REPUBLIC OF KENYA

HUMAN RESOURCE PLANNING AND
SUCCESSION MANAGEMENT STRATEGY FOR
THE PUBLIC SERVICE

PUBLIC SERVICE COMMISSION

February, 2017
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<tr>
<td>Human Resource Planning</td>
<td>Human Resource Planning (HRP) is a continuous process of systematic preparation to achieve optimum use of an organization’s human resource. A HR plan is an interface between the human resource function and the strategic direction of an organization.</td>
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<tr>
<td>Succession Management</td>
<td>Succession Management is a systematic process of determining critical roles within an organization, identifying, and assessing possible successors, and providing them with appropriate skills and experience for present and future roles.</td>
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<tr>
<td>Knowledge Management</td>
<td>Knowledge management is a managerial activity which develops transfers, transmits stores and applies knowledge, as well as providing the members of the organization with real information to react and make the right decisions, in order to attain the organization’s goals.</td>
</tr>
<tr>
<td>Competency framework</td>
<td>A competency framework is a collection of competencies thought to be central to effective performance.</td>
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<tr>
<td>Abbreviation</td>
<td>Full Form</td>
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<tr>
<td>CARPS</td>
<td>Capacity Assessment and Rationalization Programme</td>
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<td>DPSM</td>
<td>Department of Public Service Management</td>
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<td>HRP</td>
<td>Human Resource Management Planning</td>
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<td>HR</td>
<td>Human Resource</td>
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<td>KSG</td>
<td>Kenya School of Government</td>
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<tr>
<td>MDAs</td>
<td>Ministries, Departments and Agencies</td>
</tr>
<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
</tr>
<tr>
<td>PSC</td>
<td>Public Service Commission</td>
</tr>
<tr>
<td>SCAC</td>
<td>State Corporations Advisory Committee</td>
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<td>YPP</td>
<td>Young Professional Programme</td>
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PREFACE

It is my pleasure to release the Public Service Human Resource Planning and Succession Management Strategy. The strategy provides a framework to address the current Succession Management Challenges in the Public Service through linking the Public Service human resource needs to the overall national strategic and development goals.

The succession management challenges currently being experienced in the Public Service have been brought about by a number of factors, some historical and others dictated by social economic environment. However, lack of Human Resource Plans has exacerbated the Succession Management problems. The resultant effect of this is that the Government is unable to deliver services at optimal levels. Existing data projections indicate the possibility of a succession management crisis in the foreseeable future as a high percentage of staff in many cadres drift towards retirement.

The main objective of this Strategy is therefore, to initiate a proactive planning process involving critical work force positions by developing a pool of potential successors and encouraging a culture that supports knowledge transfer and employee development in the Public Service. This will be a departure from the past whereby the Public Service often designed reactive and piecemeal strategies such as encouraging requests for waivers on the provisions of the Schemes of Service or expanding the number of common establishment positions to address succession management challenges.

The interventions made in this Strategy will ensure that the Public Service:-

- Embraces change as part of talent retention and succession planning strategy;
- Has the right number of staff in the right places and at the right time with the right skills, knowledge and attributes to perform various roles efficiently and effectively;
- Mainstreams HRP in all Ministries/ Departments; and
- Helps individuals realize their career plans and aspirations within the Public Service.

Succession management as a Human Resource management tool should however, not be an end in itself but should be part of the broader Human Resource Management processes that needs to be put in place to ensure Public Servants effectively and efficiently drive and accomplish their respective Ministerial/Departmental strategic goals and objectives.
It is therefore my sincere hope that the guidelines will ensure that necessary talents and skills are available when needed and that essential knowledge and abilities are maintained when critical employees exit the service.

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Prof. Margaret Kobia, PhD, MGH
Chairperson, Public Service Commission
FOREWORD

In order to position the public service for success, Ministries/State Departments have to be engaged in workforce planning. Three key directions have been identified to assist the public service in managing the workforce changes. They include building potential and capabilities; strengthening competitiveness as a country; and renewing the workforce. The ageing workforce, changing career expectations and the potential for attrition of high performers with substantial experience in the Public Service is posing a challenge to Government agencies in sustaining performance into the future.

Succession management forms a key component of human resource planning, focusing on ensuring the availability of a supply of capable staff who are ready to assume key or critical positions. It helps build organizational capacity by ensuring that vacancies are filled from within the organizations while encouraging competitiveness in filling such posts. Succession planning is therefore an effective strategy for managing talent and ensuring that the Public Service achieves its future goals.

The most important change for the Public Sector is shifting from one-to-one replacement mapping to creating a pool of future leaders capable of meeting its succession needs. Effective succession management will promote the Public Service values and principle by developing staff and emphasizing openness in selection processes hence promoting merit and equity in employment and a career-based service. It will also ensure adoption of new technologies that help in building versatile organizations.

While the private sector has increasingly focused on creating succession planning programs that align with their changing business needs, the Public Sector has lagged behind. It is envisaged that initiating succession management plans in the Public Service will address the existing challenges. In doing so, the weak link with institutions of higher learning will be bridged to ensure the human resource (labour) that they supply matches with emerging skill demands. Only then, will we guarantee the delivery of quality programs and services to the public.
Alice A. Otwala (Mrs), CBS
Secretary,
Public Service Commission
CHAPTER ONE: INTRODUCTION

1.0 Introduction
In an environment of rapid change, there are significant concerns about the need to ensure organisational sustainability, flexibility and responsiveness in delivering services to the community. Capacity to perform and deliver services whilst dealing with issues such as an ageing workforce, labour and skills shortages requires new approaches to ensure that the Public Service has the capacity to sustain effective and efficient performance and responsiveness now and in future. Succession management involves two key activities: tracking pivotal roles that are emerging as “resource pressure points” and proactively sourcing and developing a strong talent pool of future leaders.

It is within this context that organisations, and more importantly leaders and managers, should look with increased scrutiny at the need to manage employee succession effectively to ensure they have the required future leadership, management and technical capacity to deliver government services.

Succession management is an important risk management strategy to ensure the continuation of effective service provision to the community, regardless of organisational change. Without planning, disruptions caused by both expected and unexpected exits can lead to sub-optimal outcomes in the delivery of government business. Forward planning to manage succession helps develop a diverse workforce better equipped to respond well to a variety of challenges, not just human resource-related change.

1.1 Background
The Civil Service staff employment complement grew dramatically from 63,000 in 1963 to 158,883 in 1980 and to 271,979 in 1990, which translated to annual growth rates of 9% and 7% respectively well above the growth rate of the economy. Lack of proper Human Resource Planning resulted in over-employment leading to a bloated Civil service. Indeed by late 1970s, the public sector had grown to a level where the expenditure on personal emolument was becoming unsustainable. By mid 1980s, the
Public Sector could not accommodate the number of graduates joining the labor market and only a few of the graduates could be absorbed in the Civil Service against the few vacancies.

Consequently, the Government initiated the Civil Service Reform Programmes of the 1990s, aimed at among other things to cut down the wage bill. The initiatives put in place included:

(i) The implementation of Voluntary Early Retirement Scheme for officers on Job Groups “A” to “G”;
(ii) Non replacement of officers leaving the Service through natural attrition other than those in critical and essential areas;
(iii) Abolition of vacant positions;
(iv) Ban on recruitment for ten (10) years except in critical and essential service areas;
(v) Withdrawal of guaranteed employment to university and tertiary college graduates;
(vi) Implementation of a compulsory retrenchment Scheme in the year 2000 that targeted cadres in over manned areas and in functions identified for abolition; and
(vii) Policy on retirement at 45 years.

The staff reduction and cost containment initiatives put in place did not realize the desired impact and in effect led to other challenges including succession management. In an endeavor to address the emerging succession management issues the Government developed a succession management strategy in the year 2008. However, this was not fully implemented further compounding succession management situation. Indeed one of the key strategies recommended was implementation of human resource planning (HRP) in the service.

1.2 Concepts and Definitions

The concept of Human Resource Planning entails the linking of the human resource needs of an organization to its strategic plan to ensure that staffing is sufficient, qualified, and competent enough to achieve the organization’s objectives. It also involves a
continuous process of systematic planning to achieve optimum use of an organization's most valuable asset — its human resources. The ultimate objective of human resource planning is therefore to ensure the best fit between employees and jobs while avoiding manpower shortages or surpluses.

Succession Management therefore is a systematic process of determining critical roles within an organization, identifying, and assessing possible successors, and providing them with appropriate skills and experience for present and future roles. It is a vital tool in anticipating the future needs of the organization and helps identify, develop, and monitor the human capital required by the organization's strategy.

1.3 Rationale

The Public Service is currently facing serious succession management challenges at both National and County Government levels. The succession management problems are manifested in a number of ways, particularly through:-

(i) Staffing gaps in the grading structures particularly at higher levels;
(ii) Ageing workforce whereby a big percentage of Civil Servants are above 50 years (31% or 25,000) are therefore expected to retire within the next ten (10) years;
(iii) Stagnation of staff in one job group for prolonged periods;
(iv) High staff turnover, particularly in some key cadres;
(v) Vacant posts or succession gaps particularly at higher levels leading to Ministries/Departments/Agencies(MDAs) requesting for officers to perform duties of higher levels;
(vi) Shortage of staff in some cadres occasioning MDAs to make requests for recruitment of staff on short term contracts, re-engaging pensioners on contractual basis or recruiting casuals to perform jobs of permanent nature;
(vii) Shortage of relevant skills and competences occasioning requests for waivers on the requirement for promotion to higher grades;
(viii) Lack of Human Resource budget
This has mainly been attributed to non-replacement of officers leaving the Service through natural attrition and the ban on recruitment for ten (10) years except on critical and essential service areas. The resultant effect of the Succession Management problems is that the Government is unable to deliver services at optimal levels. Indeed existing literature and other data project a picture of the possibility of a succession management crisis in the foreseeable future as a high percentage of staff in many cadres drift towards retirement. This is evident from the findings of Capacity Assessment and Rationalization Programme (CARPS) Report and existing payroll data. It is in light of the above that it has been found necessary to develop a succession management strategy for the Public Service.

1.4 Objectives of the Strategy

The objectives of the HRP and Succession Management Strategy are to:-

(i) Align human resource plans to strategic goals to ensure that the right people with the right skills and attitudes are in the right place at the right time to achieve organizational objectives.

(ii) Ensure the best fit between employees and the jobs while avoiding manpower shortages and surpluses.

(iii) Identify and proactively plan for critical work force positions, by developing a pool of potential successors and encouraging a culture that supports knowledge transfer and employee development.

(iv) Facilitate development of internal capability which will contribute to organizational preparedness to changing roles and competitiveness.

(v) Provide stability at all levels to sustain a high performing Public Service and ensure uninterrupted delivery of services and programmes.

(vi) Ensure a continuous flow of human resource with the right skills, knowledge and attributes to perform various roles efficiently and effectively.

(vii) Assist individuals realize their career plans and aspirations within the Public Service.
(viii) Facilitate development of human resource programs and workplace culture that attracts and supports employee engagement and retention.

1.5 Scope
This strategy covers the civil service but may be customized for application in other public service.
CHAPTER TWO: SUCCESSION MANAGEMENT ISSUES AND STRATEGIES

2.0 Introduction

This Chapter highlights the current situation in the Public Service in so far as human resource planning and succession management are concerned. It also explores the extent to which public service organizations have mainstreamed human resource planning, which is key to recruitment and selection in the Public Service.

The current constitutional dispensation has provided for National and County Governments that are distinct but dependent. Following establishment of county governments, a number of staff were devolved to the Counties and this has necessitated the rethinking of all human resource practices in the devolved Civil Service.

Whereas there have been strategies to address succession management challenges in the Public Service, these have neither been comprehensive nor integrated hence they do not realize the desired outcomes. These piecemeal strategies are often reactive in nature and include: Ministries and State Departments request for waivers on requirements of the Schemes of Service in order to fast track promotion of officers; requests for promotions on merit; expansion of common establishment within the grading structure; retention in the Service beyond the mandatory retirement age; approval of acting appointments/special duty and re-designations; training; and raising of retirement age from to 55 to 60 years in 2009. These piecemeal strategies are discussed in detail in the subsequent paragraphs.

(i) Waivers on Requirements for Appointment/Promotion/ Requests for promotion on merit

Many cadres with succession gaps have sought waivers in order to promote officers who do not meet requirements of respective Schemes of Service. There are also numerous requests for promotion on merit that sometimes are not justified. These strategies are reactive and do not address the underlying cause of succession management problems.
(ii) Expansion of Common establishment in the Grading Structures

To address stagnation of officers in the Service, the first four (4) grades at entry level for all cadres were converted to a common establishment from year 2008. This facilitated progression of staff up to the upper grade in the common establishment. This has however resulted in stagnation of staff in the upper grades of common establishment due to limited number of posts. The common establishment positions were reviewed in 2014 and reverted to the first two (2) grades at entry level. Promotion beyond these levels is subject to competition and availability of vacancies. This strategy fails to address the underlying causes of succession management problems.

(iii) Retention in Service beyond the mandatory retirement age

Existence of succession gaps at the top levels of Ministries/Departments has often led to retention of staff beyond the mandatory retirement age of sixty (60) years to provide more time to mentor successors or recruit staff to replace those exiting through retirement. However, it has been noted that at the end of the extension period, very little preparation of ‘would be successors’ takes place. This is a reactive strategy that does not address the root cause but addresses the symptoms of succession management problems. Further, the strategy fails to address institutional capacities and knowledge management concerns.

(iv) Acting/Special Duty Appointments

Where gaps exist, officers have been called upon to take up appointments on acting capacity in the higher grades. In some cases officers acting in higher positions are unable to deliver at optimal levels and are therefore not considered for appointment to those positions. In other cases, it takes too long to fill the positions thereby demoralizing staff holding those positions which affect service delivery.
(v) **Re-designations**

In some cases, staffs who acquire requisite minimum qualifications for various positions are re-designated to fill emerging vacancies. However, over and above qualifications, some of the re-designated officers lack skills and competences to perform in the new positions thereby affecting service delivery.

The above interventions have not addressed the re-orientation of the affected employees to embrace change as part of talent retention and succession planning strategy. Absence of human resource planning has only exacerbated succession management challenges. It is in the light of the above that it has been found necessary to develop a comprehensive succession management strategy.

2.1 **Manifestation of Human Resource Planning and Succession Management Challenges and Strategies**

The dire situation regarding human resource planning and succession management is manifested as indicated below:

2.1.1 **Ageing Public Service**

A Human Resource Audit conducted in the National and County Governments in 2014/15, under the Capacity Assessment and Rationalization of the Public Service (CARPS) Programme revealed that the Service is faced with an ageing workforce where 31% of staff at both National and County Governments level are aged between 50 and 59 years, while 30% are in the age bracket of 40 to 49 years. The audit further revealed that 40% of staff in a number of Ministries were aged 50 years and above.

The findings of the Audit are corroborated by data from the December, 2016 payroll which revealed that 35% of National Government employees are in the age bracket 51-60 years while 53% are above 46 years. Majority of employees in management positions, i.e. Job Group ‘P’ and above are over 46 years. The Table below illustrates this:
Table 2.1: Distribution of Civil Servants by Age Clusters (December 2016 payroll)

<table>
<thead>
<tr>
<th>No.</th>
<th>Age in Years</th>
<th>Totals Per Age Bracket</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>19-35</td>
<td>13,721</td>
<td>19.76</td>
</tr>
<tr>
<td>2.</td>
<td>36-40</td>
<td>9,667</td>
<td>13.92</td>
</tr>
<tr>
<td>3.</td>
<td>41-45</td>
<td>9,983</td>
<td>14.38</td>
</tr>
<tr>
<td>4.</td>
<td>46-50</td>
<td>11,739</td>
<td>16.90</td>
</tr>
<tr>
<td>5.</td>
<td>51-55</td>
<td>11,879</td>
<td>17.11</td>
</tr>
<tr>
<td>6.</td>
<td>56-60</td>
<td>12,057</td>
<td>17.36</td>
</tr>
<tr>
<td>7.</td>
<td>61 &amp; Above</td>
<td>399</td>
<td>0.57</td>
</tr>
<tr>
<td></td>
<td>Grand Total</td>
<td>69,445</td>
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</table>

*Strategy 1: Replacement of Staff*

All posts vacated through retirement and other forms of natural attrition be filled promptly. This will be done through:

(i) promotion of serving officers;
(ii) filling vacant positions;
(iii) recruitment for critical service areas; and
(iv) review of the blanket embargo on recruitment;

*Strategy 2: Introduction of Management Trainee Programmes*

In order to encourage the youth to participate in public service delivery, the Government will strengthen management trainee programme for MDAs. This programme will facilitate annual recruitment at entry level of a predetermined number of staff for purposes of succession. The Trainees will be recruited in an open, transparent and merit-based process and will be sourced from amongst the top performing students in various
fields. The Management Trainee intervention will be actualized through a well-structured and coordinated programme which will involve coaching, counseling and mentoring.

2.1.2 Staff Turnover

Some critical cadres in the Civil Service have been experiencing high staff turnover as the staff leave the Civil Service to take up employment both within and outside the Country. This causes shortage of staff and compromises service delivery. An analysis of the payroll data reveals cadres that are facing high staff turnover particularly before the age of 40 years through resignations and brain drain. Such cadres include Medical Specialists, Nursing Personnel and State Law Officers.

**Strategy 1: Provision of Safe and Healthy Workplaces**

The Government will put in place strategies to facilitate provision of safe and healthy workplaces through creating flexible work arrangements, redesigning jobs and other incentives and benefits. This will include implementation of the Work Injury and Benefits Act.

**Strategy 2: Implementation of Separate Terms and Condition of Service**

In order to deal with succession management problem arising from high staff turnover in some cadres identified as scarce and critical, the Government will develop distinct attractive terms and conditions of service outside of the obtaining terms for cadres identified as scarce and critical skills. This will be done through:

(i) reviewing the terms and conditions of service; and 

(ii) Introducing special incentives and bonuses.

2.1.3 Human Resource Planning

Human Resource Planning is a critical function in all organizations since it ensures that an organization has the right people in the right jobs at the right time. This requires identification of human resource requirements and development of appropriate
interventions/plans to satisfy those requirements. Organizations should therefore, not only define what will be accomplished within a given time-frame, but also the numbers, skills and competencies required to achieve the targets. This also entails anticipating possible future developments and maintaining a well-structured workforce of an appropriate size, which is able to meet the changing needs of the public service in a cost-efficient manner.

HRP entails forecasting HR requirements, establishing the current level of staffing and identifying the gaps. This facilitates smooth succession at all levels in the Service. The HRP should be aligned to the Ministerial/Departmental strategic plans and the National Development plans and programmes.

The need for mainstreaming human resource and succession planning as a means of ensuring that the Service has the right number of staff with the right skills and competencies at the right time has been discussed at various forums and recommended for implementation. However, although Ministries/Departments have strategic plans that clearly identify the financial and equipment requirements necessary for effective implementation of the plans, no serious thought is put on the kind and number of staff required to implement the plans.

Most Ministries/Departments do not maintain comprehensive skills inventories that would adequately inform them of their current human resource status and needs. This not only makes it difficult to identify skills and competency gaps but also developing appropriate programs to address the gaps.

The only aspects that depict a semblance of Human Resource planning in Ministries/Departments include: existence of career progression guidelines for the various cadres of staff; existence of authorized establishment in Ministry/Departments that shows the optimal staffing levels; periodic reconciliation of staff establishment based on the authorized establishment, the in-post position and arising vacancies; identifying and filling existing vacancies within the approved establishment; training of staff in areas
related to the mandate of the organization; and filling of vacant posts from outside the Civil Service to bridge existing gaps in career structures among others.

These efforts however, do not align staffing to the organizational and national development goals since they are not integrated into a comprehensive and integrated human resource plan.

This Strategy therefore endeavors to develop modalities of addressing human resource planning and succession management issues in the Service. Government institutionalizes human resource planning, through:-

**Strategy 1: Development of a Human Resource Master Plan**

The Public Service Commission and the Ministry responsible for Public Service will develop and review a Human Resource Master Plan linked to the Medium Term Expenditure Framework (MTEF) every five (5) years. The Human Resource Management and Development (HRM&D) Master plan is a comprehensive Master Plan for the public services human resources, which includes assessment of training needs in relation to organizational goals and objectives. Further the master plan will consider developing relationships between training needs and HRD programs of the organizations and their future development goals. When adopted, the masterplan intends to help understand the importance of HRM&D for organizational effectiveness and make the interventions more effective through proper co-ordination among different stakeholders

**Strategy 2: Development of Annual HR Plans**

All Ministries/Departments will be required to develop annual human resource plans aligned to strategic plans with clear budgetary requirements. MDA budgeting will include the projected HR requirements to facilitate the prioritized deliverables. This will be done through:

(i) Workload analysis to determine optimal staffing levels which should subsequently constitute the authorized establishment.

(ii) Annual reconciliation of staff establishment records;

(iii) Linking the HR plans to budget; and
Development and maintenance of a comprehensive skills inventory.

**Strategy 3: Utilization of the Government Human Resource Information System (GHRIS) for HRP**

Ministries/Departments will be required to use the GHRIS platform for all Human Resource functions. GHRIS will be updated in real time and maintained to fully support HRP and Succession management in the Public Service. The existing two (2) human resource information systems (IPPD AND GHRIS) will be integrated to have a comprehensive HR database to enhance the quality of service delivery through application of technology in human resource management.

**2.1.4 Natural Attrition**

Critical posts vacated through retirement and other forms of natural attrition are not filled, as they fall vacant, leading to succession gaps in the grading structure. Where these vacancies are filled, at times they do not address the necessary skills and competences. Exit interviews are also not conducted to determine the actual reasons for exit, a practice that would inform policy on retention and relevant terms and conditions where necessary.

**Strategy 1 Succession Planning**

Employers risk losing important skills and knowledge when employees retire or move on. Often succession planning and knowledge transfer as risk management tools to keep critical knowledge in their organizations. Succession planning is about developing employees and supporting them in their careers to ensure your organization has the right talent for key positions. On a more strategic level, succession planning will help the organization remain successful even after the loss of a key worker.

Some of the other benefits include:

- having the right people in the right place at the right time
- developing a qualified pool of candidates who are ready to fill key positions
- helping employees realize their career plans and aspirations
• improving employees’ ability to respond to changes in the workplace
• creating more opportunities for the timely transfer of knowledge at the organizational level.

2.1.5 Staff Stagnation and existence of staffing gaps in the Career Structure

Staff stagnation in one grade for prolonged periods is common occurrence in the public service. This happens due to various reasons, such as lack of requisite qualifications as stipulated in schemes of service; non-declaration of vacant posts; and time taken to fill the posts. Further, the embargo on recruitment has only exacerbated the succession gaps in some cadres. Analysis of the data contained in staff complement indicates that 32,743 out of a total of 71,683 staff in the National Government, staff in Ministries/Departments have stagnated in one Job Group for periods ranging from 4 to 44 years. This constitutes 45.68% of the National Government total workforce.

To address the succession management problem arising from stagnation of staff, the following strategies are recommended:

**Strategy 1: Review of Schemes of Service/Career Progression Guidelines to Provide Flexible Requirements**

The current Schemes of Service will be reviewed to provide flexible requirements for officers performing highly technical and professional functions.

**Strategy 2: Strengthening of Human Resource Audit**

The Public Service Commission will strengthen human resource audit function to ensure standards in HR are applied across board.

**Strategy 3: Development of a Framework for Career Advancement**

The Public Service Commission (PSC) will develop a framework for Career Planning and Management for the Public Service. The Ministry responsible for Public Service will in conjunction with Ministries and Departments implement the framework and develop
and review career progression guidelines for all cadres on the basis of key result areas and job families.

Career Planning is a process of systematically matching career goals and individual capabilities with opportunities for their fulfillment. Career Planning and Management is critical as it impacts on motivation as well as retention of suitably qualified staff and therefore a key component of succession management.

**Strategy 4: Use of re-designations to fill emerging staffing gaps**

Where there are gaps in staffing in critical areas, re-designations from related areas will be considered to fill the gaps. This involves change from one cadre to another upon attainment of requisite qualifications and competencies.

2.1.6 Recruitment and Selection Process

The demand for quality public services has necessitated the need to have the right staff at the right place and at the right time. This calls for actual demonstration of possession of competencies by employees as well as knowledge, skills and experience in work performance and results at the time of recruitment/promotion.

The recruitment process has not been aligned to this reality and still tends to give more emphasis to oral interviews as a way of assessing the suitability of a candidate for appointment other than other methods. Other approaches and best practices which include aptitude, psychometric and written and practical tests. The resultant effect is recruitment and promotion of staff who may not be the most competent nor have right fit thereby compromising on service delivery due to performance gaps.

**Strategy 1: Introduction of Competency-Based Recruitment and Selection Method**

The PSC will review the recruitment and selection process to include competency-based approaches. Competency based recruitment is a process of recruitment based on ability
of candidates to produce anecdotes about their professional qualifications and which can be used as evidence that a candidate has a given competency. This will involve oral and written interviews, aptitude and psychometric tests. Practical tests will be conducted for lower and middle level staff while psychometric tests will be administered for managerial levels. Aptitude tests will be conducted at entry level for professional cadres to ensure that officers recruited into the Public Service have the requisite skills and competences.

(i) The method of assessing officers for the purpose of appointment be based on performance and acquisition of relevant competencies rather than the general interviewing system; and

(ii) Background checks be conducted for all candidates before appointment.

**Strategy 2: Linking recruitment to Human Resource Plans**

All recruitment will be based on approved Ministerial/Departmental annual human resource plans. The Human Resource Plans shall be prepared and approved by MHRMAC of each respective State Department by June of each financial year and the same submitted to the PSC and the National Treasury before 1st July of each year.

**2.1.7 Civil Service Grading and Salary Structure**

The Civil Service has a long grading structure comprising twenty one (21) grades starting from Job Group A to V. The lengthening of the grading structure has been attributed to grade drift as staff clamor for better pay packages particularly when they reach their highest salary points. This is aggravated by the short salary progressions that mean that staff reaches their highest salary points within short periods some as low as five (5) years.

The resultant effect has led to splitting of jobs without distinct duties and responsibilities as the structure necessitates staffing at every level to facilitate smooth succession in respective cadres. The long grading structure in the Civil Service has contributed to succession gaps.
**Strategy 1: Implementation of a Job evaluation**

The Government will review the Grading Structure in line with the Job evaluation results to ensure the new job descriptions address the inherent duplications in job roles while assigning salary according to the worth of the jobs.

**Strategy 2: Salary Progression Structure**

Salary Structures will be reviewed and elongated to allow horizontal progression for a longer period thereby providing many salary points that allow people to receive salary increments for long periods without promotion and thereby tame the temptation for grade drift. The salary points will cover not less than ten (10) salary points.

**2.1.8 Orientation of Training and Development**

Training and development is the integrated use of training, coaching, instructing and putting in place career development strategies to improve individual, group and organizational effectiveness. Its main objective is to develop key competencies that enable individuals perform current and future jobs through planned activities.

The Government has invested in training and development to ensure continuous upgrading of public servants’ knowledge, skills, competencies, and attitudes in a systematic manner. MDAs identify gaps for critical positions and put in place targeted programmes. Generally, the current practice in the Service emphasizes academic graduate qualifications at the expense of competency/skills based courses. Indeed technical skills based courses have been ignored to a large extent thereby compromising competency requirements of different cadres. Further, not all training and developmental interventions reflect the Ministerial/Departmental and County strategic intent, or based on annual documented training needs assessment.

**Strategy 1: Continuous Skills Upgrading**

The Government will facilitate continuous and systematic upgrading of staff skills through investment in training and development for all cadres based on identified gaps.
**Strategy 2: Internship Programme**

The Public Service will establish a mechanism for managing an effective and efficient internship programme for the purpose of bridging the gap between academic and the world of work. Apart from promoting youth inclusion in the workplace experience development, the strategy also aims to establish a supply pipeline of skills to the public service.

The Internship Policy for the Public Service and will:

i) ensure a well-structured and coordinated internship programme;

ii) provide a framework and standards applicable to all interns;

iii) ensure effectiveness and efficiency in implementation and management of internship programme; and

iv) provide a framework for monitoring, evaluating and reporting for improvement and sustainability of internship programmes.

**Strategy 3: Mainstreaming of Induction Programmes**

The Government will mainstream induction programmes to enable new employees acquaint themselves in their new positions and working environment as quickly as possible so as to allow them to contribute effectively to the mandate of the organization.

**Strategy 3: Systematic Identification of Positions Requiring Interventions**

MDAs will identify gaps for critical positions and put in place targeted programmes. Ministerial/Departments will be required to align their training interventions to their strategic intent. The training will be based on clearly documented Training Needs Assessment (TNA).

**Strategy 4: Institutionalization of Coaching and Mentoring Programmes**

All MDAs will be required to institutionalise coaching and mentoring programmes for all employees. This is a development technique based on one-on-one discussions to enhance an individual’s work related skills, knowledge, competencies and attitude in order to achieve their full potential. This ensures that there is adequate supply of competent
officers to take over leadership of functions in Ministries and Departments. Employees with mentors are much more likely to experience a range of positive outcomes, including enhanced job performance, faster promotions and compensation, organizational commitment and job satisfaction, personal learning, and reduced turnover intentions.

2.1.9 Leadership Development Programmes

Leadership is key to succession management in the Public Service as leaders are the drivers of organizational success. Leadership development facilitates building of capacity of individuals who perform leadership roles and their successors in Ministries and Departments. The service, however, does not have adequate programmes on leadership development to build capacity of officers to take up leadership roles.

*Strategy 1: Design and Review Leadership Development Programmes*

The Public Service Commission alongside relevant stakeholder institutions will design additional leadership development programmes as well as review the existing ones. Ministries and Departments in liaison with the Ministry responsible for the Public Service will facilitate development of managers with capabilities to fill top leadership positions by executing leadership development programmes for heads of functions and senior managers in the Service. This will be carried out in collaboration with Kenya School of Government (KSG) and other training institutions.

*Strategy 2: Review of Policies/Practices on Secondments and Development Programmes*

The Public Service Commission in conjunction with the Ministry responsible for Public Service will review current policies and practices on secondment, attachment, benchmarking and study tours programmes to ensure that officers identified for leadership positions are fully exposed to other organizations or counties.
2.1.10 Knowledge and Talent Management

Knowledge Management is a process of creating, sharing, using and managing the knowledge and information of an organization. Ministries and Departments, currently have no formal systems of harnessing and sharing organizational knowledge and information.

Talent management on the other hand is a way of identifying, recruiting, retaining and developing the most talented employees available in the job market. Government lacks structured system of attracting, retaining and developing people with the aptitude and abilities to meet current and future needs of the Public Service.

Strategy 1: Creation of Knowledge Management Systems

Retaining the knowledge held by key employees and passing it on to potential replacements is an essential part of succession planning. The Public Service Commission will develop a framework for knowledge attraction, retention and management to be applied across the Service.

The PSC and ministry responsible for Public Service will further put in place systems where knowledge can be tapped, shared and applied to support organizational goals and objectives. The key areas in knowledge management include:-

(i) Communicating with staff
Communication is key to transferring knowledge in your workforce. It builds relationships and trust, both of which are necessary to promote the transfer of knowledge.

(ii) Making learning part of your organization’s culture

(iii) Leading by example- employees will feel more comfortable if they see their leaders sharing knowledge.

Strategy 2: Development of a Talent Management Framework
The Ministry responsible for Public Service, in conjunction with PSC, will develop a Talent Management Framework to facilitate identification and management of unique talents.

Ministries and Departments will be required to identify and manage talents in order to tap on rare skills, competences, attitudes and unique talents. This will facilitate retention of talented staff within the Public Service and provide a means of accelerating employee development by identifying opportunities for career growth and development for present and future staffing needs.

2.1.11 Staff Establishment

Staff Establishment is data comprising of designation code, designation/title, authorized staffing levels, staff in position and variance (vacancy or over-establishment). Most MDAs do not keep up-to-date staff establishment records to facilitate staffing decisions thereby contributing to planning gaps.

Strategy 1: Development of an Updated Staff Establishment

The Public Service Commission is mandated to establish and abolish offices in the public service. The PSC as the custodian of the Staff Establishment shall develop a real time database linked with GHRIS for update information. Each Ministry/Department will be required to have an optimal staff establishment based on workload analysis. Staff establishment should be updated on real time basis in order to bring on board newly established posts; and expunge obsolete, abolished or transferred posts.

Strategy 2: Continuous Updating of the Staff Establishment through periodic Reconciliation

Each Ministry or Department with assistance from the Ministry responsible for Public Service will undertake annual reconciliation of establishment for approval by the Public Service Commission. Staff establishment will facilitate decision making on human resource requirements and aid budgeting for human resource needs.
2.1.12 Performance Management System
Performance management systems aid the management of employee, departmental and organizational performance to ensure that set targets, goals and strategic objectives are achieved efficiently and effectively. The current performance management system has structural weaknesses which renders it unable to facilitate effective performance of employees. To facilitate effective performance of employees as well as the organization, following strategies will be implemented:

**Strategy 1: Review of Performance Management Framework**
PSC has reviewed existing performance management framework and tools to effectively measure organizational and individual performance. Sound Performance Management systems will facilitate in identification and assessment of key talents, leadership potential and skills gaps. High performing individuals will be recognized, rewarded and fast tracked to fill emerging vacant posts at higher levels. Guidelines for implementation of Performance Rewards and Sanctions have been developed to enable smooth implementation of the Performance Rewards and Sanctions Framework

**Strategy 2: Institute a Culture of Performance**
This will be done through:

(i) Implementing revised performance management tools;
(ii) Recognition and awards scheme under Public Servant of the Year Award (PSOYA);
   and
(iii) Implementation of the developed Performance Rewards and Sanctions Framework

**Strategy 3: Introduce Performance Management Incentives and Performance based bonuses**
To encourage officers to take up challenging roles, performance incentives will be implemented under the Performance Rewards and Sanctions Framework for the Public Service. These include:
i) Payment of 13th month Basic Salary for Excellent Performance

ii) Placement on Roll of Honour published annually by PSC

iii) Employee of the Year Award

iv) Nomination for National Honours and Awards

v) Promotion on merit

vi) Paid Vacations

2.1.13 Skills and Competences

Competencies are the skills, knowledge and behaviours that lead to successful performance. Training and development in the Public Service is mostly supply driven and not needs based. The training in most cases does not address skills and competencies required at various levels.

Strategy 1: Implementation of Training Needs Assessment Reports

Ministries/Departments will conduct Training Needs Assessment (TNA) every three (3) years to inform on the annual training plans. This will further facilitate identification of gaps for critical positions to enable MDAs put in place targeted programmes. All training interventions will reflect the Ministerial/Departmental strategic intent.

Strategy 2: Provision of Adequate Funding for Training and Development

Ministries and Departments will, in liaison with The National Treasury facilitate adequate funding for training and development for continuous upgrading of Public Servants knowledge, skills, competencies, and attitudes in a systematic manner. The funding be at least 2% of the budget for Personal Emoluments.

Strategy 3: Coaching and Mentoring

The Ministry responsible for Public Service will develop a framework for coaching and mentoring of staff at all levels. This will impart the necessary skills and competencies to officers.
Strategy 4: Introduction of a Competency framework

Competency management, sometimes called competency-based management, involves identifying the competencies that distinguish high performers from average performers in all areas of organisational activity, constructing a framework and using it as the foundation for recruitment, selection, training and development, rewards and other aspects of employee management. The reason for introducing a competency management system in government often lies in the many benefits it entails. Some of the benefits include:-

- Emphasising human resources as essential to the organisation’s prosperity and longevity
- Moving away from narrowly defined functions and jobs to integrated processes and teamwork
- Creating the flexibility to quickly adapt to changing customer needs and business conditions through competency-based deployment of employees
- Consistency in identifying and measuring people quality at all stages of the employment cycle
- Providing employees with opportunities to develop and apply new knowledge and skills in exchange for their work and commitment
- Competency standards can test the effectiveness of training, improve recruitment, identify training gaps that should lead to improved efficiency, productivity, worker safety, and employee retention
- Creating a culture of continuous learning
- Substituting lateral growth for career ladders and promotion

2.1.14 Other Strategies for Addressing Succession Management

The Government will introduce other strategies to support succession management in the Public Service.

(i) Young Professionals Programme
The Government will introduce a three (3) year Programme to facilitate employment of highly qualified and talented youth into substantive positions in the Public Service to fill-up the gaps arising from the ageing Service as well as skills flight and areas with skills shortage and thereby contribute to the technical capacity of the Service. The Programme will facilitate the mainstreaming of youth perspectives, and providing career opportunities to young people.

The programme will increase the technical capacity of the Public Service through additional technical roles at lower levels for purposes of management succession; facilitate inclusion of youth perspectives in the Public Service’s work; and provide entry level opportunities for talented young professionals ready to build their capacity and career prospects in the Public Service.

(ii) Emeritus Programme

The term *Emeritus* is in some instances conferred automatically upon all persons who retire at a given rank. Chapter Six (6) of the constitution on Leadership and Integrity has raised the requirements on the Leadership threshold thus necessitating experienced Leadership coaches, counselors and mentors. A strategy and programme that will result to transformative Leaders is therefore needed to build the capacity of civil servants to lead and manage change in the implementation of reforms.

The Government will implement Emeritus programme to utilize highly skilled and experienced retirees from the Public Service to be re-engaged to impart their vast knowledge, skills and competencies to coach and mentor public servants.
CHAPTER THREE: INSTITUTIONAL FRAMEWORK

The following stakeholders will support implementation of the strategy:

**Public Service Commission**
(i) Review the strategy
(ii) Provide guidelines on implementation of the strategy
(iii) Monitor and Evaluate implementation of the strategy

**Ministry responsible for Public Service**
(i) Coordinate implementation of the strategy
(ii) Provide feedback on implementation of the strategy and guidelines

**Ministries/Departments**
(i) Implement the strategy and guidelines
(ii) Prepare and submit quarterly and annual M&E reports
(iii) Prepare budgetary requirements for implementation

**The National Treasury**
(i) Provide funding required for implementation of the strategy

**State Corporations Advisory Committee (SCAC)**
(i) Coordinate implementation of the strategy in state corporations.
CHAPTER FOUR: MONITORING AND EVALUATION

Monitoring the implementation of the policy is crucial as it will provide feedback on its progress, effectiveness and impact. Hence, HRP and succession Management interventions will be monitored and evaluated regularly to ensure that the stated goals and objectives are realized within the specified timelines.

The PSC will develop a Monitoring and Evaluation (M & E) framework to guide the M & E process.
CHAPTER FIVE: IMPLEMENTATION PLAN

This document contains succession management strategies that need to be implemented in the immediate, short term and long term periods as here under. It is noteworthy to understand that the government agenda is set out in the Vision 2030, sustainable development goals and other emerging government priorities. Against these blue prints the various MDAs have strategic plans that guide their day-to-day operations. Therefore succession management priorities will be determined by the MDAs priorities as stipulated in the respective strategic plans. The leadership in MDAs must continuously monitor and collect data to whether the strategies are meeting the department’s needs and evaluates succession planning outcomes based on established metrics. The implementation plan is appended below.
### APPENDICES

#### Appendix 1: Succession Management Implementation Action Plan

<table>
<thead>
<tr>
<th>Succession Management Issue</th>
<th>Strategies</th>
<th>Activity</th>
<th>Actors</th>
<th>Time Frame</th>
</tr>
</thead>
</table>
| **MDAs new priority Areas** | - Recruitment for new priority areas for the next five (5) years;  
- Review the P.E. Budget based on the HR Plans | - Identify new skill areas;  
- Review Skills and Competences requirements;  
- Develop schemes of service; and  
- Budget and prioritize for recruitment | - CSs  
- PSs  
- MHRMAC | April 2017 |
| **Human Resource Planning** | - Mainstream Human Resource Planning in MDAs  
- Review job descriptions to inform optimal staffing levels | - Ministries/Departments to develop human resource plans;  
- Align human resource planning with government and department plans, goals and priorities.  
- Develop a comprehensive skills inventory for the Service; | - MDAs | July, 2017 |
<p>|                             |            |          | PSC               | July, 2017 |</p>
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<thead>
<tr>
<th>Succession Management Issue</th>
<th>Strategies</th>
<th>Activity</th>
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<td></td>
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<td>• Interface GHRIS data base</td>
<td>MPSYGA</td>
<td>July, 2017</td>
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<td>• Issue a circular to the service by July, 2017</td>
<td>PSC</td>
<td>July, 2017</td>
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<td>• Align employee performance management with government and department goals and priorities.</td>
<td>MDAs</td>
<td>July, 2017</td>
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<td>Staff exits</td>
<td>Replacement ofExiting Staff</td>
<td>• Identifying staff who are exiting;</td>
<td>MDAs</td>
<td>April, 2017</td>
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<td></td>
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<td>• Conduct exit interviews</td>
<td>MHRMAC</td>
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<td>• Determine their relevance, competences and skills;</td>
<td>PSC</td>
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<td>• Identify available skills internally to replace them;</td>
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<td>• Prioritize and set aside budget for recruitment;</td>
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<td>• Submit request for replacement to PSC six (6)</td>
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<td>Succession Management Issue</td>
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<td>months before exit;</td>
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<td>• Isolate cadres most affected by brain-drain and put in place remedial action</td>
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<td></td>
<td>• Maintain a database of all those who have left for greener pastures</td>
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<td>Long Grading Structure in the Civil Service</td>
<td>Review current grading by implementing the Job evaluation</td>
<td>• Communicate the new structure to the Service.</td>
<td>MDAs PSC DPSM</td>
<td>By June 2017</td>
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<td></td>
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<td>• Replace schemes of service with Career progression</td>
<td>MDAs PSC DPSM</td>
<td>By June 2017 – June 2018</td>
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<td>• Review Salary Structure</td>
<td>DPSM</td>
<td>February, 2017</td>
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<td>Competency Based Recruitment/Promotions</td>
<td>mainstream the Competency Based Framework in the Public Service</td>
<td>• Identify critical competencies for each cadre;</td>
<td>MDAs DPSM PSC</td>
<td>June, 2017</td>
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<td>• Sensitize MDAs on Competence Framework;</td>
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<td>• Roll out competence based</td>
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<td>Succession Management Issue</td>
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<td>recruitment/promotions;</td>
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<td>- Institutionalize competency testing</td>
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<td>- Define clear job descriptions</td>
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<td>Learning Organization</td>
<td>Knowledge Management</td>
<td>- Sustaining innovation and programs in the face of changing Administrations, politics and priorities through Documentation;</td>
<td>MDAs, PSC, MPYGA</td>
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<td></td>
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<td>- Implement Emeritus programs;</td>
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<td>- Mainstream coaching and mentoring;</td>
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<td>- Process documentation and document repositories,</td>
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<td>- Adopt Best Practices</td>
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<td>- Institutionalize Job Rotation;</td>
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<td>Organizational Development</td>
<td>Training and Career development for the employee</td>
<td>- Main stream induction programs;</td>
<td>MDAs, PSC</td>
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<td>and Renewal</td>
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<td>- On-the-job training/cross</td>
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<td>Succession Management Issue</td>
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<td>training/participation in projects, teams, task forces, or committees;</td>
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<td>• Management Trainee Programs;</td>
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<td>• Attending work-related conferences;</td>
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<td>• Membership affiliation with industry specific associations and societies;</td>
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<td>• Internship and volunteer programs;</td>
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<td>• Leadership development programs and training courses; and</td>
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<td>• Culture and change management programs</td>
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</table>
| Enhance leadership capacity at all levels of the Public Service through an integrated and coordinated approach that fosters a culture of leadership, continuous learning, and service excellence | • Strengthen leadership development and continuity succession planning at all levels in the Public Service  
• Enhance a culture of continuous learning through competency development;  
• Focus on key competencies for leaders including: resource management; service delivery; communication; decision-making; ethics and professionalism; relationship building; creativity and innovation; self-management; and strategic focus | | | |
Appendix 2: Succession Planning Process

It is important to acknowledge that succession planning will vary from department to department. Different resources, different organizational designs and different attitudes all mean that succession planning should be flexible and adaptable in order to accommodate varying needs and achieve continuity. However, there is general framework that departments can use as a basis and guide for their succession planning activities. This framework involves:

1. **STEP 1:** Identifying key positions or key groups (Current and/or future)
2. **STEP 2:** Identifying Competencies
3. **STEP 3:** Identifying and assessing potential candidates
4. **STEP 4:** Learning and Development plans
5. **STEP 5:** Implementation and evaluation
STEP 1: Identifying key positions or key groups (Current and/or future)

- Current and future strategic goals and objectives
- Retirement forecasts
- Turnover rates
- Current and expected vacancies
- Changes to existing programs and services
- Highly specialized function

STEP 2: Identifying Competencies

- Reviewing job descriptions, advertisements, and relevant merit criteria
- Interviewing current and former job incumbents
- Interviewing supervisors, clients, and other stakeholders
- Conducting focus groups or surveys
- Reviewing any existing development programs (i.e. leadership competencies)
- Reviewing organizational values

STEP 3: Identifying and assessing potential candidates

- Employees discussing career goals and objectives with their supervisor
- Developing an inventory of employee skills/competencies and careers interests
- Candidate interviews
- Review of résumés/CVs
- Performance reviews
- Reference checks
- Talent review meetings

STEP 4: Learning and Development plans

Some key points to remember when developing learning and development plans are:
• Plans should focus on decreasing or removing the gap between expected competencies and the current knowledge, skills and abilities of candidates.

• Manage expectations – modern succession planning is based on learning and development to fulfil employee potential, rather than merely filling a vacancy.

There are a wide range of learning and development opportunities to consider, which can include:

• Job assignments that develop and/or improve a candidate’s competencies;

• Job rotations; and

• Formal training.

Ensure appropriate strategies are in place to support the transfer of corporate knowledge to candidates for key jobs, which can include:

• Mentoring, coaching or job-shadowing;

• Documenting critical knowledge;

• Exit interviews; and

• Establishing communities of practice.

STEP 5: Implementation and evaluation

• How the process operates – the relationship between inputs, activities, outputs, and outcomes

• Impact of the process relative to stated goals and objectives

• Functional strengths and weaknesses

• Potential gaps in planning and assumptions

• Cost-effectiveness and cost-benefit