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TRAFFORD
COUNCIL

AGENDA PAPERS MARKED 'TO FOLLOW' FOR EMPLOYMENT COMMITTEE

Date: Monday, 5 September 2016

Time: 10.15 a.m.

(or at the later rising of the Joint Consultative Panel)

**Place: Committee Rooms 2 and 3, Trafford Town Hall,
Talbot Road, Stretford, M32 0TH**

A G E N D A	PART I	Pages
5. SUCCESSION PLANNING		
To receive a report of the Director of Human Resources.		1 - 20

THERESA GRANT
Chief Executive

Membership of the Committee

Councillors B. Rigby (Chairman), Mrs. P. Dixon (Vice-Chairman), J. Bennett, M. Cawdrey, N. Evans, C. Hynes and D. Jarman.

Further Information

For help, advice and information about this meeting please contact:

Chris Gaffey, Democratic and Scrutiny Officer

Tel: 0161 912 2019

Email: chris.gaffey@trafford.gov.uk

This agenda was issued on **Wednesday, 31 August 2016** by the Legal and Democratic Services Section, Trafford Council, Trafford Town Hall, Talbot Road, Stretford M32 0TH.

Employment Committee - Monday, 5 September 2016

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TRAFFORD COUNCIL

Report to: Employment Committee
Date: 5th September 2016
Report for: Approval
Report of: Director of HR

Report Title

Succession Planning

Summary

To address strategic risks regarding loss and/or absence of senior management capacity, a succession planning strategy has been developed that seeks to put in place a number of measures to mitigate these risks.

Recommendation(s)

Employment Committee is recommended to:

1. Agree the approach to succession planning.

Contact person for access to background papers and further information:

Name: Lisa Hooley
Extension: 4670

Background Papers:

Background Information

Relationship to Corporate Priorities	Improved morale and motivation in the workforce through the recognition of potential and offering development opportunities will contribute to all corporate priorities.
Financial	Succession planning development activities will be funded through the corporate training budget.
Legal Implications	None
Equality/Diversity Implications	Cognisance will be taken to ensure that equal access to succession and development is achieved.
Sustainability Implications	None

Staffing/E-Government/Asset Management Implications	As above in respect to improved morale and motivation.
Risk Management Implications	None
Health and Safety Implications	Contributes to the well-being agenda and recognises employee potential for personal development and growth.

1.0 Background

1.1 In recognition of the level of turnover at senior management level and the subsequent resourcing difficulties, it is considered that this situation is now posing a strategic risk to the Council.

1.2 The implementation of a succession planning strategy and approach will support in addressing this risk and provide a means of ensuring that critical services and activity are sustained when individuals leave the organisation.

1.3 This report details the benefits of implementing a succession planning strategy, together with the approach to identifying business critical posts at Corporate Director, Director and Heads of Service level and any specialist/technical posts that may fall outside of these levels where recruitment and retention issues are being experienced; and their potential successors. It also provides an update on current work in progress regarding talent management.

1.4 A suite of supporting documents is attached as Appendices. These provide further details on the process and are listed below.

Appendices

Appendix 1 Process Flow

Appendix 2 Guidance and Scoring Tool

Appendix 3 Skills Profile and Succession Personal Development Plan

2. Succession Planning Approach

2.1 In order to ensure that the Council is prepared with a plan to support service continuity, it is important to identify those posts that are deemed as business critical if the post holder were to leave or have an unexpected and lengthy absence.

2.2 Business critical posts are seen as those which are essential to service delivery, may present public safety risks, may be difficult to fill due to the specialist skill set required, and may be impacted by labour and skills shortages.

2.3 Following the identification of business critical posts, potential successors will be assessed based on the following criteria:

- **Performance** - their current level of performance and whether they are meeting / exceeding their performance goals and objectives set out in their current position and personal development review plan.
- **Readiness** – their ability to take on greater levels of responsibility in a higher level position or in a more complex role, based on demonstrative behavioural and technical competencies and being able to acquire the required level of

competence within a reasonable timeframe with development opportunities undertaken, and;

- **Willingness** – indicates the degree to which they are prepared and willing to assume the new role and the development requirements to support them to achieve this.

2.4 The business critical posts and their successors will be agreed by the Chief Executive, relevant Corporate Director and the Director of HR.

2.5 Successors, once identified, will complete a Skills Profile that captures their career and personal aspirations and enables them to highlight their key strengths and achievements and their skills, qualifications and experience. A succession personal development plan will capture those learning and development interventions required to address any gaps in specialist knowledge, skills and experience.

2.6 The application of such an approach enables the identification of a continuing supply of qualified and motivated people, who are prepared to take over when current senior staff and other key employees leave the organisation. It also demonstrates that the Council is willing to invest in its people and provides opportunities and support for progression, giving a clear message that staff are valuable; which ultimately contributes to improved morale and motivation.

2.7 As a minimum, all successors will have access to a coach and the opportunity to gain valuable feedback on their performance through 360 degree appraisal and we are currently exploring options with our learning partners North West Employers' organisation to put this in place.

3. Resourcing the Succession Plan

3.1 At the point a business critical post at Head of Service level and below is vacated and it is determined that an appointment should be made to the post, an internal panel made up of the relevant Service Director, Director of HR and another, relevant panel member will undertake ring-fenced interviews focusing on the individuals' development plans and progression.

3.2 Decisions in respect to appointments at Corporate Director/Director level will remain subject to a Member Panel and an internal ring-fence interview process will take place if a successor is identified.

3.3 At the point the succession plan is deployed, further successors may need to be identified to ensure there is sufficient internal capacity to react to further resourcing requirements.

4. Current Talent Management Initiatives

4.1 There are some initiatives already being put in place to support our future leaders and develop our internal talent.

4.2 There are six employees attending the Emerging Leaders Programme through North West Employers Organisation, which is an accelerated learning opportunity over an eight-month period for talented Middle Managers who have the potential to be the

senior leaders of the future. Coaches will be provided through the North West Employers' Coaching Network.

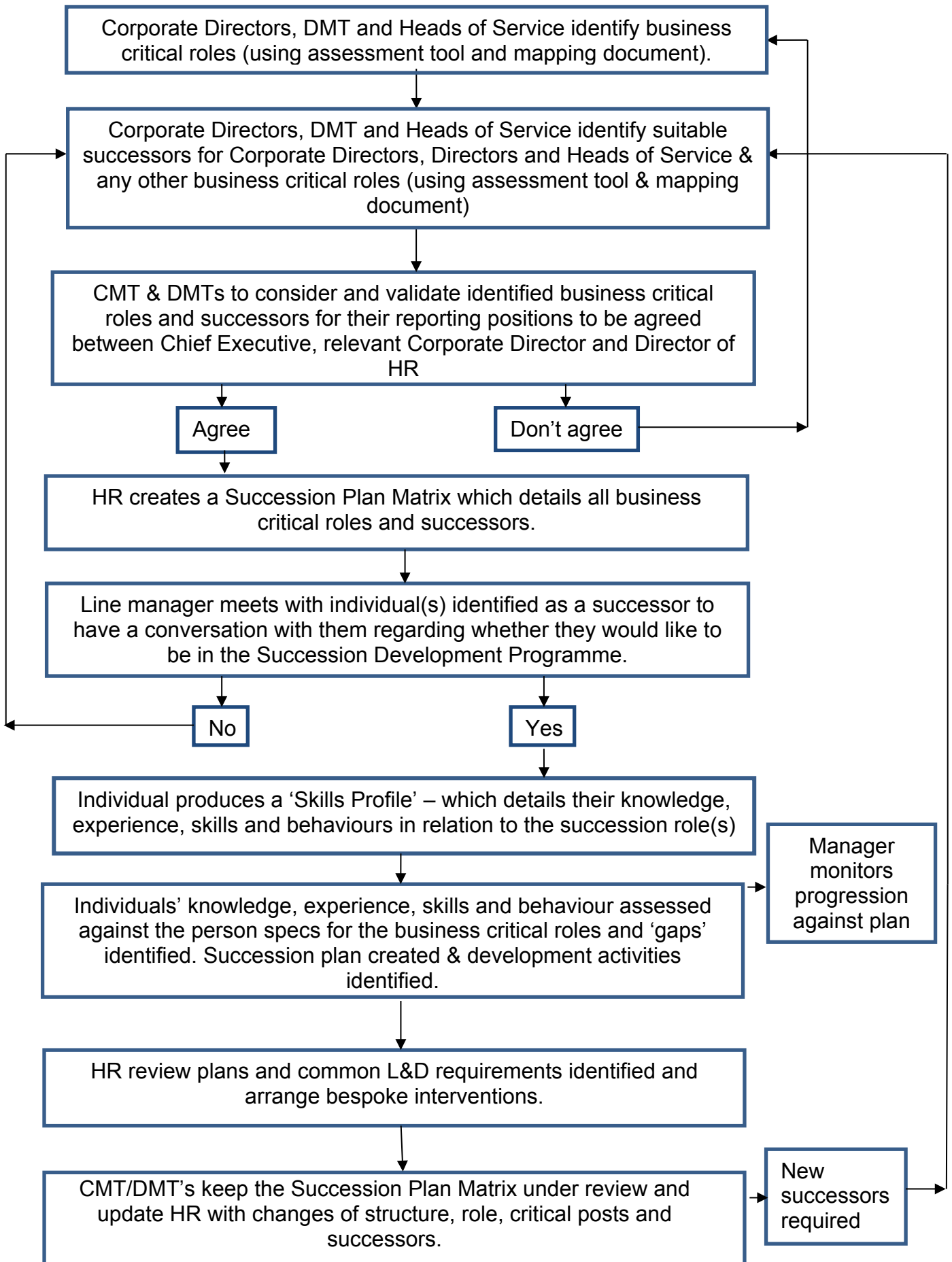
4.3 Two of our HR staff are attending the Aspire HR Business Partner course, which is a collaborative programme with West Midlands Employers, the LGA and CIPD to enhance business skills to challenge and influence organisational direction and drive culture change.

4.4 4 delegates from across all Directorates recently attended a one day programme - 'Leading from the Edge', which is part of the GM leadership Programme and facilitated by Dr Helen Bevan, Lead Transformation officer at NHS Improving Quality.

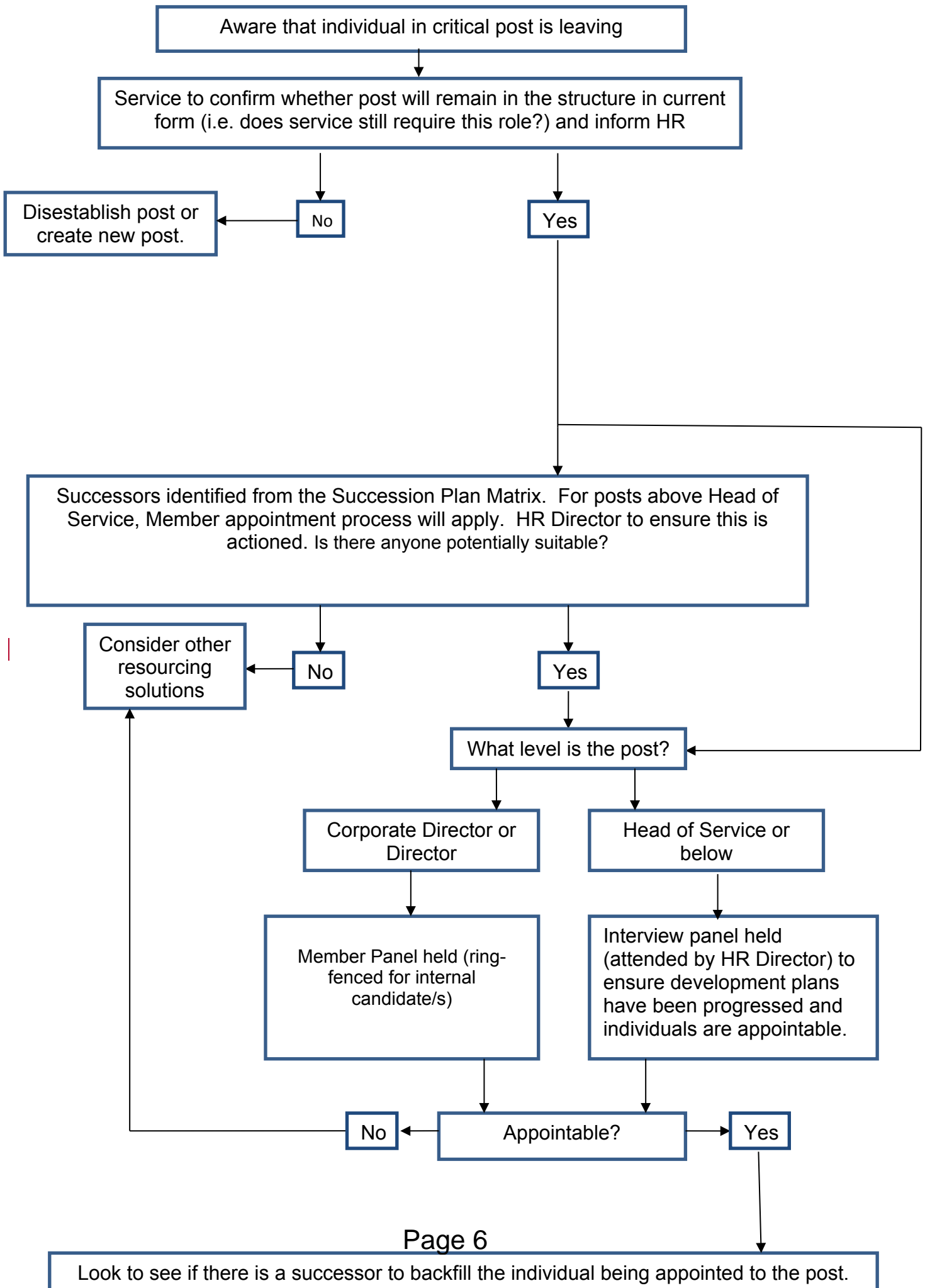
5 Conclusion and Recommendation

5.1 In applying a succession planning approach, the Council is giving a commitment to developing career paths in respect to business critical roles, which will support our ability to recruit and retain high-performing individuals

Employment Committee is recommended to agree the approach to succession planning.



Implementing the Succession Plan



The following guidance and suite of documents will assist Managers in identifying the business critical posts for inclusion in the Succession Planning programme. An assessment process and scoring guide is also included to assist with decision making for the inclusion of posts and successors.

A process flow document sets out the roles of CMT and DMT, Managers and the HR service so there is a degree of clarity for how the process will work and respective responsibilities.

1. Business Critical Posts: Assessment Process

There are a number of questions to consider, detailed below, that will assist managers to identify those posts that are necessary for the continuation of essential services. The latest establishment reports can be used to inform thinking on which posts are deemed to be essential to maintaining services. An assessment tool is detailed at the end of this document with a scoring guide (0-5) to assist with this process. The results can then be fed into a mapping document, which mirrors the questions and is also appended with this guide.

1. If this position were left vacant, it would cause serious difficulties in delivering on commitments and corporate priorities and achieving operational and strategic goals at department level.
2. If this position were left vacant, it would cause serious difficulties in meeting legislative or regulatory requirements.
3. If this position were left vacant, it would be detrimental to the health, safety or security of the public.
4. The skills and competencies required to perform this position are highly sought after in the labour market.
5. This position tends to have a high turnover rate.
6. There is a significant likelihood that the incumbent will leave this position within the next 2-3 years.
7. This position would be difficult to fill because it requires specialised expertise and experience that is not readily available in the organisation or the labour market.
8. This position requires a high degree of specialised/corporate knowledge transfer to ensure continuity in the performance of the function.

2. Identifying Successors: Assessment Process

In addition to identifying those business critical posts using the methodology outlined above, potential successors need to be identified and the following areas are suggested for appraisal.

1. **Performance** – refers to the employee's current level of performance and whether they are meeting / exceeding their performance goals and objectives set out in their current position and personal development plan.

2. **Readiness** – reflects an employee’s ability to take on greater levels of responsibility in a higher level position or in a more complex role, based on demonstrative behavioural and technical competencies assuming reasonable opportunities for development are available.
3. **Willingness** – indicates the degree to which the employee has expressed an interest in & is prepared and willing to assume a new role as well as the council’s capacity to accommodate this.

3. Succession plan: Skills Profile

Successors, once identified, will be asked to complete a ‘Skills Profile’ document that captures their career and personal aspirations. The profile will tell us more about them, identifying current skills, knowledge, qualifications and experience.

The skills profile comprises of two main elements.

1. Personal Statement – this provides an opportunity for successors to highlight key strengths and achievements.
2. Baseline – this provides information on career history, skills, qualifications and experience.
3. Succession Development plan - this will be used to identify and record any gaps in specialist or technical knowledge, skills and experience that may require learning & development interventions.

The skills profile is the tool that will identify any gaps in specialist or technical knowledge, skills and experience that may require learning and development intervention to ensure that we have the right skills and competencies to support their succession plan.

4. Mapping Document

Once posts and successors have been identified, the **succession planning mapping document** can be completed to capture the information and inform the validation of the decision making process.

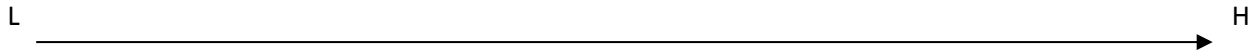
Once CMT and DMT have validated the successors and these have been agreed with the Chief Executive, relevant Corporate Director and the Director of HR, the information can be submitted to HR, so that a co-ordinated approach can be applied to the deployment of succession plans and commissioning of generic learning and development opportunities for successors.

TOOL FOR IDENTIFYING CRITICAL POSTS

Please indicate the extent to which you agree with the following statements using the 0-5 scale, where 5 means you strongly agree.	Strongly disagree	Disagree	Disagree Somewhat	Agree Somewhat	Agree	Strongly agree
<p><u>Essential to service delivery</u></p> <p>1. If this position were left vacant, it would cause serious difficulties in delivering on commitments and corporate priorities and achieving operational and strategic goals.</p>	0	1	2	3	4	5
<p>2. If this position were left vacant, it would cause serious difficulties in meeting legislative, statutory/mandatory or regulatory requirements.</p>	0	1	2	3	4	5
<p><u>Public Safety</u></p> <p>3. If this position were left vacant, it would be detrimental to the health, safety or security of the public.</p>	0	1	2	3	4	5
<p><u>Labour shortage</u></p> <p>4. The skills and competencies required to perform this position are highly sought after in the labour market.</p>	0	1	2	3	4	5
<p>5. This position tends to have a high turnover rate.</p>	0	1	2	3	4	5
<p><u>Likelihood of leaving</u></p>						
<p>6. There is a significant likelihood that the incumbent will leave this position within the next 2-3 years.</p>	0	1	2	3	4	5
<p><u>Difficult to fill</u></p> <p>7. This position would be difficult to fill because it requires specialised expertise and experience that is not readily available in the organisation or the labour market.</p>	0	1	2	3	4	5
<p>8. This position requires a high degree of specialised/corporate knowledge transfer to ensure continuity in the performance of the function.</p>	0	1	2	3	4	5
<p>Criticality score</p>	0	1-8	9-16	17-24	25-32	33-40

Criticality

H	Scores	
	33-40	Red
	25-32	Orange
	17-24	Yellow
	9-16	Light Green
L	0-8	Light Green



Guidelines for prioritizing positions for succession planning

Red	Critical
Orange	Important
Yellow	Discretionary
Light Green	Not urgent

SUCCESSION PROGRAMME SKILLS PROFILE

Skills Profile

The aim of the Skills Profile is to:

- Provide you with an opportunity to tell us about you and your career aspirations.
- Identify your current skills, knowledge, qualifications and experience.
- Identify any development needs to ensure that you have the right skills and competencies to support your career development and career progression in line with our succession planning approach .

The skills profile comprises of three main elements.

- 1 **Personal Statement** – this provides an opportunity to 'sell yourself' and highlight your key strengths and achievements.
- 2 **Baseline** – this provides information on your career history, skills, qualifications and experience.
- 3 **Personal Development Plan**

To help you on your career journey we will use the information you provide in the Skills Profile to support your learning and development and get you 'job ready' for a future post identified in the Succession Development Programme.

Your Manager and the HR Workforce & Core Strategy Team are available to provide advice on completing your Skills Profile.

Employee Details	
Name:	
Current Job Title:	
Succession Job Title:	
Service:	
Directorate:	
Current Line Manager:	
Band:	
Working Hours:	

Personal Statement

Your personal statement provides an opportunity to tell us about yourself.

This should be a maximum of 1000 words and include what key information you most want us to know about you.

This could include any career aspirations, strengths, relevant skills and accomplishments. This may also include:

- Key things you are learning in your current role or any qualifications or development you are working towards.
- What you do in your spare time and how you've benefited from these activities e.g. School Governor.
- Why you are interested in a particular role or career.
- What challenges you've faced recently and how you've met those challenges.

Baseline: Experience (last 10 years)

Tell us about your work related experience over the last ten years, starting with your most recent role. You should tell us what your job role was, the name of the service or organisation and the key duties and tasks that you did in the role. Here we are looking for the headlines in bullet point form, not the detail.

Dates (from – to)	Employer /Service	Job Title	List of duties & key tasks (Bullet Points)

(Please include any additional rows)

Qualifications

Please include any formal qualifications you have achieved or currently undertaking, along with any other learning and development you have undertaken.

Education (Qualifications, Accreditation, Training etc.)

Technical Skills / Specialist Knowledge

Tell us about any technical skills that you have acquired as a result of the role that you are in or a previous role you have undertaken. Technical skills are the specialised skills and knowledge required to perform some of the specialist activities you undertake. They are sometimes referred to as 'work skills'. For example accounting, financial planning, market research, knowledge of a specific subject, procedures or equipment.

Competencies / Transferable Skills

Tell us about the competencies / transferable skills that you possess. There are general skills that are applicable in many different jobs and fields. They are your greatest asset as they can be transferred from one area of work to another. For example, IT/computer skills, customer service, collaborative working, communication, planning and organising, coordination, negotiation, writing and presentation skills etc.

Leadership Skills

Tell us about the leadership skills you have demonstrated in your current or previous roles. Leadership Skills are important regardless of whether you are in a supervisory/managerial role or not. We all benefit from feeling more confident in our abilities to take charge of tasks, responsibilities, projects, team processes, office work flow, goal setting, decision-making, and our own personal and career development.

Behaviours / Personal Attributes

Tell us about your personal growth skills. These are traits or personal characteristics that contribute to your performance of work. They often describe what you are like and how you would naturally go about doing things. For example efficient, flexible, resourceful, diplomatic, leadership style, results-oriented, etc. Developing these qualities may require learning skills in time management, assertiveness, or stress management. Or it may require overcoming self-defeating behaviours like procrastination.

Your **Performance Development Plan** (PDP) will be used to support and record your personal and professional development and your continued learning. It will be used to identify key achievable development objectives and the activities and milestones required and get you 'job ready for the future post identified in the Succession Planning Development Programme. The **development plan** will be central to any review or one to one meetings.

This guidance will help you to complete your Development Plan in conjunction with your line manager.

SUMMARY:

Development Objectives

Use this section to develop a set of development objectives to be achieved during the succession planning timeframe agreed with your manager. You may want to consider areas such as strategic leadership and management, service area, budgetary responsibility, knowledge and skills and personal approach and appropriate objectives from your most recent performance Development Review (PDR). These objectives should be designed to ensure you achieve the expected level of knowledge skills and behaviours required in the role.

The objectives should fit into the team, service and councils business plans and overall objectives for the future. All objectives within the Development Plan must be;

Specific –	what is it that is needed?
Measurable –	how will you know when the need has been met?
Achievable –	is it realistic within the given timeframe?
Relevant –	how will it directly achieve the objective?
Time-bound –	when will it be done?

An example of a SMART objective would be 'Meet with Heads of Service to understand their budget and financial needs and expectations within 6 months from xxx (date)'

An example of an UNSMART objective would be 'I will gain a better understanding of my service area'

Development objectives should be linked the future role identified in the Succession Planning Development Programme including Trafford's values.

You should endeavour to agree objectives that can be linked to Trafford's values. These values will help you to achieve the Councils aims and objectives. Further information on these values can be found using the link below;

Include LINK

Priority

Agree whether the achievement of the objective is a low, medium or high priority.

Support/ Activity or Resources

You should use this section to agree any support/activities or resources that may be required to achieve the objectives. Activities can constitute any learning or development intervention that will enable you to achieve your development objectives e.g. time off to attend relevant meetings, coaching, mentoring, conference or formal training, on-the-job training, work-shadowing, working on a specific project or spending time in another service or organisation.

Progress towards achieving my objectives

You should use this section to monitor the progress towards achieving your objectives, identifying what you have achieved so far in terms of your development and how this has and will positively benefit the organisation and yourself now and in the future.

Your progress should be monitored through regular one-to-ones and performance development reviews with your manager.

Agree date/s to review progress on your PDP and schedule these in your diaries. Assuming that you undergo the performance development review process annually, we recommend that you review your PDP every three months therefore enabling you to:

- Assess your progress
- Reflect on your learning
- Identify whether your development objectives need to be amended
- Identify factors that may have prevented you from achieving your development objectives
- Build in contingencies to enable you (where possible) to meet your agreed target date in the future

Target dates for achieving my objectives and Achievement Date

Agree a target date that is ambitious but also realistic and achievable followed by the date you actually achieve your objectives. Data in these columns is particularly useful when you review your PDP as it will enable you to identify any factors that may have prevented you from achieving your development objectives on the target date and build in contingencies to prevent this from occurring in the future.

Employee Comments

You should use this section to make any additional comments you may have about the objectives set.

Line Manager Comments

If the Line Manager has any additional comments about your Development Plan, they will make a note of them in this section.

Manager's signature

Please ensure the relevant Manager validates the succession plan.

Employee	Name:	Signature:
Current Job Title:	Succession Job Title:	
Covering Period	From:	To:
Line Manager	Name:	Signature:

	Development Objectives (Linked to future post, including reference to Trafford's Values & competencies)	Priority <i>Low/ Medium/ High</i>	Support/Activity & Resources required to achieve my objectives	Progress towards achieving objective	Target Date	Achievement Date
1						
2						
3						
4						

Employee Comments

Managers Comments