

Abstract

Leadership can be defined as "organizing a group of people to achieve a common goal". The leader may or may not have any formal authority. They are seen as someone whom people may follow: someone who guides or directs others. Every great leader has a story about the leader in which they learned from. Focus will be put on the leaders in which we learn from as well as the leader we become. Succession planning provides a pipeline for great leadership in an organization, if established properly. This research provides the reader with tools to establish a succession plan and mold great leaders in an organization.

Introduction

Succession planning is a process for identifying and developing internal people with the potential to fill leadership positions in the agency or organization. Succession planning increases the availability of experienced and capable employees that are prepared to assume these roles as they become available. Developing leaders to effectively take over from current leaders requires a good plan. The core of the plans should involve the agencies goals, objectives and values which will assist in the development of those key leaders. One must also be able to identify potential and have the ability to use it wisely and challenge it periodically. How do we include these processes in our promotional and hiring process?

Most agencies have some form of internal mentoring, usually informal but tend to be somewhat effective. The informal mentoring weighs heavily toward replacement planning as opposed to succession planning. Replacement planning allows you to identify individuals from within who would be best equipped to serve as backups for the current employee. This process can be effective but does not always yield the best results. Generally the process of replacement planning forces a supervisor to identify an individual or individuals as guardians to keep the work flowing and making the right decisions when the supervisor is out or not available.

Replacement planning is important and plays a major role in the risk management program. It enables you to plan for the loss of data, finances, equipment or facilities but leaders must also plan for the loss of key people. Key people are the hardest to replace due to the information those people have within. Replacement planning is a good place to start when introducing succession planning or talent management to an agency for the first time. Most agencies acknowledge the need for succession planning but don't know where to start. This is the reason why replacement planning is a good place to start because it opens the dialogue among managers about the supply of available talent in the agency. Succession planning will also prompt questions about what it takes for a worker to be "ready now" to fill his or her boss's

shoes, how replacement should be identified and what experiences on the job are necessary to make people genuinely “ready now.”

Once a replacement has been selected for a position it is important to train selected staff so that each is prepared to function solo at the conclusion of their training cycle. There is a Field training officer (FTO), program for line staff as well as line supervisors and middle managers in most agencies; however, most agencies fail to have a program in place for executive staff. The purpose of this paper is to discuss the need for ensuring that training is provided for all staff at all levels. The paper will give suggestions on how to go about establishing a succession plan for all levels.

Literature Review

Roadmap

A good succession planning program should be organized around a roadmap that integrates all its components and emphasizes the internal development of existing employees in the organization (Rothwell, 2005). Unfortunately, most organizations fail to plan for the departure of key leaders in their agency. The failure to plan can result in the failure of an organization or a talent pool so drastically diminished that it could take years to recover from the departure of those legacy leaders. Recruiting the right employees can assist and play a key role in the development of key leaders.

Since succession planning focuses on internally developing employees, it is usually necessary to devote more time and attention to planned training, on the job development and other experiences designed to build competencies. At the same time, organizational leaders may wish to take a hard look at their internal job posting systems to ensure that they adequately encourage people to apply for positions of increasing responsibility. Another promising approach is to integrate top-down succession planning, in which managers identify possible future leaders, with career planning, in which individuals share their career goals (Rothwell, Jackson, Knight, Lindholm, 2005).

Step one: Get Commitment- No succession planning program can work without managers and employees at all levels clearly understanding why a succession program is needed. At the same time, executives, managers, supervisors and employees must clearly understand their role in the program.

Step two: Analyze the Work and the People Now- To prepare successors, managers must know what work is done, how it is done and what kinds of people do it best. This step requires the creation of up-to-date job descriptions, clear work outputs and work accountabilities, and job competency models to describe the characteristics of the people who do the best work.

Step three: Evaluate Performance- This step is important in a good succession planning program because individuals must be held accountable for the work they do, the responsibilities they shoulder, and the competencies they demonstrate.

Step four: Analyze the Work and People needed in the Future- Decision makers align the organization's strategic objectives with the work and the competencies needed to realize those objectives.

Step five: Evaluate Potential- Every individual who seeks promotion is really working to be developed on an escalator because the competitive environment within which the organization performs is not static. Leaders must find objective ways to determine how well individuals will function at a future time and at a higher level of responsibility.

Step six: Develop People- Organizational leaders should establish an individual development plan (IDP) for each employee to narrow gaps between what the individual does now and what he or she must do successfully in the future to function at a higher level of responsibility.

Step seven: Evaluate Program Results- How can the results of a succession planning program be evaluated? The answer to this question must be obtained by measuring program success against the objectives established for the program in step one.

The aforementioned seven steps are essential components of a succession planning program being developed internally for any organization. It is important to follow the steps entirely and routinely assess the program.

Integrating Recruitment in Succession Planning:

Rothwell's book, "Effective succession planning" does a great job explaining the process in detail of how to integrate recruitment in succession planning. Recruiting is usually one step in the process of retaining staff that is overlooked. While these issues may seem like opposing forces, recruitment and succession planning go hand-in-hand and should be taken with an integrated approach to ensure that a company is effectively improving its bench strength by bringing in new talent and developing internal talent, (Succession Planning Template). Recruitment of talent relies heavily upon the Human Resources Department (HR), it cannot be there alone. Therefore, HR must work closely with line managers to receive their feedback and collectively decide the proper source for a particular position. Collectively Human Resources and management can work together to establish a track record where the best candidates for the agency are selected.

Key Factors

(William J. Rothwell), PepsiCo, IBM and Nike are current examples of the so-called "game planning" approach to succession and talent management. In these and other companies annual reviews are supplemented with an ongoing series of discussions among senior leaders about who is ready to assume larger roles. Vacancies are anticipated and slates of names are prepared based on highest potential and readiness for job moves. Organization realignments are viewed as critical windows

of opportunity to create development moves that will serve the greater good of the enterprise.

Assessment is a key practice in effective succession planning. There is no widely accepted formula for evaluating the future potential of leaders, but there are many tools and approaches that continue to be used today, ranging from personality and cognitive testing to team-based interviewing and simulations and other assessment center methods. Assessment should be internal as well as external. Internal assessments can be measured through interviews, surveys, meetings and in-briefs. External assessments can be with other agencies, subordinates and studies. Once the assessments are completed, you must validate them through challenging feedback and observations.

Alignment and Team Building is a necessary factor in succession planning. It involves creating or sustaining high functioning teams. First you must assess how well teams operate in the organization. There are many types of teams in an organization, some formal, some informal and some that are teams of teams. Give guidance on what the team member does to contribute to team building. Leaders also have the difficult task of resolving conflicts among team members and dealing with breaches in trust that attack teamwork.

Southwest Airlines has been profitable and in the black for 33 consecutive years with its seven secrets for success. There are two major points of interest for Southwest Airlines, keeping things simple and consistency. By keeping things simple and being consistent, it allows Southwest to drive down costs, maximize productive assets and help manage customer expectations. News from **News from Portfolio.com** lists the seven secrets for success:

One Plane Fits All

Unlike the network carriers and their commuter surrogates, which operate all manner of regional jets, turboprops, and narrow-body and wide-body aircraft, Southwest flies just one plane type, the Boeing 737 series. That saves Southwest millions in maintenance costs—spare-parts inventories, mechanic training and other nuts-and-bolts airline issues. It also gives the airline unique flexibility to move its 527 aircraft throughout the route network without costly disruptions and reconfigurations.

Point-to-Point Flying

Network carriers rely on a hub-and-spoke system, which laboriously collects passengers from "spoke" cities, flies them to a central "hub" airport, and then redistributes them to other spokes. Not Southwest. Most of its flying is nonstop between two points. That minimizes the time that planes sit on the ground at crowded, delay-prone hubs and allows the average Southwest aircraft to be in the air for more than an hour longer each day than a similarly sized jet flown by a network carrier. Southwest's avoid-the-hubs strategy also pays dividends in on-time operations. According to Flight Stats, Southwest's 78 percent on-time performance in June is eight percentage points higher than the industry average and higher than that of any of its major competitors.

Simple In-Flight Service

Business travelers haven't always loved Southwest's über-simple service, but it's looking better and better as competitors cut back. There is just one class of service, a decent coach cabin that is slightly more spacious than those of Southwest's competitors. There are no assigned seats. There have never been meals, just beverages and snacks. Keeping it basic allows southwest to unload a flight, clean and restock the plane, and board another flight full of passengers in as little as 20 minutes compared with as much as 90 minutes on a network airline. Airline efficiency experts say that the savings allow each Southwest jet to fly an extra flight per day. Extra flights mean extra revenue.

No Frills, No Fees

As other carriers have rushed to remove perks and pile on fees and restrictions, Southwest has kept its customer proposition streamlined and transparent. The airline only sells one-way fares and only in a few price "buckets." That not only keeps costs down—complex fare structures are expensive to manage—it convinces fliers that they are getting value for money. Prices are all-inclusive too. Southwest doesn't have fuel surcharges, doesn't charge for standby travel or ticket changes, and continues to permit travelers to check two pieces of luggage free. And since every seat on every flight is virtually identical, travelers know exactly what they will get when they make a purchase.

Strong Management

The public face of Southwest Airlines for a generation, hard-drinking, chain-smoking, always-leave-'em laughing Herb Kelleher, finally stepped away from the carrier earlier this year. Kelleher's bonhomie masked the discipline that Southwest has had throughout its history. The airline has always avoided fads and eschewed anything that increased costs or complicated the basic travel proposition. When it has changed—last year it ended its infamous cattle-call boarding process to favor its most frequent fliers and highest-fare customers—it has done so without slowing down the movement of aircraft. Management ranks are lean, but well compensated and, most importantly, productive. I once calculated that the top executives of Southwest generated 10 times more revenue per dollar of compensation than did the C-suite types at some of the network carriers.

A Relatively Happy Workforce

Network carriers have railed for decades about the power of their employee unions. But guess who the most unionized carrier in the nation is? Southwest, of course. The airline says that 87 percent of its employees belong to a union. Southwest has never had a strike, and now that the network carriers have whacked away at salaries and benefits, Southwest staffers are generally the highest paid in the industry. But since Southwest has about 30 percent fewer employees per aircraft than its network

competitors, it has the lowest non-fuel C.A.S.M. (cost per available seat mile) of any of the major carriers.

Aggressive Fuel Hedging

Rampaging fuel prices now represent around 40 percent of an airline's costs, but, as usual, Southwest Airlines has been ahead of the curve. Since 1999, the airline's aggressive fuel-hedging program has saved it an estimated \$3.5 billion. In the first quarter, for example, it paid \$1.98 a gallon for fuel, approximately a dollar less than its network competitors. And Southwest's future position is admirable: It is 70 percent hedged at \$51 a barrel through the end of the year and 55 percent hedged at the same price next year.

In a world of \$140-a-barrel oil, suggesting that any airline is a guaranteed winner is beyond hubris. But this much can be said: Southwest Airlines is sitting on a pile of cash and fuel hedges and has a proven and easily adaptable service model. And history shows that southwest has comfortably survived every airline-industry downturn, then grown rapidly and profited hugely when the business cycle turns.

Stephen A. Miles in his article, succession planning: How everyone does it wrong, brings out a few interesting points that need to be taken into consideration when considering succession planning. Although he is talking about a company or business, I think it still applies to law enforcement. (Stephen A. Miles Succession Planning: How Everyone Does It Wrong)

At the 1,000 largest American companies (by revenue) in 2008, 80 new CEOs were appointed, and only 44 of them--55%--were promoted from within. If you view a board's having to go outside to hire a CEO as a failure in succession planning, which represents a breakdown in the system. A failure rate of 45% means that far too many plans aren't working.

These observations point to a critical area where succession planning practices can and should be improved: The CEO and the board need to get and stay on the same page when it comes to the true readiness of internal succession candidates and making sure of their preparation.

Furthermore, CEOs and boards need to overcome the following myths about succession planning.

--*External candidates are more exciting and promising.* There is a paradox in succession planning: Internal successors are in many ways lower risk than outsiders, yet surprisingly few promotions are awarded internally. That appears to be because boards often prefer the devil they don't know to the devil they do. Also, some find it difficult to imagine someone at the top after seeing him operate in a lesser role for years. Meanwhile internal candidates hear over and over that they are still just a year or two away from being ready.

--*The successor has to be ready now.* The concept of the "ready now" executive is not useful and should be stricken from the business lexicon. If a company did manage to make a "ready now" successor, the only way it would know would be after the fact--perhaps when that candidate was running a competitor because he tired of waiting.

Such executives often end up doing very well somewhere else, proving that there actually was a viable candidate all along that the company was ignoring.

Just how "ready" each executive needs to be depends in part on certain characteristics of the rest of the top management team. One client of ours, a very large business, was looking externally for a new chief financial officer but ultimately decided on a young internal candidate, in his early forties, who had never served as CFO at a public company. The risk that the candidate would not appear "ready" was lessened by the facts that the current CEO was a former CFO and there were a world-class treasurer and controller already in place. In the end, the particular context of a leadership situation goes a long way toward determining how "ready" the successor needs to be and, consequently, how much risk the decision-makers may want to accept.

--CEO succession planning is single-person event. When boards take on succession planning, they often focus on the CEO role--the role that gets the most attention in the media and in the marketplace--to the exclusion of other positions. But the best succession planning really involves a constant assembly and reassembly of a leadership puzzle with many pieces. In fact, the pieces themselves aren't of constant shape or size. As each piece is selected--from CEO, CFO and COO to sales and marketing chiefs and other C-level officers--the shape of the remaining pieces becomes clearer. And external factors such as company strategy, economic conditions and the like also affect the way the puzzle is solved. The choice of the best candidate will depend partly on the team surrounding him or her and how all their skill sets complement one another. A trend we are seeing develop in the best managed companies is that boards aren't satisfied with an externally calibrated view of just the CEO and his or her direct reports. Now boards want a similarly detailed measure of all the executives one or two levels below to see who's on deck and how deep the talent bench is. That greatly helps in succession planning, as executives gain exposure to the board much earlier.

What worked in the past will work in the future. When a board is planning to replace a legendary, or even merely successful, CEO there is a strong danger in framing the process by looking in the rearview mirror. What a company needs in the next six months and beyond may be drastically different from what was needed even in the last quarter. An individual who sees the company and its industry through a new set of lenses may be best prepared to recognize and seize new opportunities. Jamie Dimon was markedly different from Bill Harrison at JPMorgan Chase (JPM - news - people), as was Marius Kloppers from Charles Goodyear at BHP Billiton (BBL - news - people). All four leaders have been successful--but each successor was quite unlike his predecessor.

There are scores of articles and research on succession planning in government, law enforcement, the private sector and others. There appears to be an apparent problem in law enforcement with leaders failing to address the problem of losing key leaders in their organization as well as ensuring proper training is conducted to retain and promote competent staff.

Method

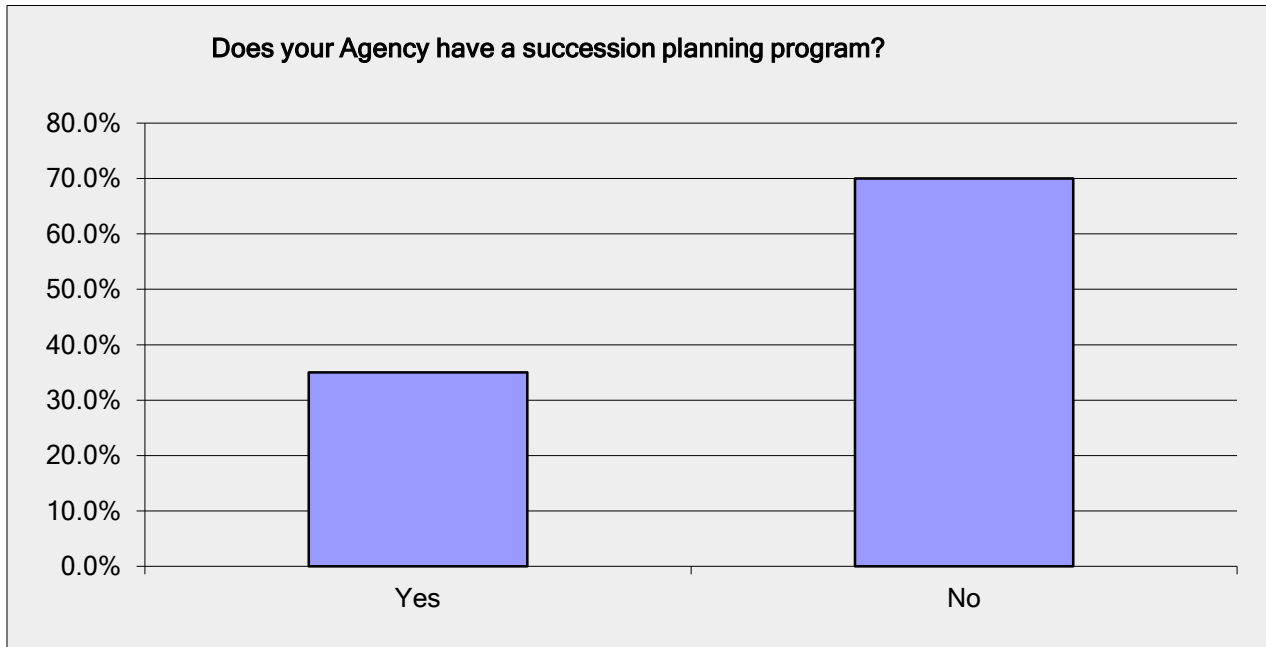
This research paper was designed to assist supervisors with identifying the lack of focus on preparing future leaders in organizations and the potential problems they may encounter if no plan is put in place. I initially started my quest for information through contacting Correctional agencies within the State of Florida telephonically. I was not able to get one telephonic interview with key leaders within these agencies. I will not name the agencies due to the proximity of the agencies as well as the need to maintain a professional working relationship with them.

The Senior Leadership Program, which I am attending, is comprised of various law enforcement agencies throughout the state of Florida and I decided to further my research through polling SLP #15 through survey monkey.com.

Results and Discussion

There are 32 students in the SLP#15 class and there were 20 respondents. Approximately 62% of the class responded to the survey. In most documented surveys regarding succession planning the number of respondents are extremely low, some as low as 5% and although the response numbers are low, they are not unexpected given the closed culture of law enforcement . Receiving 62% response regarding Succession Planning was alarming. The questions were selected by me in an attempt to get honesty from my peers, understanding the pressures of obligation to their agency and the fear of their agency being viewed unfavorably. An extra effort was put into making sure anonymity was maintained.

| Does your Agency have a succession planning program? | | |
|--|------------------|----------------|
| Answer Options | Response Percent | Response Count |
| Yes | 35.0% | 7 |
| No | 70.0% | 14 |
| <i>answered question</i> | | 20 |
| <i>skipped question</i> | | 0 |

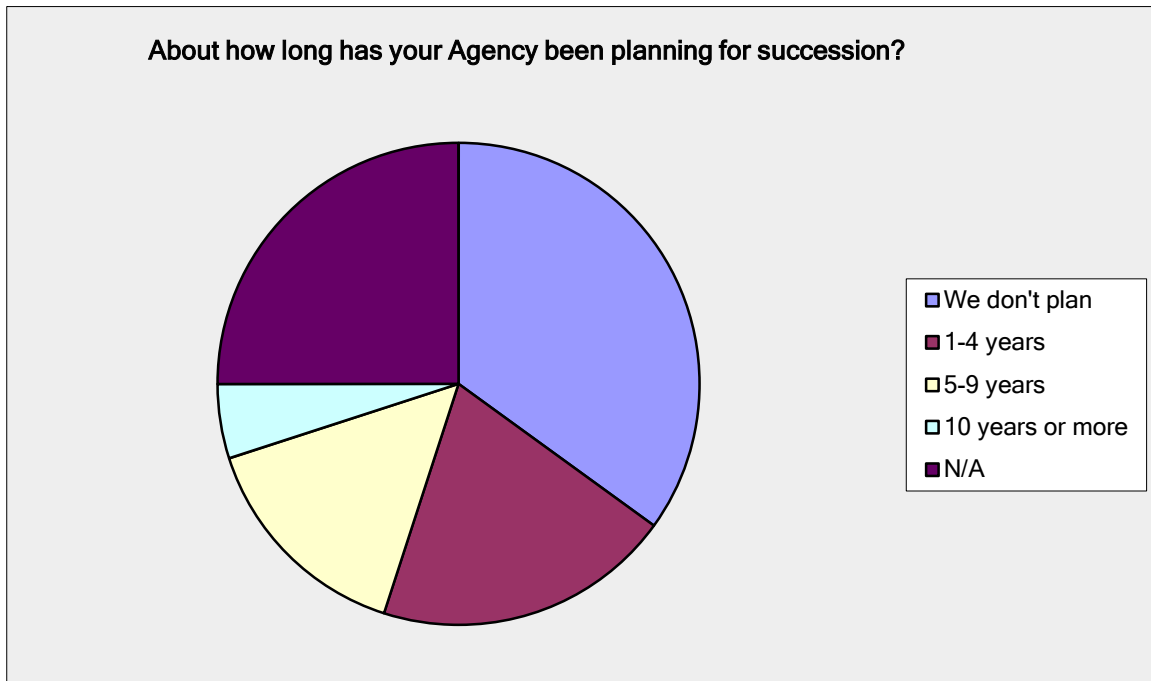


Seventy percent of the class does not have a Succession Plan within their Agency.

New Survey

About how long has your Agency been planning for succession?

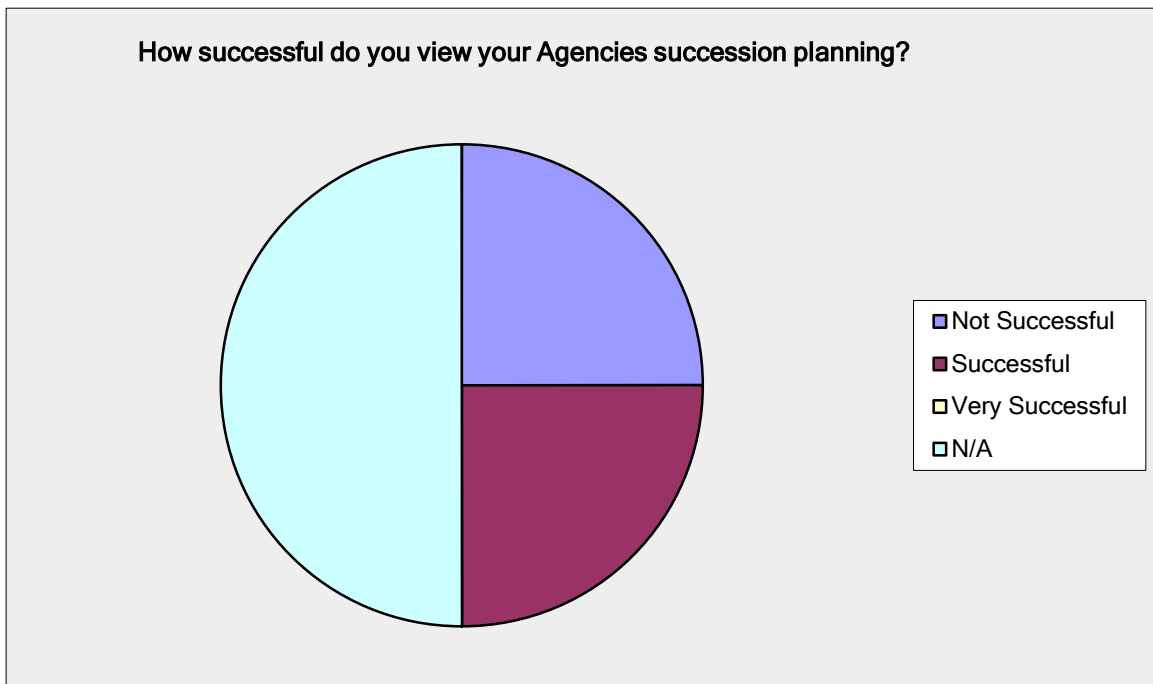
| Answer Options | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| We don't plan | 35.0% | 7 |
| 1-4 years | 20.0% | 4 |
| 5-9 years | 15.0% | 3 |
| 10 years or more | 5.0% | 1 |
| N/A | 25.0% | 5 |
| <i>answered question</i> | | 20 |
| <i>skipped question</i> | | 0 |



The numbers on this chart does not correspond with question number 1, however it shows that 35% of the respondents have not and do not plan for the absence of key leaders in their organization.

New Survey

| How successful do you view your Agencies succession planning? | | | |
|---|------------------|----------------|-----------|
| Answer Options | Response Percent | Response Count | |
| Not Successful | 25.0% | 5 | |
| Successful | 25.0% | 5 | |
| Very Successful | 0.0% | 0 | |
| N/A | 50.0% | 10 | |
| <i>answered question</i> | | | 20 |
| <i>skipped question</i> | | | 0 |

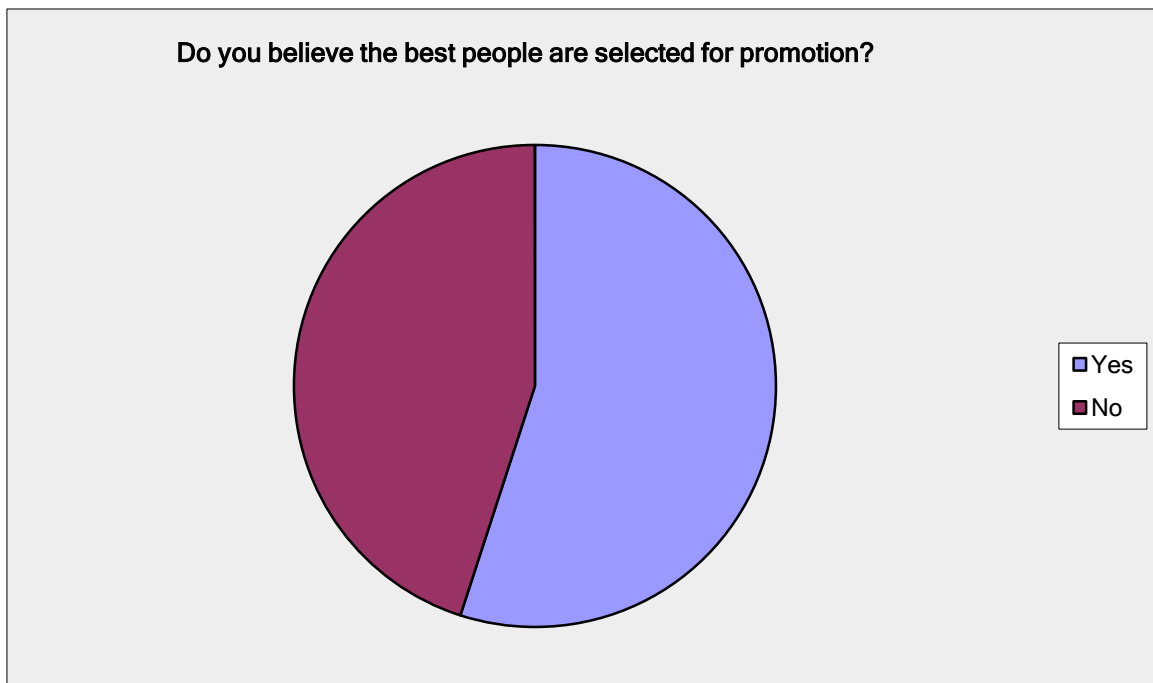


Fifty percent of the respondents did not wish to respond. Exactly half of the respondents feel as though their succession planning program is successful and the same for unsuccessful.

New Survey

Do you believe the best people are selected for promotion?

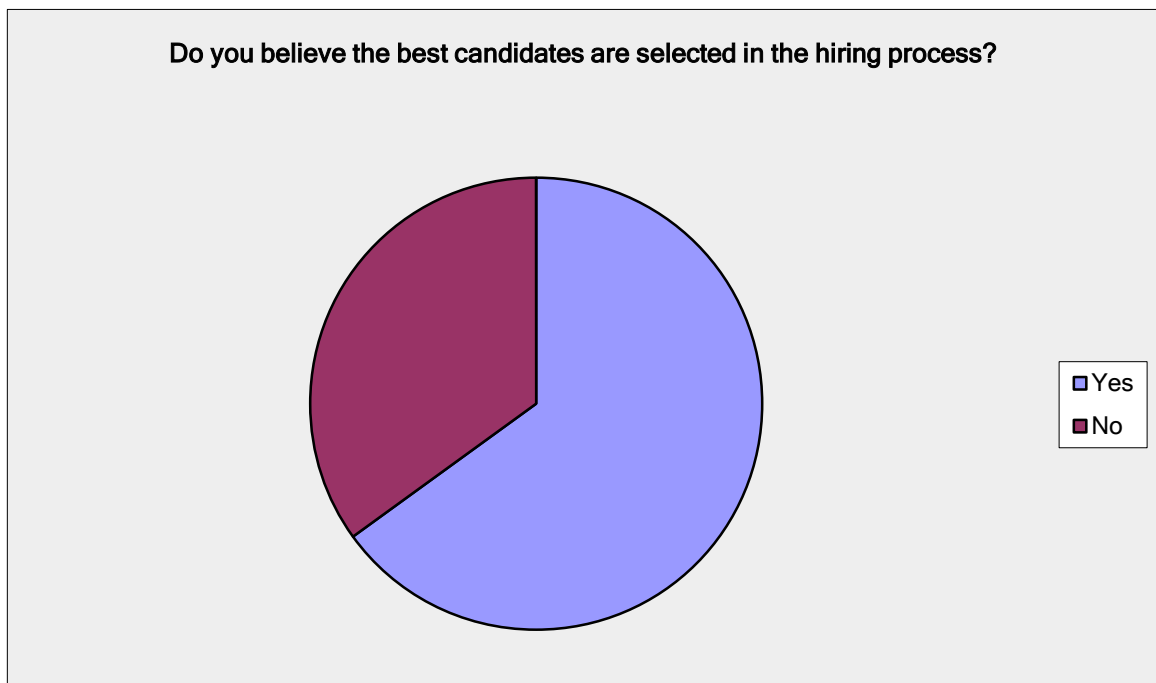
| Answer Options | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Yes | 55.0% | 11 |
| No | 45.0% | 9 |
| <i>answered question</i> | | 20 |
| <i>skipped question</i> | | 0 |



Understanding that a good succession plan allows you to put the best candidates in place for promotions however, over half of the respondents feel as though the best candidates are selected and promoted.

New Survey

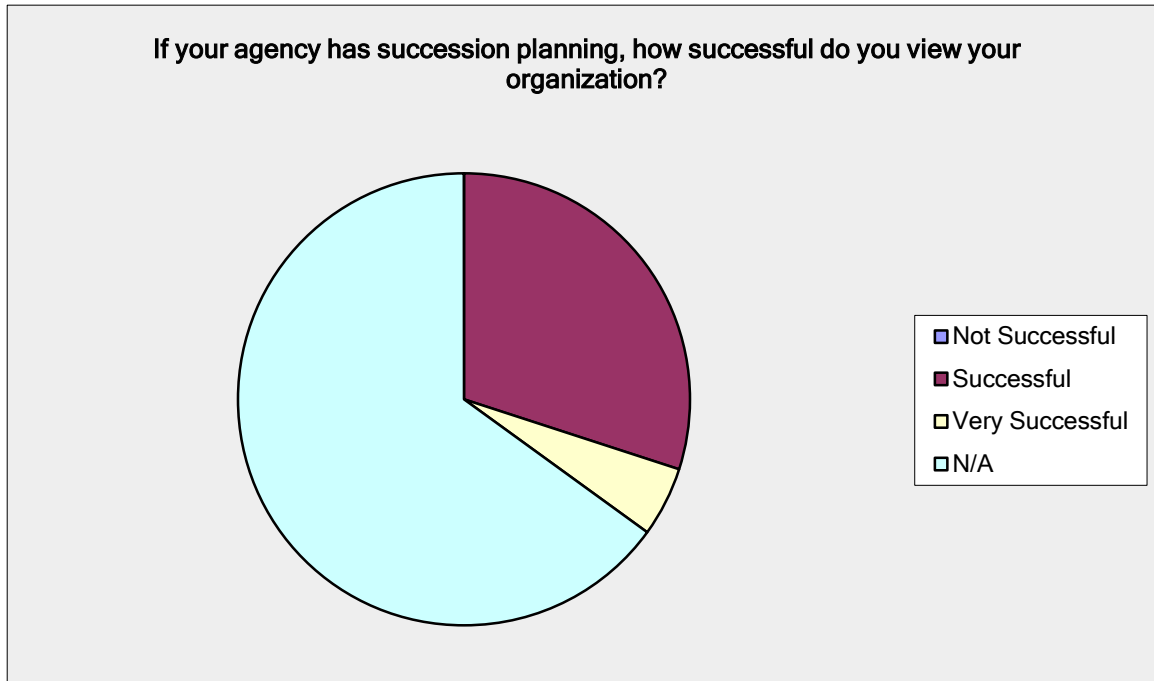
| Do you believe the best candidates are selected in the hiring process? | | |
|--|------------------|----------------|
| Answer Options | Response Percent | Response Count |
| Yes | 65.0% | 13 |
| No | 35.0% | 7 |
| <i>answered question</i> | | 20 |
| <i>skipped question</i> | | 0 |



Over two thirds of the respondents feel as though we are selecting good candidates through the hiring process. It would appear that something is lost between hiring, training and promotions. One would have to assess their individual agency to determine if the problem lies within the FTO program, Mentoring, line supervisors or the lack of succession planning.

New Survey

| If your agency has succession planning, how successful do you view your organization? | | | |
|---|------------------|----------------|-----------|
| Answer Options | Response Percent | Response Count | |
| Not Successful | 0.0% | 0 | |
| Successful | 30.0% | 6 | |
| Very Successful | 5.0% | 1 | |
| N/A | 65.0% | 13 | |
| <i>answered question</i> | | | 20 |
| <i>skipped question</i> | | | 0 |

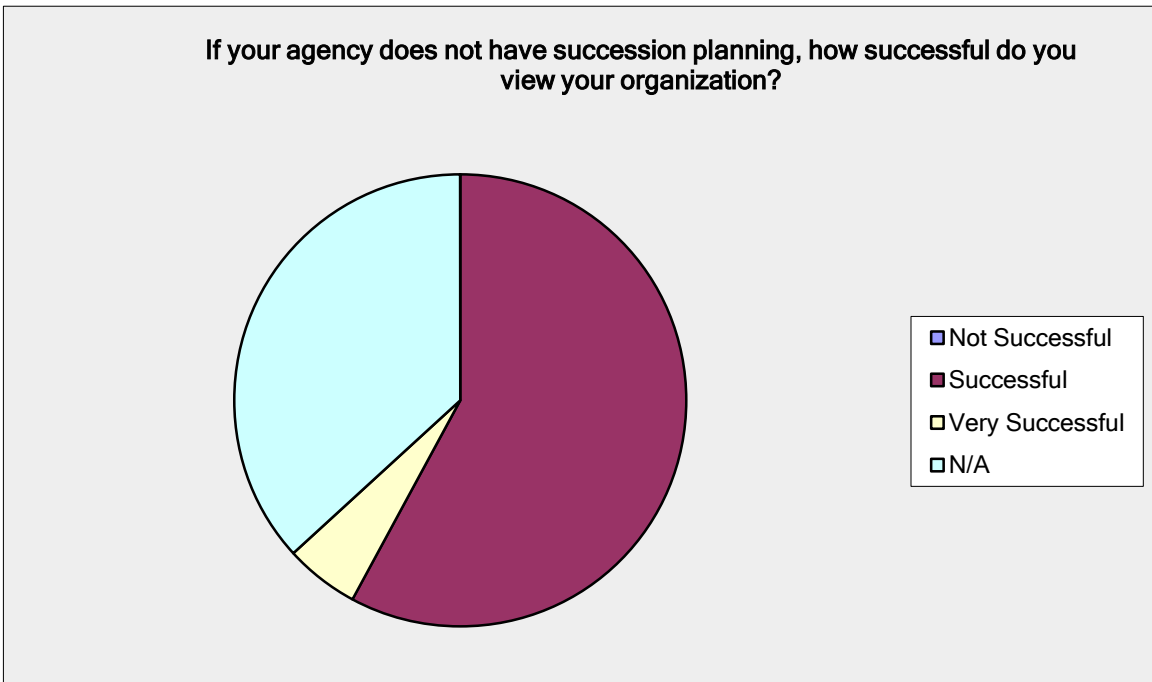


This question was a check for honesty, over two thirds of the respondents decided not to respond to successful, unsuccessful and very successful, while almost one third only viewed their agency as successful.

New Survey

If your agency does not have succession planning, how successful do you view your organization?

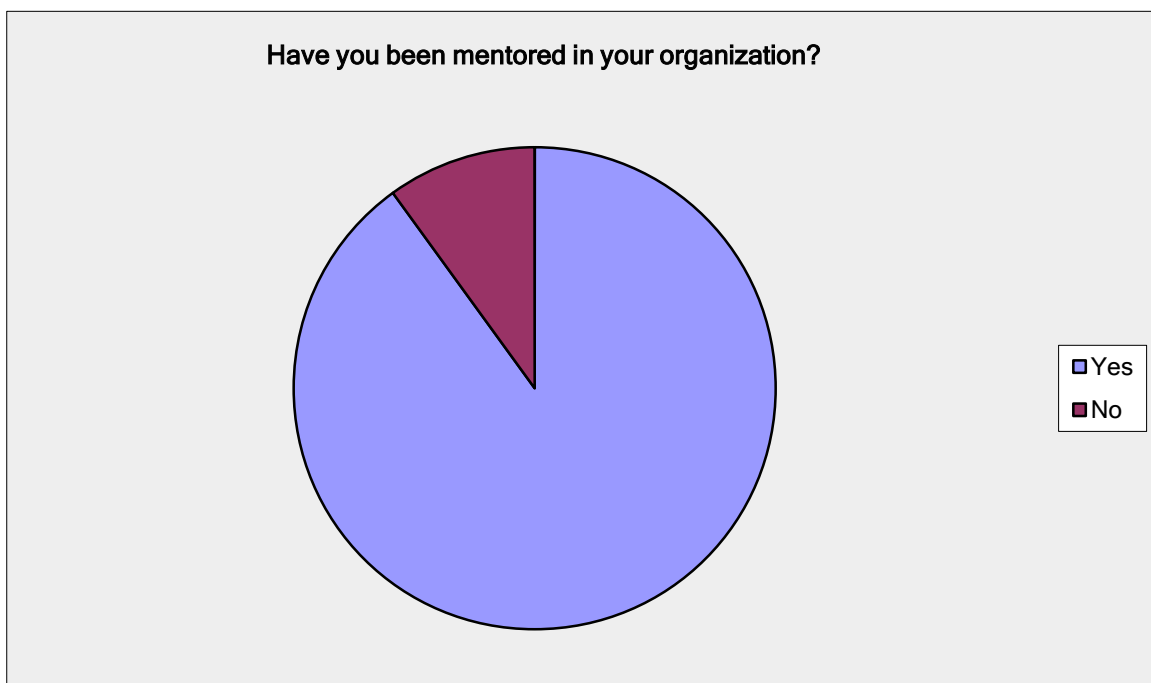
| Answer Options | Response Percent | Response Count |
|--------------------------|------------------|----------------|
| Not Successful | 0.0% | 0 |
| Successful | 57.9% | 11 |
| Very Successful | 5.3% | 1 |
| N/A | 36.8% | 7 |
| <i>answered question</i> | | 19 |
| <i>skipped question</i> | | 1 |



This question was another check for honesty, realizing most staff members have their views about their agency however, not willing to publicly express their views even with anonymity.

New Survey

| Have you been mentored in your organization? | | |
|--|------------------|----------------|
| Answer Options | Response Percent | Response Count |
| Yes | 90.0% | 18 |
| No | 10.0% | 2 |
| <i>answered question</i> | | 20 |
| <i>skipped question</i> | | 0 |



Ninety percent of the respondents have been mentored at some point in their career. The question was not specific to identify if only in their agency or perhaps prior to their agency. There is a possibility some of the respondents have military experience which could possibly fit in this category.

New Survey

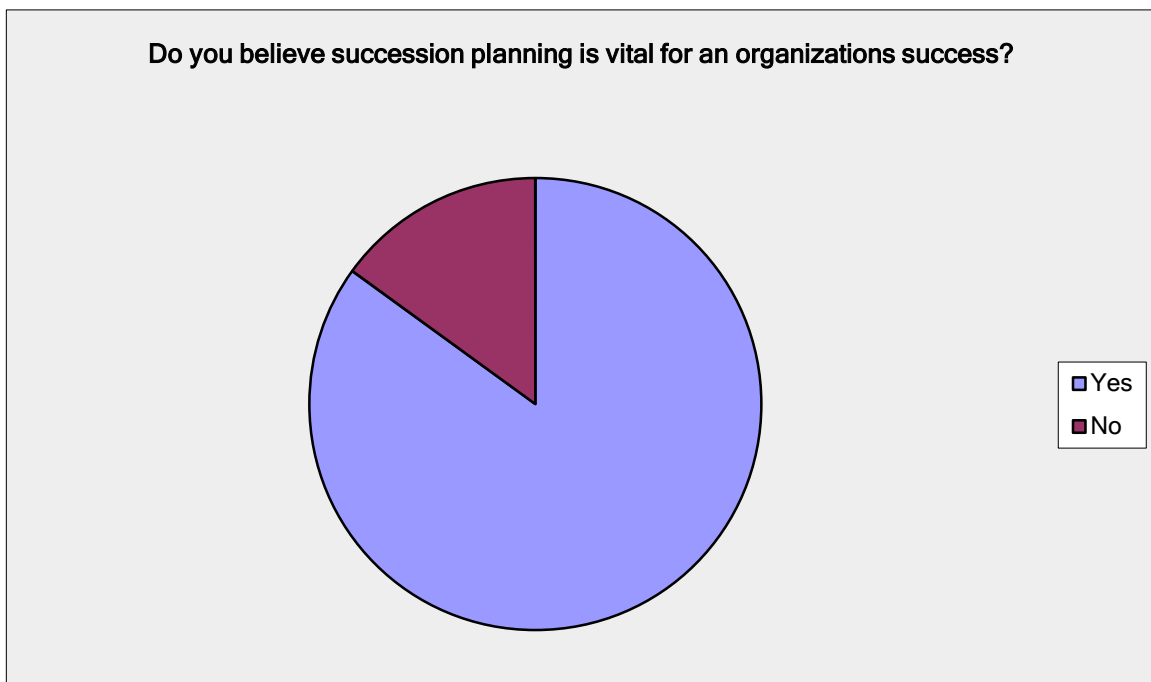
| Are you a mentor in your organization? | | |
|--|------------------|----------------|
| Answer Options | Response Percent | Response Count |
| Yes | 75.0% | 15 |
| No | 25.0% | 5 |
| <i>answered question</i> | | 20 |
| <i>skipped question</i> | | 0 |



The previous graph showed that ninety percent had been mentor but according to this graph, only seventy five percent are mentors in their organization. This graph perhaps shows the need to have a mentoring program as well.

New Survey

| Do you believe succession planning is vital for an organizations success? | | |
|---|------------------|----------------|
| Answer Options | Response Percent | Response Count |
| Yes | 85.0% | 17 |
| No | 15.0% | 3 |
| <i>answered question</i> | | 20 |
| <i>skipped question</i> | | 0 |



Eighty five percent of the respondents believe that succession planning is vital for an organization. It's pleasing to hear that the senior leaders/managers in this class understand that leaders should be trained and expertise should be shared within every agency. This makes the agency more effective in continuing to execute its mission.

Recommendations

It is my recommendation that every agency takes a hard look at their hiring process to ensure the best candidates are selected. Human Resources should be included in this process and the agencies values should be clearly understood and selections should be based upon them.

The promotional process is difficult and will take a great deal of time but it has to be addressed. No leader should enter or be promoted to the top of an organization and continue to do what the previous leader did. There is a strong possibility the promotional process was designed to fit their needs as opposed to the needs of the agency. The individuals you promote send a clear signal to the staff in your organization. Staff will base their opinion of you on the staff you select for promotion or positions. Take a hard stance and promote the best candidate for the job. Promotions should never be based on tenure, friendship or favors.

Mentoring plays a major role in the promotional process as well as the success of an agency. Always try to capture the knowledge within the agency before it's too late. A lack of prior planning in this area can be catastrophic and take years to recover. There is a lot of information available on succession planning and how to capture the experience within your agency successfully. I challenge you to take advantage of the information that is readily available to help you be successful. I have learned a lot through my research and will continue to focus on this area as I progress through the ranks. If I am able to achieve the top position in my agency, I will be prepared to put a good practice in place to ensure we capture the knowledge prior to departure and promote the best candidates.

Captain Vernon Herrington began his career in corrections in 1992 with the Florida Department of Corrections. He spent 12 years with D.O.C and has been with Osceola County Corrections for 8 years. He worked his way from housing unit officer to his current position of Support Operations Captain. He supervises Training, Accreditation, Emergency Management Facility Support and Judicial Services.

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