to think about how frequently or where you have demonstrated a critical element or competency in the past.

By completing this assessment, you are **opting into** this process and your supervisor will be asked to complete an assessment to evaluate your proficiency in each critical element and competency. Any sensitive information (i.e., personally identifiable information, etc.) will be removed from final documents prior to distribution. Please note, the results of this survey will be used to inform activities to support organizational success and will **not** be used to evaluate individual performance or staffing decisions.

This survey should take about **x** minutes to complete. Please contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) if you have questions or technical issues related to the assessment.

**Participants with disabilities may contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) to request and arrange for reasonable accommodations. If you need assistance to accommodate a disability, you may request an accommodation at any time.**

*If you need to leave the assessment, click "save" before exiting. You will then be directed to a page that provides a unique URL for you to save so that you can start from where you left off when you're able to return to the survey. You will have to start the survey from the beginning if you do not click save prior to exiting the survey.*



# Sample Self- Assessment

## Demographic Information

Please complete the questions below. Personal identifiable information will be used to link this assessment to the appropriate supervisor assessment and provide individualized feedback at a later date. Responses to the following questions will **not** be used to evaluate individual performance or staffing decisions.

1. Your name as it appears in official records.
2. Select the office in which you work.
  - a. Enterprise Services
  - b. Immediate Office
  - c. Office of Acquisition Management
  - d. Office of Budget
  - e. Office of Business Liaison
  - f. Office of Civil Rights
  - g. Office of Deputy Assistant Secretary for Legislative and Intergovernmental Affairs
  - h. Office of Executive Secretariat
  - i. Office of Facilities and Administrative Services
  - j. Office of Human Resources Management
  - k. Office of Legislative and Intergovernmental Affairs- Direct Office
  - l. Office of Policy and Strategic Planning
  - m. Office of Privacy & Open Government
  - n. Office of Public Affairs
  - o. Office of Security
  - p. Office of the Chief Financial Officer and Assistant Secretary for Administration- Direct Office
  - q. Office of the Chief Information Officer
  - r. Office of the Chief of Staff
  - s. Office of the Deputy Assistant Secretary for Administration- Direct Office
  - t. Office of the Deputy Chief Financial Officer for Financial Management
  - u. Office of the Deputy Secretary- Direct Office
  - v. Office of the General Counsel
  - w. Office of White House Liaison
  - x. Other (please specify)
3. Name of your immediate supervisor.
4. Your supervisor's email.
5. What is your gender?
  - a. Female
  - b. Male
  - c. Other
  - d. Prefer not to answer
6. Please select your generation based on the year in which you were born.
  - a. Generation Z (1997 or later)
  - b. Millennials (1981-1996)
  - c. Generation X (1965-1980)
  - d. Baby Boomers (1946-1964)



## Sample Self- Assessment

7. Please select the racial category or categories with which you most closely identify.
  - a. American Indian/Alaska Native
  - b. Asian
  - c. Black/African American
  - d. Native Hawaiian/Other Pacific Islander
  - e. White and Hispanic/Latinx
  - f. White and **not** Hispanic/Latinx
  - g. Two or more races
  
8. What is the highest degree or level of education you completed?
  - a. Less than High School
  - b. High School Diploma/GED or equivalent
  - c. Trade or Technical Certificate
  - d. Some College (no degree)
  - e. Associate's Degree
  - f. Bachelor's Degree
  - g. Master's Degree
  - h. Doctoral/Professional Degree
  
9. What is your pay category/grade?
  - a. GS-13
  - b. GS-14
  - c. GS-15
  - d. ZA-4
  - e. ZA-5
  - f. ZP-4
  - g. ZP-5
  - h. ZT-5
  - i. Other (please specify)
  
10. What is your supervisory status?
  - a. Non-supervisory
  - b. Supervisory



# Sample Self- Assessment

11. What is your occupational series?

- a. 0018
- b. 0080
- c. 0083
- d. 0089
- e. 0132
- f. 0201
- g. 0203
- h. 0260
- i. 0301
- j. 0303
- k. 0306
- l. 0340
- m. 0341
- n. 0343
- o. 0401
- p. 0501
- q. 0505
- r. 0510
- s. 0560
- t. 0801
- u. 0802
- v. 0808
- w. 0819
- x. 0850
- y. 0905
- z. 0950
- aa. 1008
- bb. 1035
- cc. 1071
- dd. 1082
- ee. 1101
- ff. 1102
- gg. 1170
- hh. 1176
- ii. 1222
- jj. 1410
- kk. 1515
- ll. 1811
- mm. 2003
- nn. 2101
- oo. 2210
- pp. Other (please specify



## Sample Self-Assessment

12. Where is your primary office location?
  - a. Boulder, CO
  - b. Carlisle, PA
  - c. Gaithersburg, MD
  - d. Greenwich, CT
  - e. Jeffersonville, IN
  - f. Littleton, CO
  - g. Medfield, MA
  - h. Miami, FL
  - i. Reston, VA
  - j. Rockledge, FL
  - k. Salina, KS
  - l. Seattle, WA
  - m. Silver Spring, MD
  - n. Suitland, MD
  - o. Tiburon, CA
  - p. Washington, DC
  - q. West Chester, PA
  - r. Other (please specify)
  
13. How long have you been in your current position?
  - a. Less than 1 year
  - b. 1-2 years
  - c. 3-4 years
  - d. 5-9 years
  - e. 10-14 years
  - f. 15-19 years
  - g. 20-24 years
  - h. 25-29 years
  - i. 30-34 years
  - j. 35-39 years
  - k. 40 years or more
  
14. Are you an individual with a disability?
  - a. Yes
  - b. No
  
15. What is your US military service status?
  - a. Currently in National Guard or Reserves
  - b. No Prior Military Service
  - c. Retired
  - d. Separated or Discharged





# Sample Self- Assessment

## Critical Elements

The five critical elements below are important skillsets that contribute to success as a leader in the organization. Click [here](#) to read the definition for each critical element and definitions for each proficiency level.

For your reference as you complete the following section, below are proficiency level definitions as **established** by OPM.

Proficiency Level	Proficiency Level Definition
5 = Expert	<ul style="list-style-type: none"> <li>Applies the competency in exceptionally difficult situations</li> <li>Serves as a key resource and advises others</li> </ul>
4 = Advanced	<ul style="list-style-type: none"> <li>Applies the competency in considerably difficult situations</li> <li>Generally, requires little or no guidance</li> </ul>
3 = Intermediate	<ul style="list-style-type: none"> <li>Applies the competency in difficult situations</li> <li>Requires occasional guidance</li> </ul>
2 = Basic	<ul style="list-style-type: none"> <li>Applies the competency in somewhat difficult situations</li> <li>Requires frequent guidance</li> </ul>
1 = Awareness	<ul style="list-style-type: none"> <li>Applies the competency in the simplest situations</li> <li>Requires close and extensive guidance</li> </ul>
0=No Knowledge /Experience	<ul style="list-style-type: none"> <li>Has no competency in this area</li> <li>Has never worked with this area of competence</li> </ul>

**\*\*The chart below will display as one question and respondents will be asked to rate their proficiency level for each critical element on a sliding scale\*\***

16. For the following questions, please **input the number of years** you have utilized and/or demonstrated some level of proficiency for each critical element. Please also **rate your current proficiency level** in each of the **five** critical elements. Click [here](#) to read the definition for each critical element and definitions for each proficiency level.

	How many years of experience do you have using this critical element?	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Building Coalitions:</b> The ability to create partnerships internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals.						
<b>Business Acumen:</b> The ability to manage human, financial, and information resources strategically.						



# Sample Self- Assessment

	How many years of experience do you have using this critical element?	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<p><b>Leading Change:</b> The ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to this ECQ is the ability to establish an organizational vision and to implement it in a continuously changing environment.</p>						
<p><b>Leading People:</b> The ability to lead people toward meeting the organization's vision, mission, and goals. Inherent to this ECQ is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.</p>						
<p><b>Results Driven:</b> The ability to meet organizational goals and customer expectations. Inherent to this ECQ is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculating risks.</p>						



# Sample Self- Assessment

## Technical Competencies

The technical competencies below are important skillsets that contribute to success as a leader in the Office of the Secretary. Click [here](#) to read the definition for each technical competency and definitions for each proficiency level.

For your reference as you complete the following section, below are proficiency level definitions as **established** by OPM.

Proficiency Level	Proficiency Level Definition
5 = Expert	<ul style="list-style-type: none"> <li>Applies the competency in exceptionally difficult situations</li> <li>Serves as a key resource and advises others</li> </ul>
4 = Advanced	<ul style="list-style-type: none"> <li>Applies the competency in considerably difficult situations</li> <li>Generally, requires little or no guidance</li> </ul>
3 = Intermediate	<ul style="list-style-type: none"> <li>Applies the competency in difficult situations</li> <li>Requires occasional guidance</li> </ul>
2 = Basic	<ul style="list-style-type: none"> <li>Applies the competency in somewhat difficult situations</li> <li>Requires frequent guidance</li> </ul>
1 = Awareness	<ul style="list-style-type: none"> <li>Applies the competency in the simplest situations</li> <li>Requires close and extensive guidance</li> </ul>
0=No Knowledge /Experience	<ul style="list-style-type: none"> <li>Has no competency in this area</li> <li>Has never worked with this area of competence</li> </ul>

**\*\*The chart below will display as one question and respondents will be asked to rate their proficiency level for each critical element on a sliding scale\*\***

17. For the following questions, please **input the number of years** you have utilized and/or demonstrated some level of proficiency for each technical competency. Please **rate your current proficiency level** in each of the **22** technical competencies. Click [here](#) to read the definition for each critical element and definitions for each proficiency level.

	How many years of experience do you have using this critical element?	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Accounting:</b> Knowledge of traditional accounting practices including accrual, obligations, and costs methods.						
<b>Acquisition Strategy:</b> Knowledge of the principles and methods for developing an integrated acquisition management plan that describes the business, technical, and support strategies.						



# Sample Self- Assessment

	How many years of experience do you have using this critical element?	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Administration and Management:</b> Knowledge of planning, coordination, and execution of business functions, resource allocation, and production.						
<b>Communications and Stakeholder Management:</b> Knowledge of the concepts, practices, and techniques used to identify, engage, influence, and monitor relationships with individuals and groups connected to a work effort. This involves the ability to communicate clear, concise, organized, and convincing presentations for various audiences.						
<b>Compliance:</b> Knowledge of procedures for assessing, evaluating, and monitoring programs or projects for compliance with Federal laws, regulations, and guidance.						
<b>Data Management:</b> Knowledge of the principles, procedures, and tools of data management, such as modeling techniques, data backup, data recovery, data dictionaries, data warehousing, data mining, data archiving, data disposal, and data standardization processes.						



# Sample Self- Assessment

	How many years of experience do you have using this critical element?	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Data Systems:</b> Knowledge of computer hardware and software development and systems as they apply to the conception, specification, analysis, planning, development, installation, test, modification and use of data handling and computing systems.						
<b>Enterprise Architecture:</b> Knowledge of principles, concepts, and methods of enterprise architecture to align information technology (IT) strategy, plans, and systems with the mission, goals, structure, and processes of the organization.						
<b>Financial Management:</b> The ability to prepare, justify, and administer the program budget, oversee procurement and contracting to achieve desired results, monitor expenditures, and use cost-benefit thinking to set priorities.						
<b>Human Capital Management:</b> The ability to build and manage the workforce based on organizational goals, budget considerations, and staffing needs, ensure that employees are appropriately recruited, selected, appraised, and rewarded, address performance problems, and manage a multi-sector workforce and variety of work situations.						
<b>Human Resources Administration:</b> Knowledge of HR concepts, principles, and practices including classification, employee benefits, labor relations, etc.						



## Sample Self- Assessment

	How many years of experience do you have using this critical element?	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Internal Controls:</b> Knowledge of the principles, methods, and techniques for establishing internal control activities (for example, authorizations, verifications, reconciliations), monitoring their use, and evaluating their performance (for example, identification of material weaknesses or significant deficiencies).						
<b>IT Strategy and Planning:</b> Knowledge of the principles, methods, and techniques of IT assessment, planning, management, monitoring, and evaluation (i.e., IT baseline assessment, interagency functional analysis, contingency planning, and disaster recovery).						
<b>Legal, Government and Jurisprudence:</b> Knowledge of laws, legal codes, court procedures, precedents, legal practices and documents, Government regulations, Executive orders, agency rules, Government organization and functions, and the democratic political process.						
<b>Organizational Awareness:</b> Knowledge of the organization's mission and functions, how its social, political, and technological systems work, and the ability to operate effectively within them.						



# Sample Self- Assessment

	How many years of experience do you have using this critical element?	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Process Control:</b> Knowledge of the principles, methods, and procedures used for the automated control of a process, including the design, development, and maintenance of associated software, hardware, and systems.						
<b>Project Management:</b> Knowledge of the principles, methods, or tools used to develop, schedule, coordinate, and manage projects and resources (i.e., monitoring and inspecting costs, work, and contractor performance).						
<b>Research:</b> Knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry; including study design, collection, analysis, and interpretation of data; and the reporting of results.						
<b>Risk Management:</b> Knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry (i.e., study design, collection, analysis, and interpretation of data) and the reporting of results.						
<b>Security:</b> Knowledge of the laws, regulations, and guidelines related to securing personnel, facilities, and information, including the requirements for handling, transporting, and protecting classified information and proper reporting of security incidents.						



## Sample Self- Assessment

	How many years of experience do you have using this critical element?	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<p><b>Technology Awareness and Application:</b> Knowledge of developments and new applications of information technology (hardware, software, telecommunications), emerging technologies and their applications to business processes, and applications and implementation of information systems to meet organizational requirements.</p>						

18. Do you have any additional skillsets that will prepare you to be successful in a leadership position? *If none, please answer N/A.*





# Sample Self-Assessment

## Career Aspirations

The following questions are intended to gain information about your career aspirations. The information will be used to understand the aspirations of the talent pipeline for OS leadership positions and determine potential employee development opportunities. Your responses will be used to inform activities to support organizational success and will not be used to evaluate individual performance or staffing decisions.

19. Are you interested in pursuing a leadership position (i.e., SL/ST/SES/equivalent position) either now or in the future?
- Yes
  - No
  - Unsure

(If selected "yes" or "unsure" in #19)

20. When do you believe you will be prepared to step into a leadership position?
- Now
  - 1-2 years (or by 2023)
  - 3-5 years (or by 2026)
  - 5+ years
  - Unsure

(If selected "yes" or "unsure" in #19)

21. Where would you be interested in pursuing a leadership position? *Select all that apply.*
- Office of the Deputy Secretary
  - Office of the General Counsel
  - Office of Legislative and Intergovernmental Affairs
  - Office of the Chief Financial Officer and Assistant Secretary for Administration
  - Office of the Deputy Assistant Secretary for Administration
  - Office
  - Enterprise Services
  - Another office within the Office of the Secretary (please specify)
  - Another federal agency
  - Another DOC organization or Bureau
  - Outside of federal government (i.e., private sector)
  - Other (please specify)

(If selected "no" or "unsure" in #19)

22. Please select the most likely reason(s) for which you would **not** seek a leadership position. *Select all that apply.*
- Do not see path for advancement to leadership position
  - Job opportunities in another federal agency
  - Job opportunities outside of the federal government
  - No interest in seeking position above current grade level
  - Opportunity to earn higher degree (i.e., full-time master's program)
  - Plans to exit the workforce due to events not related to retirement (i.e., care for a family member full time)
  - Plans to retire prior to reaching a leadership position
  - Other (please specify)



## Sample Self-Assessment

(If **only** selected “outside of federal government” in #21)

23. Select the reason(s) why are you interested in pursuing a leadership position outside of the federal government. *Select all that apply.*
- Increased pay and/or benefits
  - Lack of access to resources to support development within the federal government
  - Lack of opportunities for advancement within the federal government
  - Lack of opportunities to build diverse skillsets within the federal government
  - Other (please specify)
24. What OS career SES position(s) would you be most interested in pursuing in the future? *Select all that apply.*
- Include list of SES positions
25. Are there any barriers to your development that would prevent you from reaching a leadership position?
- Yes
  - No

(If selected “yes” in #25)

26. Please select the barriers to your development. *Select all that apply.*
- Lack of access to training and/or development programs
  - Lack of leadership support
  - Lack of resources to fund participation in training and development activities
  - Lack of time to pursue development activities
  - Organizational or systemic barriers
  - Other (please specify)

(If selected “yes” or “unsure” in #19)

27. Are you willing to relocate to another city or region to accept a leadership position?
- Yes
  - No
  - Unsure

(If selected “no” in #27)

28. Please select the reasons for which you would unwilling to relocate for a leadership position. *Select all that apply.*
- Content in current location
  - Cost of living increases
  - Familial obligations
  - Partner or dependent is unable to relocate
  - Prefer to work remotely
  - Other (please specify)



## Sample Self- Assessment

29. Do you have an updated Individualized Development Plan (IDP)?
  - a. Yes
  - b. No
30. Do you currently have a formal or informal mentor that supports your career and professional development?
  - a. Yes
  - b. No
31. Have you completed an executive development program (i.e., SES Candidate Development Program, Federal Executive Institute)?
  - a. Yes
  - b. No

(If selected "yes" in #31)

32. Which program did you participate in?

(If selected "yes" in #31)

33. When did you participate in this program?
34. What methods of learning or resources would be most beneficial to prepare you for a leadership position? *Select all that apply.*
  - a. Access to leadership for guidance and/or mentorship
  - b. Access to peer groups for guidance
  - c. Collaborative working groups / communities of practice
  - d. Detail or rotational program outside your current role
  - e. External online learning platform (i.e., LinkedIn Learning)
  - f. Google or another search engine
  - g. I do not believe resources and/or learning opportunities would be beneficial to support my preparation for a future leadership position
  - h. In-person or virtual trainings provided by DOC or my office
  - i. Other federal government resources (i.e., Office of Personnel Management guidance)
  - j. Resources available on DOC's SharePoint (i.e., trainings, quick reference guides, etc.)
  - k. Trainings via Commerce Learning Center (CLC)
  - l. Other (please specify)
  - m. N/A - I am not interested in pursuing a leadership position

### Thank you!

35. Is there anything else you would like to tell us? *Please note - this is the final question in the survey.*

Thank you for your participation! Please press the submit button to record your answer.

Contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) if you have questions or comments related to our DOC Succession Planning effort.



# Sample Supervisor Assessment

DOC OS Supervisor Succession Planning Competency Supervisor Assessment

## Department of Commerce (DOC) Office of the Secretary (OS) Succession Planning Supervisor Competency Assessment

The Office of Human Capital Strategy's (OHCS) workforce and succession planning team, within the Office of Human Resources Management (OHRM) is implementing a comprehensive Office of the Secretary (OS) leadership succession planning program that spans four phases as outlined in the OS Evaluate Talent Quick Reference Guide (QRG). In phase one, OHCS worked with Senior Executive Service (SES) employees to document the skillsets that DOC OS leaders need to enable mission delivery. OHCS is now conducting an assessment of the OS GS 13-15 (and equivalent) population to evaluate their skillsets against those identified as critical to success as an OS SES. The results of this assessment will be used to identify organization-wide development areas and develop actionable strategies to address them to support long-term mission delivery.

Thank you for taking the time to participate in this supervisor assessment. Our goal is to get your input on your team's proficiencies across the identified competencies. We encourage your honest responses throughout the survey and ask that you respond based on your employee's **current** proficiency level in each of the critical elements and competencies. Please refer to the Evaluate Talent QRG for definitions for each proficiency level, which are taken from the Office of Personnel and Management's (OPM's) definitions. You may also find it helpful to think about how your employee has demonstrated a critical element or competency in the past and where they have needed your support.

A list of your GS13-15 employees who completed the self-assessment and opted into this process was provided to you via email. **Please submit an individual assessment response for each of the listed employees.** Only employees who opted in are available to select as you complete this assessment. At this time, we are not accepting additional self-assessments.

Any sensitive information (i.e., personal identification information, etc.) will be removed from final documents prior to distribution. Please note, the results of this assessment will be used to inform activities to support organizational success and will **not** be used to evaluate individual performance or staffing decisions.

This survey should take about 20 minutes to complete. Please contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) if you have questions or technical issues related to the survey.

**Participants with disabilities may contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) to request and arrange for reasonable accommodations. If you need assistance to accommodate a disability, you may request an accommodation at any time.**

*If you need to leave the assessment, click "save" before exiting. You will then be directed to a page that provides a unique URL for you to save so that you can start from where you left off when you're able to return to the survey. You will have to start the assessment from the beginning if you do not click save prior to exiting the assessment.*



# Sample Supervisor Assessment

## Demographic Information

Please complete the questions below. Personally identifiable information collected in this assessment will be used to link this assessment to the appropriate self-assessment. Responses to the following questions will **not** be used to evaluate individual performance or staffing decisions

1. Your name as it appears in official records.
2. Select the office in which you work.
  - a. Enterprise Services
  - b. Immediate Office
  - c. Office of Acquisition Management
  - d. Office of Budget
  - e. Office of Business Liaison
  - f. Office of Civil Rights
  - g. Office of Deputy Assistant Secretary for Legislative and Intergovernmental Affairs
  - h. Office of Executive Secretariat
  - i. Office of Facilities and Administrative Services
  - j. Office of Human Resources Management
  - k. Office of Legislative and Intergovernmental Affairs- Direct Office
  - l. Office of Privacy & Open Government
  - m. Office of Public Affairs
  - n. Office of Security
  - o. Office of the Chief Financial Officer and Assistant Secretary for Administration- Direct Office
  - p. Office of the Chief Information Officer
  - q. Office of the Deputy Assistant Secretary for Administration- Direct Office
  - r. Office of the Deputy Chief Financial Officer for Financial Management
  - s. Office of the Deputy Secretary- Direct Office
  - t. Other (please specify)
3. Please select the name of the employee for which you are completing this assessment. (Drop down menu will appear)
4. How long have you supervised this employee?
  - a. Less than 1 year
  - b. 1-3 years
  - c. 4-6 years
  - d. 7+ years
5. What is your pay category/grade?
  - a. GS-13
  - b. GS-14
  - c. GS-15
  - d. ZA-4
  - e. ZA-5
  - f. ZP-4
  - g. ZP-5
  - h. ZT-5
  - i. SES/SL/ST/EX
  - j. Other (please specify)



# Sample Supervisor Assessment

## Critical Elements

The five critical elements below are important skillsets that contribute to success as a leader in the organization. Click [here](#) to read the definition for each critical element and definitions for each proficiency level.

For your reference as you complete the following section, below are proficiency level definitions as **established by OPM**.

Proficiency Level	Proficiency Level Definition
5 = Expert	<ul style="list-style-type: none"> <li>Applies the competency in exceptionally difficult situations</li> <li>Serves as a key resource and advises others</li> </ul>
4 = Advanced	<ul style="list-style-type: none"> <li>Applies the competency in considerably difficult situations</li> <li>Generally, requires little or no guidance</li> </ul>
3 = Intermediate	<ul style="list-style-type: none"> <li>Applies the competency in difficult situations</li> <li>Requires occasional guidance</li> </ul>
2 = Basic	<ul style="list-style-type: none"> <li>Applies the competency in somewhat difficult situations</li> <li>Requires frequent guidance</li> </ul>
1 = Awareness	<ul style="list-style-type: none"> <li>Applies the competency in the simplest situations</li> <li>Requires close and extensive guidance</li> </ul>
0=No Knowledge /Experience	<ul style="list-style-type: none"> <li>Has no competency in this area</li> <li>Has never worked with this area of competence</li> </ul>

**\*\*The chart below will display as one question and respondents will be asked to rate their proficiency level for each critical element on a sliding scale\*\***

6. For the following questions, please **rate the employee for which you are completing this assessment's current proficiency level** in each of the below **five** critical elements. Click [here](#) to read the definition for each critical element and definitions for each proficiency level.

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Building Coalitions:</b> The ability to create partnerships internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals.					
<b>Business Acumen:</b> The ability to manage human, financial, and information resources strategically.					



# Sample Supervisor Assessment

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Leading Change:</b> The ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to this ECQ is the ability to establish an organizational vision and to implement it in a continuously changing environment.					
<b>Leading People:</b> The ability to lead people toward meeting the organization's vision, mission, and goals. Inherent to this ECQ is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.					
<b>Results Driven:</b> The ability to meet organizational goals and customer expectations. Inherent to this ECQ is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculating risks.					

- For the critical elements you rated as Level 3 or below in the above section, what experience or training/development opportunities would you recommend this employee prioritize to build these skillsets?



# Sample Supervisor Assessment

## Technical Competencies

**\*\*The chart below will display as one question and respondents will be asked to rate their proficiency level for each critical element on a sliding scale\*\***

8. For the following questions, please **rate the employee for which you are completing this assessment's current proficiency level** in each of the below **22** technical competencies. Click [here](#) to read the definition for each critical element and definitions for each proficiency level.

Proficiency Level	Proficiency Level Definition
5 = Expert	<ul style="list-style-type: none"> <li>Applies the competency in exceptionally difficult situations</li> <li>Serves as a key resource and advises others</li> </ul>
4 = Advanced	<ul style="list-style-type: none"> <li>Applies the competency in considerably difficult situations</li> <li>Generally, requires little or no guidance</li> </ul>
3 = Intermediate	<ul style="list-style-type: none"> <li>Applies the competency in difficult situations</li> <li>Requires occasional guidance</li> </ul>
2 = Basic	<ul style="list-style-type: none"> <li>Applies the competency in somewhat difficult situations</li> <li>Requires frequent guidance</li> </ul>
1 = Awareness	<ul style="list-style-type: none"> <li>Applies the competency in the simplest situations</li> <li>Requires close and extensive guidance</li> </ul>
0=No Knowledge /Experience	<ul style="list-style-type: none"> <li>Has no competency in this area</li> <li>Has never worked with this area of competence</li> </ul>

**\*\*The chart below will display as one question and respondents will be asked to rate their proficiency level for each critical element on a sliding scale\*\***

For the following questions, please **input the number of years** you have utilized and/or demonstrated some level of proficiency for each technical competency. Please **rate your current proficiency level** in each of the **22** technical competencies. Click [here](#) to read the definition for each critical element and definitions for each proficiency level.

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Accounting:</b> Knowledge of traditional accounting practices including accrual, obligations, and costs methods.					
<b>Acquisition Strategy:</b> Knowledge of the principles and methods for developing an integrated acquisition management plan that describes the business, technical, and support strategies.					





# Sample Supervisor Assessment

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Administration and Management:</b> Knowledge of planning, coordination, and execution of business functions, resource allocation, and production.					
<b>Communications and Stakeholder Management:</b> Knowledge of the concepts, practices, and techniques used to identify, engage, influence, and monitor relationships with individuals and groups connected to a work effort. This involves the ability to communicate clear, concise, organized, and convincing presentations for various audiences.					
<b>Compliance:</b> Knowledge of procedures for assessing, evaluating, and monitoring programs or projects for compliance with Federal laws, regulations, and guidance.					
<b>Data Management:</b> Knowledge of the principles, procedures, and tools of data management, such as modeling techniques, data backup, data recovery, data dictionaries, data warehousing, data mining, data archiving, data disposal, and data standardization processes.					
<b>Data Systems:</b> Knowledge of computer hardware and software development and systems as they apply to the conception, specification, analysis, planning, development, installation, test, modification and use of data handling and computing systems.					



# Sample Supervisor Assessment

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Enterprise Architecture:</b> Knowledge of principles, concepts, and methods of enterprise architecture to align information technology (IT) strategy, plans, and systems with the mission, goals, structure, and processes of the organization.					
<b>Financial Management:</b> The ability to prepare, justify, and administer the program budget, oversee procurement and contracting to achieve desired results, monitor expenditures, and use cost-benefit thinking to set priorities.					
<b>Human Capital Management:</b> The ability to build and manage the workforce based on organizational goals, budget considerations, and staffing needs, ensure that employees are appropriately recruited, selected, appraised, and rewarded, address performance problems, and manage a multi-sector workforce and variety of work situations.					
<b>Human Resources Administration:</b> Knowledge of HR concepts, principles, and practices including classification, employee benefits, labor relations, etc.					
<b>Internal Controls:</b> Knowledge of the principles, methods, and techniques for establishing internal control activities (for example, authorizations, verifications, reconciliations), monitoring their use, and evaluating their performance (for example, identification of material weaknesses or significant deficiencies).					



# Sample Supervisor Assessment

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>IT Strategy and Planning:</b> Knowledge of the principles, methods, and techniques of IT assessment, planning, management, monitoring, and evaluation (i.e., IT baseline assessment, interagency functional analysis, contingency planning, and disaster recovery).					
<b>Legal, Government and Jurisprudence:</b> Knowledge of laws, legal codes, court procedures, precedents, legal practices and documents, Government regulations, Executive orders, agency rules, Government organization and functions, and the democratic political process.					
<b>Organizational Awareness:</b> Knowledge of the organization's mission and functions, how its social, political, and technological systems work, and the ability to operate effectively within them.					
<b>Process Control:</b> Knowledge of the principles, methods, and procedures used for the automated control of a process, including the design, development, and maintenance of associated software, hardware, and systems.					
<b>Project Management:</b> Knowledge of the principles, methods, or tools used to develop, schedule, coordinate, and manage projects and resources (i.e., monitoring and inspecting costs, work, and contractor performance).					
<b>Research:</b> Knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry; including study design, collection, analysis, and interpretation of data; and the reporting of results.					



## Sample Supervisor Assessment

	Level 1: Awareness	Level 2: Basic	Level 3: Intermediate	Level 4: Advanced	Level 5: Expert
<b>Risk Management:</b> Knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry (i.e., study design, collection, analysis, and interpretation of data) and the reporting of results.					
<b>Security:</b> Knowledge of the laws, regulations, and guidelines related to securing personnel, facilities, and information, including the requirements for handling, transporting, and protecting classified information and proper reporting of security incidents.					
<b>Technology Awareness and Application:</b> Knowledge of developments and new applications of information technology (hardware, software, telecommunications), emerging technologies and their applications to business processes, and applications and implementation of information systems to meet organizational requirements.					

9. For the technical competencies you rated as Level 3 or below in the above section, what experience or training/development opportunities would you recommend this employee prioritize to build these skillsets?



# Sample Supervisor Assessment

## Employee Development

The following questions are intended to gain information about employee development needs and priorities within your organization. This information will be used to identify organization wide development opportunities. Responses will be used to inform activities to support organizational success and will **not** be used to evaluate individual performance or staffing decisions.

10. Is there a formal succession planning program within your office? *Please select "N/A" if you have already answered this question in a previously submitted supervisor assessment response.*
  - a) Yes
  - b) No
  - c) Unsure
  - d) N/A
  
11. How much time do you think is appropriate for employees on your team to spend on professional development activities? *Please select "N/A" if you have already answered this question in a previously submitted supervisor assessment response.*
  - a) Less than 1 hour per month
  - b) 1-2 hours per month
  - c) 3-5 hours per month
  - d) 6+ hours per month
  - e) N/A
  
12. How frequently do you check-in with this employee about their career goals and/or associated development opportunities, including (but not limited to) their Individualized Development Plan (IDP)?
  - a) More than monthly
  - b) About monthly
  - c) About quarterly
  - d) About semi-annually
  - e) About annually
  - f) Less than annually
  - g) I do not check in with this employee about career goals, associated development opportunities, or their IDP.
  
13. When do you believe this employee would be prepared to step into a leadership (SES or equivalent) position?
  - a) Now
  - b) 1-2 years
  - c) 3-5 years
  - d) 6+ years
  - e) Unsure
  - f) N/A - this employee has expressed that they are uninterested in stepping into a leadership position



## Sample Supervisor Assessment

14. What resources and/or methods of learning would you most likely recommend to this employee as they pursue a future leadership position? *Select all that apply.*
- a) Collaborative working groups / communities of practice
  - b) External online learning platform (i.e., LinkedIn Learning)
  - c) Google or another search engine
  - d) I would not direct my employees to resources and/or methods of learning to support their preparation for a future leadership position
  - e) In-person or virtual trainings provided by DOC or my office
  - f) Leadership for guidance and/or mentorship
  - g) Other federal government resources (i.e., Office of Personnel Management guidance)
  - h) Peer groups for guidance
  - i) Resources available on DOC's SharePoint (i.e., trainings, quick reference guides, etc.)
  - j) Trainings via Commerce Learning Center (CLC)
  - k) Other (please specify)

### Thank you!

15. Is there anything else you would like to tell us? *Please note this is the final question in the survey.*

Thank you for your participation! Please press the submit button to record your answer.

Contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) if you have questions or comments related to our DOC Succession Planning effort.

Would you like to complete this assessment for another employee? *If yes, participants will be directed back to the beginning of the assessment.*



# Sample Dashboard Visualizations

## Competency Proficiencies

This dashboard view contains a breakdown of the competency proficiencies that will help leadership understand the existing talent pool's proficiencies by critical elements and technical competencies.

The technical competencies are broken down into frequency by proficiency level to provide a deeper look into office averages.

This view can be filtered by office and then by several different demographic categories. The information in this view changes based on this selection.

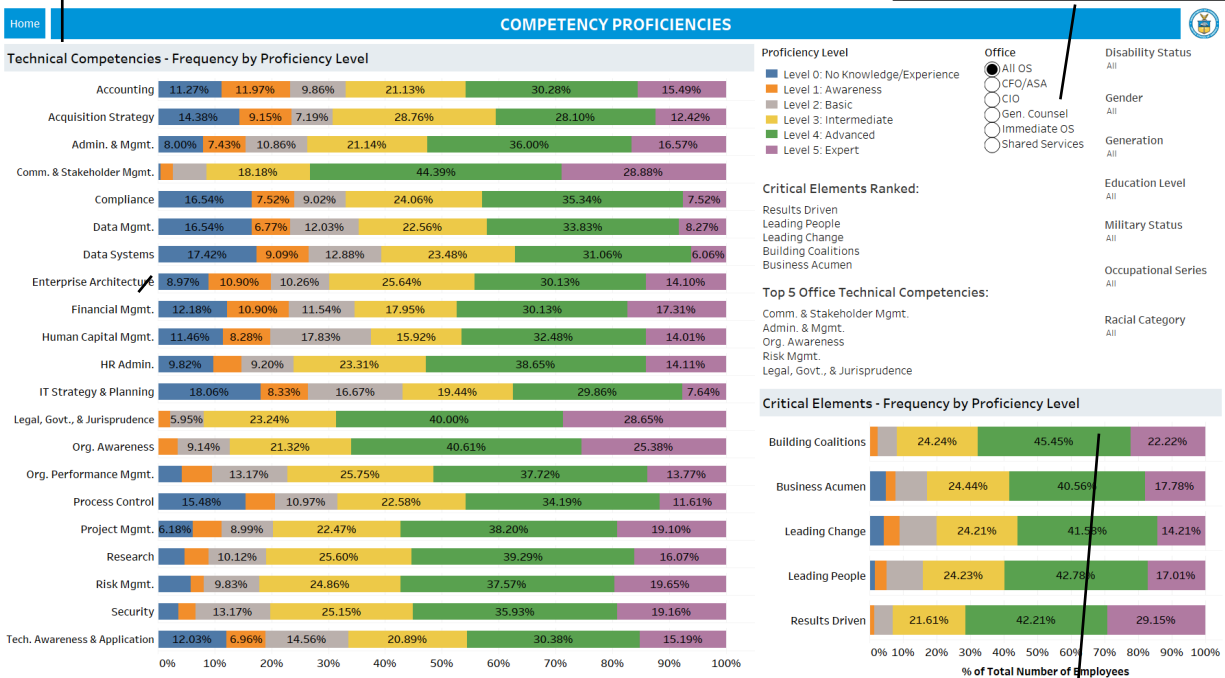


Figure 24.

The critical elements are broken down into frequency by proficiency level to provide a deeper look into office averages.



# Sample Dashboard Visualizations

## Competency Perception Comparison

This dashboard view contains a breakdown of the proficiencies that will help leadership understand whether supervisors and employees are aligned on current skill levels.

The supervisor and self-assessment average proficiencies are shown for the critical elements and technical competencies to identify any discrepancies between the two ratings. Supervisors and employees should have conversations about any proficiency ratings where significant differences are present.

The top 3 barriers to development that employees identified are aggregated here to indicate potential reasons behind competency gaps.

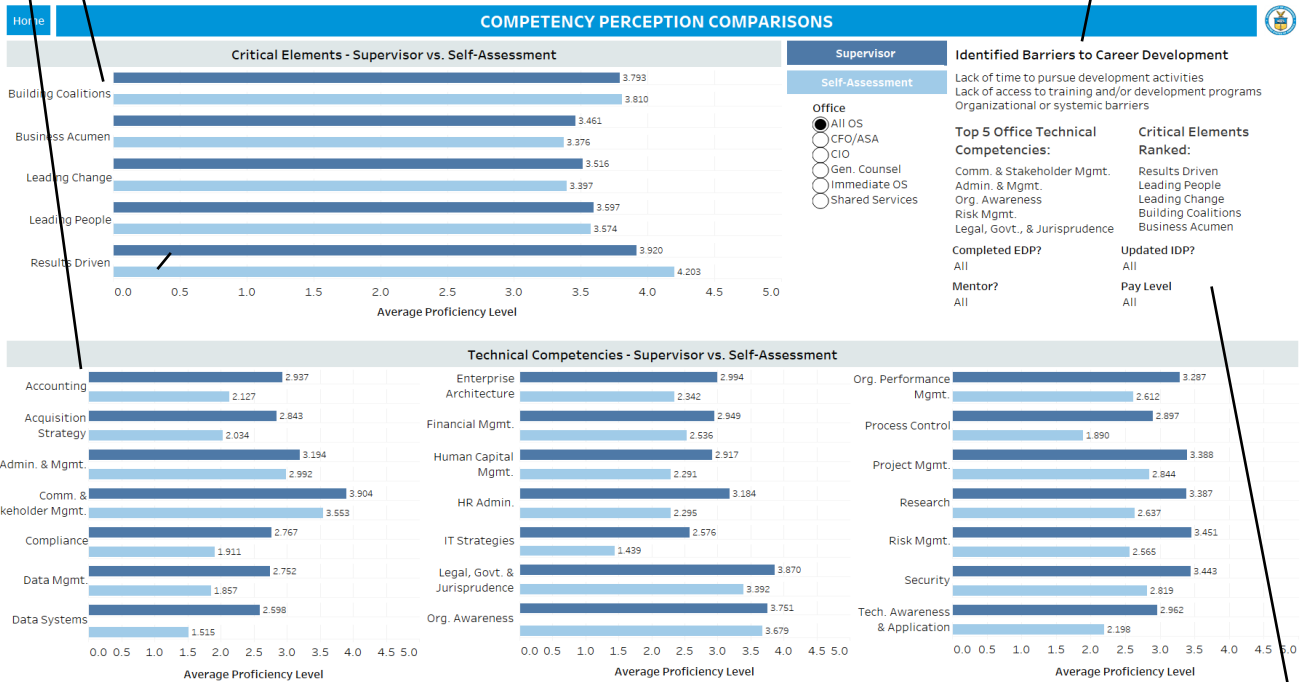


Figure 25.

This view can be filtered by office and then by several different development categories. The information in this view changes based on this selection.





# Individual Feedback Process Quick Reference Guide

OHCS compiled individual feedback reports that compile data from self-assessment responses, supervisor assessment responses, and competency requirements as determined by OS SES leaders. This report will **not** be used to evaluate performance or staffing decisions but is intended to support employees as they engage in development conversations with their supervisor. In addition to feedback reports, employees received development plan worksheets that are intended to be used to guide conversations between employees and supervisors.

**The Individual Feedback Process Participant QRG should support an understanding of the Evaluate Talent process and inform employees' ability to have meaningful conversations with their supervisor about future growth.**

OHCS will provide each participant with an individual feedback report, which is intended to provide actionable feedback and support employees and supervisors in collaboratively identifying development goals and opportunities. Employees are asked to schedule time with their supervisor to review your report, discuss relevant OS SES success profiles, and complete the development plan worksheet. Below is a list of frequently asked questions:

- 1. What is the purpose of the individual feedback report?** *The individual feedback report is intended to be used as a tool to support conversations with your supervisor about career goals and development opportunities based on your aspirations and current career status. The report will **not** be used to inform performance or staffing decisions.*
- 2. Who will receive an individual feedback report?** *Each employee who opted into the self-assessment process and their direct supervisor will receive an individual feedback report. You will receive your feedback report on August 3<sup>rd</sup>. Your supervisor will receive this report on Tuesday, July 27<sup>th</sup>.*
- 3. What data will the individual feedback report include?** *The individual feedback report compiles data from your self-assessment, your supervisor's assessment, and identified OS leadership proficiency levels as determined by OS SES leaders. The individual feedback report will display (1) self-assessment of proficiency level, (2) supervisor assessment of proficiency level, (3) average required proficiency level for OS leadership position competencies, (4) a summary growth indicator, and (5) recommended development activities.*
- 4. How is the summary growth indicator determined?** *Summary growth indicator is an aggregate indicator that reflects your supervisor's assessment of your proficiency level in the critical elements and your supervisor's assessment of your proficiency level in key technical competencies.*
- 5. How were the identified OS leadership proficiency levels calculated?** *All career OS SES leaders provided input on the proficiency level for each technical competency and critical element required to be successful in their role. These proficiency levels were aggregated to calculate the identified OS leadership proficiency level.*
- 6. What should I do once I have received my individual feedback report?** *Once you have received your individual feedback report, you are encouraged to schedule 30 minutes with your supervisor to review your individual feedback report, complete your development plan worksheet and review any relevant OS SES success profiles.*



# Individual Feedback Process Quick Reference Guide

7. **What is the employee development plan worksheet?** *The employee development plan worksheet is intended to be completed with your supervisor as you discuss your development goals and identify activities that will help you to achieve those goals. The worksheet will **not** be used to evaluate performance or staffing decisions and is intended to supplement formal individual development plans (IDPs). Supervisors are expected to send completed development plan worksheet(s) to [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) by September 15<sup>th</sup> so we can understand trends and support organizational success.*
8. **What are the OS SES success profiles?** *OS SES success profiles compile data regarding the critical elements, competencies, and experience necessary to be successful in a particular OS SES positions. If you are considering an SES leadership position now or in the future, the success profiles can be a valuable tool in identifying relevant development areas and opportunities. All OS SES success profiles can be accessed [here](#), and additional information can be found in the appendix.*
9. **How should I handle variances in how I rated my own proficiency level and how my supervisor rated my proficiency level?** *You are encouraged to have a transparent conversation with your supervisor about why they selected the given proficiency level and discuss how you can continue to develop their skillsets.*
10. **What resources are available to me as I prepare to conduct feedback conversation(s)?** *Various resources on giving and receiving feedback are available to you as you prepare for your feedback conversation. All participants are encouraged to complete the "Using Feedback to Grow Professionally" course via the Commerce Learning Center (CLC), and a list of additional resources can be found in the appendix.*
11. **What should I do once my supervisor submits my completed development plan worksheet?** *You should engage in the identified development activities and continue to have regular conversations with your supervisor about your career.*
12. **Who do I contact if I have any questions?** *Contact [DOCWorkforceSuccessionPlanning@doc.gov](mailto:DOCWorkforceSuccessionPlanning@doc.gov) for questions or concerns.*

Thank you for your participation!



# Sample Individual Feedback Report Template

The Evaluate Talent Individual Feedback Report is intended to provide actionable feedback and support you in identifying development goals and opportunities that are in line with individual employee aspirations and current career status. This report compiles data from self-assessment responses, supervisor’s assessment responses, and input from OS SES leaders. Proficiency level definitions and sample behaviors can be found [here](#). Additional information on how the OS SES leader proficiency levels were calculated can be found here [insert link] and success profiles for career OS SES positions can be found [here](#).

<b>Name:</b>	<b>Supervisor Name:</b>	<b>Office:</b>
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## Summary Growth Indicator<sup>+</sup>

If you are interested in pursuing a leadership role, your results indicate you should:  
Broaden your career experience and seek opportunities to apply those skillsets.

Your supervisor appraised your current skillsets as below the proficiency levels needed in the critical elements required for current OS SES leaders.  
Your supervisor evaluated your technical proficiency levels as above the proficiency levels needed in the critical elements required for current OS SES leaders.

## Recommended Development Activities

Supervisor Recommended Development Activities	Critical Elements*	
	Technical Competencies	
Recommended Steps to Get Started		1) Access trainings for targeted development opportunities via Commerce Learning Center (CLC) 2) Seek opportunities within your current role to develop additional skillsets (i.e., new projects) 3) Develop mentor-relationships with leadership, peers, etc.

*+ -Summary growth indicator is an aggregate indicator that reflects your supervisor’s assessment of your proficiency level in the critical elements, your supervisor’s assessment of your proficiency level in key technical competencies, and your supervisor’s assessment of the number of years of additional experience that you would need to be prepared for a potential future SES leadership position. Each participant received one of the following summary growth indicators based on their data; “Ready for increased responsibilities or challenge. Seek opportunities to mentor and lead,” “Broaden career experience and seek opportunities to apply skillsets” or “Seek opportunities to gain experience and build skillsets.” This indicator is intended to be used for development purposes only and will not be used to inform individual performance or staffing decisions.*

*\*Critical elements capture the knowledge, skills and abilities that impact one’s ability to be an effective leader in their position. Critical elements are a summary of Office of Personnel Management (OPM’s) Executive Core Qualifications and are a prerequisite for employment in SES positions.*



# Sample Individual Feedback Report Template

## Critical Elements Required for OS SES Positions\* Proficiency Level Results

	Identified OS SES Leadership Proficiency Level	Self-Assessment	Supervisor's Assessment
<p><b>Building Coalitions:</b> The ability to create partnerships internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals.</p>	4.48: Advanced	3: Intermediate	2: Basic
<p><b>Business Acumen:</b> The ability to manage human, financial, and information resources strategically.</p>			
<p><b>Leading Change:</b> The ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to this critical element is the ability to establish an organizational vision and to implement it in a continuously changing environment.</p>			
<p><b>Leading People:</b> The ability to lead people toward meeting the organization's vision, mission, and goals. Inherent to this critical element is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.</p>			
<p><b>Results Driven:</b> The ability to meet organizational goals and customer expectations. Inherent to this critical element is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculating risks.</p>			



# Sample Individual Feedback Report Template

## Technical Competencies Proficiency Level Results

*Please note that relevant technical competencies will vary by position and by your individual career aspirations.*

	Identified OS SES Leadership Proficiency Level	Self-Assessment	Supervisor's Assessment
<b>Accounting:</b> Knowledge of traditional accounting practices including accrual, obligations, and costs methods.	4.48: Advanced	3: Intermediate	2: Basic
<b>Acquisition Strategy:</b> Knowledge of the principles and methods for developing an integrated acquisition management plan that describes the business, technical, and support strategies.			
<b>Administration and Management**:</b> Knowledge of planning, coordination, and execution of business functions, resource allocation, and production.			
<b>Communications and Stakeholder Management**:</b> Knowledge of the concepts, practices, and techniques used to identify, engage, influence, and monitor relationships with individuals and groups connected to a work effort. This involves the ability to communicate clear, concise, organized, and convincing presentations for various audiences.			
<b>Compliance:</b> Knowledge of procedures for assessing, evaluating, and monitoring programs or projects for compliance with Federal laws, regulations, and guidance.			



# Sample Individual Feedback Report Template

## Technical Competencies Proficiency Level Results

*Please note that relevant technical competencies will vary by position and by your individual career aspirations.*

	Identified OS SES Leadership Proficiency Level	Self-Assessment	Supervisor's Assessment
<p><b>Data Management:</b> Knowledge of the principles, procedures, and tools of data management, such as modeling techniques, data backup, data recovery, data dictionaries, data warehousing, data mining, data archiving, data disposal, and data standardization processes.</p>	4.48: Advanced	3: Intermediate	2: Basic
<p><b>Data Systems:</b> Knowledge of computer hardware and software development and systems as they apply to the conception, specification, analysis, planning, development, installation, test, modification and use of data handling and computing systems.</p>			
<p><b>Enterprise Architecture:</b> Knowledge of principles, concepts, and methods of enterprise architecture to align information technology (IT) strategy, plans, and systems with the mission, goals, structure, and processes of the organization.</p>			
<p><b>Financial Management:</b> The ability to prepare, justify, and administer the program budget, oversee procurement and contracting to achieve desired results, monitor expenditures, and use cost-benefit thinking to set priorities.</p>			



# Sample Individual Feedback Report Template

## Technical Competencies Proficiency Level Results

*Please note that relevant technical competencies will vary by position and by your individual career aspirations.*

	Identified OS SES Leadership Proficiency Level	Self-Assessment	Supervisor's Assessment
<p><b>Human Capital Management:</b> The ability to build and manage the workforce based on organizational goals, budget considerations, and staffing needs, ensure that employees are appropriately recruited, selected, appraised, and rewarded, address performance problems, and manage a multi-sector workforce and variety of work situations.</p>	4.48: Advanced	3: Intermediate	2: Basic
<p><b>Human Resources Administration:</b> Knowledge of HR concepts, principles, and practices including classification, employee benefits, labor relations, etc.</p>			
<p><b>Internal Controls:</b> Knowledge of the principles, methods, and techniques for establishing internal control activities (for example, authorizations, verifications, reconciliations), monitoring their use, and evaluating their performance (for example, identification of material weaknesses or significant deficiencies).</p>			
<p><b>IT Strategy and Planning:</b> Knowledge of the principles, methods, and techniques of IT assessment, planning, management, monitoring, and evaluation (i.e., IT baseline assessment, interagency functional analysis, contingency planning, and disaster recovery).</p>			



# Sample Individual Feedback Report Template

## Technical Competencies Proficiency Level Results

*Please note that relevant technical competencies will vary by position and by your individual career aspirations.*

	Identified OS SES Leadership Proficiency Level	Self-Assessment	Supervisor's Assessment
<p><b>Legal, Government and Jurisprudence**:</b> Knowledge of laws, legal codes, court procedures, precedents, legal practices and documents, Government regulations, Executive orders, agency rules, Government organization and functions, and the democratic political process.</p>	4.48: Advanced	3: Intermediate	2: Basic
<p><b>Organizational Awareness**:</b> Knowledge of the organization's mission and functions, how its social, political, and technological systems work, and the ability to operate effectively within them.</p>			
<p><b>Organizational Performance Management:</b> Knowledge of the methods, techniques, and tools used to analyze program, organizational, and mission performance, including methods that deliver key performance information used to inform decisions.</p>			
<p><b>Process Control:</b> Knowledge of the principles, methods, and procedures used for the automated control of a process, including the design, development, and maintenance of associated software, hardware, and systems.</p>			
<p><b>Project Management:</b> Knowledge of the principles, methods, or tools for developing, scheduling, coordinating, and managing projects and resources, including monitoring and inspecting costs, work, and contractor performance.</p>			





# Sample Individual Feedback Report Template

## Technical Competencies Proficiency Level Results

*Please note that relevant technical competencies will vary by position and by your individual career aspirations.*

	Identified OS SES Leadership Proficiency Level	Self-Assessment	Supervisor's Assessment
<b>Research:</b> Knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry; including study design, collection, analysis, and interpretation of data; and the reporting of results.	4.48: Advanced	3: Intermediate	2: Basic
<b>Risk Management**:</b> Knowledge of the principles, methods, and tools used for risk assessment and mitigation, including failure and their consequences.			
<b>Security:</b> Knowledge of the laws, regulations, and guidelines related to securing personnel, facilities, and information, including the requirements for handling, transporting, and protecting classified information and proper reporting of security incidents.			
<b>Technology Awareness and Application:</b> Knowledge of developments and new applications of information technology (hardware, software, telecommunications), emerging technologies and their applications to business processes, and applications and implementation of information systems to meet organizational requirements.			

## Additional Comments



# Sample Individual Development Plan Template

The Evaluate Talent Individual Feedback Report Development Plan is intended to be completed collaboratively in conversations between employees and supervisors as they identify development goals and activities to help achieve those goals that are in line with aspirations and current career status. Supervisors should send completed development plan to [insert email address] and employees should incorporate material into their formal individual development plans (IDPs).

Name:	Supervisor Name:	Office:	Date of Feedback Conversation:
Summary Growth Indicator*:			

## Career Goals

*Discuss your top 1-3 short-term and long-term career goals with your supervisor. What do you hope to achieve within the next year? What do hope to achieve in the next 10 years?*

Short-Term Career Goals	
Long-Term Career Goals	

## Leadership Qualities

*As you think through your development goals and the actions that you will take to achieve them, consider the following qualities typically associated with leadership. Prior to the feedback conversation, your supervisor should complete their reflection of how you currently demonstrate each of the four qualities on a scale of 1 to 5. During your discussion reflect on how you can demonstrate these critical qualities in your current role to positively impact your work and/or to support your career.*

Critical Quality	Supervisor to complete prior to feedback conversation		How can you demonstrate this quality in your current role?
	Supervisor Reflection (On a scale of 1 - 5, where 5 is the highest)	Justification of Reflection	
Significantly invests in their own development			
Has a track record of assisting with the development of others			
Has ambition to achieve greater responsibility			
Has a high motivation and ability to learn			



# Sample Individual Development Plan Template

## Strengths

*Discuss what strengths you have demonstrated throughout your career that will help you achieve your career goals with your supervisor. Where are you comfortable leading your own work? Where are you comfortable leading the work of others? What critical elements and technical competencies have you recently developed? In which competencies are you demonstrating Intermediate, Advanced, or Expert proficiency?*

Key Strengths	Critical Elements	
	Technical Competencies	
Reflection: Describe situations in which you are confident using your strengths. What actions has your supervisor taken that encourage you to use your strengths in the workplace?		

## Development Areas

*Discuss the areas in which additional development will positively impact your work and support the next stage of your career with your supervisor. What critical elements and technical competencies do you need to help you achieve your career goals? In which critical elements and technical competencies are you demonstrating less than Intermediate proficiency?*

Key Strengths	Critical Elements	
	Technical Competencies	
Reflection: Describe situations in which you are confident using your strengths. What actions has your supervisor taken that encourage you to use your strengths in the workplace?		

## Development Activities

*What actions will you take, with the support of your supervisor, over the next year (i.e., training, mentoring, etc.) to share your strengths and build on your development areas?*

Activity Name	When will you complete this activity?	How will you measure your progress in this development area?	What support will you need to complete these activities?



# Mobilize & Develop Talent

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# Knowledge Management Tools, Techniques, and Outputs

## *Use Case: Critical Role is Leaving*

Knowledge Transfer Tools	Purpose	Output/Estimate Level of Effort	Employee Lifecycle/ Succession Planning Areas
1. Departing/Retiree Knowledge Interview and discussion points	Capture Critical knowledge via Knowledge Interview & Standardized Report	Report/ 16-20 hours	Career Late Stage / Retirement Eligible
2. Departing/Retiree Knowledge Interview and discussion points	Knowledge Capture Q&A; Capture Critical knowledge with limited exit timeframe	Incumbent Knowledge Q&A output & knowledge capture / 2-3 hours	Career Late Stage / Retirement Eligible
3. Process Mapping	Document Processes and Information for Role	Process Map / 8-20 hours	Across Lifecycle, Experienced & Nextpert/ Unexpected Departures, Retirement Eligible
4. Cross-training/Job Shadowing	Ensure business continuity of key activities while employee is departing; new person is to be onboarded	Cross Training Plan, Knowledge Transfer Plan, Job Aids/ Time dependent on Departure / TBD	Across Lifecycle, Career Mid-Late Stage, Retirement Eligible / Retirement Eligible, Unexpected Departures
5. Mentoring/Coaching	Experienced employee shares knowledge and skills	Mentoring Plan / TBD	Across Lifecycle, Expert & Nextpert / IDP
6a. Facilitated Transition workshop / 6b. Knowledge Elicitation Series	Facilitated session to help incoming leader and team transition to new leadership	Workshop, Videos, Summaries, Transcripts, Action Items / 6a. 8-10 / 6b. 20-25 hours	Career Late Stage, Across Lifecycle / Retirement Eligible, Unexpected Departures



# Knowledge Management Tools, Techniques, and Outputs

## *Use Case: Critical Role is Leaving*

Knowledge Transfer Tools	Purpose	Output/Estimate Level of Effort	Employee Lifecycle/ Succession Planning Areas
7. Knowledge Mapping and Transfer Plan	Identify Critical Knowledge (Explicit/Tacit)/Tasks/ Processes/Roles, gaps of knowledge, and strategy for closing gaps	Knowledge Transfer Plan/ 8-20 hours	Expert, Career Late Stage/Retirement Eligible, Unexpected Departures
8. Knowledge Audit and Inventory	Identify Knowledge Assets, capture use, location (Explicit Knowledge)	Audit; recommendations for knowledge transfer/ 2-10 hours	Expert, Career Late Stage /Retirement Eligible, Unexpected Departures
9. Office Hours	Transfer knowledge on demand to several individuals	Tacit Knowledge transfer/ 1-4 hours/month	Expert, Career Late Stage /Retirement Eligible, Unexpected Departures

\*Provided by the International Trade Administration (ITA)



# Knowledge Management Toolkit

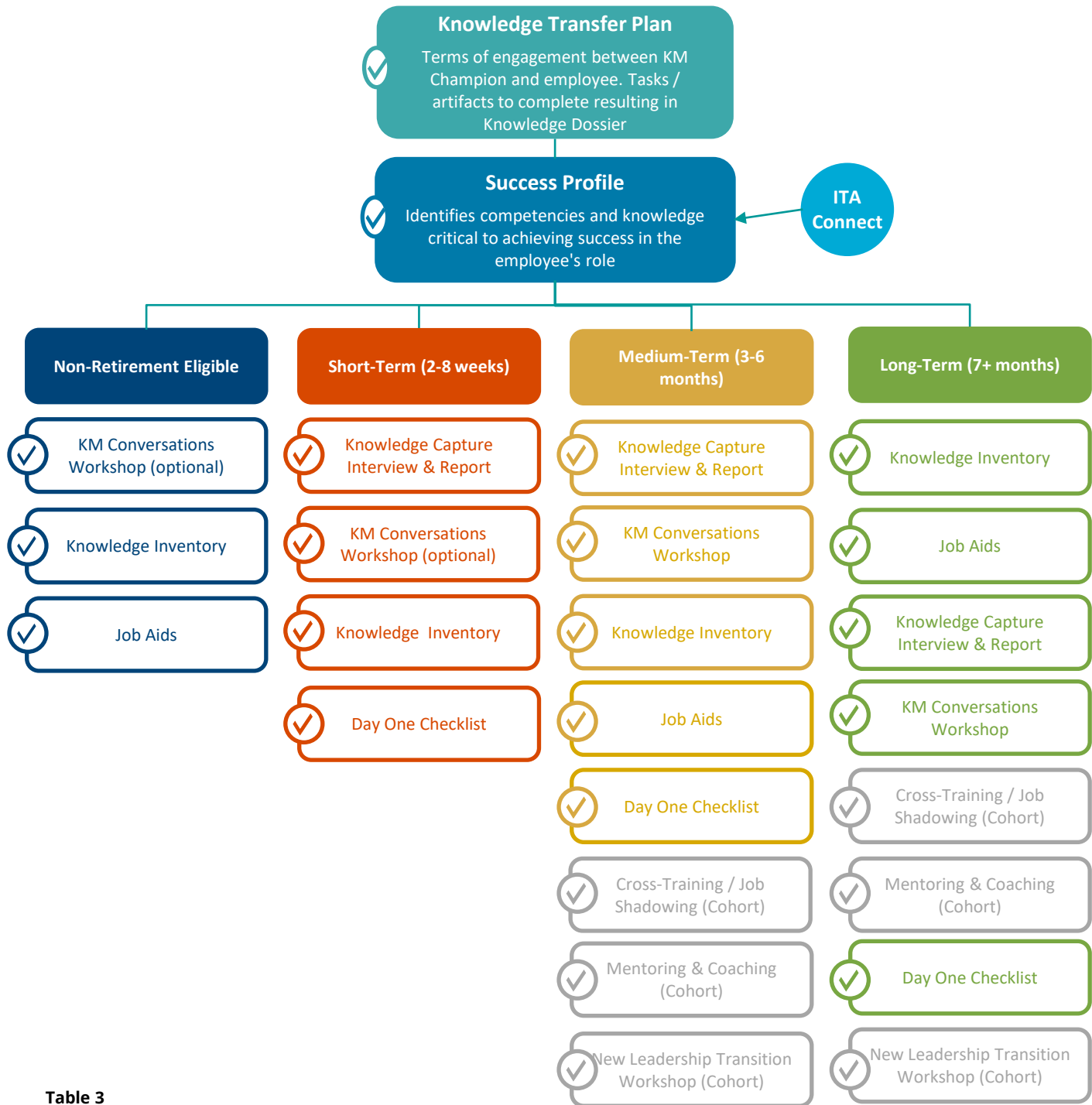


Table 3

\*Provided by the International Trade Administration (ITA)



# **Ingrain a Succession Planning & Management Mindset for Sustainability**

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# Communication Strategy

Create an Effective Communications Strategy by following the guiding principals outlined below:



Preferred Senders



Targeted Messaging  
(What's in it for me  
(WIIFM))



Multiple Modes of  
Communication



Frequent &  
Consistent  
Messaging



Two—Way  
Communication  
Methods

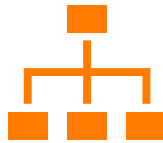
## Key Questions That Need Answers

- What is succession planning?
- Why is succession planning important now?
- What are the risks of doing nothing?
- How will success be measured?
- How is this relevant to my role?
- What's in it for me?
- How can I support succession planning?



# Communication Strategy

Adopt a stakeholder-centric approach by following the guiding principals outlined below:



Identify Impacted  
Groups



Segment Groups  
and Target  
Communications



Engage at  
Grassroots Level  
and Across ITA



Provide Updates and  
Socialize Wins Tailored  
to Each Group

## ***What is the Value of Using a High Engagement, Stakeholder-Centric Approach to Change Communications?***

- Builds trust and support among influencers
- Helps identify and address potential risks early on
- Gain new insights about the unique needs of each business unit
- Communications tailored to what each stakeholder group values
- Opportunity to use the viewpoints of key stakeholders at the BU level to help shape the program and adjust before communicating broadly across ITA



# Communication Strategy

Benefits of using WIIFMs to gain leadership buy-in are outlined below:



## Improves employee morale, engagement and retention

- Provides new opportunities for employees to develop and grow professionally
- Fosters knowledge sharing, collaboration and peer learning for skill development
- Values long-term employees for their knowledge and contributions
- Proactively support equitable staffing decisions



## Retains and transfers critical knowledge and expertise

- Enables a structured process for high performers to learn specialized knowledge through mentoring and on-the-job training
- Equips future generations by identifying, harvesting, and sharing critical organizational knowledge with the implementation of various knowledge management tools and techniques.



## Organization-wide human capital planning

- Offers an employee-centered process to develop ITA's workforce and practices aligned with our mission and goals.
- Offers an opportunity for high performing employees to gain the skills, knowledge, and subject matter expertise required to compete for critical roles as they become vacant.



# Communication Strategy

Benefits of using WIIFMs to gain employee buy-in are outlined below:



## Increases skills and subject matter expertise

- Provides preparation to compete for leadership roles as they become vacant
- Opportunities to learn and apply theoretical knowledge of leadership development and technical knowledge to real-world application
- Personalized learning experience through the creation of an individual development plan



## Expands professional network

- Build lasting relationships with peers and more experienced ITA employees
- Gain a better understanding of the inner workings of other business units and what it takes to succeed



## Opportunity to Work with ITA's best and brightest leaders

- Receive insight from a mentor that can help you navigate the next stages of your federal career
- Increase visibility by working hand in hand with an expert on matters critical to your or another business unit

\*Provided by the International Trade Administration (ITA)



# Succession Planning Champion Role Description

A Succession planning executive champion supports and promotes the importance of succession planning and management. Below is a sample role description to use when working to obtain a champion within your bureau:

- Advocate for the succession planning and management program (including for resources, training, and tools),
- Maintain and articulate a clear vision for the succession planning and management program and how it links to the Department's (or a specific Bureau's) strategy,
- Provide visibility of the succession planning and management program in meetings with Executive peers,
- Act as a role model and establish new normal succession planning and management practices in their organization,
- Remove succession planning team roadblocks and clear a path for success,
- Build and maintain commitment from and involvement of a coalition of leaders who support the succession planning and management program,
- Provide updates on succession planning and management efforts to executive stakeholders and gather feedback,
- Align succession planning and management initiatives with other Department initiatives and within the bureau's wider strategic goals, and
- Provide critical feedback.