











# Pivotal Roles Assessment

## Tool 1C

<b>Employee Name:</b>	<b>Department:</b>	<b>Date:</b>
<b>Position Title:</b>	<b>Division:</b>	<b>Manager:</b>

<b>Please indicate the extent to which you agree with the following statements.</b>	
1. This role is essential to organizational success for reaching goals and producing results.	
2. This role directly impacts the organization's critical relationships.	
3. The loss of a person in this role presents significant risk to the organization.	
4. It would be difficult to delegate the duties assigned to this role.	
5. The skills & competencies required to perform this position are highly sought after in the labor market.	
6. There is no internal pool for this position of qualified candidates who could step if it becomes vacant.	
7. This position tends to have a high turnover rate.	
8. This position would be difficult to fill because it requires highly specialized expertise.	
9. It would take a long time for a new hire to become fully functional in this position.	
10. This position leverages long-term partner relationships.	
<b>Total:</b>	

**Strongly Disagree: 0**  
**Disagree: 1**  
**Disagree Somewhat: 2**  
**Agree Somewhat: 3**  
**Agree: 4**  
**Strongly Agree: 5**

<b>HIGH</b>	<b>Vital</b> Mandatory Succession Plan	<b>41-50</b>
	<b>Significant</b> Succession Plan Strongly Recommended	<b>21-40</b>
	<b>Fundamental</b> General succession plans as needed	<b>11-20</b>
<b>LOW</b>	No urgent need for succession plan	<b>0-10</b>

A Critical Role significantly impacts the overall essential needs of the organization.

A Critical Role may include hierarchical level, specialized knowledge, skills and abilities, external relationships, strategic change initiatives and leadership roles.

Source: University of Virginia

### Manager Comments:

# Succession Planning 1 — 2 — 3 for Senior Executives and Pivotal Positions

## STEP 2

### IDENTIFYING POTENTIAL CANDIDATES

#### Short Term Tool 2 Back Up / Interim

- Identify who **has been trained** to perform their duties and most critical tasks in the short term. Can be multiple people.
- Identify who **could be trained**. (Step 3)

#### Long Term Tool 2 Potential Replacement

- Identify who **has been developed** to fill this role: duties, relationships, expectations, exposure, etc.? Can be multiple people.
- Identify who **could be recruited and developed**. (Step 3)

The **Vacancy of Pivotal Position Plan** facilitates assessment of risk, and development of mitigation strategies, for key positions.

**Best practice** for discussions and reflection around key positions, organizational structure and the readiness of potential replacements.

Refer to policy HR 2.00 for post-retirement employment options.

Building our talent pool: over 1,800 LEAD graduates and over 200 graduates in our leadership development programs The Pipeline for Academy Leaders (PAL) and the Emerging Leader Program (ELP)

Use the referenced tools, and the table below, to record the individuals selected as candidates for succession:

**Short-Term Backup – Internal Candidate:** Consider who could provide immediate, short-term backup for a position vacated unexpectedly. If there is not one single individual, consider how you could divide the duties temporarily. Do not limit yourself to those individuals in your immediate area. Consider others across the organization in a role with similar skills and duties.

**Long-Term Fill – Internal Candidate:** Consider high potential employees who are now, or may develop into strong candidates who could compete for the position through the search and selection process. Consider those who have demonstrated an interest in promotion, not fully challenged in their current position, and/or are serving in f

Long-Term skills or kno

PART 3 – Designate Trained Back-ups and Top Assessed Succession Candidates

REFLECT If the current support for developing the organization

PART 4 – Create Individual Development Plans (IDP) Utilize: Tool 4

Part 5 – Evaluate

PREPARE Develop pic

Signature

Form SP2

**VACANCY OF PIVOTAL POSITION PLAN**

Use this form to facilitate assessment of risk, and development of mitigation strategies, for key positions.

Division/ College

Planner

Pivotal Position Title Name of Incumbent Today's Date

Specialized knowledge, skills and abilities (KSA):

How would vacancy affect the area in terms of operations and leadership (critical functions, relationships, future trends, opportunities, challenges, vision and goals)?

Anticipated date or timeframe of departure: (consider retirement eligibility, desire for transfer, etc.) and note reason:  Within the year  3-5 years  2-3 years  5-10 years Date of departure, if known

How long would it take to recruit for or replace this position?

How long would it take a qualified replacement to become fully functional?

How much critical institutional knowledge becomes unavailable with this departure? Does a procedure or operational guide exist or need developing for this position? If so, please note your plan to accomplish.

REFLECT Does this position need to be refilled/replaced as it currently exists or does this impending departure present an opportunity to restructure the position (PO), department or division to better meet the long-term vision and strategic goals for this area and the university? Please consider future operations and leadership needs.

Brainstorm individuals, internally and externally, who may have the potential, below or on Tool 5:

Use the following succession planning tools to assess the readiness of your selected individuals. To avoid bias, work with members of your management team whenever possible to complete your assessments.

1) Leadership Performance and Potential Assessment: Answer "yes" or "no" to questions and "score" your individual employees in the areas of Leadership Performance and Leadership Potential. (Tool 3A)

2) 9-Box Model: After scoring each individual, plot your results on the 9-Box Model for a bigger picture view of the readiness of each person. Review the traits to ensure you have accurately positioned each individual. Note what you, or their manager, should provide each individual to prepare them for a future role. (Tool 3B)

Employees identified as candidates for THIS VACANCY move to Part 3.

REFLECT Reflect on career planning conversations with your staff and other potential candidates across the organization.

Form SP2

VACANCY OF PIVOTAL POSITION PLAN | USC-HR Succession Planning Tool 2 | Rev 03.2017

# VACANCY OF PIVOTAL POSITION PLAN

Use this form to facilitate assessment of risk, and development of mitigation strategies, for key positions.

<b>Division/ College</b>	<b>Planner</b>	
<b>PART 1 Identify Pivotal Positions and Time to Departure</b>	<b>Pivotal Position Title</b>	<b>Name of Incumbent</b>
	<b>Today's Date</b>	
	Specialized knowledge, skills and abilities (KSA):	
	How will vacancy affect the area in terms of operations and leadership (critical functions, relationships, future trends, opportunities, challenges, vision and goals)?	
	Anticipated date or timeframe of departure: (consider retirement eligibility, desire for transfer, etc.) and note reason:	<input type="checkbox"/> Within the year <input type="checkbox"/> 3-5 years <input type="checkbox"/> 2-3 years <input type="checkbox"/> 5-10 years
	How long will it take to recruit for or replace this position?	<b>Date of departure, if known</b>
	How long will it take a qualified replacement to become fully functional?	
How much critical institutional knowledge becomes unavailable with this departure? Does a procedure or operational guide exist or need developing for this position? If so, please note your plan to accomplish.		
<b>REFLECT</b>	<i>Does this position need to be refilled/replaced as it currently exists or does this impending departure present an opportunity to restructure the position (PD), department or division to better meet the long-term vision and strategic goals for this area and the university? Please consider future operations and leadership needs.</i>	
<b>PART 2 Identify Potential Succession Candidates</b> <i>Utilize: Tools 3A and 3B</i>	<b>Brainstorm individuals, internally and externally, who <u>may</u> have the potential, below or on Tool 5:</b>	
<b>Use the following succession planning tools to <u>assess the readiness</u> of your selected individuals. To avoid bias, work with members of your management team whenever possible to complete your assessments.</b>		
1.) <b>Leadership Performance and Potential Assessment:</b> Answer "yes" or "no" to questions and "score" your individual employees in the areas of Leadership Performance and Leadership Potential. (Tool 3A)		
2.) <b>9 Box-Model:</b> After scoring each individual, plot your results on the 9-Box Model for a bigger picture view of the readiness of each person. Review the traits to ensure you have accurately positioned each individual. Note what you, or their manager, should provide each individual to prepare them for a future role. (Tool 3B)		
Employees identified as candidates for THIS VACANCY move to Part 3.		
<b>REFLECT</b>	<i>Reflect on career planning conversations with your staff and other potential candidates across the organization.</i>	



# Succession Planning 1 — 2 — 3 for Senior Executives and Pivotal Positions

STEP  
3

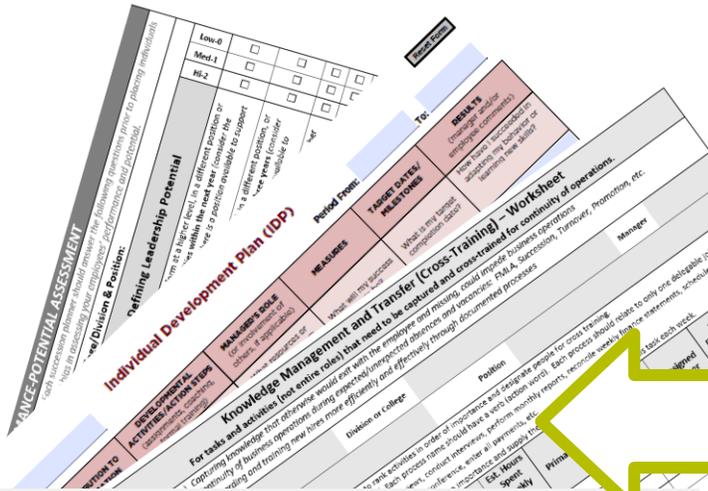
## ASSESSING & DEVELOPING POTENTIAL CANDIDATES

### Identify & Assess

- 9-Box Assessment
- 9-Box Model
- Potential Talent Pool Worksheet

### Develop

- Individual Development Plan (IDP)
- Cross Training and Knowledge Management Worksheet



The **Office of Organizational and Professional Development** is available to assist you with developing your succession plans.

They have provided multiple **tools** to spark *impartial* discussions, reflection and thoughtful assessment during this process. In addition, roadmaps to cross train and develop your potential candidates.

Please contact Nathan Strong (7-3508) or Kim Pruitt (7-3529) to set schedule an appointment.

Ongoing career development conversations, planning and exposure are critical to the development of our existing and future high potential successors.

Leadership Performance - Ability	High/Outstanding (6-10) Exceeds Expectations	Medium/Good (4-7) Meets Expectations	Low (0-3) Needs Improvement
<b>Solid Performer, Trusted, High Professional</b> <i>High Performance/Low Potential</i> Traits: accomplishes all important work, seen as a technical leader, a subject matter expert (SME) and a resource for others, has reached their potential, good fit in their role. Goal(s): retention, capture/document their knowledge, use as a lead or trainer for others Provide: recognition, continue developing them in their area	<b>Strong Performer, Current Star</b> <i>High Performance/Moderate Potential</i> Traits: accomplishes all important work, acts as a leader and role model, may exhibit capability and competencies beyond current role, leadership development still necessary in some areas, tactical focus Goal(s): engage and develop for next level up Provide: a career progression conversation and opportunities for them to display leadership in their current role; job engagement, special project, lead a team; may need lateral transfer if existing manager unable to provide leadership development and opportunities	<b>Future Leader, Star Performer - Ready</b> <i>High Performance/High Potential</i> Traits: accomplishes all important work, exhibits capability and competencies beyond current role, excels at relationship building and has wide-spread influence beyond current role Goal(s): retention, prepare and utilize for succession Provide: a career progression conversation, accelerated leadership development to include stretch assignments, recognize and reward their efforts	
<b>Questionable Performer, Effective, Grinders</b> <i>Moderate Performance/Low Potential</i> Traits: accomplishes most important things, is not viewed as a leader in their area, proficient in their current role Goal(s): help employees be successful in their current role; coach to improve their performance; may be a candidate for a lateral move Provide: training and development, coaching, recognize their improvement efforts	<b>Solid Performer, Key Player, Core Employee</b> <i>Moderate Performance/Moderate Potential</i> Traits: accomplishes most important things; displays some executive competencies, leadership and ability as a role model Goal(s): retain in current role and continue development for future potential; may be considered for job engagement Provide: more time and development	<b>Strong Performer, Emerging Leader</b> <i>Moderate Performance/High Potential</i> Traits: accomplishes most important things; acknowledged as a leader and role model displaying executive competencies; displays capability one level above current role; strategic focus Goal(s): prepare and develop for promotion Provide: coaching and feedback to improve performance, identify career goals and support with a development plan and opportunities to learn and grow (team, project)	
<b>Under/Low Performer, Icebergs, Talent Risk</b> <i>Low Performance/Low Potential</i> Traits: not accomplishing most important things, not meeting the standards of their current role; not capable of making higher contributions Goal(s): help them be successful in their role or move them to a more appropriate position (laterally or demotion) or consider an exit plan Provide: diagnose causes (bad hire, lack of information, competencies & skills) and provide coaching, feedback, performance plan or exit	<b>Questionable Performer, Inconsistent</b> <i>Low Performance/Moderate Potential</i> Traits: not accomplishing most important things; capable of making higher contributions Goal(s): determine what is lacking for success in current role and focus on improving performance; likely to have range to move up one level/challenge Provide: Provide coaching, training and development and frequent and specific feedback; recognize efforts	<b>Solid Performer, Enigmas, Rough Diamonds</b> <i>Low Performance/High Potential</i> Traits: not accomplishing most important things, displays executive competencies and acknowledged as a team player and role model Goal: determine and address the root cause(s) of their performance problems to maximize their potential, worthy of development Provide: diagnostic conversation to identify any frustrations and necessary interventions; job fit, manager fit, career aspirations; develop in needed areas	

## PERFORMANCE-POTENTIAL ASSESSMENT

Worksheet for populating the Performance and Potential 9-Box Grid: *Each succession planner should answer the following questions prior to placing individuals on the 9-Box to ensure consistency and remove any bias in assessing your employees' performance and potential.*

Employee Name:			College/Division & Position:			
Defining Leadership Performance	Yes	No	Defining Leadership Potential	Hi-2	Med-1	Low-0
1. Is self-motivated and results-focused with a solid history of high job performance and goal achievement	<input type="checkbox"/>	<input type="checkbox"/>	1. Could the employee perform at a higher level, in a different position or take on increased responsibilities <b>within the next year</b> ( <i>consider the person's ability only, not whether there is a position available to support this growth</i> )?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Respectfully challenges the status quo, displaying creativity, innovation and progressive thinking; is open, and easily adapts to, new processes, perspectives and changes in business processes and practices, even when generated by others	<input type="checkbox"/>	<input type="checkbox"/>	2. Could the employee perform at a higher level, in a different position, or take on increased responsibilities <b>within the next three years</b> ( <i>consider the person's ability only, not whether there is a position available to support this growth</i> )?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is effective in resolving interpersonal conflict; displays an ability to stay focused on the situation and negotiate effective solutions.	<input type="checkbox"/>	<input type="checkbox"/>	3. Can you envision this employee performing <b>two levels</b> above his or her current position in the <b>next five to six years</b> ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Displays excellent verbal and written communication skills by delivering clear, concise and convincing messages	<input type="checkbox"/>	<input type="checkbox"/>	4. Is the organization likely to value growth of the skills and competencies of this employee over the next several years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. High standard of personal conduct: honest, trustworthy, accountable for their actions/responsibilities, and delivers on their promises	<input type="checkbox"/>	<input type="checkbox"/>	5. Could the employee learn the additional skills and competencies he or she needs to be able to perform at a higher or different level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Builds strong, positive relationships that create success for themselves and those around them; effective at mobilizing resources to respond to problems and opportunities as they arise	<input type="checkbox"/>	<input type="checkbox"/>	6. Does the employee demonstrate leadership ability—by showing initiative and vision, delivering on promised results, communicating effectively, and taking appropriate risks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Has a positive attitude, is inspiring and inclusive; collaborates and communicates respectfully and exemplifies a selfless, team-approach in accomplishing our mission	<input type="checkbox"/>	<input type="checkbox"/>	7. Does the employee display an ability to interact comfortably with people at a higher level or in different areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Thinks strategically-understands and pursues opportunities that fit with broader strategy; applies good judgment in problem analysis and critical thinking	<input type="checkbox"/>	<input type="checkbox"/>	8. Does the employee demonstrate comfort with a broader organization perspective than his or her job currently requires?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Eager to learn and grow, actively seeks personal development opportunities and excels at rapidly developing new skills necessary to successful job performance	<input type="checkbox"/>	<input type="checkbox"/>	9. Does the employee demonstrate flexibility and motivation to move into a job that might have different requirements than any they have held previously?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Actively solicits feedback, responds openly without defensiveness, and learns from feedback and alters behavior	<input type="checkbox"/>	<input type="checkbox"/>	10. Does the employee welcome opportunities for learning and development?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>To evaluate this employee's performance, calculate the number of "yes" responses (yes=1 pt.), check the score box below and find corresponding box on Tool 3B (9-Box) and record name.</i> <b>TOTALS</b>			<i>To evaluate this employee's potential, calculate the number of checked boxes in each column (Hi=2 pts., Med=1 pt., Low=0 pt.), check the score box below and find the corresponding box on Tool 3B (9-Box) and record name.</i> <b>TOTALS</b>			
0-3 = Low <input type="checkbox"/> 4-7 = Medium <input type="checkbox"/> 8-10 = High <input type="checkbox"/>			0-6 = Low <input type="checkbox"/> 7-13 = Medium <input type="checkbox"/> 14-20 = High <input type="checkbox"/>			

Division/College:

Planner:

Date:

Leadership Performance - Ability

**Solid Performer, Trusted, High Professional**  
*High Performance/Low Potential*

**Strong Performer, Current Star**  
*High Performance/Moderate Potential*

**Future Leader, Star Performer Ready**  
*High Performance/High Potential*

**Solid Performer, Key Player, Core Employee**  
*Moderate Performance/Moderate Potential*

**Strong Performer, Emerging Leader**  
*Moderate Performance/High Potential*

**Under/Low Performer, Icebergs, Talent Risk**  
*Low Performance/Low Potential*

**Solid Performer, Enigmas, Rough Diamonds**  
*Low Performance/High Potential*

9-Model  
Fillable

**Low (0-15)**  
**Limited**

**Medium/Moderate(15-22)**  
**Growth**

**High (23-30)**  
**Mastery**

Leadership Potential - Aspiration

Leadership Performance - Ability

High/Outstanding (8-10)  
Exceeds Expectations

**Solid Performer, Trusted, High Professional**  
*High Performance/Low Potential*  
**Traits:** accomplishes all important work; seen as a technical leader, a subject matter expert (SME) and a resource for others; has reached their potential; good fit in their role;  
**Goal(s):** retention, capture/document their knowledge; use as a lead or trainer for others  
**Provide:** recognition, continue developing them in their area

**Strong Performer, Current Star**  
*High Performance/Moderate Potential*  
**Traits:** accomplishes all important work; acts as a leader and role model; may exhibit capability and competencies beyond current role; leadership development still necessary in some areas; tactical focus  
**Goal(s):** engage and develop for next level up  
**Provide:** a career progression conversation and opportunities for them to display leadership in their current role: job enlargement, special project, lead a team; may need lateral transfer if existing manager unable to provide leadership development and opportunities

**Future Leader, Star Performer - Ready**  
*High Performance/ High Potential*  
**Traits:** accomplishes all important work; exhibits capability and competencies beyond current role; excels at relationship building and has wide spread influence beyond current role  
**Goal(s):** retention, prepare and utilize for succession  
**Provide:** a career progression conversation; accelerated leadership development to include stretch assignments; recognize and reward their efforts

Medium/Good (4-7)  
Meets Expectations

**Questionable Performer, Effective, Grinders**  
*Moderate Performance/Low Potential*  
**Traits:** accomplishes most important things; is not viewed as a leader in their area; proficient in their current role  
**Goal(s):** help employee be successful in their current role; coach to improve their performance; may be a candidate for a lateral move  
**Provide:** training and development; coaching; recognize their improvement efforts

**Solid Performer, Key Player, Core Employee**  
*Moderate Performance/Moderate Potential*  
**Traits:** accomplishes most important things; displays some executive competencies, leadership and ability as a role model  
**Goal(s):** retain in current role and continue development for future potential; may be considered for job enlargement  
**Provide:** more time and development

**Strong Performer, Emerging Leader**  
*Moderate Performance/High Potential*  
**Traits:** accomplishes most important things; acknowledged as a leader and role model displaying executive competencies; displays capability one level above current role; strategic focus  
**Goal(s):** prepare and develop for promotion  
**Provide:** coaching and feedback to improve performance; identify career goals and support with a development plan and opportunities to learn and grow (team, project)

Low (0-3)  
Needs Improvement

**Under/Low Performer, Icebergs, Talent Risk**  
*Low Performance/Low Potential*  
**Traits:** not accomplishing most important things; not meeting the standards of their current role; not capable of making higher contributions  
**Goal(s):** help them be successful in their role or move them to a more appropriate position (laterally or demotion) or consider an exit plan  
**Provide:** diagnose causes (bad hire, lack of information, competencies & skills) and provide: coaching, feedback, performance plan or exit

**Questionable Performer, Inconsistent**  
*Low Performance/Moderate Potential*  
**Traits:** not accomplishing most important things; capable of making higher contributions  
**Goal(s):** determine what is lacking for success in current role and focus on improving performance, likely to have range to move up one level/challenge.  
**Provide:** Provide coaching, training and development and frequent and specific feedback; recognize efforts

**Solid Performer, Enigmas, Rough Diamonds**  
*Low Performance/High Potential*  
**Traits:** not accomplishing most important things; displays executive competencies and acknowledged as a team player and role model  
**Goal:** determine and address the root cause(s) of their performance problems to maximize their potential; worthy of development  
**Provide:** diagnostic conversation to identify any frustrations and necessary interventions: job fit, manager fit, career aspirations; develop in needed areas

Low (0-15)  
Limited

Medium/Moderate (15-22)  
Growth

High (23-30)  
Mastery

9-Model  
Key

Leadership Potential - Aspiration



# Individual Development Plan (IDP)

Employee Name: \_\_\_\_\_

Period From: \_\_\_\_\_ To: \_\_\_\_\_

CRITICAL BEHAVIORS/GOALS	CONTRIBUTION TO ORGANIZATION	DEVELOPMENTAL ACTIVITIES/ACTION STEPS (assignments, coaching, formal training)	MANAGER'S ROLE (or involvement of others, if applicable)	MEASURES	TARGET DATES/ MILESTONES	RESULTS (manager and/or employee comments)
What do I want? What do I need to learn? What specific behaviors do I need to model or exhibit in this competency or skill?	How does this help the college or department meet its needs?	What steps will I take to achieve this? Remember to use <u>SMART</u> goals.	What resources or support will I need? Potential costs involved?	What will my success criteria be?	What is my target completion date?	How have I succeeded in adapting my behavior or learning new skills?
Goal 1 (long-term):						
Goal 2:						
Goal 3:						
Goal 4:						

**Supplemental  
Worksheets &  
Sample Forms**

## POTENTIAL TALENT POOL WORKSHEET

**REFLECT:** Does this worksheet reflect a robust and diverse talent pool? Have you considered other talent resource needs (or excess) across the university to address succession-planning university-wide and engage and retain our top talent?

POSITION/ TITLE									
CURRENTLY HELD BY:									
<b>CANDIDATES MOST READY TODAY:</b>									
<b>NEAR TERM CANDIDATES (Potential in 1-3 years)</b>									
<b>FUTURE CANDIDATES (Potential in 5+ Years)</b>									

## Knowledge Management and Transfer (Cross-Training) – Worksheet

For tasks and activities (not entire roles) that need to be captured and cross-trained for continuity of operations.

<b>Critical To</b>	<p>1.) Capturing knowledge that otherwise would exit with the employee and missing, could impede business operations</p> <p>2.) Continuity of business operations during expected/unexpected absences and vacancies: FMLA, Succession, Turnover, Promotion, etc.</p> <p>3.) Onboarding and training new hires more efficiently and effectively through documented processes</p>								
<b>Area</b>	<b>Date</b>	<b>Division or College</b>					<b>Manager</b>		
	<b>Employee</b>	<b>Position</b>							
<b>Instructions</b>	<p>Complete this worksheet with the employee to rank activities in order of importance and designate people for cross training.</p> <ul style="list-style-type: none"> <li>• What core activities do you do at work? Each process name should have a verb (action word). Each process should relate to only one delegable job role. <ul style="list-style-type: none"> <li>○ Examples: conduct performance reviews, conduct interviews, perform monthly reports, reconcile weekly finance statements, schedule all class schedules, reserve all rooms, facilitate a conference, enter all payments, etc.</li> </ul> </li> <li>• Rank each activity in order of critical business operation importance and supply the amount of time you spend on this task each week.</li> </ul>								
<b>Rank and Note Each Core Work Activity</b>	<b>Rank</b>	<b>Core Work Activity</b>	<b>Est. Hours Spent Weekly on Activity</b>	<b>Primary</b>	<b>Backup 1 Name &amp; Deadline</b>	<b>Backup 2 Name &amp; Deadline</b>	<b>Assigned Trainer</b>	<b>Process Documented (Y/N) &amp; Deadline</b>	<b>Assigned to Document</b>
	1								
	2								
	3								
	4								
	5								
	6								
	7								
	8								
	9								
	10								

## Core Work Activity / Business Process - Documentation Guidelines

**Purpose:** When designating an activity as a critical business operation process and assigning it for cross training, create a business process document to define/outline all aspects of this activity for successful training and to capture as part of your knowledge management strategy. Below is just a sample of the things necessary to document a process for effective sharing of activity knowledge.

<b>Activity/Business Process</b>	Purpose of the Activity and the Scope of work. What is the intention/objective of the process (why do it?) and when and where does it apply?
<b>Roles</b>	Roles of all involved in process and their functions to ensure role clarity
<b>Contacts</b>	External contact information – special phone numbers, email addresses for the customer/client/end-user. (ex. special 800# or ext.?) Internal contact information - for those involved in the process.
<b>Definitions &amp; Acronyms</b>	Consistent operational definitions; acronyms should be defined to ensure proper interpretation
<b>Process Flow</b>	<ul style="list-style-type: none"> <li>▪ Standards &amp; Guidelines (any standards, policies, rules governing this process)</li> <li>▪ Process (show a flowchart where necessary)</li> <li>▪ Procedures (step 1, step 2, step 3) Consider that many people who perform the same activity, may go about it a different way. Agree on a common process for training, assisting others and reduction of errors.               <ul style="list-style-type: none"> <li>• Entry Criteria: what is required before this process can begin - time, an event, receipt, etc.</li> <li>• Input Actions: by owner and all involved parties that have a role in this process</li> <li>• Output: What deliverables or other output are required of this process and how should they be formatted/delivered?</li> <li>• Metrics: Where are measurements captured or automatically entered?</li> <li>• Exit Criteria: What is the condition required before the process is declared complete - filed, saved, sent to someone else, etc.?</li> </ul> </li> </ul>
<b>Tools</b>	<ul style="list-style-type: none"> <li>▪ Templates (any standardized templates, forms, web links, etc. that will need to be shared to perform this process)</li> <li>▪ Checklists (any checklists that will need to be shared to perform this process)</li> <li>▪ Training (any specialized training, skills or certifications necessary to perform this process)</li> <li>▪ Equipment/Software necessary to those performing this activity/process</li> </ul>
<b>Approvals/Verifications</b>	Who needs to review, approve or verify this data to consider it completed? Is there a checklist to fill out or an approval form? Is this process monitored or audited, and filed a certain way or sent to others?
<b>Deadlines</b>	What is the start to finish timeframe of this process? It is due daily, weekly, monthly or annually?

# PIVOTAL POSITION SUCCESSION PLAN

**Identifying current succession options for all pivotal positions**  
Return completed form to [succesn@mailbox.sc.edu](mailto:succesn@mailbox.sc.edu)

Division/ College		Planner		Date	
Pivotal Position	Name of Incumbent	Estimated Departure Date (if any)	Name(s) of Candidate(s) Identified for Potential <i>Short Term (ST) Backup, Long Term (LT) Fill (or both) Internal (Int.) to USC, or External (Ext.)</i>	ST LT Both	Int. Ext.
Director of Students	Sally Jones	6/30/18	Jim May	ST	Int.
Director of Students	Sally Jones	6/30/18	Sammie North	ST	Int.
Director of Students	Sally Jones	6/30/18	Maggie Smith	LT	Int.
Director of HR	Tim West	12/31/17	Cleo Capable	LT	Int.
Director of HR	Tim West	12/31/17	Betty Focus	LT	Int.
Director of HR	Tim West	12/31/17	James Able	LT	Int.
Director of Finance	Barbara Case	4/27/18	Bill Sugar	ST	Ext.
Director of Finance	Barbara Case	4/27/18	Maggie Trainor	ST	Int.
Director of Housing	Jerry Lexar	12/31/17	Kelly Baker	ST	
Director of Housing	Jerry Lexar	12/31/17	Larry James	ST	Int.
Director of Housing	Jerry Lexar	12/31/17	Rachel Moore	ST	



# VACANCY OF PIVOTAL POSITION PLAN

Use this form to facilitate assessment of risk, and development of mitigation strategies, for key positions.

<b>Division/ College</b>	<b>Division of Education</b>	<b>Planner</b>	<b>Frank Dustin</b>	
<b>PART 1 Identify Pivotal Positions and Time to Departure</b>	<b>Pivotal Position Title</b>	<b>Name of Incumbent</b>		<b>Today's Date</b>
	<b>Director of HR</b>	Tim West		5/1/17
	Specialized knowledge, skills and abilities (KSA): 15 years or more experience in strategic business operations and human capital planning Large organizations, higher education,			
	How would vacancy affect the area in terms of operations and leadership (critical functions, relationships, future trends, opportunities, challenges, vision and goals)?			
	Anticipated date or timeframe of departure: (consider retirement eligibility, desire for transfer, etc.) and note reason:			<b>Date of departure, if known</b>
	<input checked="" type="checkbox"/> Within the year <input type="checkbox"/> 3-5 years <input type="checkbox"/> 2-3 years <input type="checkbox"/> 5-10 years			12/31/17
	How long would it take to recruit for or replace this position?			4-6 months
	How long would it take a qualified replacement to become fully functional?			1-2 years
How much critical institutional knowledge becomes unavailable with this departure? Does a procedure or operational guide exist or need developing for this position? If so, please note your plan to accomplish. Situational and institutional knowledge, Precedence				
<b>REFLECT</b>	<i>Does this position need to be refilled/replaced as it currently exists or does this impending departure present an opportunity to restructure the position (PD), department or division to better meet the long-term vision and strategic goals for this area and the university? Please consider future operations and leadership needs.</i>			
<b>PART 2 Identify Potential Succession Candidates</b> <i>Utilize: Tools 3A and 3B</i>	<b>Brainstorm individuals, internally and externally, who may have the potential, below or on Tool 5:</b>			
	Betty Focus	Marcus Pan		
	Bonita South	Flora Present		
	Bob Lawyer			
	James Able			
	Cleo Capable			
<b>Use the following succession planning tools to assess the readiness of your selected individuals. To avoid bias, work with members of your management team whenever possible to complete your assessments.</b>				
1.) <b>Leadership Performance and Potential Assessment:</b> Answer "yes" or "no" to questions and "score" your individual employees in the areas of Leadership Performance and Leadership Potential. (Tool 3A)				
2.) <b>9 Box-Model:</b> After scoring each individual, plot your results on the 9-Box Model for a bigger picture view of the readiness of each person. Review the traits to ensure you have accurately positioned each individual. Note what you, or their manager, should provide each individual to prepare them for a future role. (Tool 3B)				
Employees identified as candidates for THIS VACANCY move to Part 3.				
<b>REFLECT</b>	<i>Reflect on career planning conversations with your staff and other potential candidates across the organization.</i>			



## PERFORMANCE-POTENTIAL ASSESSMENT

Worksheet for populating the Performance and Potential 9-Box Grid: *Each succession planner should answer the following questions prior to placing individuals on the 9-Box to ensure consistency and remove any bias in assessing your employees' performance and potential.*

<b>Employee Name: Betty Focus</b>			<b>College/Division &amp; Position: Asst. VP of Staff</b>			
Defining Leadership Performance	Yes	No	Defining Leadership Potential	Hi-2	Med-1	Low-0
1. Is self-motivated and results-focused with a solid history of high job performance and goal achievement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1. Could the employee perform at a higher level, in a different position or take on increased responsibilities <b>within the next year</b> ( <i>consider the person's ability only, not whether there is a position available to support this growth</i> )?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Respectfully challenges the status quo, displaying creativity, innovation and progressive thinking; is open, and easily adapts to, new processes, perspectives and changes in business processes and practices, even when generated by others	<input checked="" type="checkbox"/>	<input type="checkbox"/>	2. Could the employee perform at a higher level, in a different position, or take on increased responsibilities <b>within the next three years</b> ( <i>consider the person's ability only, not whether there is a position available to support this growth</i> )?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is effective in resolving interpersonal conflict; displays an ability to stay focused on the situation and negotiate effective solutions.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	3. Can you envision this employee performing <b>two levels</b> above his or her current position in the <b>next five to six years</b> ?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. Displays excellent verbal and written communication skills by delivering clear, concise and convincing messages	<input checked="" type="checkbox"/>	<input type="checkbox"/>	4. Is the organization likely to value growth of the skills and competencies of this employee over the next several years?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. High standard of personal conduct: honest, trustworthy, accountable for their actions/responsibilities, and delivers on their promises	<input checked="" type="checkbox"/>	<input type="checkbox"/>	5. Could the employee learn the additional skills and competencies he or she needs to be able to perform at a higher or different level?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Builds strong, positive relationships that create success for themselves and those around them; effective at mobilizing resources to respond to problems and opportunities as they arise	<input checked="" type="checkbox"/>	<input type="checkbox"/>	6. Does the employee demonstrate leadership ability—by showing initiative and vision, delivering on promised results, communicating effectively, and taking appropriate risks?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Has a positive attitude, is inspiring and inclusive; collaborates and communicates respectfully and exemplifies a selfless, team-approach in accomplishing our mission	<input type="checkbox"/>	<input checked="" type="checkbox"/>	7. Does the employee display an ability to interact comfortably with people at a higher level or in different areas?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
8. Thinks strategically-understands and pursues opportunities that fit with broader strategy; applies good judgment in problem analysis and critical thinking	<input checked="" type="checkbox"/>	<input type="checkbox"/>	8. Does the employee demonstrate comfort with a broader organization perspective than his or her job currently requires?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Eager to learn and grow, actively seeks personal development opportunities and excels at rapidly developing new skills necessary to successful job performance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	9. Does the employee demonstrate flexibility and motivation to move into a job that might have different requirements than any they have held previously?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Actively solicits feedback, responds openly without defensiveness, and learns from feedback and alters behavior	<input type="checkbox"/>	<input checked="" type="checkbox"/>	10. Does the employee welcome opportunities for learning and development?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>To evaluate this employee's performance, calculate the number of "yes" responses (yes=1 pt.), check the score box below and find corresponding box on Tool 3B (9-Box) and record name.</i> <b>TOTALS</b>			<i>To evaluate this employee's potential, calculate the number of checked boxes in each column (Hi=2 pts., Med=1 pt., Low=0 pt.), check the score box below and find the corresponding box on Tool 3B (9-Box) and record name.</i> <b>TOTALS</b>			
0-3 = Low <input type="checkbox"/> 4-7 = Medium <input type="checkbox"/> 8-10 = High <input checked="" type="checkbox"/>			0-6 = Low <input type="checkbox"/> 7-13 = Medium <input type="checkbox"/> 14-20 = High <input checked="" type="checkbox"/>			

Division/College:

Planner:

Date:

Leadership Performance - Ability

High/Outstanding (8-10)  
Exceeds Expectations

Strong Performer, Current Star  
*High Performance/Moderate Potential*

James Able

Future Leader, Star Performer Ready  
*High Performance/ High Potential*

Betty Focus

Strong Performer, Emerging Leader  
*Moderate Performance/High Potential*

Cleo Capable

9-Model  
Fillable

Leadership Potential - Aspiration

Leadership Performance - Ability

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">9-Model Key</p>	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">High/Outstanding (8-10) Exceeds Expectations</p>	<p><b>Solid Performer, Trusted, High Professional</b> <i>High Performance/Low Potential</i></p> <p><b>Traits:</b> accomplishes all important work; seen as a technical leader, a subject matter expert (SME) and a resource for others; has reached their potential; good fit in their role;</p> <p><b>Goal(s):</b> retention, capture/document their knowledge; use as a lead or trainer for others</p> <p><b>Provide:</b> recognition, continue developing them in their area</p>	<p><b>Strong Performer, Current Star</b> <i>High Performance/Moderate Potential</i></p> <p><b>Traits:</b> accomplishes all important work; acts as a leader and role model; may exhibit capability and competencies beyond current role; leadership development still necessary in some areas; tactical focus</p> <p><b>Goal(s):</b> engage and develop for next level up</p> <p><b>Provide:</b> a career progression conversation and opportunities for them to display leadership in their current role: job enlargement, special project, lead a team; may need lateral transfer if existing manager unable to provide leadership development and opportunities</p>	<p><b>Future Leader, Star Performer - Ready</b> <i>High Performance/ High Potential</i></p> <p><b>Traits:</b> accomplishes all important work; exhibits capability and competencies beyond current role; excels at relationship building and has wide spread influence beyond current role</p> <p><b>Goal(s):</b> retention, prepare and utilize for succession</p> <p><b>Provide:</b> a career progression conversation; accelerated leadership development to include stretch assignments; recognize and reward their efforts</p>
	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Medium/Good (4-7) Meets Expectations</p>	<p><b>Questionable Performer, Effective, Grinders</b> <i>Moderate Performance/Low Potential</i></p> <p><b>Traits:</b> accomplishes most important things; is not viewed as a leader in their area; proficient in their current role</p> <p><b>Goal(s):</b> help employee be successful in their current role; coach to improve their performance; may be a candidate for a lateral move</p> <p><b>Provide:</b> training and development; coaching; recognize their improvement efforts</p>	<p><b>Solid Performer, Key Player, Core Employee</b> <i>Moderate Performance/Moderate Potential</i></p> <p><b>Traits:</b> accomplishes most important things; displays some executive competencies, leadership and ability as a role model</p> <p><b>Goal(s):</b> retain in current role and continue development for future potential; may be considered for job enlargement</p> <p><b>Provide:</b> more time and development</p>	<p><b>Strong Performer, Emerging Leader</b> <i>Moderate Performance/High Potential</i></p> <p><b>Traits:</b> accomplishes most important things; acknowledged as a leader and role model displaying executive competencies; displays capability one level above current role; strategic focus</p> <p><b>Goal(s):</b> prepare and develop for promotion</p> <p><b>Provide:</b> coaching and feedback to improve performance; identify career goals and support with a development plan and opportunities to learn and grow (team, project)</p>
	<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Low (0-3) Needs Improvement</p>	<p><b>Under/Low Performer, Icebergs, Talent Risk</b> <i>Low Performance/Low Potential</i></p> <p><b>Traits:</b> not accomplishing most important things; not meeting the standards of their current role; not capable of making higher contributions</p> <p><b>Goal(s):</b> help them be successful in their role or move them to a more appropriate position (laterally or demotion) or consider an exit plan</p> <p><b>Provide:</b> diagnose causes (bad hire, lack of information, competencies &amp; skills) and provide: coaching, feedback, performance plan or exit</p>	<p><b>Questionable Performer, Inconsistent</b> <i>Low Performance/Moderate Potential</i></p> <p><b>Traits:</b> not accomplishing most important things; capable of making higher contributions</p> <p><b>Goal(s):</b> determine what is lacking for success in current role and focus on improving performance, likely to have range to move up one level/challenge.</p> <p><b>Provide:</b> Provide coaching, training and development and frequent and specific feedback; recognize efforts</p>	<p><b>Solid Performer, Enigmas, Rough Diamonds</b> <i>Low Performance/High Potential</i></p> <p><b>Traits:</b> not accomplishing most important things; displays executive competencies and acknowledged as a team player and role model</p> <p><b>Goal:</b> determine and address the root cause(s) of their performance problems to maximize their potential; worthy of development</p> <p><b>Provide:</b> diagnostic conversation to identify any frustrations and necessary interventions: job fit, manager fit, career aspirations; develop in needed areas</p>
		<p>Low (0-15) Limited</p>	<p>Medium/Moderate (15-22) Growth</p>	<p>High (23-30) Mastery</p>
		<p>Leadership Potential - Aspiration</p>		