

Department of Administration Division of Human Resource Management

EMERGENCY REGULATION: NAC 284

Succession Plan Materials

Contents

Included in this document are the following: 1) Succession Plan Template; 2) Template slides from certification class; and 3) Training Script excerpt to accompany Template slides



SUCCESSION PLAN COVER SHEET

CHANGE IN NAC 284

NEW Succession plan; appointments.

1. An appointing authority may submit a request for the approval of a succession plan to the Administrator.

2. The succession plan must be prepared on the form prescribed by the Division of Human Resource Management.

3. Except as provided in subsection 3 of NAC 284.358 and subsections 1, 2 and 3 of NAC 284.360, upon approval of a succession plan, an appointing authority may request in writing, and the Administrator may approve, the appointment of a current state employee who meets the requirements of the succession plan.

4. If such a request is approved, the current state employee approved for appointment is not required to meet the minimum qualifications established for the position.

RATIONALE FOR REGULATION CHANGE

"The Great Resignation" and lingering effects of COVID 19 have dramatically impacted State recruiting. Despite all efforts, agencies are operating, on average, with 30% fewer staff.

While DHRM works on initiatives to provide relief, these initiatives take time to develop and implement. The change in NAC 284 provides immediate relief in a few ways:

- 1. Agencies that have employees picking up the slack and taking on duties of a higher or different class specification now have an avenue to promote those employees so they earn the pay for work they are already doing.
- 2. Agencies that have employees with high potential for promotion now have an endorsed method for creating and implementing a development plan to ensure long-term engagement and retention for that employee.
- Agencies now have incentive to take a long-term view of agency operations to ensure smooth transition as long-tenured staff retire. A thoughtful succession plan protects the agency from losing important historical experience and information, as well as encourages employees to seek development opportunities to be promoted.

CONSIDERATIONS FOR COMPLETING THIS DOCUMENT

- Succession Plans should take into consideration the ability and willingness of *all* lower-level employees to learn the skills to be promoted into a higher position. In order for this consideration process to work well, at the minimum, Annual Performance Reviews need to be completed and kept updated for all employees so agency leadership has consistent information upon which to make decisions.
- Employing the Stay Interview approach will help leadership determine which employees have interest in taking on developmental plans in order to promote. Keep in mind some employees prefer to progress at the level and rate already outlined by the class specifications.
- A development plan for an employee to be included in a Succession Plan should be easily justified by the person's background, current responsibilities, most recent Annual Performance Review, and the ability and willingness to take on the developmental tasks in addition to current duties.



SUCCESSION PLAN

PURPOSE: Identify roles critical to the business, analyze associated risks, and create plans to reduce those risks.

DIRECTIONS: All cells must be filled in for a complete Succession Plan. The rows in the chart expand as you type. Submission of the signed, completed Plan must come from the Director's office.

DEPARTMENT		DIVISION	
Date		CERTIFIED PLANNER	
		ΝΑΜΕ	
Administrator Name and		DIRECTOR NAME	
Signature		and Signature	
I have discussed this Succession Plan with my supervisor and		EMPLOYEE NAME	
agree to the Developmental Plan described below.		and Signature	

ASSURANCES

By signing above, the Administrator and Director certify support of the Succession Plan and acknowledges the approval is contingent upon the following:

• The Division is in full compliance with Annual Performance Reviews for all employees, not just those identified in this Succession Plan. If not, the Division will be in full compliance by the following date:

Position Title:	
POSITION CONTROL NUMBER:	
CURRENT INCUMBENT:	
RISK OF INCUMBENT LEAVING ROLE: High: less than a year Medium: 1 to 3 years Low: 3 years or more	
POTENTIAL SUCCESSOR NAME:	
Current position title	
Tenure in current position	
Date of last Annual Performance Review	
 Date Stay Interview conducted to determine interest 	
 Readiness Level: 1 year or less; 2 to 3 years; 3 or more years 	
 How has this person demonstrated they are the best successor? Please provide specific examples and paste the resume at the end of this document. 	

DEVELOPMENT PLAN FOR SUCCESSOR						
Gaps Identified from Critical Position Class Specifications Reference <u>https://hr.nv.gov/Resources/Class_Specifications/</u> to copy relevant information	Developmental Resource to Meet Identified Gap	Start Date	End Date			
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						

I hereby approve this Succession Plan and authorize its implementation.

Date _____



Julie Lapp, Food Service Worker I Florence McClure Women's Correctional Center Department of Corrections (DOC)

MINIMUM QUALIFICATIONS

SPECIAL REQUIREMENT:

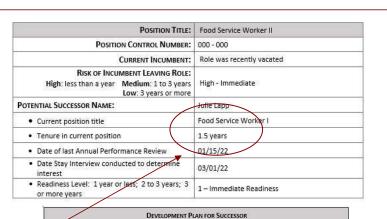
 Pursuant to NRS 284.4066, some positions in this series have been identified as affecting public safety. Persons offered employment in these positions, must submit to pre-employment screening for controlled substances.

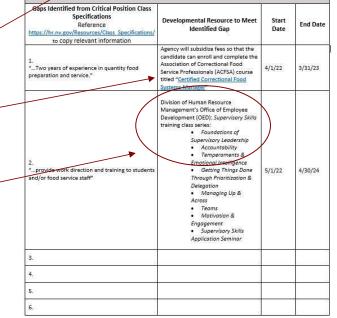
FOOD SERVICE WORKER II

EDUCATION AND EXPERIENCE: Two years of experience in quantity food preparation and service; <u>OR</u> an equivalent combination of education and experience as described above. *(See Special Requirement)*

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application): Working knowledge of: quantity food preparation and serving; dining hall set-up; fire and safety hazards related to food preparation, meal service and operation of kitchen equipment; health and sanitation regulations pertaining to food preparation; and cleaning agents commonly used in sanitizing kitchen areas, dishes, utensils and equipment. Ability to: provide work direction and training to students and/or food service staff; ensure timely preparation of food items according to established serving schedules; and all the knowledge, skills and abilities required at the lower level.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job): Working knowledge of: agency policies and procedures related to food preparation and food service.







Darrell Jordan, **Compliance Investigator II**, **Division of Welfare & Supportive** Services, Department of Health & Human Services (DHHS)

SUPERVISORY COMPLIANCE INVESTIGATOR

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or ur justice, police science, psychology, social work, business administration or other disci assignment and two years of investigative experience as an investigat standard investigative techniques were utilized to make program cor Supervisory (

detailed reports for the purpose of justifying administrative sanctions, pe described in the experience may be obtained in a law enforcement, investigative, rel assign cases to graduation from high school or equivalent education and four years of above; OR two years of experience as a Compliance Investigator II combination of education and experience as described above. (See Spec

Position Title:	Supervisory Compliance Investig	DEVELOPMENT PLAN FOR SUCCESSOR						
POSITION CONTROL NUMBER: 000 - 000		Gaps Identified from Critical Position Class						
CURRENT INCUMBENT:	Madeline Starr	Specifications		71.558174 6.57				
RISK OF INCUMBENT LEAVING ROLE: High: less than a year Medium: 1 to 3 years Low: 3 years or more	High – Incumbent is relocating o months	Reference https://hr.nv.gov/Resources/Class Specifications/	Developmental Resource to Meet Identified Gap	Start Date	End Date			
OTENTIAL SUCCESSOR NAME:	Darrell Jordan	to copy relevant information	2					
Current position title	Compliance Investigator II							
Tenure in current position	1.2 years		Successor will conduct <u>an</u> 4-month shadowing of incumbent prior to her					
Date of last Annual Performance Review	02/20/22		departure – familiarizing and					
Date Stay Interview conducted to determine interest	03/01/22	1	executing on assigned tasks to gain proficiency in the role.					
 Readiness Level: 1 year or less; 2 to 3 years; 3 or more years How has this person demonstrated they are the best successor? Please provide specific examples and paste the resume at the end of this document. 	1 - Immediate Readiness Darrell has 5 years of supervisory - the private years of supervisory - the private years of supervisory - proficient in this domain. Though I months in the required 2 years of experience with the State, he had annual review and has demonstra leadership by identifying gaps in ti current approach to records captu	" two years of investigative experience as an investigator in a specified program area where standard investigative techniques were utilized to make program compliance determinations and prepare detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution."	Deputy Administrator will conduct weekly consultative meetings with successor to determine any additional knowledge gaps related to report generation and divisional policies and to bridge the remaining 6-month investigative experience gap. Successor will sit in on all department meetings with the Deputy Attorney General (DAG) during case reviews	4/1/22	7/2/22			
credited college or university in criminal tration or other discipline related to the gate cor Supervisory Compliance Investigator: p, el described in the series concept and in addi	tion, act as a first-line supervise	2. "act as a first-line supervisor. Incumbents review initial complaints, assign cases to lower-level investigators and monitor and direct investigative staff regarding procedures and appropriate courses of action."	Successor will pro-actively summarize in a weekly email report to Deputy Director plans for case assignments to other investigators prior to assignment to ensure clarity, timeliness, and divisional editorial standards during the first six months of the role.	4/1/22	4/1/23			
 re assign cases to lower level investigators so appropriate courses of action. Incumbents t II by their sensitive or high-profile nature knowledge of program rules and regulation distinguished from lower level investigate compliance/regulatory duties for a spec employment discrimination or sexual ha performance reviews, supervise and coore Chief or Program Administrator regarding 	conduct the more complex or that may involve multiple pre- tions as well as federal and S srs by supervisory responsibilit ific program area such as pt rassment. Incumbents provide linate the investigative processa	 provide training to new investigators, prepare performance reviews, supervise and coordinate the investigative process and make final recommendations to the Chief or 	Successor will enroll and complete the Division of Human Resource Management Office of Employee Development's Supervisory Skills series of classes or Management	7/1/22	1/1/23			



Kerry Mui, Budget Analyst III Department of Motor Vehicles (DMV)

ADMINISTRATIVE SERVICES OFFICER III

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in business administration, accounting, finance or related field and five years of varied professional experience which included budget development and analysis, responsibility for accounting and fiscal management, and management of two or more business operations such as contract and lease administration, purchasing and warehouse operations, buildings and grounds maintenance, food and handry services, data processing, facilities maintenance and construction, communications equipment, or fleet maintenance, one year of which was equivalent to an Administrative Services Officer II in Nevada State service; OR an equivalent combination of education and experience on a year-for-year basis. (*See Special Requirements*)

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application): General knowledge of: organization and functions of State agencies; State administrative rules, statutes and guidelines. Working knowledge of: the agency mission, programs, operations, policies and objectives. Ability to: present reports, defend the agency budget, and provide information and justifications to the legislature as requested; research and analyze data impacting an agency's major business functions; establish short- and long-range goals consistent with the mission and business needs of the agency; apply principles of financial management to large and diversified budgets and programs; develop corrective action plans consistent with applicable agency policies, legal requirements and legislative directives. Skill in: planning, developing and monitoring diverse programs and business operations; developing clear objectives consistent with departmental and State goals; principles and techniques used in planning, organizing, developing administering comprehensive programs which are subject to unprecedented circumstances; government administrative processes including budgeting, internal control procedures, policy development, planning, problem solving, and management analysis; and all knowledge, skills and abilities required at the lower levels.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job): (These are identical to the Entry Level Knowledge, Skills and Abilities required for Administrative Services Officer IV).

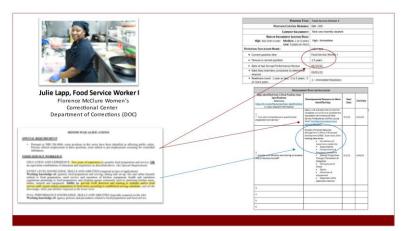
ADMINISTRATIVE SERVICES OFFICER II

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in business administration, accounting, finance or related field and four years of varied and professional experience which included budget development and analysis; responsibility for accounting or fiscal management, development, management and evaluation of a large and complex program; and/or management of two or more business operations such as contract and lease administration, purchasing and warehouse operations, buildings and grounds maintenance, food and laundry services, data processing, facilities maintenance and construction, communications equipment, or fleet maintenance; one year of which was equivalent to an Administrative Services Officer 1 in Nevada State service; **DR** an equivalent combination of education and experience on a year-for-year basis. (See Special Requirements)

		Posn	TION TITLE:	Administrative Services Officer III		
	POSITION CONTROL NUMBER:			000 - 000		
		CURRENT IN	Louisa Follis			
	RISK OF INCU	UBENT LEAN	/ING ROLE:			
DEVELOP	High – Incumbent will retire in 12 months					
Gaps Identified from Critical Position Class	Moot Identified Gan	1		Kerry Mui		
Specifications Reference https://hr.nv.gov/Resources/Class Specifications to copy relevant information		Start Date	End Date	Budget Analyst III		
1.	-			4 years 5 months		
"5 years of professional experience including	Will perform a Positional Rotation Program in two departments within the Division: 6 months shadowing and assisting the Grants manager; 6 months shadowing and assisting the Contracts manager	&	10/1/22 & 4/2/23	01/03/22		
two years of responsibility for two or more major business operations such as grants administration, contract & lease administration, purchasing & warehouse operations, HR, IT, or facilities maintenance & construction"				03/01/22		
				1 – high level of readiness in 6-12 months		
<u></u>	Will complete the <i>Introduction to</i> State Budgeting class through the Governor's Finance Office by			Kerry joined our <u>Division</u> at a position significanth below his capabilities. He possesses both an advanced M.S. in Finance and CPA. He has		
2. "3 <u>vears experience</u> formulating, developing, and analyzing agency budgets;"	4/1/22. Will complete the following Nevada	4/1/22 & 3/30/22	4/30/22 & 6/30/22	consistently received Exceeds Standards on all performance reviews. He also has several years o experience in business operations and budgeting for the <u>Provost</u> office of a small private university in CA.		
3. "3 <u>years experience</u> formulating, developing, and analyzing agency budgets;"	Will complete an assigned decision unit exercise under the Administrator's supervision	6/1/22	8/1/22			
 . 	Will be nominated for the next available Nevada Certified Public Manager (NVCPM) program f Participate in the American Association of Motor Vehicle Administrators Fraud Detection & Remediation training class	To be determined - based on availability 10/1/22	To be determined - based on availability 1/1/23			

Excerpt from Training Officer Script

State: Let's examine a few examples to see how we would utilize this template in practice. These are fictional examples but grounded in real-world positions within the State of Nevada agencies.



State: First, let's look at the Department of Corrections. Joseph Vandelac is the Associate Warden at Florence McClure Women's Correctional Center.

- He has a Food Service Worker II, the supervisor of the facilities kitchen, who abruptly departed State service for a role in the private sector.
- Fortunately, Julie Lapp is a Food Service Worker I, who has been in her role for 1.5 years. Associate Warden Vandelac has already done a stay interview with Julie. He identified her as top talent based on an excellent performance review.

State: Associate Warden Vandelac consulted the Food Service Worker Class Specification document on the DHRM website and got to work determining how to craft a suitable succession plan for Julie:

- Julie lacks the requisite "two years of experience in quantity food preparation and service" written as requirements in the Class Specifications for a role.
- In addition, she's never managed a team, so it's uncertain whether she meets the "provide work direction and training to students and/or food service staff."
- So, she would likely be ineligible for this position if she applied via a traditional recruitment.

State: In your Participant Handout, examine the Succession Plan that Associate Warden Vandelac crafted. Note the following items:

- He identified a training course with the Association of Correctional Food Service Professionals (ACFSA) and will convince his leadership to provide the funds so that Julie can become a Certified Correctional Food Systems Manager. That will bridge the gap between the 1.5 years of experience Julie has and the 2 years required by the Class Specifications!
- To build Julie's knowledge of how to provide work direction to other food service staff such as delegation skills, accountability, etc – he identified the 8-class Supervisory Skills series offered by the Office of Employee Development.

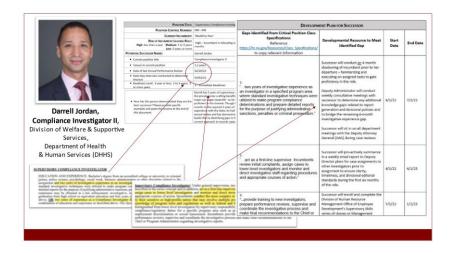
State: One additional step that Warden Vandelac did that isn't listed is that he first made sure the correctional facility's firewall would allow Julie's work computer to access the classes – since both the OED program and the national certification are delivered virtually. He had to ensure that the unit had both a laptop and headset for her as well.

• The Associate Warden recognizes that *since there is no incumbent* to train Julie, he's going to give her plenty of time for each of the educational programs crafted into her succession plan – at least a year.

State: His next step is to get the plan approved and signed by both his Administrator and Agency Director (listed on the first page).

- It's worth noting, that either one of those leaders may add additional items to the plan if they feel it lacks suitable skill alignment.
- For example, they might include mandatory meetings once a week between Julie and Associate Warden Vandelac since this will be her first time leading a team and having the responsibility for approving timesheets, managing scheduling, and monitoring team performance.

State: Once both leaders have signed off on the plan, it is forwarded to the DHRM administrator for approval and processing. This succession plan is pretty straightforward and not likely to require revision or concern.



State: Example two is of a fictional Department of Health and Human Services – Division of Welfare & Supportive Services – succession plan. The plan developer has a little more "runway" to plan for the incumbent's departure.

- In this case, Chase Rogalski is a senior manager appointed to manage the succession plan process for a departing Supervisory Compliance Investigator named Madeline Starr.
- As you can imagine, the Welfare Division has the enormously important job of ensuring that federal benefits received for programs like SNAP (the Supplemental Nutrition Assistance Program) and TANF (Temporary Assistance for Needy Families) program, are distributed according to standards and that the agency is in compliance with all protocols.

State: The Compliance Investigations Team has done that effectively for many years under Madeline's supervisory leadership. But her husband was offered a once-in-a-lifetime job out of State and so Madeline has let her leadership know that she'll be leaving in about 4 months.

- Fortunately, Darrell Jordan has been identified as a suitable successor. But with only 1.2 years of investigative experience in State service, he wouldn't meet most of the position's requirements if a recruitment was opened.
- Darrell has **5** years of supervisory experience in the private sector in a different HR role, though not technically in investigations. He crafted benefits training for a major Las Vegas nonprofit and is highly proficient in that domain.

State: Chase captured the relevant experiences on the Succession plan template. If you look at them, you'll notice:

- 1. He's identified a 8-month shadowing of the incumbent and then subsequent weekly meetings with the Deputy for 2 additional months to patch any knowledge gaps to cover lack of a year's worth of investigative experience.
- 2. Supervisors are responsible for the thorniest and most complex cases, so Darrell will also participate in each of the agency's Adjudication hearings for a year to get hands-on knowledge of the most difficult situations.
- 3. Since Darrell will be new to supervising lower-level investigators and their case assignments, Chase will utilize a 6-month plan in which Darrell provides the Deputy with a weekly summary thus allowing for the opportunity for Darrell to receive suitable coaching on the department's editorial style and tactics.
- 4. Finally, a year out, Darrell will participate in either the Supervisory Skills or Management Academy series offered by DHRM for general leadership development.

It's possible that when Chase submits this proposed succession plan to the Administrator or Director, they may also identify additional federal training that the Agency has relied on in the past to round out the expertise of their Compliance Investigators.

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			Posmo	N CONTRO	NUMBER:	000 - 000
and the second second				CURRENT IN	CUMBENT:	Louisa Follis
06	Kerry Mui, Budget Analyst III Department of Motor Vehicles (DMV)					
6 9		DEVELOPIN	High - Incumbent will retire in 12 months			
- Ale -		Gaps Identified from Critical Position Class Specifications	Developmental Resource to Meet Identified Gap	1		Kerry Mui
		Reference Inttan //hr m anv/Resources/Class. Specifications/		Start Date	End Date	Budget Analyst III
		to copy relevant information				4 years 5 months
		1. *5 years of professional experience including	Will perform a Positional Rotation Program in two departments within			01/03/22
		two years of responsibility for two or more major business operations such as grants administration, contract & lease administration.	more an in two departments within the Division: 6 months shadowing and assisting the Grants manager; 6 months shadowing and assisting the Contracts manager	4/1/22 & 10/2/22	10/3/22 &	03/01/22
ADMINISTRATIVE SERVICES OFFICER III		manhating & completence and entertained total off or			4/2/23	1 - high level of readiness in 6-12 months
MINIMUM CALLARY LANGE AND A CONTRACT			Will complete the introduction fo State Budgeting class through the Governor's Finance Office by 4/1/22.			Kerry joined our <u>Division</u> at a potition significant below his vapabilities. He possesses both an adverced M.S. in Finance and CPA. He has consistently received Exceeds Standards on all performance-enviews. He also has/several years of
		2. "9 <u>KM32 Experience</u> formulating, developing, and analyzing agency budgets;"	Vall complete the following Nevada Executive Budget System (NEIRS) Instruing disease (nf.20/22) All/25 Anospation All/25 Checkler MIDS Dension Lind MIDS Dension Lind MIDS Dension Lind MIDS Fund Magazing Mediale	4/2/22 & 3/30/22	4/30/22 & 6/30/22	performance in butters operations and budgeting parts experience in butters operations and budgeting for the <u>Provent</u> office of a small private universit in CA.
		 "3 ypara superiones formulating, developing, and analyzing agency budgets;" 	Will complete an assigned decision unit exercise under the Administrator's supervision	6/3/22	N/1/22	
ADMINISTRATICS LEVER SOFTCASES			Will be nonvinated for the next	Tobe	Tabe	
		4. "Extablish short- and long-range goals consistent with the mission and business needs of the agency."	available Nevodo Certified Publi: Manoger (INVCM) program Participate in the Amorican Association of Motor Vehicle Advensitators Froud Detection & Remediation training class	determined - based on availability 10/1/22		

State: Finally, let's examine one more "pro-active" succession plan that looks to fill a known pending incumbent departure.

- In this scenario, the DMV's long-tenured Administrative Services Officer III, Louisa Follis, is set to retire in a year.
- ASO jobs are complex, challenging and difficult to fill because open recruitments often yield candidates from private industry who have a big learning curve when trying to understand State processes and administration. But also because the salary differential between State service and private industry is significant.

State: Fortunately, the DMV leadership has identified Kerry Mui, a Budget Analyst III, as a rising Hi-potential star. Kerry has been quick to embrace large meaningful special projects and distinguished himself by both his formal education and his ambitious drive towards excellence.

- As you can see by what Deputy Administrator Tony Marston put in the succession plan, an ASO III typically requires minimum 5 years leading two or more major business operations.
- He's gotten assurances from both the Grants Manager and Contracts Manager that Kerry could do a positional rotational program to gain that exposure over the next 12 months.

State: The requisite 3 years of formulating, analyzing, and developing agency budgets isn't totally foreign to Kerry as a Budget Analyst. And even more importantly, Tony passed the difficult CPA examn.

- Tony's plan will insist that he take all the requisite training classes required by the Governor's Finance Office and the Nevada Executive Budget System (NEBS), so that he can complete an assigned decision unit exercise under the tutelage of the Administrator.
- Long-term professional growth will also require Kerry to be able to "...Establish short- and long-range goals consistent with the mission and business needs of the agency."
- So, the agency will support his candidacy for the 18-month Nevada Certified Public Manager (CPM) program which has classes on project management, process improvement, and leadership development. The agency will also pay for him to enroll in the American Association of Motor Vehicle Administrators *Fraud Detection & Remediation training class.*

State: It's entirely possible that given the large leap between a Budget Analyst III and an Administrative Services Officer III that the Agency's Director will feel more comfortable with opening a recruitment – hoping to find someone from another agency with sufficient experience that won't require a development plan.

• But nonetheless, Tony is eager to present the plan because he knows how disruptive a retirement can be on losing institutional knowledge and how long it will take for an outsider to "get up to speed" in the new role.