

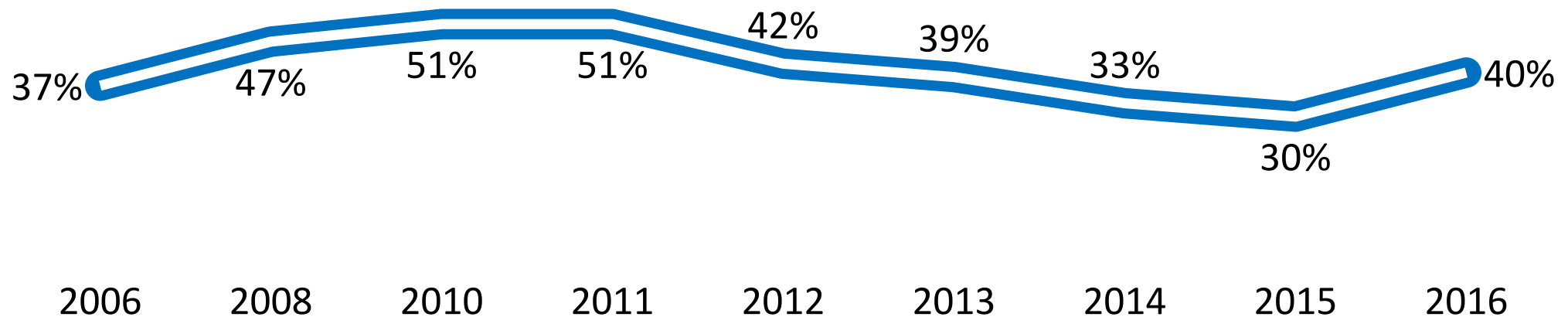


Succession Planning

“Does experience at Immigration and Customs Enforcement gives us a good starting point?”

■ The story begins in 2012

- ICE was nearing its 10-year anniversary, and had only established its own HR office three years before
- The census of all employees in the 2012 Viewpoint Survey marked the start of a sustained decline in morale
- Leadership had a developing fear of an inability to fill behind its rapidly depleting leadership force



- So, in 2013 we launched two major projects to address morale and succession

Morale

- Undertook a statistical analysis
- Conducted structured focus groups
- Prioritized findings
- Launched actions

Succession Planning

- Created a community of practice
- Established principles to govern effort
- Created materials
- Conducted pilot
- Launched mandatory baseline assessment of all SES and GS-15s



■ And what did we find?

Morale

An existential crisis

Employees needed:

- Direction
- Autonomy
- Acknowledgment
- Coverage

Succession Planning

Missing core skills

Employees needed:

- Compelling vision
- Systems thinking
- Input on strategic initiatives
- Persuasive capability



■ How did we do it?

We started with OPM's 9-box model, with one axis showing past performance and the other axis showing future potential

Performance	Strong	Very Strong Performance/ Strengthen Potential	Very Strong Performance/ On-Target Potential Ready Soon	Very Strong Performance/ Very Strong Potential Ready Now
	On-Target	On-Target Performance/ Strengthen Potential	On-Target Performance/ On-Target Potential	On-Target Performance/ Very Strong Potential Ready Soon
	Strengthen	Strengthen Performance/ Strengthen Potential	Strengthen Performance/ On-Target Potential	Strengthen Performance/ Very Strong Potential
		Strengthen	On-Target	Strong
		Potential		



Then we asked a librarian for help

The librarian found a meta study that led us to 20 indicators:

ICE SUCCESSION PLANNING

LEADERSHIP READINESS ASSESSMENT

Complete this form to help assess employee leadership readiness at this point in time. This information will be used to determine its leadership bench strength and to inform leader development investments. Answer all the questions as the results link to the Developmental Activities Grid.

Employee Name		Supervisor Name	
Employee Duty Station		Date	
Employee Position Title			

Interest			
If the employee is uninterested in higher-level, broader scope positions or is within 1 year of Mandatory Retirement and unwilling to change their Job Series.	STOP HERE		
Communicates, through words and actions, an intent to stay for the next 2-3 years (commitment)	<table border="1"> <tr> <td>YES – CONTINUE</td> <td>NO – STOP HERE</td> </tr> </table>	YES – CONTINUE	NO – STOP HERE
YES – CONTINUE	NO – STOP HERE		

Performance and Conduct (achievement and behavior)	Strengthen	On-Target	Very Strong
Demonstrated performance above and beyond expectations in the last three years			
Models ethical behavior and good conduct			
Supervisor's Overall Assessment of Performance (circle one):	Strengthen	On-Target	Very Strong

Potential (ability, engagement, and aspiration to rise to and succeed in more senior positions)	Strengthen	On-Target	Very Strong
Ability: characteristics and capabilities (cognitive, emotional, technical, and interpersonal abilities)			
Develops and communicates a compelling vision (leading change – inspirational motivation)			
Seeks to understand the reasoning behind a decision (leading change – situational awareness)			
Explains the context within which a policy or procedure is executed (leading change – situational awareness)			
Obtains input from employees when solving problems (leading change – intellectual stimulation)			
Clarifies performance targets and who is responsible for achieving them (leading people – results driven)			
Uses a management-by-exception approach to assess deviations from performance standards (leading people – systems thinking)			
Emphasizes the greater good of employees while showing respect (leading people – idealized influence)			
Considers the needs, aspirations, and welfare of employees (leading people – consideration)			
Shows commitment to enhancing and supporting career-path opportunities for employees (leading people – employee welfare)			
Demonstrates self-awareness (leading people – emotional intelligence)			
Exhibits the ability to be self-deprecating (leading people – emotional intelligence)			
Embraces and stimulates inclusion, values and leverages individual differences in driving results (leading people – diversity)			
Sustains a focus on the highest priorities in the face of interruptions (results driven – resilience)			
Maintains optimism in the face of pressure and setbacks (results driven – resilience)			
Sustains a focus on difficult projects until a solution is reached (results driven – grit and self-discipline)			
Seeks criticism of proposed and implemented strategies and solutions (results driven – anti-confirmation bias)			

Demonstrates mastery of persuasion in advocating proposed solutions (building coalitions – persuasion)	
Interacts well with people at higher levels and with different backgrounds (building coalitions – partnering)	
Demonstrates ability to strategically manage human, financial and information resources (business acumen)	
Supervisor's Overall Assessment of Ability (circle one):	
Comments on Ability:	
Engagement: values, enjoys, and believes in the organization; goes above and beyond; and intends to stay	
Promotes the ICE mission actively when communicating internally and externally (commitment)	
Exhibits passion and optimism for the agency's mission and its future (enthusiasm)	
Exerts extra effort in the performance of duties (commitment)	
Indicates an interest in staying with the organization (commitment)	
Supervisor's Overall Assessment of ENGAGEMENT (circle one):	
Comments on Engagement:	
Aspiration: wants a higher-level position	
Seeks special assignments and other opportunities actively (enthusiasm)	
Seeks new opportunities, including ones that might be different than any that currently exist (enthusiasm)	
Is amenable to relocating to accept a career enhancement opportunity (mobility)	
Searches for opportunities to leverage other disciplines in providing solutions (curiosity)	
Demonstrates continuous learning and development beyond formal training (curiosity)	
Supervisor's Overall Assessment of ASPIRATION (circle one):	
Comments on Aspiration:	

Next circle your overall assessment for each section above in this table



PERFORMANCE	Strengthen	On-Target	Very Strong
POTENTIAL			
ABILITY	Strengthen	On-Target	Very Strong
ENGAGEMENT	Strengthen	On-Target	Very Strong
ASPIRATION	Strengthen	On-Target	Very Strong

On the next page use above table to determine your combined assessment of the employee's overall performance your perspective of this employee's potential in the corresponding column; use your judgment to determine the “



■ We also developed handouts to help

ICE SUCCESSION PLANNING	CONVERSATION GUIDE
TALKING POINTS FOR DISCUSSING EMPLOYEE POTENTIAL	
INTRODUCTION	
<ul style="list-style-type: none"> ■ Set a comfortable tone: explain that together you are exploring current and future developmental needs, expectations for progression, and aspirations for their future—<u>not</u> performance ■ Build trust: openly ask the employee about what matters to them, what they would change, if given an opportunity regarding their current position, roles, responsibilities and duties 	
DISCUSSION	
<ul style="list-style-type: none"> ■ Give examples of what you feel helped you become a leader, and discuss common leadership derailers ■ Talk about resources and the need to develop reservoirs of talent for roles across the Agency ■ Discuss the importance of trust in leading, how one strengthens the trust both received and given ■ Discuss the employee's reality to invest the time and commitment needed to gain the experience and knowledge necessary to succeed in leadership positions as well as in competing for selection ■ Discuss the likely need for geographic mobility, not just for a position but also to gain perspective and experience; ask if they are mobile now or in the future ■ Explore work-life balance issues that must be considered in assessing interest for the likely demands of a leadership position ■ Explore what activities help prepare people for leadership responsibilities (breadth of knowledge and experience, personal awareness, willingness to extend trust, perseverance) ■ Explore the employee's prior experience, education, training, and developmental activities ■ Invite them to describe their experience, skill, behavior, attitude, and character traits that reflect their perceived leadership potential ■ Invite the employee to convey their willingness to move to gain experience or to assume a leadership position if they were selected ■ Invite the employee to describe their vision, what they believe would constitute success for them 	
CONCLUSION	
<ul style="list-style-type: none"> ■ Explain your views on their potential, and identify possible activities to build the employee's leadership potential ■ Consider developing an individual development plan that identifies the employee's training and developmental needs, and to use in formulating requests for resources 	

ICE SUCCESSION PLANNING	OVERCOMING DERAILERS GUIDE
ON-TRACK OR DERAILING? BEHAVIORS THAT CAN HELP OR HINDER YOUR CAREER	
Results alone do not make a good leader. Derailers keep employees from achieving their leadership potential.	
<p>HAVE A POSITIVE ("CAN-DO") ATTITUDE – exude confidence with energy, encouragement, and a positive vibe SIGNS YOU MAY BE DERAILING: People stop asking for your involvement and jump to conclusions too quickly. You focus routinely on why something shouldn't or can't be done, or you exhibit blind optimism. TO GET BACK ON TRACK: Observe your thoughts and questions during meetings to ensure they are positive, and ask for candid feedback on whether you explore ideas before shooting them down.</p>	
<p>TAKE OWNERSHIP – take responsibility for mistakes and problems. Good leaders own their mistakes and those of their team. SIGNS YOU MAY BE DERAILING: Blaming others, denying mistakes, not following through, or shirking responsibility for the employees you lead. TO GET BACK ON TRACK: Shoulder the blame, acknowledge mistakes and wrong decisions, communicate lessons learned, and be authentic about what happened.</p>	
<p>SHOW GRATITUDE – acknowledge those who help SIGNS YOU MAY BE DERAILING: Taking credit, failing to recognize others' contributions, focusing on mistakes, and failing to celebrate wins. TO GET BACK ON TRACK: Show sincere gratitude.</p>	
<p>VALUE THE TIME, ATTENTION, AND EFFORTS OF OTHERS – listen intently to others, ask engaging questions, be present in the moment SIGNS YOU MAY BE DERAILING: Checking e-mail during meetings, thinking of what you're going to say next, not asking questions, multi-tasking, being long-winded, and showing up late or cancelling meetings. TO GET BACK ON TRACK: Connect with people, be genuine, ask questions, be curious, be on time, and be prepared.</p>	
<p>STAND UP FOR YOURSELF AND YOUR TEAM – be prepared to support your goals and advocate for your team SIGNS YOU MAY BE DERAILING: Staying quiet while a colleague is berated, being easily swayed or too heavy handed, and not following agreements. TO GET BACK ON TRACK: articulate clear goals for yourself and the team, build business cases to support your proposals, debate your ideas before agreeing on a path forward.</p>	
<p>CONNECT AND INCLUDE – show you can bring in the expertise of others to strengthen project results SIGNS YOU MAY BE DERAILING: Undertaking a lot of solitary work, taking on more than you can accomplish, not delegating, and not sharing information. TO GET BACK ON TRACK: Ask others how they want to be involved, reach out for advice, acknowledge input, and seek experts and their opinions for solitary work.</p>	
<p>ASK FOR AND USE FEEDBACK – seek feedback and view it as a gift SIGNS YOU MAY BE DERAILING: Reacting poorly to criticism, being defensive, lacking self-awareness, or being inflexible or too narrowly focused. TO GET BACK ON TRACK: Seek feedback on specific behaviors, complete a 360-degree assessment, and follow-up with people who provide you feedback.</p>	



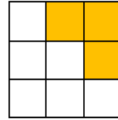
■ And we added materials to help development

ICE SUCCESSION PLANNING

DEVELOPMENTAL ACTIVITIES GUIDE

Ready, but Room for Growth

These employees are highly motivated leaders and role models. They demonstrate mastery of most or all aspects of their current positions. Use active coaching, mentoring, shadowing, and review and feedback to strengthen. Schedule and conduct regular check-ins to monitor for signs of burnout. Work to build these employees' networks and cross-functional experience. Challenge them to solve long-standing problems.



Category	Types of Activities	Illustrative Resources ¹
Training	<ul style="list-style-type: none"> Pursue advanced degree, certification, or credentialing program Attend advanced management and professional seminars Undertake online training programs Monitor management blogs Participate in leader/executive development programs Read national security/strategic studies 	<ul style="list-style-type: none"> ICE Training and Education DHS SES Candidate Development Program Center for Homeland Defense and Security Harvard Business School courses (online) Brookings, Aspen, and Federal Executive Institute Govexec, Corporate Leadership Council, Center for Creative Leadership, and management blogs (e.g., Great Leadership) TheCapitol.net for training on Congress
Activities	<ul style="list-style-type: none"> Participate in or lead cross-organization working groups Volunteer in a local organization outside work Serve as member or on the board of an organization Participate in symposiums, forums, panel discussions Attend professional networking events 	<ul style="list-style-type: none"> Conferences Partnership for Public Service events Rotary Club International (for example) Serve as a mentor Professional coaching
Work Experiences	<ul style="list-style-type: none"> Undertake project to fix a long-standing problem, as a lead or team member Volunteer for opportunities to lead projects or act as a supervisor or team lead when other are on leave Seek detail opportunities and rotational assignments Shadow local leaders Serve as a representative of the office Seek opportunities to present 	<ul style="list-style-type: none"> Stretch goals, objectives, duties Self-directed or instructional projects Executive-level forums, meetings Toastmasters International/SPICE Interagency work groups

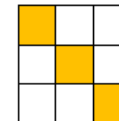
¹ These example resources are not meant as an endorsement. ICE employees can access the Corporate Leadership Council website using their office e-mails.

- Engage in peer coaching to expand interest in continued development
- Participate in the DHS Surge Capacity program

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DEVELOPMENTAL ACTIVITIES GUIDE

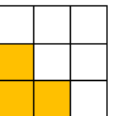
Continued development. Determine understanding of strengths, and motivators. Address potential barriers (e.g., work-life constraints) where they are career-wise, but provide exposure to new value to promote ongoing engagement.



	Illustrative Resources ²
Communications, and	<ul style="list-style-type: none"> ICE Training and Education Center for Homeland Defense and Security Harvard Business School courses (online) Govexec, Corporate Leadership Council, Center for Creative Leadership, and management blogs (e.g., Great Leadership)
Facilitate growth and	<ul style="list-style-type: none"> Conferences Partnership for Public Service events Rotary Club International (for example) Serve as a mentor Professional coaching
Address stress, goal-setting, and	<ul style="list-style-type: none"> Conferences Partnership for Public Service events Rotary Club International (for example) Shadowing Toastmasters International/SPICE Industry Workshops Leadership Circles
Identify abilities as a	<ul style="list-style-type: none"> Formal and informal networking events Rotations or detail assignments Self-directed or instructional projects Familiarization field trips Self-development, trust-building efforts

DEVELOPMENTAL ACTIVITIES GUIDE

Address work-life constraints; gaps in knowledge, skills, and abilities; or the need for dialogue, peer-to-peer support, mentoring, shadowing, and review to provide opportunities to demonstrate initiative and determination. Encourage employee's value to ICE, and strengthen engagement to increase

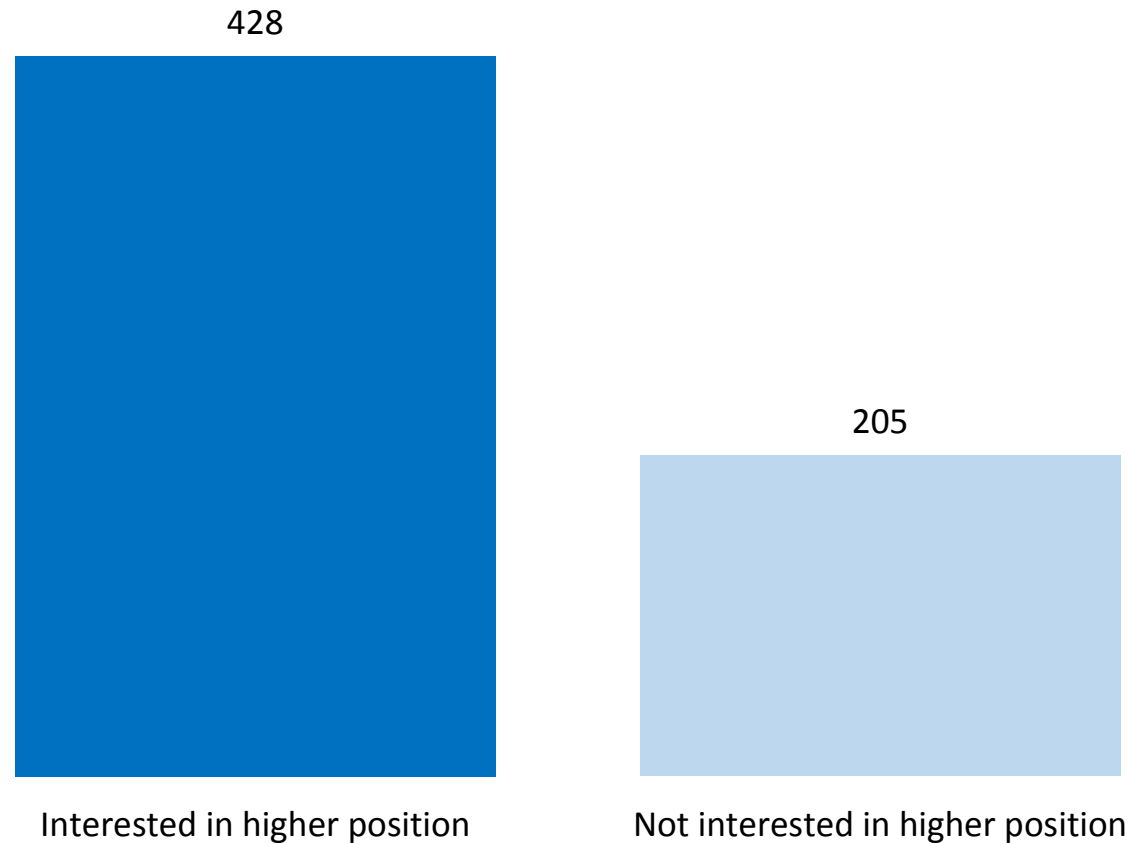


	Illustrative Resources
	<ul style="list-style-type: none"> ICE Training and Education Books 24x7
Identify competency gaps	<ul style="list-style-type: none"> Toastmasters International/SPICE Industry Workshops Situational Mentoring
Engage in peer coaching and colleagues	<ul style="list-style-type: none"> Formal and informal networking events Self-directed or instructional projects (e.g., self-awareness assessments, active listening) Familiarization field trips Individual development plan



■ We won the pitch, and the results say...

3 in 10 employees are not interested in a higher-level position:



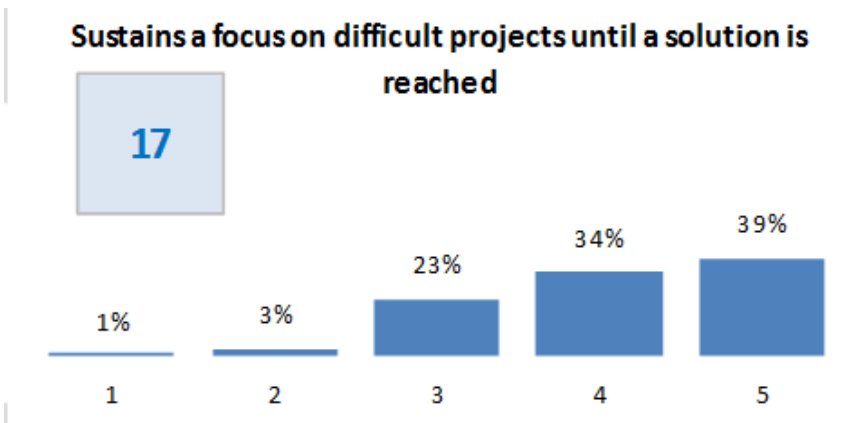
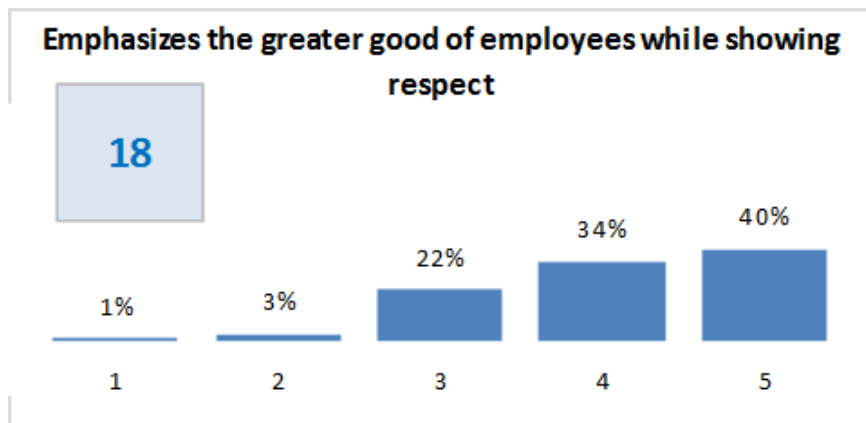
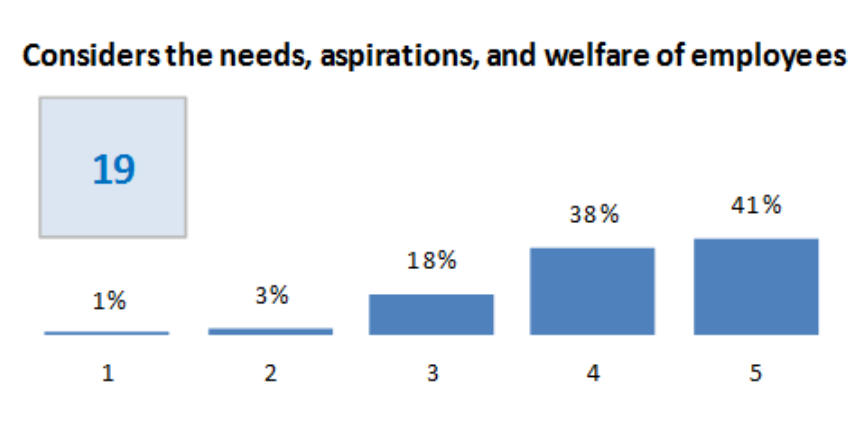
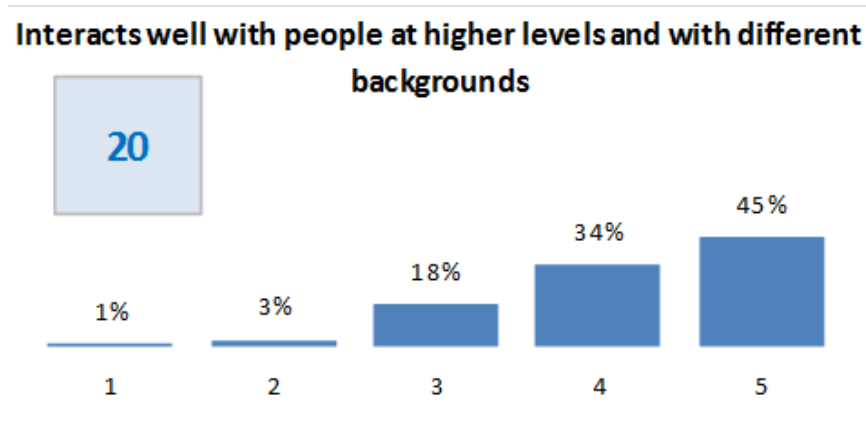
■ And of those interested, 44% are ready now...

Performance	Strong	Very Strong Performance/ Strengthen Potential 1%	Very Strong Performance/ On-Target Potential 27% Ready Soon	Very Strong Performance/ Very Strong Potential 44% Ready Now
	On-Target	On-Target Performance/ Strengthen Potential 2%	On-Target Performance/ On-Target Potential 10%	On-Target Performance/ Very Strong Potential 12% Ready Soon
	Strengthen	Strengthen Performance/ Strengthen Potential 1%	Strengthen Performance/ On-Target Potential 2%	Strengthen Performance/ Very Strong Potential 1%
		Strengthen	On-Target	Strong
Potential				



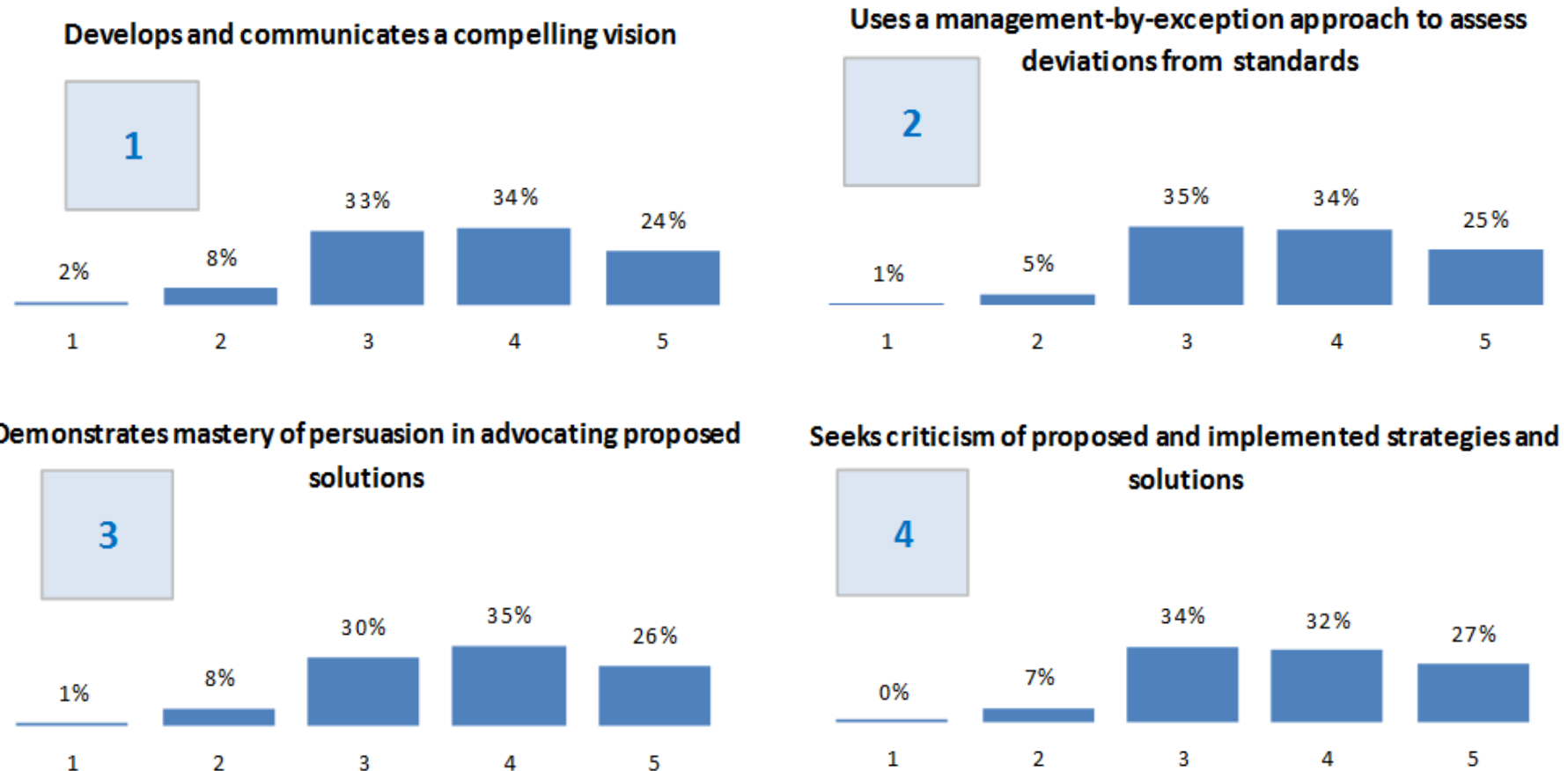
■ What strengths could we build on?

1) diversity, and 2) caring for their teams:



■ Where could we gain the most?

It reflects what we found in the morale focus groups:





2017 FINANCIAL MANAGEMENT CONFERENCE

What worked?

- Engaging the target audience helped ensure success
- Sharing the model with a large department led to continual improvement
- Having a concrete proposal sold the approach to leadership
- Generating discussions among leaders was just as important as with employees

What could have been better?

- Pre-building a results communications plan
- Deeper excitement within the training team about the opportunity
- A sense of the demand that would be forthcoming