



Ontario Library Service – North
Service des bibliothèques de l'Ontario – Nord

Succession Planning Framework

A Phased Approach

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Introduction

This succession planning framework is in response to the action plan in the Strategic Plan 2002-2005, *“develop a process for succession planning to ensure staff roles are effectively filled as individuals with long-term service leave the organization.”* With the Strategic Plan’s focus on goals and actions to develop and sustain a strong organization that would effectively meet the needs of clients, staff, board and other stakeholders, a succession planning process is both necessary and critical.

This framework provides a phased approach for OLS - NORTH to establish a succession planning process that will eventually result in a dynamic, effective program for managing replacement, succession, leadership development, and career development. It is phased because developing, implementing and integrating the process into an organization takes time, commitment and everyone’s engagement – Board, management and staff. In addition, the process must be directly aligned with OLS - NORTH’s strategies.

This document outlines Phase 1, to be implemented in 2004, in detail, and a draft of Phase 2. Phase 1 will focus on replacement planning for management; Phase 2 will focus on leadership and career development for the entire organization. It will be explored in more depth following the development of the strategic plan for 2005-2008.

Background

Good management in all organizational areas is to be proactive – plan for contingencies – manage risks – and focus on the future while regularly glancing around for potential disruptions and acceleration points. Succession planning is good management. It is a proactive management process to ensure

“the continued effective performance of an organization or workgroup by making provision for the development and replacement of key people over time.”¹

Put simply, the goal of a succession planning process is to have the right people in the right places at the right times.

The guiding principles which will make the framework effective and valid for all those involved are:

¹ ROTHWELL, EFFECTIVE SUCCESSION PLANNING, 2ND ED.

- Board and senior management's full participation and support in the development, implementation and evolution of the program
- Management's accountability for ensuring the program is underway in all units; this accountability must be reflected in the responsibilities of all managers
- Open communication of the plan with all employees; employees and managers must feel comfortable discussing the career goals and the steps needed to realize these
- Management and employees' focus on types of roles rather than specific positions since positions tend to change quickly in today's shifting environment

Framework Overview

The framework is based on the premise that succession management begins with replacement planning for senior management and evolves to leadership development and career planning for all employees.

Phase 1 will focus on:

- Replacement Planning: CEO and Management Positions

Phase 2 will focus on:

- Leadership and Career Development for OLS - NORTH

Phase 1:

Implement Replacement Plans for CEO and Management Positions

Replacement Plans: CEO and Management Positions

The objective of the replacement plans is to ensure that in the event **that a senior position becomes vacant**:

1. the vacancy can be filled successfully as quickly as possible, and,
2. during the interim, there is minimal disruption to the organization's management and business.

These are near-term plans to be used until Phase 2 has been implemented and is operational. The plans are based on the assumption that internal successors for the CEO and Management positions have not been identified, developed and prepared to assume these roles.

Since Phase 2 will address leadership and career development to develop internal talent, the replacement plans will need to be reviewed once Phase 2 is fully operational.

Replacement Plan for the CEO Position

The success of this replacement plan depends on four factors being in place:

Senior Management Team Approach

The CEO and Managers must work collaboratively as a team; the number of issues or activities on which the CEO is working alone or in confidence, without the knowledge of at least one member of the senior management team must be very limited. This minimizes the potential for the organization to be compromised by an issue following the CEO's departure. It also enables the senior management team to work collaboratively and, in as much as possible, cover off the CEO's essential duties until a new incumbent is in place.

CEO and Board Chair Collaboration

The CEO, Board Chair and Executive Committee must communicate regularly on specific issues, and, within the governance guidelines, collaborate on OLS - NORTH issues management. Similar to the need for the senior managers to work as a team with the CEO, it is critical that the Board Chair and Executive Committee are aware of any CEO-level initiatives or issues. Again, this will minimize unknowns for the organization and enable the organization to proactively manage or defer items pending the placement of a new CEO.

Strategic Review of the CEO Role, Responsibilities & Competency Model

The CEO's priorities are driven by the strategic plan. In the same way that the Board regularly reviews the strategic plan's progress and relevance, it needs to review the CEO's role, responsibilities and competency model to ensure alignment and relevance. If this is conducted **regularly** it will minimize the review process of the CEO position should a vacancy arise.

Ongoing Promotion of OLS - NORTH to Provincial and National Library Communities

One of the issues faced by OLS - NORTH and many libraries in northern Ontario when replacing senior staff is the availability of local qualified

candidates. For OLS - NORTH, this issue is exacerbated because potential candidates located outside Ontario's north or First Nations' have limited awareness of both OLS - NORTH, its vision, services and clientele and of Sudbury, Thunder Bay and the communities served by OLS - NORTH. This hampers the recruitment process. To expedite recruiting, OLS - NORTH needs to create a pool of potential candidates by raising awareness of its direction, its work with client communities and its dynamic work environment to library communities within and beyond Ontario. Communication channels include articles in professional journals, speaking/exhibiting at conferences and library faculties, and continued participation in library associations and initiatives (such as SDC, Ontario Public Library, etc.). The more members of the library community know about OLS - NORTH, the more interested they will be in pursuing careers with the organization, before and during a replacement process. In addition, the CEO and managers need to take note of potential candidates and regularly network with them.

The critical success factors listed above must be underway. Once the CEO position is vacant however, specific steps need to be taken immediately. The incumbent CEO may or may not be involved in this plan depending on the actual situation.

The Board, in consultation with Management Team must establish how CEO duties will be managed during the interim. The CEO vacancy will be filled according to the NOLSB Selection Process for CEO.

The Competency Model for the CEO position:

ORGANIZATIONAL LEADER – Demonstrates superior leadership skills; Forward thinking, directing the organization’s strategic agenda and enlisting others to share in its realization.
AMBASSADOR – champions the organization to stakeholders, media and broader library community, building a broad base of support and dealing effectively with sensitive issues.
BOARD LIAISON – is attuned to current and emerging issues with potential organizational impact; and keeps the Board aware of such issue to enable sound business decisions
POLICY ADVISOR – recommends sound policies for the governance of the organization
LABOUR MANAGER – demonstrates a solid knowledge of personnel management issues in a unionized environment, managing effectively to a collective agreement with appropriate referral to relevant legislation
NEGOTIATOR –negotiates competitive collective agreements and supplier contracts which meet the needs of the organization
TEAM BUILDER – facilitates an organizational culture based on mutual trust, respect and team work
INNOVATOR – seeks and pursues opportunities that strengthen the organization, improve productivity, and/or enhance client service and creates an environment that encourages and rewards employees to do the same
COMMUNICATOR - conveys information and ideas in a manner and form appropriate for the intended audience.
FISCALLY RESPONSIBLE – manages the organization within budget allocation, making sound financial and business decisions
CLIENT FOCUSED –exhibits and encourages a client and service focus, ensuring that the organization’s offerings are consistent with client needs, client success and quality expectations
PROBLEM SOLVER/ DECISION MAKER - clearly defines and seeks solutions to issues and opportunities, carefully considering legal and organizational implications and risk management

ETHICAL – consistently demonstrates ethical decision-making with regards to all human resource, operational and strategic issues.

Replacement Plan for the Management Positions

The success of the replacement plan for the Manager relies to a great extent on the critical success factors listed above for replacing the CEO.

Senior Management Team Approach

The CEO and Managers must work collaboratively as a team; the number of issues or activities on which individual managers are working alone or in confidence, without the knowledge of at least one other member of the senior management team must be very limited. This minimizes the potential for the organization to be compromised by an issue following a manager's departure. It also enables the senior management team to work collaboratively and, in as much as possible, cover off a manager's essential duties until a new incumbent is in place.

Annual Strategic Review of Managers' Roles, Responsibilities & Competency Model

In the same way that the senior management team must regularly review the strategic plan's progress and relevancy, they also need to review their roles, responsibilities and competency model to ensure alignment and relevancy. If this is conducted annually it will minimize the review process of the manager position(s) should a vacancy arise.

Ongoing Promotion of OLS - NORTH to Provincial and National Library Communities

As is the case with recruiting a CEO, OLS - NORTH needs to create a pool of potential candidates by raising awareness of its direction, its work with client communities and its dynamic work environment to library communities within and beyond Ontario. Again, as was stated in the critical success factor for the CEO position, OLS - NORTH senior managers need to take note of potential candidates and regularly network with them.

The unique success factor for the manager replacement plan is:

Team Approach Within Their Units

The Managers must work collaboratively with their respective teams; with the exception of confidential issues, the Managers should be keeping their teams aware of the activities they are working on. Since the Management Team will know of the confidential issues, and the unit team will know of the other activities, few, if any, items will be overlooked if a Manager position is unexpectedly vacant.

Specific Steps in Replacing a Manager:

- CEO may make a temporary appointment to fill the vacancy until a permanent incumbent is recruited, or may reassign duties as appropriate
- CEO and senior management team review and, as necessary, revise manager's role, responsibilities and job description in light of the current strategic plan*, keeping the Board informed as required
- CEO reviews and, as necessary, revises Management Competency Model, qualifications, competencies and experiences for the position*
- CEO establishes level of involvement of other members of the management team in the selection process; a list of any potential candidates managers have met through their promotional activities with library communities should be given to the CEO
- CEO sets selection criteria, decision-making process and identifies/recruits/ screens potential candidates;
- The CEO and members of the management team, where appropriate, interview and select incumbent
- The CEO guides the orientation of the new manager, involving staff where appropriate.

The Competency Model for the Manager positions:

LEADER – shows superior leadership skills, motivating staff towards organizational vision and nurturing an effective team environment
TEAM BUILDER – leads and works effectively within team unionized environment, delegating, coaching and dealing appropriately with performance issues and adherence to the collective agreement
INNOVATOR - generates resourceful or creative approaches and solutions that improve productivity, and enhance client service and encourages team members to do the same
COMMUNICATOR - expresses information and ideas in a manner and form appropriate for the intended audience. exhibits appropriate discretion
KNOWLEDGE OF FUNCTIONAL AREA - demonstrates an appropriate level of skill and knowledge in the organization and specific unit being managed
SERVICE ORIENTED - focuses on the service implications of activities and decisions and accommodates accordingly
CLIENT FOCUSED –consistently models strong client relationship management skills, incorporating client input into service development and managing client expectations
PROJECT MANAGER - manages various projects simultaneously in an efficient and productive manner
PROBLEM SOLVER/ DECISION MAKER - clearly defines problems and decisions to be taken, and seeks win-win solutions
PERFORMANCE ORIENTED – is committed to meeting and exceeding performance measurement targets and enlists this spirit with the team; seeks feedback from clients, employees and colleagues to continuously improve processes and services.

Phase 2:

Implement Leadership and Career Development Programs for OLS - NORTH

The objective of the leadership and career development programs is to ensure OLS - NORTH is:

1. attracting, strengthening and retaining the people needed for management and other key positions
2. contributing to greater employee job satisfaction and fostering staff growth and development
3. helping prepare employees to fill vacancies that may occur within the organization
4. assisting employees in developing skills needed for the fulfillment of the employee's career goals
5. providing an effective basis for discussions between employees and managers about ways and means to implement career goals.

These are long-term plans to be rolled out in 2005 and regularly reviewed and revised to maintain their relevance.

Critical Success Factors for Leadership and Career Development Program:

- CEO and Managers must actively seek ways for employees to demonstrate their leadership skills and potential
- Managers may indicate their interest in the CEO position or another Management role
- Employees may indicate their interest in management roles
- A procedure must be in place to work with employees to clarify the type of role they are interested in pursuing, the skills they may require, and the opportunities available for developing and strengthening these skills
- The Leadership and Career Development Plan which follows this session must be in place for all employees, including managers
- The Leadership Development Template must be in place for all employees, interested in seeking management positions, and managers interested in developing and strengthening their skills

LEADERSHIP AND CAREER DEVELOPMENT PLAN

PURPOSE

THE LEADERSHIP AND CAREER DEVELOPMENT PLAN IS AN OPTIONAL PROCESS WHEREBY EMPLOYEES MAY BE ASSISTED IN FULFILLING THEIR CAREER GOALS AND ASPIRATIONS EITHER WITHIN OR OUTSIDE OF THE ORGANIZATION.

Goals and objectives

- TO FACILITATE DISCUSSIONS BETWEEN EMPLOYEES AND THEIR MANAGER ABOUT WAYS AND MEANS TO IMPLEMENT CAREER GOALS;
- TO PROVIDE A FRAMEWORK WITHIN WHICH THE EMPLOYER MAY ASSIST EMPLOYEES IN DEVELOPING SKILLS NEEDED FOR THE FULFILLMENT OF THE EMPLOYEE'S FUTURE CAREER ASPIRATIONS;
- TO CONTRIBUTE TO GREATER EMPLOYEE JOB SATISFACTION;
- TO HELP PREPARE EMPLOYEES TO FILL VACANCIES THAT MAY OCCUR WITHIN THE ORGANIZATION.

Roles and responsibilities of Employee

- TO COMPLETE THE CAREER PLANNING FORM;
- TO PREPARE TO DISCUSS THE COMPLETED CAREER PLANNING FORM WITH THEIR MANAGER.

Roles and responsibilities of Manager

- TO ASSIST EMPLOYEES TO FORMULATE REALISTIC AND ACHIEVABLE CAREER GOALS;
- TO ASSIST EMPLOYEES IN DEVELOPING SKILLS REQUIRED TO FULFILL THEIR CAREER PLAN WITHIN THE STRATEGIC CONTEXT OF THE ORGANIZATION.

CAREER DEVELOPMENT PLAN FORM

PURPOSE

THIS FORM HAS BEEN DESIGNED TO HELP EMPLOYEES TO IDENTIFY THEIR CAREER INTERESTS AND PERSONAL STRENGTHS AND LEARNING NEEDS.

STRUCTURE

THE FORM IS DIVIDED INTO THREE PARTS:

1. IDENTIFYING PERSONAL STRENGTHS
2. EVALUATING CAREER INTERESTS
3. MAKING CONCLUSIONS AND SUMMARIZING LEARNING NEEDS

EACH PART INCLUDES QUESTIONS THAT YOU SHOULD CONSIDER BY THINKING OF THEM BY YOURSELF AND BY DISCUSSING THEM WITH OTHER PEOPLE. THE QUESTIONS ARE DESIGNED TO HELP YOU DESCRIBE YOUR INTERESTS, CORE COMPETENCIES AND CAREER GOALS.

GETTING STARTED

THIS IS NOT A TIME-LIMITED TEST. THE QUESTIONS REQUIRE A THOUGHTFUL ANALYSIS OF THE ENTIRE FORM BEFORE ANSWERING ANY QUESTIONS. AFTER YOU HAVE FORMULATED YOUR ANSWERS TO THE QUESTIONS DISCUSS THEM WITH OTHER PEOPLE WHO KNOW YOUR WORK – THIS FEEDBACK IS VERY IMPORTANT. IT IS MOST IMPORTANT THAT YOU LEARN TO PERCEIVE YOUR COMPETENCIES FROM VARIOUS POINTS OF VIEW AND TO DESCRIBE YOUR ASPIRATIONS

AFTER THE FORM IS COMPLETED

ONCE YOU HAVE COMPLETED THE FORM, YOU CAN DISCUSS WITH YOUR MANAGER HOW YOUR INTERESTS AND STRENGTHS COULD BE USED IN FUTURE TASKS AND IN WHAT AREAS YOU NEED MORE TRAINING.

PART 1 – PERSONAL STRENGTHS

1. **WHAT SKILLS HAVE YOU ACQUIRED DURING YOUR WORK HISTORY?**

CONSIDER: WHAT CONCRETE SKILLS HAVE YOU ACQUIRED IN YOUR CAREER? WHAT KNOWLEDGE AREAS HAVE YOU BECOME FAMILIAR WITH? IN WHAT TASKS HAVE YOU GAINED SPECIAL COMPETENCE AND EXPERTISE? WHAT KIND OF SOCIAL SKILLS HAVE YOU OBTAINED?

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2. WHAT COMPETENCIES HAVE YOU OBTAINED THROUGH YOUR STUDIES?

CONSIDER: WHAT EDUCATION DO YOU HAVE? WHAT KNOWLEDGE AREAS HAVE YOU BECOME FAMILIAR WITH? HAVE YOU PRODUCED THESES OR EARNED DIPLOMAS IN CONNECTION WITH YOUR PROFESSIONAL AND THEORETICAL STUDIES – IN WHAT AREAS? HAVE YOU TAKEN ANY VOLUNTARY COURSES IN ADDITION TO YOUR BASIC STUDIES? WHAT INSTRUMENTAL COMPETENCIES (E.G. COMPUTER AND LANGUAGE SKILLS) HAVE YOU LEARNED BY YOUR STUDIES?

3. WHAT HAVE YOU LEARNED IN YOUR NON-WORK TIME THAT COULD BE APPLIED TO YOUR CURRENT POSITION OR TO YOUR FUTURE CAREER?

CONSIDER: WHAT CONCRETE KNOWLEDGE AND SKILLS HAVE YOU GAINED IN LEISURE TIME ACTIVITIES?

4. IN WHAT SITUATIONS HAVE YOU RECEIVED GOOD FEEDBACK?

CONSIDER: IN WHAT KIND OF PERFORMANCE SITUATIONS HAVE YOU BEEN PRAISED? IN WHAT KIND OF LEARNING SITUATIONS HAVE YOU BEEN PRAISED?

5. IN WHAT TASKS HAVE YOU BEEN SUCCESSFUL?

CONSIDER: WHAT CONCRETE TASKS CAN YOU SUCCESSFULLY COMPLETE? WHAT KINDS OF LEARNING TASKS ARE EASY FOR YOU?

PART 2 – CAREER INTERESTS

1. WHAT ASPECTS OF YOUR PRESENT WORK ARE THE MOST INTERESTING?

CONSIDER: WHAT SINGLE WORK TASKS ARE MOST PLEASURABLE FOR YOU? WHAT KNOWLEDGE AREAS MOTIVATE YOU THE MOST? WHAT TASKS AND KNOWLEDGE AREAS DO YOU VALUE THE MOST? WHAT PERSONAL STYLE OF WORKING DO YOU PREFER? WHAT KIND OF WORKING SURROUNDINGS DO YOU PREFER? WITH WHAT KIND OF PEOPLE DO YOU LIKE TO WORK?

2. WHAT OTHER TASKS AND KNOWLEDGE AREAS INTEREST YOU?

CONSIDER: WHAT TASKS AND KNOWLEDGE AREAS ARE NOT INCLUDED IN YOUR PRESENT JOB THAT INTEREST YOU?

3. IN WHAT DIRECTION WOULD YOU LIKE TO DEVELOP YOUR CAREER?

CONSIDER: WHAT CONCRETE SKILLS DO YOU WISH YOU COULD USE MORE IN YOUR JOB? WHAT PERSONALITY TRAITS WOULD YOU LIKE TO USE MORE? WHAT KNOWLEDGE AREAS ARE YOU INTERESTED IN? WHAT STYLES OF WORKING AND WORK SURROUNDINGS DO YOU PREFER? WHAT WOULD YOU LIKE TO STUDY?

4. IS THERE SOMETHING THAT PREVENTS YOU FROM PURSUING YOUR INTERESTS, SLOWS OR HINDERS YOUR CAREER DEVELOPMENT OR PREVENTS YOU FROM LEARNING NEW THINGS?

CONSIDER: ARE THERE SHORTCOMINGS IN YOUR EDUCATION THAT PREVENT YOU FROM BEING PROMOTED? DO YOU HAVE THE EDUCATION REQUIREMENTS FOR POSITIONS TO WHICH YOU WANT TO BE PROMOTED? DO YOU LACK WORK EXPERIENCE IN THOSE TASKS THAT YOU ARE INTERESTED IN? ARE YOU UNCERTAIN ABOUT

WHAT TO DO IN ORDER TO DEVELOP YOUR CAREER? DO YOU HESITATE TO TELL OTHERS WHAT YOU ARE INTERESTED IN?

5. WHAT WOULD YOU BE WILLING TO DO IN ORDER TO DEVELOP YOUR CAREER?

CONSIDER: HOW MOTIVATED ARE YOU TO LEARN NEW THINGS AT WORK OR THROUGH TRAINING? ARE YOU INTERESTED IN SHORT COURSES OR A LONG-TERM EDUCATIONAL PLAN?

PART 3 – CONCLUSIONS AND SUMMARY

TRY TO LIST THREE MAIN POINTS UNDER EACH OF THE FOLLOWING QUESTIONS.

1. WHAT KINDS OF TASKS DO YOU FIND ESPECIALLY MOTIVATING?
2. WHAT ARE YOUR CURRENT COMPETENCIES?
3. UNDER WHAT CONDITIONS DO YOU WORK BEST?
4. WHAT ARE YOUR MAIN LEARNING AND TRAINING NEEDS?

List some career goals or targets for yourself

Appendix

LEADERSHIP DEVELOPMENT TEMPLATE

EMPLOYEE:	DATE:
CURRENT POSITION:	POTENTIAL LEVEL:

ORGANIZATIONAL SKILLS REQUIRED	INTERPERSONAL SKILLS REQUIRED	FUNCTIONAL SKILLS REQUIRED

PREFERRED LEARNING STYLE OR DEVELOPMENT EXPERIENCE	OPPORTUNITY TO PROVIDE THIS LEARNING OR EXPERIENCE	SPECIFIC TIMING/DATE	RESULTS