



OFFICE OF THE AUDITOR GENERAL

SUCESSION PLAN

2017

INTRODUCTION

Succession planning is an effective means to preserving institutional memory and improving institutional knowledge. Succession plans are designed to identify and select best fit candidates for leadership positions, assure effective leadership development, and preserve organizational knowledge and intellectual capital.

Additionally, succession planning is the “process of identifying staff who could presently move into key positions or could do so after specifically targeted development occurs.” For each department, there is vertical step-up plan to ensure that there are new leaders ready to replace old leaders when they leave the organisation. This is to ensure continuity of leadership.

For Office of the Auditor General (OAG), the successors will be the subordinates identified by the Auditor General or the heads of department. As such, the OAG is implementing the knowledge transfer plan and career development plan for gradual replacement of one type of staff class by another in the same area, involving a series of orderly changes.

Identifying the successor

This process involves identifying the key staff who can lead in the continual process of business operations, contribute effort to improve process and achieve better results. The process can begin with discussing a potential succession well before the desired transition date, in terms of knowledge transfer. The head of department shall identify the next fit candidate for the job before leaving or departing the currently held position. The leaving staff to ensure that the process is detailed and thorough as below:

- Establish measurable criteria for assessing potential successors
- Consider the interest level of those candidates believed suitable (knowledge, skills and abilities)
- Identify suitable candidates
- Identification of desired outcomes
- Establishment of clear goals for the program
- Create effective knowledge transfer process
- Monitor the successor’s progress

The leaving staff will follow the above criteria to identify and train the suitable candidate to proceed with succeeding the trained process. At the beginning of the process, both parties are mandated to sign the mentor and mentee agreement as attached in Appendix 1.

Why is succession planning important to Office of the Auditor General:

- To identify future leaders
- To analyze important ways to identify staff who have the current skills or the potential to develop skills –that can help them move up in an organization or on to other positions
- The process of succession plan can help to identify other areas of performance where staff may be weak and where training could help to manage and improve performance outcome

- Provides framework to align leadership with strategic needs of the organization; development for executive/management staff
- Provides ongoing job analysis and opportunity for executive staff to adjust role based on changing business conditions and strategic initiatives
- Strengthens relationship and information flow between executive management team & other subordinates
- Helps prepare for unexpected vacancies

Some key questions to consider

- What percentage of your staff will retire in the next 5 years? 10 years?
- What percentage of your staff are looking for other employment?
- What are you doing about it?

A systematic approach in ensuring leadership continuity within an organization is encouraging individual staff growth and development.

Why is Succession planning & Retention Important

The current trend indicates the number of people leaving is higher than number of people entering workforce. This impact leads to increase in costs of external candidate search. Hence, OAG is planning retention to control the loss of organizational memory. This is retention of existing talents as the future is unpredictable with different needs for generations of employees.

Developing a Knowledge Transfer Plan

Knowledge transfer is a more formal process when large groups of staff are involved, such as audit projects. The best time to do knowledge transfer is continually, as part of the job. It's wise to cross-train to ensure that knowledge of a particular area of an application is spread among multiple staff. This will create a backup plan in place when staff take vacation or leave the organisation unexpectedly. Summary of knowledge transfer plan is attached in appendix 2.

At OAG, knowledge transfer plan involves the following:

1. Developing a simple matrix including details of all the critical activities a staff is assigned to.
2. Answer the question in the table below by listing the critical knowledge, skill or ability (KSA) needed for this task
3. Detail the knowledge availability, impact of the task, resources utilised and work out strategies to withstand with the current on job knowledge
4. Work with management to develop strategy to address tasks that are identified as critical

Knowledge Transfer Plan – Questions

- A. Oversee the OAG Functions
 1. Knowledge of strategic planning & OAG roles & responsibilities

2. Knowledge of auditing principles and techniques. Eg TeamMate
 3. Ability to apply standardized accounting methodologies
 4. Knowledge of department roles & responsibilities
 5. Ability to see the larger picture from detailed information.
- B. Planning & managing your Key responsibilities (gauge the importance of task)
1. Develop & manage your key responsibilities e.g. Audit, Executives, OAG Accounts, Information Technology, Corporate section responsibilities and so forth)
 2. Knowledge of on-job task and its importance
 3. Knowledge of practice & principles
 4. Ability to see the larger picture from detailed information
 5. Skill in internal communication
- C. Maintaining confidentiality of OAG data
1. Knowledge of OAG's confidentiality & disclosure information
 2. Ability to enter and maintain data using Technology
 3. Ability to troubleshoot problems
- D. Ensure compliance with reporting standards & relevant legislations
1. Knowledge of Fiji Constitution, IRFS reporting standards, AFROSAI E FAM reporting practice and relevant legislations
 2. Ability to interpret applicable regulations
 3. Ability to apply applicable regulations
 4. Skill in explaining interpretation and reasoning for subsequent action
- E. Supervise, develop, and coache staff
- 1 Knowledge to staff management principles and techniques
 2. Knowledge of employment related policies, rules, and regulations
 3. Ability to develop staff members' knowledge, skills, and abilities
 4. Ability to coach staff members
 5. Ability to manage staff members' performance
 6. Skill in guiding, directing, and motivating Subordinates

The knowledge transfer plan focuses to capture all critical task and responsibilities and ensures this is shared between staff. If staff departures are expected, the OAG must ensure that these staff train a replacement, transfer knowledge of the project or application before they depart.

The OAG department head will take steps to ensure that the application is well documented, so that there are appropriate resources available for everyone throughout the work process. Tools such as shared drive or common drives can be used to easily share documents and resources.

Career Development Plan

A Career Development Plan is a written list of the short and long-term goals that staff are pertaining to their current and future jobs, and a planned sequence of formal and informal experiences to assist the staff in achieving their goals. A career development action plan is attached as appendix 3.

<p>Self-Assessment Information and Career Development Needs</p>	<ul style="list-style-type: none"> Summarize the information clarified as self-assessment for career development. This will help to communicate strengths, interests, preferences, and values to the employer, as well as for OAG staff skill development needs.
<p>Discussion with Supervisor</p>	<ul style="list-style-type: none"> Completing a career development plan is a joint effort between staff and OAG. Share the summary of self-assessment clarification and ask for feedback from your supervisor about your strengths and areas for development. The supervisor should be able to enhance the understanding and awareness of the OAG's needs, technology changes, expected turnover, organisation structure, program plans, etc.
<p>Set Career Goals</p>	<ul style="list-style-type: none"> Considering the information and knowledge gained from conversation with the supervisor, think about current position and the positions to which you aspire. Decide on the short-term (1 year) and medium-term (2-5 year) goals, your position in the organization. Also discuss your long-range (5+ years) career goals and how one can work towards those goals within the current job.
<p>Create Roadmap for Development Activities</p>	<ul style="list-style-type: none"> Using career goals as guides, identify the skills and competencies that one has and needs to develop. One may get on the job training and participate in leadership activities and other relevant trainings to develop skills and competencies. Brainstorm the resources (money, time, support relationships, etc.) that will be needed for success. Write out the action steps that will be needed to complete the activity.
<p>Create Milestones and Timelines to Measure Success</p>	<ul style="list-style-type: none"> In order to develop a skill or improve one's competency in a certain area, staff have to practice what they have learned and have an opportunity to build your competence. Decide what will be the milestones of progress toward successful acquisition of skills and the target completion dates for each milestone.
<p>Review Regularly</p>	<ul style="list-style-type: none"> Upon completion of a development activity, review will be done to assess the achievements. This can also be part of job performance assessment. Set new goals and revise or adjust action steps and timelines as necessary.

CONCLUSION

This succession plan has been devised to control any unpredictable situations. Now the challenge is that the successor has to be ready. This is made easier with mentor and mentee agreement which facilitates the knowledge transfer and career development.

This succession plan will also progress into attracting the best people to the organization, strong recruitment strategies and rewarding the best people. The challenging issue is rewards, engagement, development and involvement.

With a maturing workforce and the retirement of the “baby boomers,” one part of succession planning includes the need to pass on the knowledge, judgment, and intuition of senior leaders before they retire. The second aspect of succession planning relates to the connection of staff within the organization who have the likelihood to advance into leadership positions. It is emphasized on senior management to refill the leadership pipeline with competent staffs who can successfully guide the office into the vibrant world of tomorrow.

SUCESSION PLAN
APPENDIX

Appendix 1:

Mentor/Mentee Agreement

Mentor Name:	Mentee name:
Designation/Role:	Designation/Role:
Group:	Group:
Contact:	Contact:
Email:	Email:
Address:	Address:

Purpose of this Agreement

The primary objective is to create dialogue about each of the many roles that a mentee can play after goals accomplished from the mentor/mentee agreement

Agreement

We are both voluntarily entering into this agreement and this to be a rewarding experience, spending most of our time discussing developmental activities. We understand that the roles, benefits, and qualities of this agreement will be achieved:

Role of the Mentor:

1. Help the mentee identify with the office and professional environment
2. Be prepared to help the mentee through difficult situations
3. Work with the mentee to develop his/her self-confidence
4. Ensure communications are clear, open and reciprocal
5. Help develop creative and independent thinking
6. Maintain confidentiality

Benefits to Mentors:

1. Opportunities for mentors to improve their own coaching, counselling and leadership skills
2. Development of new professional and organizational contacts
3. Exposure to new ideas, technologies and perspectives through their relationship with mentees
4. Personal satisfaction

Role of the Mentee:

1. Develop mutually agreeable goals for the mentoring relationship that are specific, measurable, achievable, realistic and timely
2. Communicate openly and honestly with the mentor
3. Take responsibility for establishing expectations between the mentor and mentee
4. Make good use of time spent with the mentor
5. Be mindful of the mentor's needs and expectations
6. Be trustworthy and maintain confidentiality
5. Expanded relationships built on mutual trust and shared learning

Benefits to Mentees:

1. Personal and professional growth
2. Acquisition of new technical, interpersonal and/or leadership skills
3. One-on-one opportunities to know and understand the agency from the inside out
4. Expanded relationships within a profession and/or an agency
5. Opportunity to mentor other employees in the future

Qualities of successful mentors:

1. Genuine interest
2. Sensitivity to other's needs and development
3. Excellent listening skills
4. Commitment
5. Confidentiality
6. Excellent coaching and feedback skills

Qualities of successful mentees:

1. Genuine interest in personal growth and professional development
2. Strong commitment to learning and acquiring new skills
3. Receptive to honest, constructive feedback
4. Willing to take risks as part of the learning process
5. A sense of self and personal vision

Mentee Goals:

The mentee should establish with the mentor and detail professional job related goals or personal growth goals. ***Goals should be specific, measurable, attainable, relevant and have a defined time frame.***

The aim of the agreement is to discuss and resolve the following issues:

GOAL # 1: _____

How mentor can best assist in reaching this goal?

GOAL # 2: _____

How mentor can best assist in reaching this goal?

GOAL # 3: _____

How mentor can best assist in reaching this goal?

CONTACT

The duration of the above mentoring program is _____ months. Mentors are encouraged to continue the relationship on a voluntary basis. Contacts with mentee may be in person or by telephone; however, face-to-face contact is required for the above period. Mentee/mentor should allow enough time during a contact for discussion of goals, as well as questions from the mentee concerning their professional and/or personal development. We agree to keep the contents of this agreement confidential. The mentor agrees to be honest and provide constructive feedback to the mentee. The mentee agrees to be open to the feedback.

As the mentor, I agree to provide the mentee with support, access to my time for meetings, guidance on specific work-related items, advice, honesty, constructive criticism and positive feedback. I will also seek feedback from the mentee on how I am meeting his/her developmental needs.

Mentor's Name	Signature	Date
_____	_____	_____

As the mentee, I agree to seek clarity when I am not clear, to test my understanding of concepts and direction given me, willingly assume appropriate developmental assignments, seek feedback and accept responsibility for my growth, my behaviour and my continued learning.

Mentee (Name)	Signature	Date
_____	_____	_____

This agreement should be supplemented by a specific developmental plan (e.g. Staff position description) to cover the mentoring period wherein specific goals are described.

Mentor's Supervisor (Name)	Signature	Date
_____	_____	_____

Mentee's Supervisor (Name)	Signature	Date
_____	_____	_____

Evaluation Comments after completion of the mentoring program:

Director/Head of Department	Signature	Date
_____	_____	_____

Appendix 2:

Knowledge Transfer Plan (Template)

<p>Critical Task</p> <p>List the critical knowledge, skill or ability needed for this task</p>	<p>Importance Low/Medium/ High</p> <p>Gauge the importance of the task identified</p>	<p>Availability</p> <p>Is the knowledge and Expertise currently available from anyone else in our work area?</p> <p>Yes, No or Don't Know [If yes, who?]</p>	<p>Impact Low/Medium/High</p> <p>If the task is important and there is no one else who possesses the knowledge, impact is high.</p>	<p>Resources</p> <p>What resources [files, staff, web sites, References, etc.] exist to help other learn this task?</p>	<p>Strategy</p> <p>How do you plan to Address this knowledge gap? Who will learn it? How and when?</p>

Appendix 3: Career Development Action Plan

Name: _____ Date: _____ Supervisor: _____

Self-Assessment Summary Statements

Career motivators in my current position:

Skills and competencies to be developed:

Vision of Future Career Directions:

Career Goals

Short-Term (1 year):

Medium-Term (2-5 years):

Long-Term (5+ years)

Career Development Action Plan

Name: _____ Date: _____ Supervisor: _____

Development Activities and Experiences

Activity	Action Steps	Milestones/Success Measures	Target Completion Date

Resources Needed

Individual(s) to Contact	Release Time or Financial Costs	Other

Roadmap Review

Check-in Meetings: _____

Final Review Meeting: _____