The Wild, Wild West of Succession Planning: Your People, Your Board and the Law

What are you prepared for?

Individual Agency

_____

_____

_____

Pool/JPA

_____

_____

_____

Board of Directors/Supervisors

_____

_____

_____

Know your Organization's Strengths & Weaknesses (S.W.O.T. example below)

Strengths	Weaknesses
Opportunities	Threats

Example Templates available on platforms such as Canva.com

Considerations

Organizational Appetite

_____

_____

Budgets

_____

_____

Key Staff to Plan/Implement

_____

_____

Timelines

_____

_____

Staff to Promote and/or Recruit

_____

_____

Timelines & Titles

Short-term Plan

_____

_____

_____

_____

_____

Long-term Plan

_____

_____

_____

_____

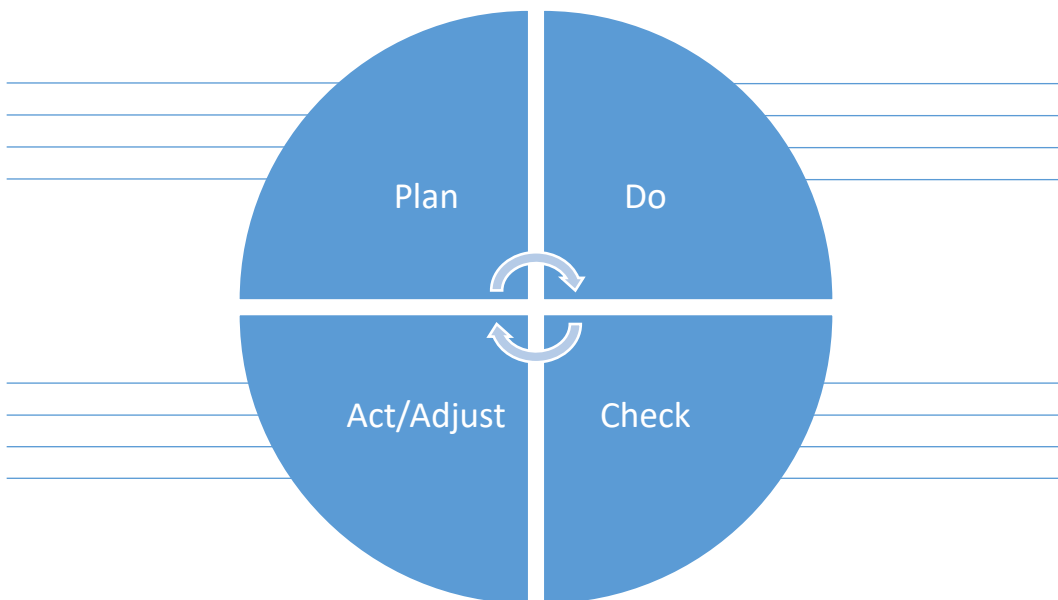## Plan. Do. Check. Act/Adjust Cycle

Specifics of Succession Planning and Your Board

- _____

- It ensures a diverse board composition

- _____

- _____

- It maintains the balance on the board

- It ensures that stakeholders will be _____ by chances in leadership

Additional Considerations

Staff Rapport with Board

_____

Political Climate of Board

_____

Board Succession Policy

_____

The Law and You

Important documents for compliant succession planning

☐Job Descriptions up to date?

☐ Training Records current?

☐ Training Documents/Presentations current?

☐ Policies & Procedures current?

☐ Conversations with Key Personnel initiated?

Potential EPL Issues

Things to note during your organization's journey through succession planning

Reasonable Accommodations

_____

Consistency

_____

Documentation

_____

Training Opportunities for Succession Planning

Resources for training up your employees identified for promotion

> **"Train people well enough so they can leave, treat them well enough, so they don't want to".**
> – Richard Branson

Leadership Academy

_____

Mentors

_____

It's All About Exposure

_____

Tools of Your Trade

Services & Software

_____

_____

Internal Cross-Training

_____

_____

Industry Organizations

_____

_____

Questions? Follow Ups

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We are in the business of relationships and people.
Good luck and enjoy the journey!

The Wild, Wild West of Succession Planning: Your People, Your Board and the Law
Resources for Successful Succession Planning

PARMA (parma.com/leadership) – must be logged in to access
PARMA is dedicated to the professional development of all California public agency personnel with responsibility for risk management, and to the promotion of risk management as a critical component for public agency fiscal health.

- Events
- Education
- Careers

AGRiP (agrip.org)
AGRiP energizes the power of pooling, making member organizations more effective, collaborative and informed.
- Education
- Networking
- Best Practices

CAJPA (cajpa.org)
CAJPA was formed to meet the need for communication and cooperation among the newly formed JPAs. Its founders structured an association that serves as an information and educational network; one that has grown to also promote unique insurance and risk management concepts and services for its members.

CalPELRA (calpelra.org)
CALPELRA helps California public sector employers better serve their communities by providing comprehensive, quality training in labor relations and personnel management and by fostering professional development with a dynamic network of support.

- Academy
- Job Board

CPS HR (cpshr.us/)
CPS HR offers a comprehensive range of competitively priced HR products and services, any of which can be can be customized to meet your organization's needs.

- Executive Search
- Training Center
- Test Rental
- Diversity, Equity & Inclusion

Emerging Insurance Professionals (EIP) (eipgroup.org**)**
Since 2005, the Emerging Insurance Professionals has focused on fostering fellowship among insurance professionals in the first 10 years of their career, and are committed to introducing talented college graduates to the insurance industry. Local chapters include:

- Los Angeles
- Orange County
- Sacramento
- San Francisco

LinkedIn (linkedin.com**)**: Manage your professional identity. Build and engage with your professional network. Access knowledge, insights and opportunities.

PRISM (prismrisk.gov**)**
Public Risk Innovation, Solutions, and Management is a member-directed risk sharing pool of public agencies committed to providing risk coverage programs and risk management services, which drive member stability, efficiency, and best practices.

- Enterprise Risk Consultants (ERC) Program
- PRISM Development Plan for Advancement (attached)
- PRISM Leadership Academy (attached)
- PRISM Professional Development Form (attached)

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Professional Development Plan

Name: Current Position:

Desired Promotional Position:

1. Summarize the employee's current readiness to promote:

2. Technical Skills

    A. Identify the technical skills necessary for the desired position:

-
-
-
-

    B. Evaluate the candidate's proficiency and readiness for each of the identified technical skills:

Indicate readiness on a scale of 1 to 10, with 10 being proficient and ready for the position

1	2	3	4	5	6	7	8	9	10

Comments:

3. Management & Leadership Skills

    A. Identify the management and leadership skills necessary for the desired position:

-
-
-
-

B. **Evaluate the candidate's proficiency and readiness for each of the identified management and leadership skills:**

Indicate readiness on a scale of 1 to 10, with 10 being proficient and ready for the position

1	2	3	4	5	6	7	8	9	10

Comments:

4. **Education**

   A. **Identify the education necessary for the desired position:**

   -
   -
   -

   B. **Evaluate the candidate's education as it relates to the necessary requirements:**
   Indicate readiness on a scale of 1 to 10, with 10 being proficient and ready for the position

1	2	3	4	5	6	7	8	9	10

   Comments:

5. **Development Plan – Describe the education, training, and experiences needed to prepare the employee for the desired position:**

Employee Signature: _____   Date: _____

Supervisor Signature: _____   Date: _____

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Public Risk Innovation,
Solutions, and Management

LEADERSHIP ACADEMY

JULY
2020

PRISM LEADERSHIP ACADEMY

FOREWORD

PRISM has recognized the need for a structured program designed to support PRISM's leadership development plan. The PRISM Leadership Academy (the Academy) will provide key prerequisites for non-supervisory staff as they prepare for a future supervisory role.

The Academy is based on support from the entire PRISM Management Team. However, key members of the Team will be called upon to actively participate in your development.

As the Candidate, you must be willing to commit to the course prepared for you. The Academy period (approximately 24 months) is an intensive phase of learning and is the basis for determining a candidate's readiness to assume supervisor/management responsibility.

The Course Blocks are designed to guide you during the Academy period. During this time, you will use the information provided to you, but please remember, everyone has a lot invested in this "once in a career" opportunity. It is ultimately up to you to make the Academy a success.

Good Luck. We know you can do it!

Brian Kelley
Chief Executive Officer
PRISM

CANDIDATE ELIGIBILITY

- The ideal candidate will have served a minimum of three (3) years with PRISM, two (2) of which have been served in a Senior Specialist capacity.

  - o Exception: Consideration may be granted at the CEO's discretion to allow a PRISM employee that has met all of the qualifying criteria, but serves in a position (job title) that does not have a senior classification. In this instance, the employee's manager must petition the CEO for an exception.

- Employee will have expressed an interest in participating in the Academy to management

- Direct supervisor recommendation (with Chief Officer concurrence)

- Minimum of an "Above Average" rating on the candidate's last two (2) performance evaluations

- Not currently on a "Performance Improvement Plan"

- Recognized by others as a good citizen

  - o Team worker

  - o Natural leader

  - o Go-to-person

- Any candidate seeking to re-enter the Academy after being dismissed or withdrawing must re-apply

- Candidates re-applying must meet all eligibility criteria and complete a new application

CANDIDATE DISQUALIFICATION

- Candidates may be removed from the Academy under the following conditions:

    o At the employee/candidate's written request

        ▪ Candidate may re-apply at a later date, should they remain eligible to participate

    o Upon receipt of a less than "Above Average" performance rating at any time while enrolled in the Academy

    o Any candidate entering a "Performance Improvement Plan" will be removed from the Academy

        ▪ The participant will remain ineligible to return to the Academy until eligibility criteria has been re-established

        ▪ Candidate is welcome to re-apply once eligibility status has been re-established

    o At the request of the candidate's direct manager/supervisor

        ▪ Based on behavioral or performance issue(s)

            • Candidate should be given an opportunity to improve before the determination is made to remove them from the Academy

            • A joint effort should be made with the candidate's manager/supervisor and any assigned mentor(s) to coach/counsel the candidate on performance issue(s) before they are dismissed from the Academy

        ▪ At the recommendation of an assigned mentor

            • Should the candidate fail to progress in spite of efforts to resolve learning issues

            • Should the candidate fail on more than one attempt at instruction

- Within a block of instruction, should the candidate record more than one missed (unexcused):

  - Coaching session; deadline; test; or, assignment

- During the Academy, should the candidate record more than two missed (unexcused):

  - Coaching sessions; deadlines; tests; or, block assignments

- Program dismissals for cause will be processed through HR and submitted to the CEO/COO for final review and consideration.

APPLICATION & SELECTION PROCESS

- Submit an application packet

    o Complete questionnaire

    o Copies of Performance Reviews

    o Manager referral

- At least one other (indirect report) management referral

- At least one peer referral

    o Any level PRISM employee

- Package submitted to HR

    o Record & document

- Copies of packet submitted to CEO and COO

    o Initial review of packet

    o CEO, COO and HR meet to discuss the qualifications of each candidate and make a selection

- HR will be responsible for creating a *working & permanent file* for each new Candidate.

- Notes to file shall be made by:

    o Candidate's Manager

    o Course Instructor

    o HR

APPLICATION QUESTIONNAIRE

1. Why should you be considered for the PRISM Leadership Academy?

2. Why do you want to be a supervisor?

3. Give two examples of times when you served in a leadership role (assigned or not) or took the initiative to lead. How did others respond to your leadership? What was the end result?

BASIC ORGANIZATION

The Program Period

The Academy period will be approximately 24 months. During this period, you will work closely with the PRISM Management Team to learn as much as possible about the art of management and supervising subordinates.

Specific instructions as to how to complete the Academy are provided in the following guide.

You will be given the basic supplies (as described in the guide) and instructed as to how to complete assigned tasks. If there are any questions, please contact the Human Resources Manager or your Manager.

ROLES & RESPONSIBILITIES

ROLES & RESPONSIBILITIES

Candidate's Supervisor/Manager

- With the assistance of HR, oversees the candidate's performance in the Academy

- May serve as the instructor for certain blocks of instruction

- Monitors the candidate's progress

    o Meets at least monthly with the candidate (may be more frequently if necessary)

- Maintains a working record/file

- May be called upon to assist with the development of curriculum, mock situations, and, exams

- May be called upon to participate in mock sessions as an observer or participant

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ROLES & RESPONSIBILITIES

Human Resources

- With the assistance of the candidate's Supervisor/Manager, oversees the candidate/mentor relationship

- May serve as the instructor for certain blocks of instruction

- Monitors the candidate's progress

    o Meets at least quarterly with the manager/supervisor (may be more frequently if warranted)

- May be called upon to assist with the development of curriculum, mock situations, and, exams.

- May be called upon to participate in mock sessions as an observer or participant

- Serves as a mediator/facilitator

- Awards Certificate of Completion

ROLES & RESPONSIBILITIES

Instructor

- Instructors will be determined by the nature of the block of instruction and their potential experience/expertise.

- Provides curriculum development.

- Reviews the objective(s) of each coaching point with the candidate.

- Records all Academy activity on the summary/record.

- Assesses whether the candidate needs further development for each objective.

- Provides support as needed

- Schedules regular meetings with the candidate

- Review coursework

  o Provides an assessment of what was accomplished for each objective. This is the Instructor's chance to provide constructive criticism

- Schedules & facilitates practical exercises, quizzes and exams

- Scores quizzes, practical exercises and exams

  o Reviews results with candidate

  o Assigns remedial work as necessary

- Maintains a working record/file.

- Updates the candidate's supervisor on progress of the candidate.

ROLES & RESPONSIBILITIES

Candidate

- Commits to the Academy

    - Understands that course workload is in addition to job tasks

    - Accepts responsibility for completing coursework as well as job tasks

- Manages time wisely

- Completes and turns in assignments within time allotted

- Prepares for practical exercises & exams

- Maintains open communication with all involved

- Requests help when needed

MENTOR SELECTION

Voluntary Option

- Candidates will be given the voluntary option to select a mentor from the PRISM Management Team

- Must possess the skills & knowledge required either to provide the entire Academy of instruction or designated blocks based on the topic and the mentor candidate's experience or expertise

- Must be capable based on workload to effectively participate in the Academy

- Must be willing to accept the responsibility of the mentor position

- Mentor selection must be approved by candidate's manager and HR

COURSE BLOCKS

OBJECTIVE

This curriculum was designed to help the candidate master the basic concepts of management & employee supervision. Develop the tools/experience required to succeed and apply sound management/supervision principles.

Topics of Study	Objective
1 - Time Management (Charles)	• Managing time effectively is about prioritizing for one's self & for staff. Delegating, and working on outcomes, instead of just project-by-project (the so-called "firefighting" method of management). • Candidates must learn how to effectively manage the time, duties, and outcomes of their people as well. We'll discuss "time bandits" (e-mail, meetings, phone calls, sudden projects, etc.) and how to tame them. This segment offers tools for running better meetings and using to-do lists correctly.
2 - Effective Communication (Gina)	• Learn to employ the basic principles of effective communication.
3 - Relationship Building (Brian)	• Learn how effective communication strategies can help build strong working relationships. • Learn how to respond to requests; follow through & do what you say you'll do; listen without passing judgment; work out concerns with the source; communicate with respect; express appreciation when warranted; focus on issues, not personalities; when differences occur, work to understand from the other person's perspective; be direct & sincere; use humor in good taste.
4 - Conflict Resolution (Heather)	• Master ways to resolve conflict in the workplace. • Gain the knowledge to recognize causes of workplace conflict, how to facilitate resolution of conflict and how to manage the work relationships once the conflict has been resolved.

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Topics of Study	Objective
5 - Critical Thinking & Problem Solving (Gina)	• This segment provides tools for how to brainstorm effectively, alone or in meetings, how to think both divergently (the world of possibilities) and convergently (getting to closure), and how to help your team think more creatively. We'll discuss ways to keep the idea killers out of your meetings and to solve problems in creative, cost-effective ways
6 - Public Speaking/Presentation (Mike P.)	• Develop the skills and confidence required to deliver effective presentations.
7 - Service Leadership (Tom)	• Leading employees is less about task accomplishment and more about getting them to take responsibility and have accountability for their outputs, interactions with each other, and service to the taxpayers. • The concept of Service Leadership focuses on six key success factors: Vision & Values, Direction, Persuasion, Support, Development, and Appreciation
8 - Transition (Charles) - Peer to Supervisor	• Learn the importance & effective way of establishing clear boundaries between the new supervisor and subordinates. • Understand the transition from employee to supervisor; from worker to manager; and from group member to team leader.
9 - Delegation & Decision Making (Rick)	• The higher they go in management, the less "technical" work they do and the more time they'll need to spend on delegating more effectively. • And, how to avoid common pitfalls.

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Topics of Study	Objective
10 - Team Building (Allison)	**"Team building"** is an on-going process that will help a work group evolve into a cohesive unit. • Candidates will learn key strategies on how to build an effective team; factors that can quickly break down a team and how to prevent that from happening. • Candidate will also learn the benefit of individual empowerment as a tool to strengthen the team.
11 - Change Management - Getting to "Yes" (Jen)	• Learn how to separate people from a problem. • Learn how to focus on interests, not positions. • Learn how to work together to create opinions that will satisfy both parties. • Negotiate successfully with people
12 - Project Management (Kenny)	• Learn how to effectively lead a project. • A project is a temporary group activity designed to produce a unique product, service or result. • It requires planning, organizing, motivating, and controlling resources to achieve specific goals.
13 - Making Meetings Matter (Nicole)	• Learn how to run an effective & efficient meeting
14 - Difficult Conversations (Allison)	• Effective communication combines a set of skills including non-verbal communication, attentive listening, the ability to manage stress in the moment, and the capacity to recognize and understand your own emotions and those of the person you're communicating with. • Learn how to "approach" a difficult conversation in a way that assures success. • Learn to understand the factors that make some interactions more uncomfortable then they should be. (continued on next page)

Topics of Study	Objective
14 - Difficult Conversations (Allison) (continued)	• Learn the basics of good interpersonal communication. • Learn how to set goals and priorities so that difficult conversations have positive outcomes. Learn how to properly and legally document your conversations.
15 – Hiring/Termination (Allison)	• Learn the basic principles of onboarding to include the PRISM recruiting process, interviewing, hiring, new employee onboarding and separation.
16 - Coaching/Counseling - Constructive Counseling (Allison)	• Coaching, is a teaching, training or development process via which an individual is supported while achieving a specific result or goal. • Differentiate between feedback & coaching. • Recognize the importance of coaching. • Recognize when to provide effective coaching. • Prepare to coach.
17 - Performance Management (Allison)	• Candidate shall become familiar with the PRISM's step-by-step progressive discipline model and be able to determine when it should be administered. • Learn how to effectively write a performance review and a performance improvement plan.
18 - Leaves & Absences (Allison)	• Review the key leave laws applicable to California employers, including HIPAA, the DFEH's Pregnancy Disability Leave and disability regulations, the ADA/Fair Employment and Housing Act, the FMLA/CFRA, and the "miscellaneous" leave provisions, such as jury duty, rehabilitation leave, bereavement, time off for school activities and others. • In addition, we will explore the interplay between leave laws and the duty to reasonably accommodate applicants and employees with disabilities.

ACTIVITY SUMMARY

COACHING RECORD

ACTIVITY SUMMARY COACHING RECORD

- To be completed by the Instructors and Mentors.

- These forms are working documents and should track the Candidate's progress throughout the Academy (start to finish).

CANDIDATE ACTIVITY SUMMARY

Candidate: _____   Subject: _____

Instructor: _____   Date: _____

Instructor Section
Objectives:
Performance Assessment:
Comments:

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Date	Instructor Notes/Record of Conference (Initial all entries)

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PRACTICAL EXERCISE ASSIGNMENTS
(May be used in lieu of using the Activity Summary Form)

PRACTICAL EXERCISE ASSIGNMENT & RECORD

Candidate: _____   Department: _____

Instructor: _____   Date: _____

PUBLIC SPEAKING/PRESENTATION SKILLS

Candidate Activity			
Project/Training	**Completion Date**	**Instructor Comments**	**Instructor Initials**

Practical Exercise(s)	**Completion Date**	**Instructor Comments**	**Instructor Initials**

SUMMARY/CONCLUSION

CONCLUSION

After the 24-month term core curriculum has been completed; or, the candidate is rendered ineligible to continue (whichever occurs first), all documentation related to the Academy will be turned over to HR.

Minimally, there should be:

- Original copies of all core work
- Copies of all worksheets
- Evaluations
- Counseling/coaching records
- Test score sheets
- And, a brief memo from the Mentor indicating that the mentor period has been successfully completed, if one is selected

An exit interview will be scheduled upon determination that the candidate has successfully completed the Academy. At this time, management should be prepared to recognize the candidate's achievement.

PRISM
Professional Development Form

Employee Name: Click here to enter text.   Date: Click here to enter a date.

Current Position: Click here to enter text.

Long Term Career Goals:

☐ Advancement – To What position: Click here to enter text.

☐Further development of current role

☐ Retirement - Estimated date: Click here to enter a date.

If further development, what can we do now to prepare you and your department for the growth (training, additional projects/assignments, are there areas in your current position that you can improve upon): Click here to enter text.

Plans for your successor: ☐ Internal Candidate   ☐ External Recruitment

If internal and the transition were to take place tomorrow, would you recommend your replacement be selected:

☐ Solely Internal Candidate
☐ Solely External Recruitment
☐ Both Internal and External Recruitment

If internal, potential successors:

Person / Position: Click here to enter text.