**2016 SES SUCCESSION PLANNING**

**Expected Outcomes from Succession Planning Process**

* Develop strategies to ensure a pipeline of enough near and longer term diverse, high quality successors for the full range of executive leadership positions.
* Review the strengths and needs of each executive and recommend further specific development, key growth experiences, mentoring, coaching, and/or other learning for each executive that will enable them to fill NRC leadership needs. This includes assessing readiness to assume positions with different or more challenging responsibilities. Share results and recommendations with individuals in an open and transparent manner.
* Follow up, using succession planning results in a consistent, open and transparent manner to prepare and update Executive Development Plans (EDPs) and to inform Executive Resources Board (ERB) staffing decisions, including the relative priority of selections, developmental assignments, and rotations that benefit the executive and NRC.
* Recommend future process improvements. This will include periodically reviewing the anticipated competencies and attributes for agency leadership and executive positions.

**Roles and Responsibilities in SES Succession Planning**

The ERB will review and, as appropriate, revise the exceptional leadership competencies and attributes and the process for assessing them at least annually.

Each Office Director/Regional Administrator, or their designee, considers each executive in the office/region. This includes obtaining a reasonable level of informal input from the executive, stakeholders (as appropriate), and colleagues for a more balanced, complete perspective; assessing each executive against each exceptional leadership competency; recommending continued growth and development for each executive; holding succession planning discussions with executives in their respective organizations, ensuring that each executive has an appropriate Executive Development Plan (EDP); and sharing results and recommendations with the appropriate DEDO and the ERB.

All executives should take an active part in identifying career goals, pursuing their developmental interests, including discussing with the Office Director/Regional Administrator their development interests, potential development activities, and other executives with whom they would benefit from learning collaboratively (for example, sharing strategies for improving specific leadership skills), as well as completing the SES Succession Planning Career Interests Form), and completing/updating annually an EDP with agreed-upon completion dates appropriate to the individual, organizational priorities, and any mentor, coach, or opportunity for collaborative learning.

The ERB collegially discusses each executive’s demonstrated exceptional leadership competencies and continued development. The ERB coordinates, informs, monitors, and reviews results of succession planning activities, and developmental activities, as appropriate. The ERB will also review EDPs to ensure that they are appropriate and meet executive and organizational needs and priorities.

The Executive Director for Operations (EDO), Deputy Executive Directors (DEDOs), Chief Financial Officer (CFO) and General Counsel (GC) will periodically review available potential successors to top echelon positions, identify developmental priorities for potential successors, and hold succession planning meetings with the top echelon of executives in their respective organizations:

* Executive Director for Operations, Deputy Executive Directors for Operations, General Counsel, Chief Financial Officer
* Major Program Office Directors and Regional Administrators
* Corporate Support Office Directors
* Small Office Directors (e.g., OE, OI)

The EDO will discuss future potential successors to the top echelon of executive positions with the Chairman at least annually.

**Succession Planning/Executive Development Process**

The ERB has identified competencies and attributes needed for agency senior leadership positions and enhanced the executive succession planning process. The ERB will continue to review and refine the process and guidance.

Using the guidance in the succession planning working draft, Office Directors/Regional Administrators will assess:

* each executive with respect to the exceptional leadership competencies,
* the aspirations and development needs of each executive, and
* program needs

in their organizations. The ERB will provide a forum at which members share and validate results of succession planning at all levels and identify priorities and actions the ERB will take to facilitate further development of executives.

Based on the executive’s interests as well as feedback from the executive’s supervisory chain, colleagues, and the ERB, each executive will work with his or her supervisor or Office Director/Regional Administrator to create/update an EDP[[1]](#footnote-1) with training and developmental activities that will benefit and further broaden the executive.

* + NRC is committed to continuous learning and improvement. All of us benefit from continued development, and NRC relies on executives to strengthen and update their competencies.
  + The EDP should be designed to help each executive become even better at what they do now (build on strengths) and help the executive prepare for potential future positions.
  + The EDP should generally be developed in connection with and partly based on feedback through performance discussions in addition to succession planning feedback.
  + Executives will use the results of succession planning, 360 degree assessments, performance reviews, and coaching from mentors, peers, supervising executives, and executive coaches to develop, refine or revise EDPs.
  + EDPs may include a broad variety of programmatic and leadership experiences (e.g., assignment or rotation to gain broader perspective, formal training, independent reading, work on specific competencies through assignments or projects, work with a mentor, coach, or as part of an executive pairing, etc.). EDPs should be brief and focused and ensure the executive completes at least one training or developmental activity annually. See the section on Training and Development Options for Executives in the succession planning working draft for some options.
  + Executives are encouraged, with advice from the Office or Region, to identify opportunities for collaborative learning with other executives. Such opportunities could include, for example, informal mentoring, exchanges of approaches to leadership challenges, or collaboration to hone specific leadership skills.

In accordance with current Federal regulations, the ERB will review and approve EDPs for executives. The ERB will assign an independent lead reviewer for each executive’s EDP. The lead reviewer will provide comments and constructive feedback on the quality, relevancy, and adequacy of the EDP to the supervising executive for discussion with the executive. Lead reviewer observations will be compiled and assessed annually for the ERB to share as best practices with NRC executives.

The EDO, DEDOs, CFO and GC will periodically review the availability of potential successors for top echelon positions and development activities or assignments for them. The EDO or designee, CFO, and GC will hold succession planning meetings with the top echelon of executives in their respective organizations.

**Succession Planning Guidelines and Skill Sets Sought**

The May 2015 succession planning working draft provides guidelines for assessing executives’ exceptional leadership competencies and attributes.

In addition, in ensuring a pipeline of diverse, high quality leaders, the ERB considers needs for technical credibility, including programmatic qualifications and experience appropriate to the position. Qualifications and experience may range in importance from desirable to necessary, depending on the position and skills available among subordinate staff, statutory requirements, and other considerations.

In making day-to-day staffing decisions and identifying executive development needs, the ERB also considers:

* Preference for non-linear moves
* Preference for multi-organizational experience
* Preference for geographical movement
* Time in an executive position should normally not exceed 4 years
* Time in a single organization should normally not exceed 6 years
* Input from executives regarding personal career interests (i.e., different position, organization, geographic location, line of work)
* Diversity
* Whether new opportunities may contribute to retaining individuals with near-term retirement plans.
* SESCDP graduates/participants not yet placed

**Succession Planning Schedule**

| **Action Item** | **Target Completion Date** |
| --- | --- |
| Preparation | |
| Executives and SESCDP graduates complete career interest forms, return them to OCHCO (Amanda Noonan), and provide a copy of the form to the individual’s OD/RA | April 8, 2016 |
| Office Directors/Regional Administrators provide advance succession planning input to OCHCO (Amanda Noonan) | April 11, 2016 |
| OCHCO:  - Consolidates succession planning input and provides to ERB members.  - Updates spreadsheet with background information on executives and SESCDP graduates/participants (i.e., time in position/office, retirement and mobility information, summary of 2016 career interest information, etc.) and provides to ERB members | April 26, 2016 |
| Succession Planning Meetings | |
| ERB members review:  - Expected Outcomes  - Roles and Responsibilities  - Succession planning guidelines  - Discuss:   * Each executive’s demonstration of exceptional leadership competencies * Each executive’s development needs   The discussion will focus on Division Directors and  Deputy Division Directors  - Identify any positions for which there is little bench strength and begin developing strategies to close gaps. This includes assessing whether a sufficient number of executives (1) have strong exceptional leadership competencies, and (2) are mobile and have the potential to serve in the future at the Office Director/Regional Administrator level.  - Identify solutions for executives who need a change in assignment and/or other development related to exceptional leadership competencies  - Agree on action plan and roles/responsibilities for next steps:   * Identify specific developmental activities or assignments and opportunities for collaborative learning for remainder of executives * Discuss with executives * Prepare and update Executive Development Plans * Follow-up to make decisions on potential reassignments   - Conduct overview and evaluation of succession planning process, including recommended process improvements | April 28-29, 2016 |
| EDO, DEDOs, CFO, GC will hold a separate top echelon succession meeting to:  - Discuss:   * Each executive’s demonstration of exceptional leadership competencies * Each executive’s development needs   The discussion will focus on Office Directors/Regional Administrators and Deputies  - Review and update potential successors for top echelon positions, strategies to ensure adequate bench strength for these positions, and developmental activities of potential successors.   * Executive Director for Operations, Deputy Executive Directors for Operations, General Counsel, Chief Financial Officer * Major Program Office Directors/Regional Administrators * Corporate Support Office Directors * Small Office Directors (e.g., OE, OI) | June 1, 2016 |
| After Succession Planning Meetings | |
| The appropriate ERB Member, or their designee, meets with each executive in their organization to hold succession planning discussions and provide feedback, and identify any changes to or additional developmental activities.  The EDO or designee, DEDOs, CFO, and GC will hold succession planning discussions with the top echelon of executives in their respective organizations. | June 10, 2016  TBD |
| Each executive works with his or her supervisor or Office Director/Regional Administrator to create/update an Executive Development Plan | July 11, 2016 |
| Offices and Regions send a copy of updated, signed EDPs to OCHCO (Amanda Noonan) to coordinate review by the ERB | July 18, 2016 |
| ERB reviews and approves EDPs for executives using a lead reviewer approach | August/September 2016 |
| Continue 360 degree assessments and coaching for executives | Ongoing |
| ERB monitors development and consults results of succession planning to guide SES staffing and assignment decisions; ERB shares EDP best practices based on assessment of observations from lead reviewers. | Ongoing |

1. Required by regulation at 5 CFR 412.401 [↑](#footnote-ref-1)