

MANAGEMENT SUCCESSION PLAN



May 1997

National Park Service

MANAGEMENT SUCCESSION PLAN

Prepared by

Management Succession Planning Team

A Subcommittee of the NPS Careers Council

April 1997
NATIONAL PARK SERVICE
U.S. DEPARTMENT OF THE INTERIOR

CONTENTS

<i>BACKGROUND</i>	1
<i>INTRODUCTION</i>	5
<i>MANAGING DIVERSITY</i>	7
<i>THE MANAGEMENT SUCCESSION PROGRAM</i>	
<i>Roles/Responsibilities</i>	9
<i>Resources</i>	11
<i>Budget</i>	12
<i>Communications</i>	12
<i>Identification of Key Management Positions</i>	13
<i>Definitions of Competencies</i>	
<i>Employees</i>	15
<i>First-level Supervisors</i>	16
<i>Management</i>	17
<i>Executive (SES)</i>	17
<i>SUCCESSION PLANNING</i>	21
<i>MANAGEMENT DEVELOPMENT</i>	23
<i>NOMINATION / SCREENING</i>	25
<i>ASSESSMENT / DEVELOPMENT</i>	29
<i>SELECTION</i>	31
<i>EVALUATION</i>	35
<i>PREPARERS</i>	37
<i>APPENDIX: INVESTMENT IN LEADERSHIP</i>	
<i>SUCCESSION PLANNING IN THE NATIONAL PARK SERVICE</i>	39

“It is not an easy task for leaders to find their successors among those who have the potential to lead but do not know it, and among those who would like to lead but feel left out. Equally hard is the task of foreseeing challenges yet to come, and at the same time develop leaders with the right competence to meet them. What a formidable task then it is to do all three: find and grow new leaders, fit them with the right skills, and set direction toward what we know is an increasingly complex and undefined future.”

Roger G. Kennedy
Director 1993-1997

BACKGROUND

The National Park Service holds the heritage—the heart and soul—of this nation in its hands, with responsibility for the past that stretches forward to future generations. That unique responsibility has instilled within its employees an unusual commitment to and passion for ensuring the success of the agency’s mission. Seldom have National Park Service employees felt their jobs are simply “just jobs.” It has been characterized by some as a fine line of compromise—a balancing of potential conflicts between guarding the National Park Service’s resources, serving its visitors, and celebrating its employees.

Nevertheless, like all federal agencies, the National Park Service finds itself in a time of changing circumstances—a time of declining economic and social fortunes accompanied by a loss of confidence in our leaders, in our institutions, and even in ourselves. Most experts expect these stressful economic, social, and political upheavals to persist for many years.

When one considers these circumstances and focuses on how to ensure success into the future, two approaches consistently top the list of suggestions: improve the quality of the product being provided; and improve customer service. Unfortunately, even perfection in the quality of products and services does not guarantee that any entity will be successful, for constituent demands and expectations will change with time. It is only the quality of leadership that will allow any organization to anticipate and commit itself to meeting the requirements of future years. Indeed, the only sustainable competitive advantages any business or agency has are its reputation and its ability to deliver what it has promised. The key challenge, therefore, is the assurance of continuity of a top-quality corps of senior managers and executives.

The responsibility rests with current National Park Service leaders for preparing others to follow—that is, for ensuring a continual renewal of future managers who will guard our resources, serve our visitors, and celebrate our employees. Employees must be identified who have a demonstrated commitment to the dual mission of the National Park Service, and who will lead with commitment and passion.

Two critical efforts in this area are the National Performance Review and the Vail Agenda. Both speak to quality management and succession planning.

As recognized by the National Performance Review, there must be a commitment to "the principles of reinventing government, quality management, and perpetual re-engineering." The major recommendations of the National Performance Review that speak to management succession planning include:

1. Providing proven leadership;
2. Improving government performance through strategic and quality management;
3. Strengthening the corps of senior leaders;
4. Empowering managers to perform; and
5. Providing line managers with greater flexibility to achieve results.

The Vail Agenda asserts a vision of the National Park Service as it moves toward the 21st century. Six strategic objectives constitute this vision, yet not one of these objectives can be pursued or reached without the assurance of quality leadership. In recognition of this importance, two of the six objectives specifically address leadership:

1. **Proactive Leadership:** The National Park Service must be a leader in local, national, and international park affairs, actively pursuing the mission of the National Park System and assisting others in managing their park resources and values.
2. **Professionalism:** The National Park Service must create and maintain a highly professional organization and work-force.

The main goal of the National Park Service Succession Plan is to meet the National Park Service's needs for management skills and work-force diversity by the end of this century. Accomplishing this goal requires two parallel processes:

1. A human resource program that defines a sub-set of managers ready to assume, or fill vacancies in, key positions; and
2. A strategic and operational plan that identifies the essential roles or key positions needed to succeed into the future.

In July 1993, the National Park Service completed a study (appended) on succession planning entitled "Investment in Leadership." This study emphasizes that the National Park Service must implement and integrate management processes for the projection, identification, assessment, development, selection, and continued education of highly qualified candidates.

The "Investment in Leadership" study also outlined the essential elements that must be contained in a comprehensive management succession program, and that outline of elements formed the foundation for the Management Succession Program. The program will be a management-driven system; without strong management commitment and involvement, it will lack credibility, and will therefore fail. The National Park Service Strategic Plan and operational plans are fully considered and integrated into the succession program. The strengths of the National Park Service culture and values are recognized and built upon—yet the program ensures that the National Park Service will reflect the country's population diversity. The program, and the processes it establishes, demonstrate senior management's commitment to learn to manage diversity. Finally, the program will implement integrated management processes that project, identify, assess, develop, and allow selection and provide continued education of highly qualified candidates.

Process to Identify Managers and Key Management Positions

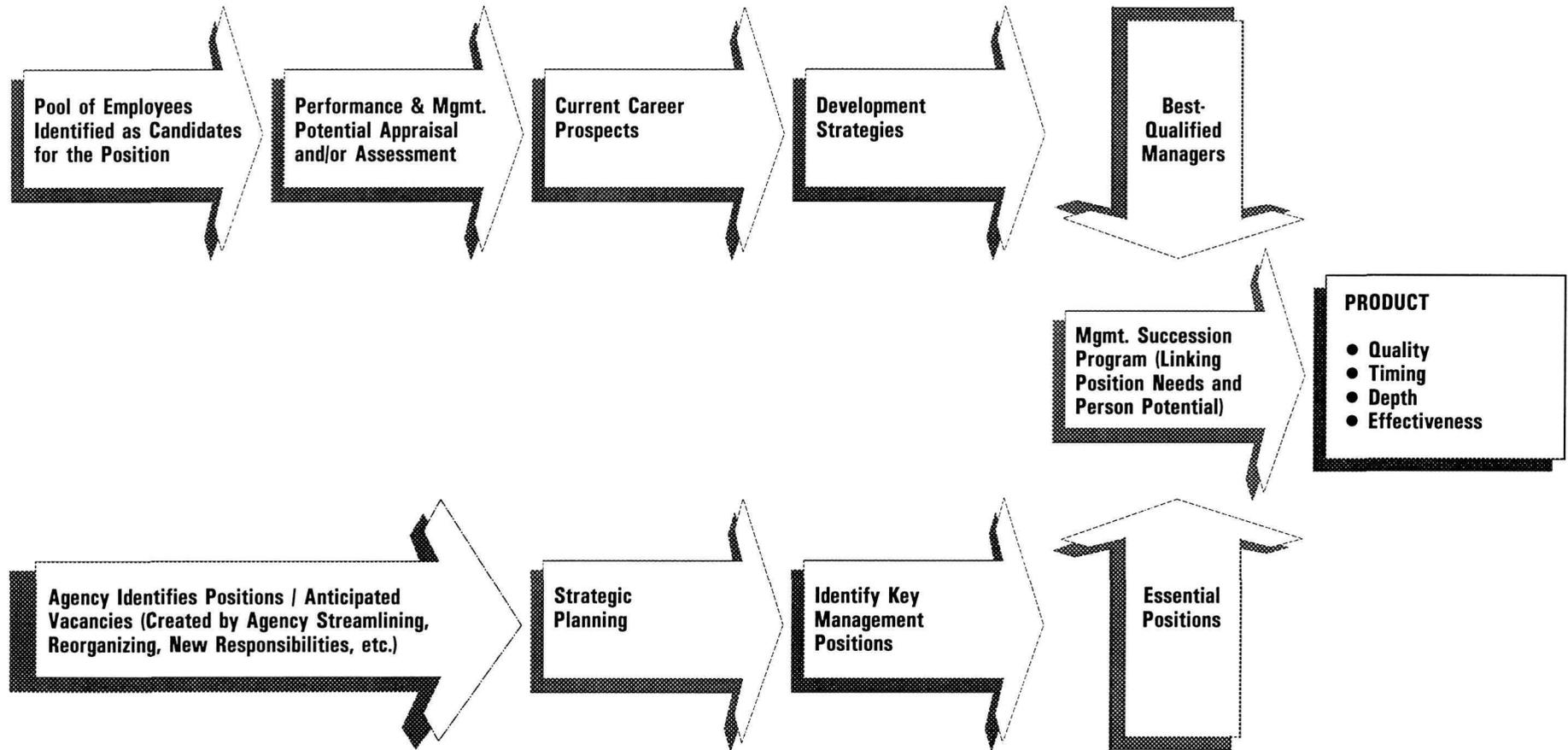


Figure 1.

INTRODUCTION

PURPOSE

To strengthen the professional leadership of the National Park Service; to equip its career leaders with the management and leadership skills needed to foster renewal of the Service; and to undertake its leadership role in the preservation and interpretation of our national heritage.

GOALS

1. To meet the National Park Service's needs for management skills and work-force diversity.
2. To empower employees by providing a road map of advancement opportunities for personal growth and growth into National Park Service management.

OBJECTIVES

1. Identify the essential competencies needed to succeed in National Park Service management in the future.
2. Establish and maintain the technology and the systems that will track and analyze personnel data (e.g., turn-over rates and projections of needs within the organization).
3. Establish possible career opportunities for all employees who want to advance within the management of the National Park Service, thereby ensuring the National Park Service's commitment to work-force diversity. Identify the critical steps or stages along those paths (e.g., employee to first-line supervisor, supervisor to division chief, entry-level manager to park manager).
4. For each critical stage (e.g., first-line supervisory position or entry-level management position), identify employees potentially promotable to those positions, and identify the strengths and the weaknesses of each potentially promotable employee.
5. Identify employees at each stage ready for promotion within 6 months, and place them into an accelerated development program.
6. Develop and implement action plans that strengthen each candidate in areas needing improvement, and ensure an adequate "pool" of promotable employees for projected needs.

7. Establish follow-up checkpoints and assessment processes to ensure candidate development.
8. Develop and implement a process that allows for outside applicants, participants of non-National Park Service management programs, or participants of previous National Park Service management programs to be certified and incorporated into established candidate “pools.”
9. Establish a selection process that draws from the certified and developed employees.
10. Establish follow-up checkpoints and assessment processes to ensure that selected managers continue their education and growth.

MANAGING DIVERSITY

“Defining managing diversity as a process highlights its evolutionary nature. It allows corporations to develop (evolve) steps for generating a natural capability to tap the potential of all employees.”

From “Beyond Race and Gender”
R. Roosevelt Thomas, Jr.

This succession program recognizes leaders—and managers must manage diversity. Diversity is the condition of having differences. Within any portion of life, we are continuously exposed to things that are different—that is, diversity. There are the obvious differences in people’s backgrounds, in the ways we each view and interact with the world, and even between people of the same culture or gender. Diversity is inherent in the human race. Managing diversity is an approach emphasizing that all people are part of a whole organism, but that the organism is made up of very different interlocking pieces, which together are greater than the mere sum of their parts. Managing diversity is an approach to creating an agency environment that allows employees to use their differences to reach their full potential in pursuit of the agency’s objectives. A diverse agency not only respects every element of diversity, but asks each element what it can contribute to the whole or to the agency’s objectives.

The succession program will improve the National Park Service’s ability to manage diversity in the broadest sense—and it will also improve work-force diversity. Cultural diversity has expanded, and will continue to expand, within this country. The National Park Service has been known as a very conservative public agency, with its own unique internal culture. The Service has also been slow and cautious about change. Nevertheless, it cannot escape the continuous evolution of national demographics. The population as a whole is expanding its cultural diversity at an amazing speed. The National Park Service needs to create a management team that mirrors the cultural diversity of that population.

The National Park Service will focus increased efforts on expanding diversity in its work-force, particularly at middle and higher grades in the organization. Diversity in these grades can promote the different outlooks, understandings, and thinking strategies that people in these grade levels are able to utilize in the day-to-day operations of the work-force. It is very important to emphasize diversity at these grade levels, because this is generally when people have the greatest chance to influence others.

THE MANAGEMENT SUCCESSION PROGRAM

“To strengthen the professional leadership of the National Park Service; to equip its career leaders with the management and leadership skills needed to foster renewal of the Service; and to undertake its leadership role in the preservation and interpretation of our national heritage.”

From the Vail Agenda, page 47

This ambitious objective must be, and can be, achieved. However, the development and implementation of the numerous potential programs that support this objective will not provide the candidates we need unless all management demonstrates its firm commitment, support, and leadership.

In order for this program to be successful, it must be adopted at the very core of the National Park Service. For such a cultural and philosophical shift to occur, *every* employee must assume a role in its implementation and *every* employee must accept the responsibility for its success.

The Investment in Leadership study succinctly captured the nature and extent to which top-management commitment is needed to realize a viable succession process. Described below are the roles and responsibilities that top management will provide, as well as other participation critical to the success of this program.

ROLES / RESPONSIBILITIES

The Director

Most important to the success of the program is the personal leadership of the Director. This leadership includes the acceptance and integration of the program into the many other efforts the agency is undertaking. It also includes leadership by example. The Director will ensure accountability among his/her immediate management staff and the National Leadership Council. These individuals will be actively involved in the identification, assessment, and development of our future leaders. Support staff such as Human Resources, Budget, Equal Opportunity, and Employee Development must work together to ensure that sufficient resources are available to develop a diverse and competent work-force. The bypassing of established guidelines, especially selections for management positions, will cause management to lose credibility and the support of the work-force. The Director will also provide continual support for the technology required to operate the program (e.g., the Human Resource Management Information System described under Identification of Key Management Positions, page 14).

To further managers' commitment and accountability and to ensure the viability of the succession plan, the Director will:

1. As a critical part of assessing all managers, hold them accountable for supporting the succession planning process. This includes requiring supervisors to prepare an individual development plan for every employee and ensuring that employees are encouraged to seek self-improvement and participation.
2. Communicate to line managers the importance of succession planning and solicit their support as advocates of the program.
3. Reward managers who have demonstrated success in preparing candidates to assume leadership positions.
4. Provide the necessary funding and FTE to Human Resources and Employee Development for such critical functional support as: training and development of employees; updating inadequate personnel automated systems; and communicating program activity.
5. Require that all new supervisors and managers be "certified," and that current supervisors and managers be "re-certified." This certification will ensure that those selected to lead possess the skills needed to adapt to the changing needs of the organization, to motivate employees, and to foster excellence.

Employees

All employees are responsible for identifying their desired career goals with input from mentors, peers, and supervisors. Employees should study the various pathways and determine, with assistance if necessary, the competencies needed and the appropriate pathways to achieve those goals. Employees, with input from mentors, peers, and supervisors, will determine when to apply for participation in the Management Succession Program. All employees will have the opportunity to be considered for advancement. However, only the employees who are certified in the competencies required of the target position will be eligible for selection under this program. This Management Succession Program, along with established career pathways, will provide the framework. It will be the individual employee's responsibility to achieve his/her full potential.

Managers

Accountability at all levels is the crucial ingredient for this program's success. Managers will ensure that opportunities are being provided for all employees. This does not mean that all employees will eventually be selected as managers. It means that all employees have an equal opportunity to be selected as managers. Managers will serve formally and informally as mentors. They will provide opportunities to work on details and work-group assignments, and share their knowledge about achieving excellence. They will serve as guides and examples of what management and leadership are all about.

Supervisors

Supervisors and managers will be responsible for assisting employees with their Individual Development Plans. The supervisor's role will not be one of granting or withholding permission, but rather giving guidance on appropriate career paths and development and training needs to achieve required competencies. The supervisor will counsel, provide feedback, evaluate, and assist employees in achieving excellence. The supervisor may nominate employees for candidacy within the program. Supervisors will be held accountable to ensure that their nominations are based on documented performance.

Management Succession Program Staff

A centralized staff of employees will be administratively responsible for the implementation of the program. This will include functional support for the automated systems, communicating program activity, contracting for assessments, announcing open periods for nominations, and keeping candidate "pool data." Training and development responsibilities will be spread across the National Park Service and implemented according to the Employee Training and Development Strategy.

National Leadership Council

The council will monitor and evaluate the program based upon data provided by Management Succession staff. The council will also ensure that the program is updated and modified in accordance with management needs.

Mentors

Mentors serve as role models and provide insight and guidance on how to enhance one's competitiveness for entrance into and advancement within supervisory and managerial ranks. Specifically, mentors will impart knowledge about the various competencies, and provide contacts, support, and feedback to heighten the effectiveness of protégés, as well as assist the National Park Service in meeting its work-force diversity goals. A mentor, however, does not function as an advocate or a sponsor for the protégé.

RESOURCES

The responsibilities cited above communicate to employees the importance of succession planning and leadership development; they support the program's goals and objectives; and they ensure the accountability of managers by defining their responsibilities in the Management Succession Program. In addition, they will provide the necessary resources for the Management Succession Program Staff to support management in identifying future staffing needs; in gathering data needed by management to make sound personnel decisions (which the National Park Service is unable to accomplish under its current automated personnel system); in procuring and evaluating assessment tools; and in administering, monitoring and evaluating the succession process. Without the commitment of these resources, we stand to lose a comprehensive approach to succession planning.

BUDGET

Implementing a good management succession program takes resources. There is a heavy employee development component involved in preparing our employees to improve their knowledge, skills, and abilities in order to effectively manage the work-force of the future. Also, support systems must be established so that management can quickly and effectively place the right employees in the right positions.

1. Human Resource Management Information System: \$100,000 for system development; and \$75,000 annually to maintain the system.
2. Leadership Development Funding: Management must be willing to provide the financial resources necessary to develop the competencies required for its leadership and management team. Most successful organizations devote approximately 3 percent of corporate earnings toward development of its employees. It is not unreasonable that the National Park Service devote ½ of 1 percent of ONPS-appropriated funds (about \$5 Million) toward making its leadership and management team the best it can be. Included in this funding level is funding for assessments; salary and travel for developmental assignments; and training for career development, as well as to improve performance of current duties and responsibilities of the supervisors and managers of the National Park Service.

COMMUNICATIONS

A critical component in implementing a management succession program is identifying avenues by which the program can be communicated to employees, employees of other federal agencies, and individuals outside the federal government. The efforts described below will provide continuous dissemination.

1. In order to ensure that the program will be used by current and future employees, it will be promoted as a tool not only for managers but also seen by employees as a road map into management positions. Thus all National Park Service employees should be exposed to the idea of management succession at an early stage of their careers. This will be accomplished by incorporating this program, along with others developed under the Career Council umbrella, into the National Park Service's existing orientation courses. This inclusion will expand employees' knowledge of career opportunities and allow them to better plan their careers.
2. Individual supervisors will also assist in the dissemination of this program. All supervisors will incorporate discussion of this program within their normal efforts to assist employees in developing their career plans. If a particular employee has an interest in a management career path, the supervisor will provide the interested individual with the list of competencies required to progress into management. The employee could then outline a development plan designed to help reach that career goal.

3. The program will be conveyed to Employee Development and Training Offices of other Interior agencies and other federal land managing agencies to facilitate understanding of the Service's management succession program by employees in other agencies. The program will be incorporated into employment information packets for dissemination in response to employment inquiries.
4. The National Park Service will also demonstrate its commitment to development of a diverse management team by incorporating this program during recruitment efforts. The National Park Service will:
 - Develop an employment guide: This guide will be provided to colleges and universities (especially those with high minority enrollment). This guide will provide students with information about what curriculum/course work may make them eligible and more competitive for positions with the Service.
 - Revitalize the National Park Service's Upward Mobility program. This program will assist the National Park Service in creating a bridge for women and minorities to progress into positions that will eventually put them in the "management pool." This action will assist the National Park Service in developing women and minorities currently on board, who are typically in clerical, technical, and administrative positions, to progress and eventually overcome under-representation in the management ranks.
 - Continue active participation in Student Employment Programs. These programs should be used as a FEORP tool. Under the Cooperative Education Program, the National Park Service will place students into trainee positions, and a target position will be identified. This target position will have career ladder in a two-interval series. A policy shall be established under which all managers make cooperative education appointments.
5. Ensure that the program remains a living program, which is updated and changed in accordance with management needs. This responsibility rests with the National Leadership Council. This is the final step in the dissemination process.

IDENTIFICATION OF KEY MANAGEMENT POSITIONS

In the context of this program, Key Management Positions are defined as field and central office management positions critical to meet future needs of the National Park Service.

A fundamental step in management succession planning is the identification of key leadership and management positions in the Service. Such identification is based on at least two factors:

1. Analysis of turn-over rates and projections of need within the organization: and
2. The availability of candidates who have the potential to perform the duties of the positions that become vacant.

At the present time, the National Park Service does not have the capability to maintain historical personnel data on its work-force. Prior information in the database (FPPS) is deleted from the current database after 6 pay periods (3 months) have elapsed. The National Park Service has no current system that enables it to systematically extract pertinent turn-over and diversity data, and maintain such data for future analysis. At the present time, data is extracted in periodic “snapshots” of personnel transactions, and the ability to manipulate such data is limited, at best. Such data has been saved and is available in tape format for the past 15 years.

The existence of a Human Resource Management Information System that will extract data from the current data base, as well as load past data from the last 15 years, is imperative. It is one of the key building blocks in the development and implementation of an effective succession plan within the National Park Service. The system allows the development of budget and EO analyses, and allows management the flexibility to conduct turn-over and other work-force analyses. Management can produce historical employment data and trends analyses, budget information and projections, work-force demographics, equal employment and diversity in the work-force profiles, and any other pertinent work-force information.

Principal features of the Human Resource Management Information System include: standard reporting features, such as historical information on numbers, types, categories, backgrounds, etc., of employees; over 50 different standardized reports to management; an interactive query capability with remote access; ability of the system to be expanded as organizational requirements change; and, finally, the ability of this system to interact with other data systems currently in use both within and outside the National Park Service.

Another important aspect in the identification of key field and central office manager positions is the organizational context and future organization of the National Park Service. Because the National Performance Review initiative envisions an increase in the ratio of employees to supervisor, and the National Park Service is undergoing major reorganization efforts, the number and type of leadership and management positions, as well as the skills and abilities required, are not likely to be the same in the future.

Once the key field and central office manager positions have been identified by top-level management, an annual plan for succession to those positions can be developed. This plan will be based upon the projected annual turn-over rate for the key positions. The number of individuals selected through the process identified in the next section—that is, candidates for development and possible succession to key positions—will be equivalent to the projected turn-over rate and need. Thus, the succession program incorporates organizational needs and planned change, and ensures employee development to meet future needs.

DEFINITIONS OF COMPETENCIES

This management succession and development plan delineates a process whereby individuals are identified and pooled for potential selection for management positions within the National Park Service. It is important to note that all employees interested in the management career path are initially included in this process. This program, in conjunction with the Employee Training and Development Strategy, clearly identifies career pathways and required competencies. It is incumbent upon the National Park Service

Directorate to support and formalize this process by incorporating standardized competencies into Service-wide performance review and selection systems. It is incumbent upon each and every employee to make use of the tools available in the pursuit of his/her career. This program does not diminish employees' opportunities for choice or responsibility for action. It provides a clear pathway to a selected goal.

The following list of competencies was derived from a study conducted by the U.S. Office of Personnel Management. The primary objective of the study was to establish a continuum of supervisory, managerial, and executive behaviors and competencies to guide curriculum design and evaluation efforts. A detailed summary of the study is appended. The continuum of competencies reflects the progression of needed capabilities across the three managerial levels. This model is now being used by federal agencies, including the National Park Service, for assessing managerial competencies, career development, and executive succession planning.

Employees

The following list reflects the basic competencies needed by all employees regardless of their current position or future career goals. It is the possession of these capabilities, however obtained, that describes a successful employee.

1. **Oral Communication:** Effectively expresses ideas and facts to individuals or groups; makes clear and convincing oral presentations; listens to others; facilitates an open exchange of ideas; promotes the National Park Service spirit.
2. **Written Communication:** Expresses facts and ideas in writing in a succinct and organized manner.
3. **Problem-solving:** Identifies and analyzes problems; uses mission directives and sound reasoning to arrive at conclusions; finds alternative solutions to complex problems; distinguishes between relevant and irrelevant information to make logical judgments.
4. **Leadership:** Demonstrates a passionate commitment to the mission of the National Park Service; inspires, motivates, and guides others toward goal accomplishment; coaches, mentors, and challenges subordinates; models high standards of honesty, integrity, trust, openness, and respect for employees by applying these values to daily behaviors.
5. **Interpersonal Skills:** Within the context of the National Park Service work environment, considers and responds appropriately to the needs, feelings, capabilities, and diversity of others; adjusts approaches to suit different people and situations.
6. **Self-direction:** Demonstrates belief in own ability and ideas; is self-motivated and results-oriented; recognizes own strengths and weaknesses; seeks feedback from others and opportunities for self-learning and development.
7. **Flexibility:** Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles; embraces shifts in examples; effectively deals with pressure and ambiguity.

8. **Decisiveness:** Makes sound and well-informed decisions based on full understanding of unit objectives; perceives the impact and implications of decisions; commits to action, even in uncertain situations, in order to accomplish goals; causes change.
9. **Technical Competence:** Within the context of the National Park Service, understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise (for example, resource management, engineering, physical science, law, or accounting); maintains credibility with others on technical matters.
10. **Client Orientation:** Anticipates and meets the needs of the National Park Service's diverse clientele; achieves quality end-products; is committed to providing highest quality service.

First-level Supervisors

In addition to the basic competencies, possession of first-level competencies will be required for all supervisors:

1. **Managing a Diverse Work-force:** Is sensitive to cultural diversity, race, gender, physical impairment, and other individual differences in the work-force; manages work-force diversity.
2. **Conflict Management:** Manages and resolves conflicts, confrontations, and disagreements in a positive and constructive manner to minimize negative personal impact; utilizes knowledge of diversity to promote understanding.
3. **Team-building:** Manages group processes; encourages and facilitates cooperation, pride, trust, and National Park Service identity; fosters commitment and team spirit; works with others to achieve goals.
4. **Influencing/Negotiating:** Persuades others; develops networks and coalitions; gains cooperation from others in obtaining information and accomplishing goals; negotiates to find mutually acceptable solutions; builds consensus through give and take.
5. **Human Resources Management:** Empowers people by sharing power and authority; develops lower levels of leadership by pushing authority downward and outward throughout the organization; shares rewards for achievement with employees; ensures that staff are appropriately selected, utilized, appraised, and developed; serves as mentor to less experienced employees; actively supports Service-wide Management Succession and Employee Development programs; ensures that employees are treated in a fair and equitable manner.

Management

Moving along the continuum, managers will possess these five additional competencies:

1. **Creative Thinking:** Develops new insights into situations, and applies innovative solutions to make organizational improvements; designs and implements new or cutting-edge programs/processes.
2. **Planning/Evaluating:** Determines objectives and strategies; incorporates Service-wide efforts such as the Strategic Plan, Vail Agenda, and Streamlining into local planning initiatives; coordinates with other parts of the organization to accomplish goals; monitors and evaluates the progress and outcomes of operational plans; anticipates potential threats or opportunities.
3. **Internal Controls/Integrity:** Ensures that effective internal controls are developed and maintained to ensure the integrity of the National Park Service.
4. **Financial Management:** Prepares, justifies, and/or administers and monitors expenditures to ensure the cost-effective support of programs and policies.
5. **Technology Management:** Integrates technology into the work-place; develops strategies using new technology to manage and improve effectiveness; understands the impact of technological changes on the Service.

Executive (SES)

Two additional competencies are required at the executive level. Although the National Park Service does not have management authority over the Senior Executive Service (SES) process, development of our managers through the higher level competencies is prudent and desirable.

1. **Vision:** Looks toward the future; builds a vision with others, and takes advantage of opportunities to move the National Park Service toward that vision; embraces change as a positive and fundamental aspect of creating the future; and
2. **External Awareness:** Identifies and keeps up to date on key policies/priorities and economic, political, and social trends that affect the organization; understands where the National Park Service is headed, and how to make a contribution.

Management Competencies

* Continual Learner

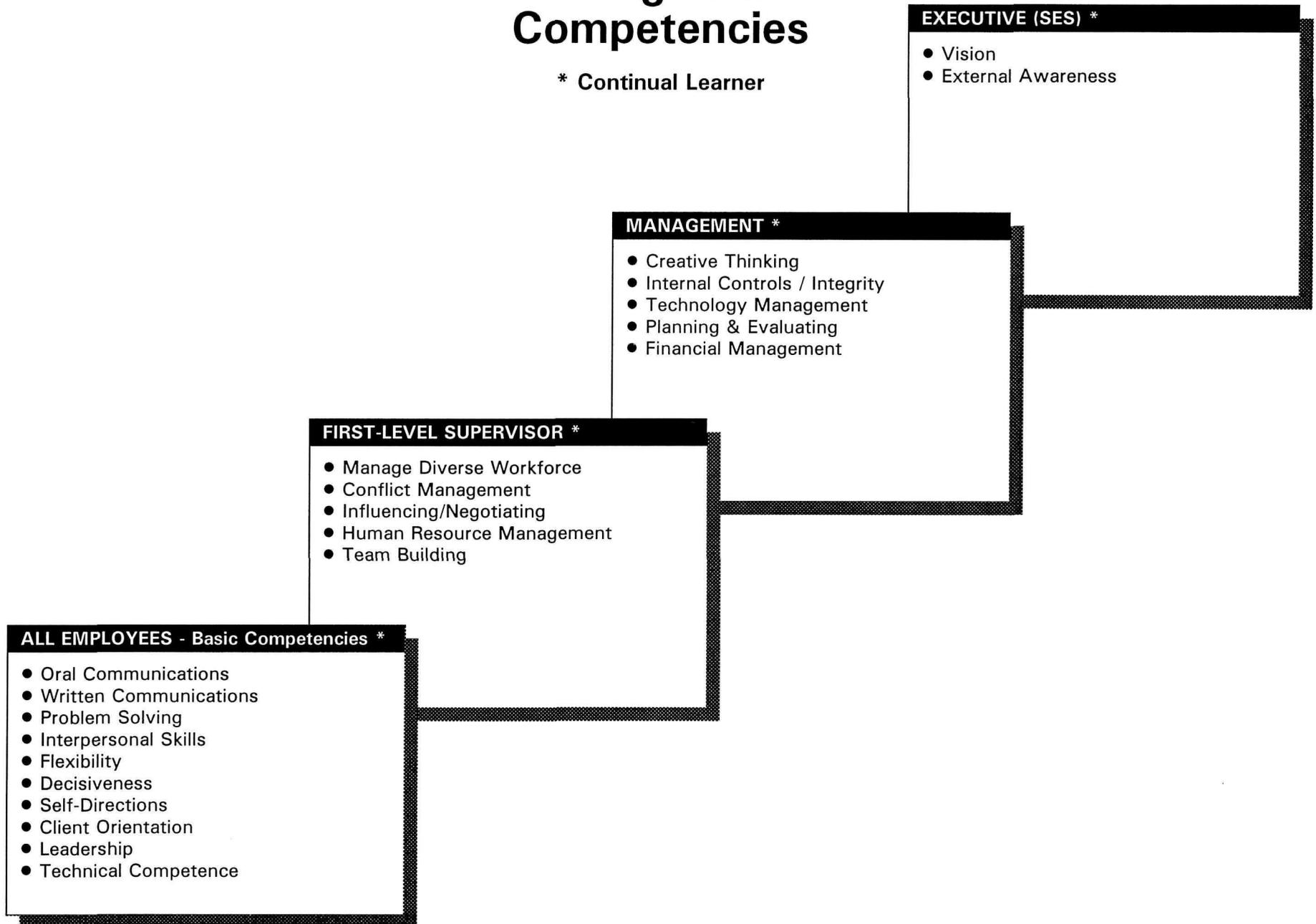


Figure 2.

SUCCESSION PLANNING

We turn now to processes for sifting through the large numbers of human resources and identifying those with the greatest potential. This is the heart of the succession planning process: determining how and when candidate “pools” are established.

Succession planning has usually adopted one of three strategies:

1. Selecting a single heir for each position;
2. Selecting a small number of qualified candidates available for a vacancy; or
3. Developing a reservoir or “pool” of qualified managers capable of performing a range of jobs.

Strategy 3 for developing candidate “pools” will be adopted by the National Park Service Management Succession Program.

Career planning and competency achievement will be an ongoing process for all employees. The Management Succession Program will not outline a process for the identification of employees at the basic level of competencies. The program will identify a process for identification and assessment of first-level supervisors and above. The process described below will be the same for establishing “pools” of first-level supervisory candidates, managers, and senior executives.

MANAGEMENT DEVELOPMENT

Development of employees is a critical component of the Management Succession Program. This idea is woven throughout previous chapters and those that follow. Competencies are achieved and reinforced through experience, assessment, feedback, and well-developed training programs. The Employee Training and Development Strategy and the Management Succession Plan ensure a program that provides a comprehensive and well-defined employee training and development system. This system addresses competencies necessary to meet the National Park Service mission, personal career growth, and organizational leadership requirements.

A guiding principle of the Employee Training and Development Strategy addresses the issue of employees having the opportunity to apply knowledge. Effective human resources development is dependent upon perpetuation of a work environment where cultural and intellectual diversity is valued and achieved, and fosters opportunities to apply what has been learned.

The program addresses this issue in several goals:

1. Develop and sustain career development programs for all employees beyond and apart from core competency skills training. Training and employee development appropriately balance the focus between organizational need and individual need for growth within the Service.
2. Expand training and developmental opportunities for National Park Service employees to facilitate the interchange of knowledge and strategies among all land management agencies, as well as to promote partnerships that guide expanded application of resource stewardship programs.
3. Develop an administrative monitoring process to link performance and evaluation with training, and to ensure a programmatic assessment of design elements.

Additional guiding principles address employee and supervisory responsibility for development:

1. Human resources development is an essential responsibility of managers and supervisors.
2. Each employee accepts a personal responsibility for self and team development.

To promote continuing education and re-certification, the Employee Training and Development Strategy will offer college credit or continuing education units (CEUs). The program will also offer leadership and management skills courses. These courses will be the foundation for the certification/re-certification required by all managers.

Conducting a work-force analysis and training-needs assessment is an important component of the development program. The assessment will address organizational needs, discipline-specific needs, and individual development needs. It will list the number of employees in each occupation group by grade levels. The assessment will also quantify differences between existing training and needed core competencies.

The performance appraisal is an important assessment tool to firmly link employee performance and evaluation to what is happening in training and development.

NOMINATION / SCREENING

Annually, or on an as-needed basis, a vacancy announcement will be issued for the Management Succession Program. This is a competitive process. All interested employees will have the opportunity to apply to the Nomination Stage. An avenue for managers to nominate high-performing employees will also be available. The vacancy announcement will identify the grades and supervisory levels of the candidate “pools” for which there are openings.

The Application/Nomination Stage will include a “full-circle” evaluation that is competency based. An evaluation will be completed by each applicant’s supervisor(s), three peers, and three direct reports (subordinates). In cases in which a second-level supervisor has direct interaction with the applicant, that supervisor will also complete an evaluation of the applicant. These assessments will assess the individual’s strengths and weaknesses in the basic competencies previously identified. The ratings will range from “0” (not observed), to “1” (weaknesses shown), to “7” (outstanding). The assessment will also be used to gauge applicants’ management potential. A Screening Panel will identify individuals for the Assessment Stage of the process. This will be based upon applications, rating from the assessments, interviews, and consideration of the National Park Service’s need to move toward a diverse work-force that is more reflective of the general population.

Nomination/Screening Process

(Expanded)

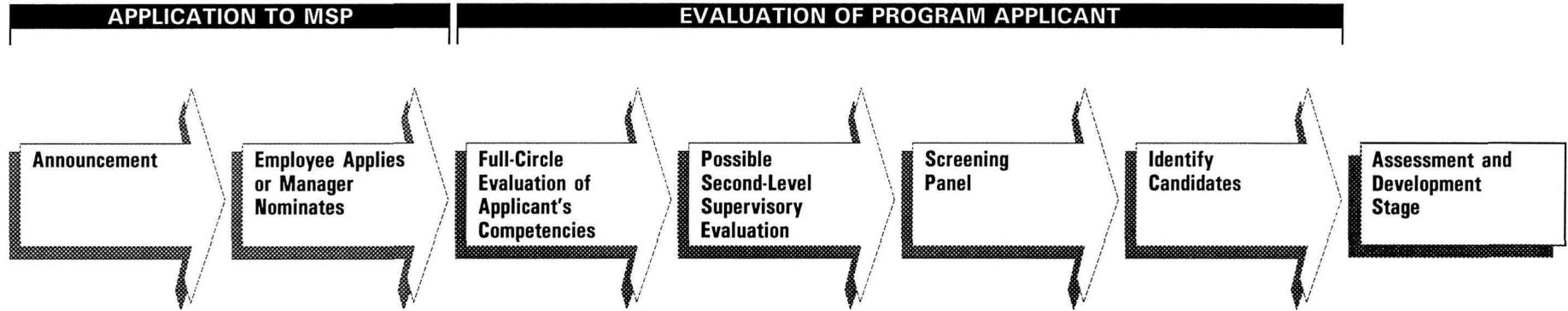


Figure 3.

ASSESSMENT / DEVELOPMENT

There are two elements of the Assessment Stage. During Element One of the Assessment Stage, candidates will undergo a comprehensive and in-depth analysis of their strengths and weaknesses in the supervisory, management, and executive competencies previously listed. Element Two will assess their technical competencies in relation to knowledge, skills, and abilities typical of the positions at the potential grade level (or pay band) for which they are applying. The competencies referred to will substitute for the majority of the management, supervisory, and leadership KSAs now sought on announcements for GS-13 to GS-15 positions.

All Assessment Stage candidates will receive extensive feedback from the assessment process. Qualified/best qualified candidates will be placed in one of three candidate “pools” for each grade level (or pay band):

1. Those certified as “immediately promotable”—having full competencies;
2. Those identified as “promotable within 6 months”—for placement under an accelerated development program when such a need occurs or is anticipated; and
3. Those identified as “promotable with successful development program of up to one year.”

Those who are not identified for the candidate “pools” will receive counseling on competencies that need to be strengthened through education and experience. The employee may then choose to pursue self-development activities and apply to future Management Succession Vacancy Announcements, or may choose an alternate career path.

The determination of “best qualified” will be based upon an accumulation of the points derived from the management competency assessments (Element One) and points received in the KSA assessment process (Element Two). Element One and Element Two will be weighted on an equal basis. The “score” that applicants receive to determine best qualified will be based 50 percent on the total points received under the Element One process and 50 percent on the total of the Element Two assessment process. A listing of the “best qualified” will be compiled based on the applicants’ total score under Elements One and Two.

Following complete assessment and rating as qualified/best qualified, the three “pools” of candidates will be identified. Candidates identified as currently possessing all competencies required will be certified to the immediately promotable “pool.” The Human Resources Management Information System will be used to ensure that the size of candidate “pools” will correspond with the projected essential positions identified.

Management development programs will be designed and a course set for all candidates. Those immediately promotable will chart a developmental program to continue their preparation for future promotions. Candidates in the second two “pools” will design programs that address short and long term development needs. Once the immediate deficiencies have been addressed, these candidates will receive their certifications.

Candidates will remain certified for 3 years. In accordance with the National Park Service Merit Promotion Plan, candidates who have competed and have been certified under the Management Succession Program are eligible for non-competitive promotions to the next higher grade level.

If a candidate has not been hired after 3 years, he/she can be re-certified and extended for an additional 2 years if self-development has continued and competencies have been retained. If a candidate has not been hired after 5 years in the candidate "pool," he/she will leave the Management Succession Program. That individual might then choose an alternate career path or apply for the Management Succession Program under future Vacancy Announcements. Candidates may choose a different career path and withdraw from the program at any time.

SELECTION

When a key position becomes vacant, notice will appear on the management information system. In order to receive consideration for the position, certified candidates will notify the Human Resources Systems and Evaluation office of their interest by the date specified. External candidates will be evaluated on a case-by-case basis using the methodology described above.

Selecting officials will receive a list of certified and interested candidates. All necessary written information will already be included. No additional forms or résumés will be required. Selecting officials will interview and check references in accordance with personnel policy, and final selections will be made from this list. Selecting officials will provide feedback to non-selected candidates on the certificate. Feedback should allow individuals to continue development and improvement of their competencies.

It cannot be emphasized enough that the selection process must be based on a Career Management Plan that has been established in advance and fully communicated to all employees. The identification of career paths has been identified in the Employee Training and Development Strategy. It is fully recognized that success comes in many forms, and that it is not necessary to be a manager in order to succeed in the National Park Service. Not all employees want to be managers, and not all are suited for management. This process refers to selection into key positions identified as part of the Management Succession Program.

Existing supervisors and managers will be required to go through the assessment process listed above in order to receive certification in the required competencies. There are no “grandfather” clauses in this program. Any current manager or supervisor found to be lacking the required competencies will undergo a developmental program to strengthen his/her skills and receive certification.

Management Succession Program

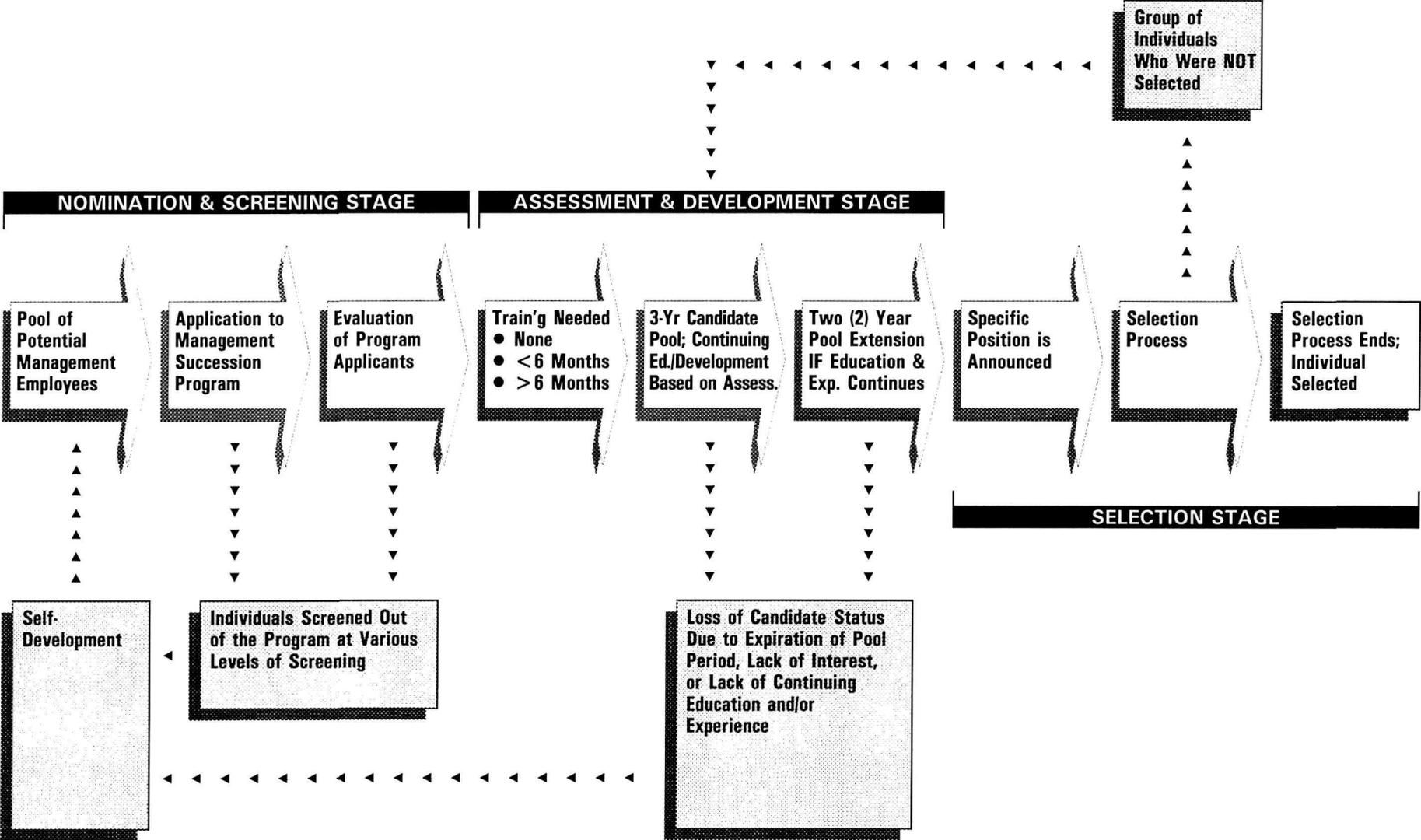


Figure 4.

EVALUATION

As in any process, a key element of the Management Succession Program is a means to measure the program's effectiveness. The process must be accountable; it must be managed; employees must believe that it is accessible to all; it must be utilized; the overall quality of managers should be recognizably higher; and there must be an honorable way to divert employees into other career tracks.

Benchmarks that might suggest program effectiveness include the relative level of "buy-in" by top managers. This essential point has already been discussed at some length. Other benchmarks are:

1. The process is consistently used for selecting candidates in managerial positions throughout the National Park Service. There is a high level of satisfaction evidenced by both the selecting officials and those in the candidate "pools." Selecting officials are comfortable with the competencies of the candidates and candidates are confident that the process leads to managerial positions.
2. Sufficient time and funds are committed to the program to reach stated goals.
3. Objectives of the program are met.
4. Work-force diversity is improved.
5. The program is responsive to changes in position management, such as those required by streamlining or restructuring.
6. The quality of the program is such that spin-off activities are generated (for example, that the program is emulated to develop good interpreters and rangers).
7. Selecting officials are confident enough about the system to wait for a candidate to emerge rather than to seek out another method of filling a vacancy.

Finally, it is important to recognize that a change of this magnitude in the way this agency does business must be given sufficient time to prove its worth. Dr. Joseph Carnazza, in "Succession/Replacement Planning: Programs and Practices," suggests that it may take 3 to 5 years for a program to prove itself. Given the level of change under way throughout the National Park Service, this time span may be especially critical.

PREPARERS

The following individuals constitute the team that developed this Management Succession Plan:

Ernest W. Ortega, Co-chairperson
Director, Cultural Resource Centers
Intermountain Region

Judy Cordova, Co-chairperson
Superintendent
Petroglyph National Monument

Dennis Ditmanson
Superintendent
White Sands National Monument

Fred Fagergren
Superintendent
Bryce Canyon National Park

Kate Gavan (Retired)
Landscape Architect
Denver Service Center

Barbara Goodman
Superintendent
De Soto National Memorial

J. T. Reynolds
Superintendent
Colorado Plateau Support Office
Intermountain Region

Evelyn Sheehan
Acting Chief, Human Resource Management,
New England Support Office

Blanca Stransky
Chief, Division of Arts and Education
Chamizal National Memorial

Alex Young
Director, Administrative Program Center, Denver

Barbara Romero, Secretarial Support
Program Assistant, Superintendent's Office
Southwest Support Office

Ad Hoc Members:

H. Gil Lusk (Retired)
Director, Albright Training Academy

Mario R. Fraire (Retired)
Chief, Personnel Office
National Park Service
Washington, D.C.

APPENDIX

INVESTMENT IN LEADERSHIP

SUCCESSION PLANNING
IN THE
NATIONAL PARK SERVICE

DEPARTMENT OF THE INTERIOR
JULY 1993

INVESTMENT IN LEADERSHIP

SUCCESSION PLANNING IN THE NATIONAL PARK SERVICE

**DEPARTMENT OF THE INTERIOR
JULY 1993**



**INVESTMENT
IN
LEADERSHIP**

**SUCCESSION PLANNING
IN THE
NATIONAL PARK SERVICE**

DEPARTMENT OF THE INTERIOR

JULY 1993

Project Staff

Mario R. Fraire, Project Leader

Project Associates

Mary E. Jackson, Washington Office
Charlie Powell, Southeast Region
James Revaleon, North Atlantic Region
Robert Van Belle, North Atlantic Region
Alex Young, Rocky Mountain Region

Consultant

Gerald Patten, Strategic Planning Office

FOREWORD

It is not an easy task for leaders to find their successors among those who have the potential to lead but do not know it, and among those who would like to lead but feel left out. Equally hard is the task of foreseeing challenges yet to come, and at the same time develop leaders with the right competence to meet them. What a formidable task then it is to do all three: find and grow new leaders, fit them with the right skills, and set direction toward what we know is an increasingly complex and undefined future.

We offer this succession planning concept as the basis for developing leadership as we shape the goals of the organization. One cannot be done without the other. The challenge is change, so we must define leadership potential and decide on managerial and executive competencies to make change happen, and complete the planning to achieve them. It is our organizational strategy. Let us work together in a disciplined, unselfish way and do it.

Roger G. Kennedy
Director

CONTENTS

Introduction	1
Essential Elements	1
—Management Commitment and Involvement.....	1
—Integration of Strategic Plan and Succession Planning.....	1
—Organizational Culture/Values/Mission	1
—Attention to Diversity	2
—Management Development	2
—Management Competencies, Assessment and Selection	2
—Human Resources Functional Support	2
Relationship to Other Programs	3
Program Leadership and Responsibilities	5
—Director	5
—Leadership Succession Planning Board	5
—Associate Directors	5
—Regional Directors	5
—Regional Personnel Offices	6
—Regional Equal Employment Opportunity Offices	6
—Regional Position Management Review Boards	6
—Budget Office.....	7
—Supervisors.....	7
—Employee Development Division	7
Career Profile of Supervisors/Managers	9
Supervisory Losses - 1994-2000	10
Major Recommendations	12
Appendices	13

DEVELOP SUCCESSION PLANNING MODEL FOR THE NATIONAL PARK SERVICE THAT WILL HELP SENIOR MANAGEMENT IDENTIFY, DEVELOP AND SELECT MANAGERS TO MEET FUTURE NEEDS.

INTRODUCTION

The main goal of a National Park Service Succession Planning strategy is to help meet the Service's needs for management skills and work force diversity by the end of this century. To accomplish this goal, the Service must implement and integrate management processes for the projection, identification, assessment, development, and selection of highly qualified candidates to replace expected losses among our cadre of managers.

While this study is concerned with projecting managerial replacement needs, it should not be viewed in isolation but as a significant linking element to other processes in a comprehensive career management program.

This study will serve as a foundation for the basic career management elements of identification, development, and selection. To assure the integration of these important elements, it is imperative that the management practices used to select future leaders are in accord with the essential elements of this concept. This means that while the regions have the delegated capability of making career management decisions affecting their respective work forces, their actions must have an inter- rather than an intraregional focus to remove any artificial barriers in developing candidates who will meet the long-range manager, supervisory and executive skills needs of the Service as a whole.

Employees need to be encouraged to compete for assignments and developmental opportunities which cross regional, occupational and functional boundaries if the Service is to develop a well-rounded core of candidates for future supervisory/managerial/executive positions.

We strongly believe that there should be a basic organizational framework under which Succession Planning should operate if it is to be successful. Essential elements of this framework include:

ESSENTIAL ELEMENTS

1. MANAGEMENT COMMITMENT AND INVOLVEMENT

The Succession Planning concept must be management-driven if it is to succeed in meeting the future

needs of the Service. While Human Resources Offices can provide the administrative structure and support for the planning process, they should not be viewed as the principal proprietors of the program. Success of the program requires the personal leadership of the Director and the involvement of his top management staff, including the Deputy Director, Regional Directors, and Associate Directors. This involvement does not mean hands-on program administration—this is the role of support offices. However, candidate identification, assessment, and development must have the continuing personal attention of top management. The Director also must make sure that there is accountability among top managers. The bypassing of established guidelines will cause management actions, especially selections for management positions, to lose credibility and the support of the work force.

2. INTEGRATION OF STRATEGIC PLAN AND MANAGEMENT SUCCESSION PLAN

Presumably, a National Park Service Strategic Plan will exert long lasting influence in all of the Service's future operating needs including the kinds of management characteristics required to meet such needs. All of the influencing factors need to be identified, described, and tied to Succession Planning to provide compatibility between new directions and the management skills which will be needed. In addition, we also believe that there should be a separate human resources management strategy which comprises all factors affecting the work force including employment and on-the-job quality of life.

The human resources strategy is to include issues identified in the Vail Agenda, new needs generated by the redirection of the Service's mission, new studies, and other evolving programs resulting from Government wide reforms.

3. ORGANIZATIONAL CULTURE/VALUES/MISSION

One of the major strengths of the Service is its organizational culture and values. These represent a long tradition of service and concern for the protection of the resources by employees willing to make personal sacrifices to support the Service's mission. New, immediate, and long-range requirements to meet the major goals, which assure that the Service attracts skills for the future and that it reflects the country's population diversity, may conflict with this

culture. For example, the need for new skills and work force diversity may require the external recruitment and advancement of relatively new employees into the specialist, supervisory and managerial ranks. This may appear as a poor management practice to on-board, long-term employees who have made a career investment to the Service and who may perceive that they are being bypassed by new employees. Consequently, Succession Planning efforts should provide that new entrants into the Service work force be highly qualified and bring with them skills and capabilities not readily available within the current work force.

4. ATTENTION TO DIVERSITY

As the national demographics continue to evolve, we need to create a management team that mirrors the cultural diversity of the population as a whole. The Service needs to focus increased efforts toward incorporating women and minorities into its work force, particularly at the middle and higher grade levels in the organization.

Senior management must make a commitment to learn to manage diversity, to promote a representative work force and to facilitate this initiative. This includes selecting women and minorities for management positions and other higher level positions as well as increasing the pool of management candidates. "Glass Ceiling" and other similar barriers and practices should be identified and eliminated. Strategies should be developed to recruit women and minorities and to include them in developmental opportunities, including training programs, details, work groups and shadowing assignments. Mentoring and sponsorship programs will also facilitate and enhance the development of potential leaders.

To strengthen commitment, managers should be trained and offered incentives. On the other hand, managers who are derelict should be held accountable for their actions and appropriately sanctioned. Progress toward achieving a balanced work force should be monitored through the performance appraisal process.

5. MANAGEMENT DEVELOPMENT

A planned approach that develops and strengthens the managerial competencies of the Service's future leaders would be made within the context of Strategic Planning.

Based on the results of an assessment process and career counseling, a variety of developmental experiences and training will be identified and documented for each employee.

Experiential assignments should be given empha-

sis augmented as appropriate by such other activities as shadow assignments, participation on task forces and special projects, management readings and cross functional developmental assignments. All program participants must participate in a formal mentoring program.

6. MANAGEMENT COMPETENCIES, ASSESSMENT AND SELECTION

As a primary element of a Succession Planning strategy, the Service will need to formalize and project the characteristics and competencies its managers will need to meet future mission challenges. To do this, there will be a need to research and select effective tools available in the Federal and the private sector to identify, assess, train and develop potential candidates. If tools are not available, adequate, or compatible with the skills and organization's cultural needs, then the Service must invest in the development or modification of programs tailored to its requirements.

We cannot emphasize strongly enough that the selection process must be based on a career management blueprint established in advance and fully communicated to employees. When we establish career paths and if employees wish to advance within these career paths, there will be certain requirements for candidates and selecting officials. These requirements may comprise competition for and acceptance of developmental assignments, participation in training activities, career mobility and the willingness of candidates to accept positions for which they have been prepared for and which meet the organization's skills needs.

7. HUMAN RESOURCES FUNCTIONAL SUPPORT

While the principal responsibility for Succession Planning rests with management, the human resources functional support must provide the basis on which good program decisions will be made. An important aspect is to provide good administrative support in helping management articulate needs, procure appropriate assessment instruments, administer and monitor the assessment process. This support also includes communications and guidance to employees, the development of administrative tools to implement programs, assistance with other related administrative requirements, management reports and evaluative feedback.

A key aspect of this support, however, is that there is a valid demographic data collection and analysis system to provide the basic information on skills and diversity needs for planning purposes. This analysis should be provided to management on a periodic

basis for decision making, expansion, deletion or modification of program planning to meet any changing situations. Such data can be very useful to

plan for needed resources to implement programs and to provide advice and assistance to management on alternatives and needed changes.

RELATIONSHIP TO OTHER PROGRAMS

Succession Planning should be viewed as a staffing or human resources strategy rather than simply a mechanism for projecting manager vacancies. A good plan includes an active, continuing participatory process that draws from many sources for its success. As discussed, top management support is essential, but its effectiveness is predicated on the contributions of all parties affected and the use of all available human resources programs.

Strategically, the operations of a succession program should draw support and integrate the results of other programs on a short- and long-range basis. For example, the Intake and Cooperative Education Programs should be viewed as long-range contributors to Succession Planning. Consequently, selection

into such programs should be with the view that they will provide a source for future management candidates. Strengthening of training and development programs for first-line supervisors and managers should also be carried out to develop a core of highly qualified managers to fill immediate and future needs.

This means that the Service needs to establish, support, and strengthen other contributory programs that deal with processes such as candidate assessment, mentoring, merit system, affirmative action, special employment programs, budget, counseling, and most important, employee identification, selection, supervisory training, and management development.

PROGRAM LEADERSHIP AND RESPONSIBILITIES

Any Succession Planning program, as with any successful human resources program, must be the property of major decision-making elements of the organization, each contributing to its operation and effectiveness. Under no circumstances should it be considered a self-implementing program which is the sole responsibility of the human resources offices. To assure continuity and validity, the program must be supported by management, supervisors, employees, and staff offices. These roles are proposed in concept in this section and are in no way all-inclusive.

—*Director*

The Director provides personal support for Succession Planning as an important part of career management that includes identification, assessment, development, and selection of candidates to managerial positions. The Director will also encourage the top management staff to support the goals and policies of Succession Planning to meet the future skills and diversity needs of the Service. There must be assigned accountability among managers who are personally involved in the monitoring of all activities including resource support, development of policies and procedures and organizational planning which supports career progression.

—*Leadership Succession Planning Board*

The Board, chaired by the Deputy Director and staffed by selected management representatives on a rotating basis, will serve as the linchpin between Succession Planning and the proposed selection to park management and other managerial positions. Its principal role is to monitor the overall effectiveness of the functioning of the Service's Succession Planning components. The Board will provide oversight so that the essential elements of Succession Planning are inherent in such processes as planning for future skills needs, work force diversification efforts, and management development activities.

The Board will also provide guidance to field management and planning so that Succession Planning efforts are properly funded and supported. One of its most important roles, however, will be to provide continuing attention and nurturing of the processes of candidate identification, development, and selection to establish a highly qualified source from which to meet future management needs.

—*Associate Directors*

Top management presence and direction is a must in the respective occupations over which they have staff supervision. For example, the Associate

Director, Natural Resources, has oversight over disciplines related to science and natural resource management and should provide significant input on the monitoring of these occupations. This involvement should be concerned with the organizational environment where positions exist which support park, regional, and national programs.

To carry out this oversight, top management needs to be aware of specific occupational demographics and keep current on trends affecting the occupation whether they be caused by changing program emphasis, new programs, reorganizations, new occupational guidance or any internal and external policy decisions. This oversight does not imply direct or indirect supervision of employees. Supervision is clearly the direct responsibility of field managers. By oversight, however, we mean to monitor and be involved in processes affecting the entry of highly qualified candidates into the occupation, training and development of specialists and supervisors, and Servicewide planning to meet future skills and management needs.

—*Regional Directors*

Regional Directors play a key role in the identification and development of the future leaders for the organization.

Such development can be broken down into three primary categories: employee training, supervisory training, and management development. Employee training is defined as providing employees with the technical and communications skills required to perform their job as effectively and efficiently as possible. Supervisory training programs include providing first-line supervisors with the skills and abilities to perform their job as well as programs for individuals with high potential that need to be prepared to assume supervisory positions. Management development is the development of existing supervisors to assume higher level positions in the organization. This would include the Senior Executive Service candidate program as well as an Executive Potential program for individuals already in supervisory positions.

As a part of the identification and development of individuals, Regional Directors are responsible for allocating sufficient resources to accomplish this task.

Once specific resources have been allocated to the identification and development effort, Regional Directors need to have significant involvement in the selection of individuals for developmental assignments as well as any assessment process utilized to determine whether such individuals will be success-

ful in such a developmental program. Mentors need to be assigned to each program participant to provide close assistance and guidance. Frequent and continued monitoring of progress needs to be another requirement of the program. Developmental assignments, details, and work group participation are other aspects of an effective developmental program that will require specific interest and attention of the Regional Director.

In the past, two areas where developmental programs have not received the attention necessary to ensure full success are: 1) communications and feedback to those individuals who have been or should be eliminated from a developmental program because of performance and/or interpersonal skill deficiencies or other factors, and 2) efforts put forth to effect a placement action upon successful completion of the program that is commensurate with the abilities and skills the employee has learned in the program.

Lastly, the role of the Regional Director in this process is a continuing one, calling for the establishment of an organizational climate that encourages creativity, risk taking, and innovation, and encourages employees to achieve their full potential. They also need to provide employees with the quality of life amenities that makes the National Park Service a desired place of employment. Management skills, concern for the employee, and marketing of our organization will take on expanding roles in our future organization.

—Regional Human Resources

The intensity of the Offices' leadership and involvement will vary somewhat based on the degree to which planning is centralized or decentralized.

Program administration responsibilities should include both program planning and program development components. The Regional Human Resources Office could provide input to central program management and data results which are applicable to each of the regions. Deviation in work force demographics may be more easily explained at the regional level, e.g., significant age variances in urban work force or in regions with high turnover with more opportunities to hire new employees. The Offices working with Position Management Review Boards can augment strategic organizational planning and projections by assisting management to identify the numbers and types of positions in target organizations (5- to 10-year projection). This assessment could project the areas of professionalization, program shifts, and numbers of managers needed to support the target organization.

Communications responsibilities need not be limited to distributing information to supervisors and staff typically associated with distributing announcements but should be broadened to promoting the overall program. One excellent way to accomplish this is to provide frequent feedback to the field and central office program managers of program accomplishments.

The Office can provide needed leadership in employee counseling. Quality career counseling of management development candidates will typically enhance participant professional growth and increase retention. The Office can also provide counseling leadership by coordinating counseling efforts which includes supporting management in the selection, assignment, and training of management mentors at the regional level, providing oversight and monitoring of counseling activities.

—Regional Equal Employment Opportunity Offices

Equal Employment Opportunity Offices need to play a key role in the Succession Planning effort of moving toward a management team that mirrors the nation's cultural diversity. Each Office should collect and analyze work force data to determine the adequacy of candidate pools. It should identify systemic barriers to a representative managerial work force and provide leadership in developing strategies to overcome barriers. The Office can also assess the impact the National Park Service organizational culture has on attracting and retaining women and minorities in management positions. After all the analysis, assessment, and study, the Office must work with central and field management through the affirmative employment planning process to: (1) open up the system, (2) change the organizational environment where it is not supportive of cultural diversity, (3) eliminate institutional barriers, (4) build quality, diverse candidate pools, and (5) increase the representation of women, minorities, and persons with disabilities in applicant pools and in managerial positions.

—Regional Position Management Review Boards

Position Management Review Boards are in an excellent position to provide program input in the Succession Planning process. Their experienced knowledge of the organization, functions, and needs should be a source of information for planning purposes in designing long-range target organizational structures.

The Boards would consider Servicewide career management concepts in planning organizational, occupational, and grade structures. They, in coordination with other staff support offices, would pro-

vide advice and assistance to operating officials on work organization and duty assignments to support mission accomplishment and concepts such as the establishment of career progression patterns. These boards would also provide advice on establishing developmental and entry-level positions to meet future skills needs and work force diversity.

Position Management Review Boards serve a very important function when it comes to Succession Planning. These Boards should be intimately involved in the entire process from assessment to final placement.

—*Budget Office*

A commitment of staffing and financial support for the Succession Planning Concept is essential. The ongoing, programmatic nature of succession planning suggests an annual base funding for the program. A base increase request proposing funding and staff allocations should be developed at the earliest opportunity.

Front end involvement of WASO Budget Offices staff will help streamline the funding process; moreover, involving senior budget staff in program design and development will augment the integration of Succession Planning with strategic planning and budget planning, and will broaden the “ownership” base to include these pivotal administrative personnel.

Potential program elements requiring staff and funding support from a central office source might include: personnel services; travel, tuition, and materials; and contracted services such as assessment centers.

—*Supervisors*

Succession Planning participants often find that the effectiveness, productivity, and tone of their individual developmental experiences depend in large part on the interest, attitude, and commitment of their immediate supervisor(s).

Formal, academic training is secondary to experiential development in successful, full range succession programs. Primary developmental experience will occur as on-the-job training guided by the immediate supervisor, who will bear significant responsibility for ensuring the developmental assignments are carried out in the manner intended by framers of the program. Accordingly, as much care and thought should be given to selection of initial assignments and first-line supervisors as to the selection of program participants themselves. Supportive developmental relationships achieved through quality supervision will be a crucial, “make or break” condition of program success.

Sound employee appraisal data will be particularly important to honest and accurate evaluation of program participants’ developmental progress. As program implementers working closest with individual program participants, immediate line supervisors will possess a superior vantage point from which to provide realistic criticism and firsthand analysis of both the program’s curricular framework, and the employee’s success within that framework.

Ideally, supervisors will develop an informal mentor relationship with participants, advising on social, technical and management skills, assisting with identification of strengths and weaknesses, offering career planning advice and counsel, and suggesting approaches in the resolution of work-related problems. Moreover, first-line supervisors can assist program participants in the achievement of developmental objectives by setting goals, providing advice and assistance in the attainment of goals, and by giving timely and constructive performance feedback.

Working to foster a cooperative, participative management atmosphere will ensure that program ownership extends down to line supervisors. Line supervisors responsible for subordinate participants must have a voice in setting objectives and conditions. A team approach to development, execution, and evaluation will create commitment and belief in the succession process among those most directly involved.

—*Employee Development Division*

Sound management Succession Planning must consider both formalized developmental programs for individuals showing great potential and short-term developmental programs for incumbent managers. Successful managers and executives come from both groups

To produce the kinds of developmental programs or opportunities needed to support succession planning, the following must be in place:

1. An Executive Resources Board composed of executive-level employees to act as a board of directors for the developmental programs to assure that they agree with the goals, objectives and mission of the organization, and to assure support (money and other resources) for the developmental programs. The Leadership Succession Planning Board could assume this role.
2. Periodic assessments to identify where the greatest developmental needs exist.
3. Establishment of long-term and short-term training and developmental programs to meet identified needs.
4. Establishment of a method for evaluating and assessing the success of the developmental programs

in meeting the organization's needs and the individual's needs.

5. Establishment of policies to institutionalize the management development plan for the Service.

Among the various elements of developmental programs, consideration will be given to: (1) mentoring; (2) Individual Development Plans; (3) individual assessments; (4) selection criteria and procedures for long-term programs; (5) placement at the conclusion

of the programs; (6) followup on individual careers.

The most critical need in establishing the management development portion of a succession program is management's commitment in allocating adequate funding and personnel. WITHOUT FUNDING, ADEQUATE PROGRAM PERSONNEL, AND MANAGEMENT'S INTEREST IN THE EFFORT, THE CONCEPT WILL NOT SUCCEED.

CAREER PROFILE OF SUPERVISORS (GS)/MANAGERS (GM)

The chart below provides an overview of white collar supervisory personnel at the first line supervisory and second managerial levels and above. A closer study needs to be made of this group to develop major goals such as reducing the average age levels of General Schedule supervisors (GS-12 and below), increasing their educational credentials and strengthening minority and female representation.

Since this group provides the main source of recruitment for managerial and executive positions, factors affecting the high average age and low average years of service will need special efforts to correct which may include increasing career mobility and educational credentials.

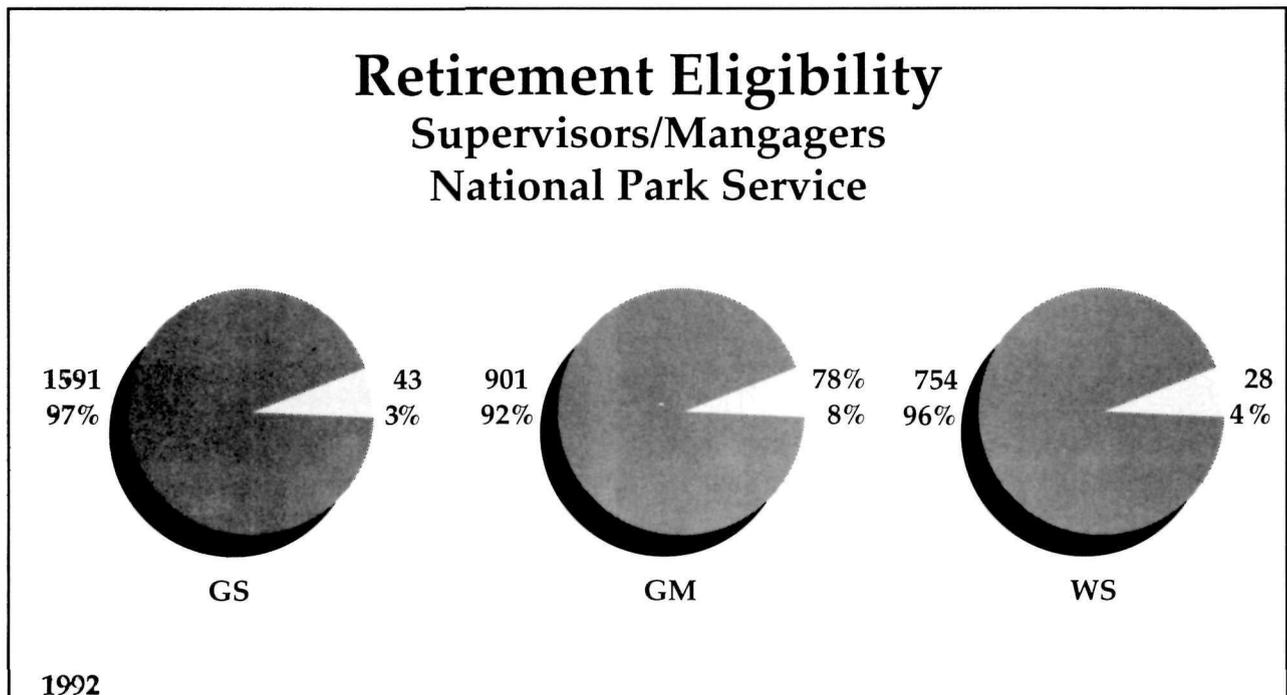
TOTAL GS/GM SUPERVISORS 2,540		
	GS SUPERVISORS	GM SUPERVISORS
TOTAL	1,639	901
AVERAGE YRS OF SERVICE	17	23
AVERAGE GRADE	10	14
AVERAGE AGE	49	43
AVERAGE EDUCATION	3 YRS COLLEGE	POST - BS/BA
MALE	1,181	759
FEMALE	458	142
MINORITY	199	96

SUPERVISORY LOSSES - 1994-2000

A review of supervisory losses in the past 4 years does not reveal a predictable trend to project future losses. For example, losses in 1992 were only 23 percent of those experienced in 1990 as indicated in the chart below.

While retirement eligibility does not mean that employees will retire within a reliable timeframe, we can get a fairly good idea of probable losses. The charts below reflect current eligibility to retire among

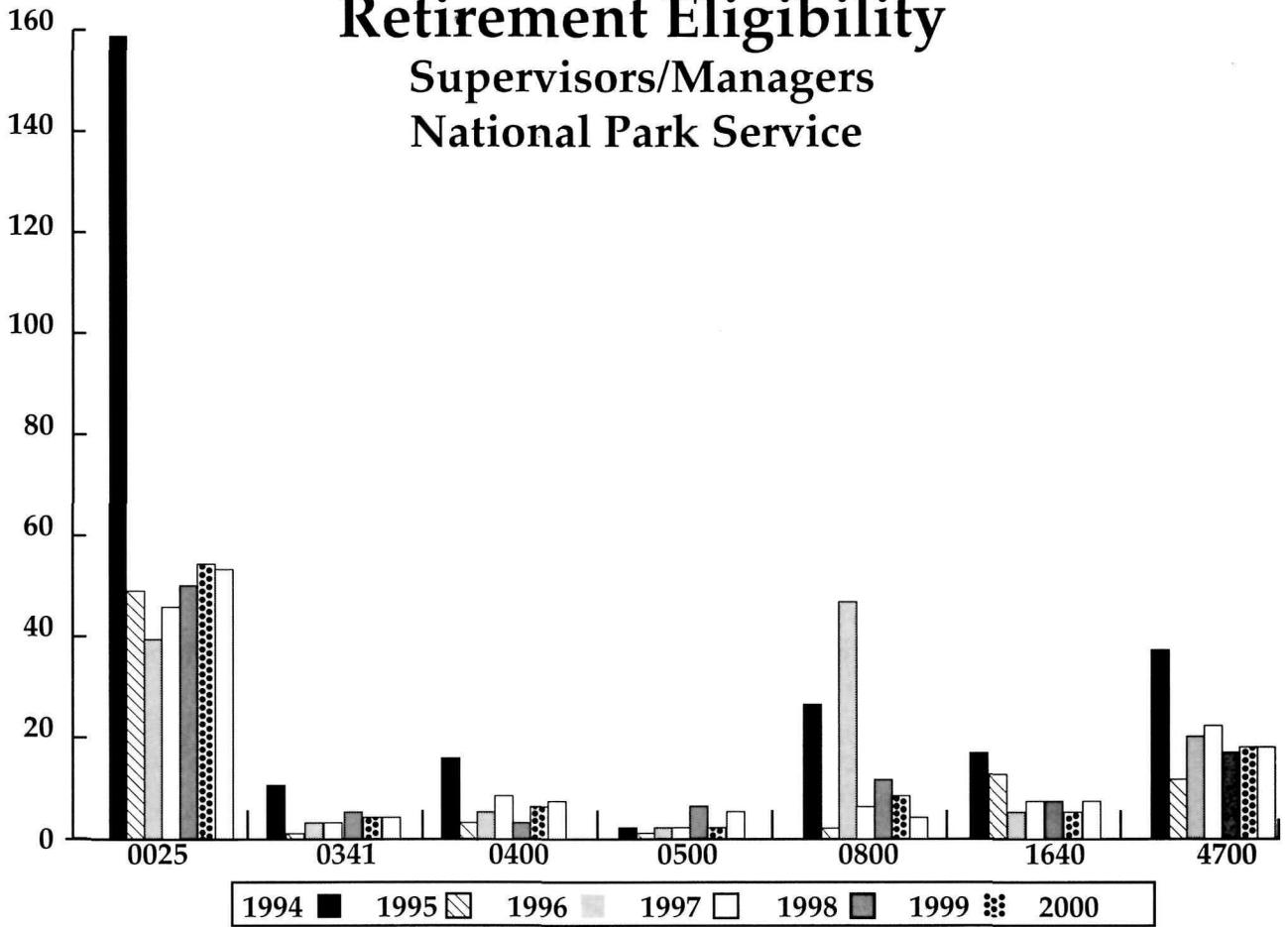
the white and blue collar supervisory groups and potential losses among selected fields. For representative purposes, we only show five occupational family groups comprising park rangers in grades GS-5 and above (025), professional (341), administrative (400), accounting and budget (500), engineering and architecture (800), facility management (1640) and general maintenance (4700).



Retirement Eligibility

Supervisors/Managers

National Park Service



By Selected Occupation

MAJOR RECOMMENDATIONS

- Define opportunities and future direction.
- Identify desired management characteristics and competencies at each level.
- Determine grade or supervisory level that begins to require participation, e.g., GS-9, 11, GM-13?, first-line supervision, first or second management level?
- Allow regions to complement the national strategy with their specific needs.
- Determine funding support and to what extent.
- Decide the ratio of employees in developmental programs versus projected vacancies. One-to-one? Three-to-one?
- Develop inventory of acceptable assessment tools and desirable developmental activities.
- Identify “developmental” positions which may be used to meet program requirements, either on a detail or long-range basis.
- Articulate a mobility policy and its impact on advancement.
- Invest in a work force data system specifically designed to provide management demographic and skills data.
- Develop a specific strategy for assuring diversity among the supervisory and managerial work force.

APPENDICES

Total Permanent Employment
Blue Collar - By Ethnicity
Blue Collar - By Gender
White Collar - By Ethnicity
White Collar - By Gender

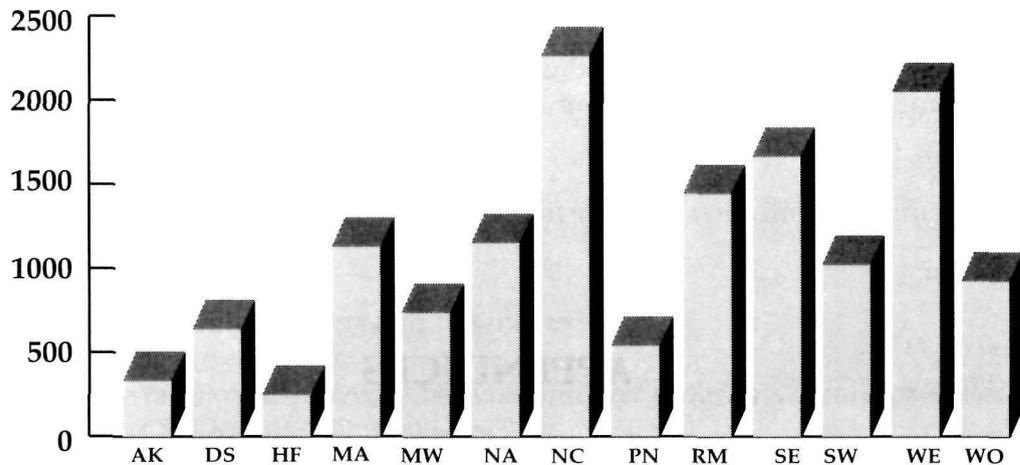
Permanent Employment - Selected Occupations

OPM Study of Managerial Competencies

Occupational Leadership

Source References

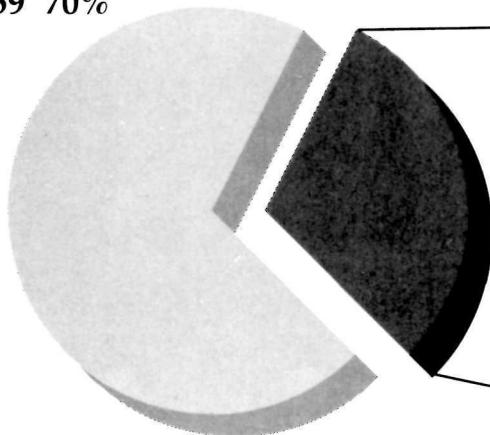
Permanent Employment National Park Service 1992



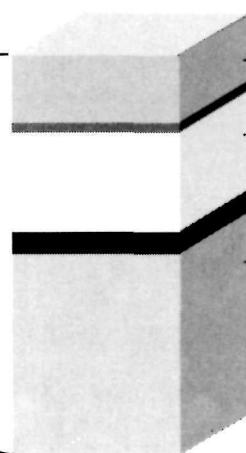
Total	310	675	243	1,125	779	1,140	2,248	553	1,456	1,684	1,024	2,068	922
--------------	-----	-----	-----	-------	-----	-------	-------	-----	-------	-------	-------	-------	-----

Permanent Blue Collar Workforce By Ethnicity National Park Service

White
2359 70%



Minority
991 30%



American Indian
134 14%

Asian 15 2%

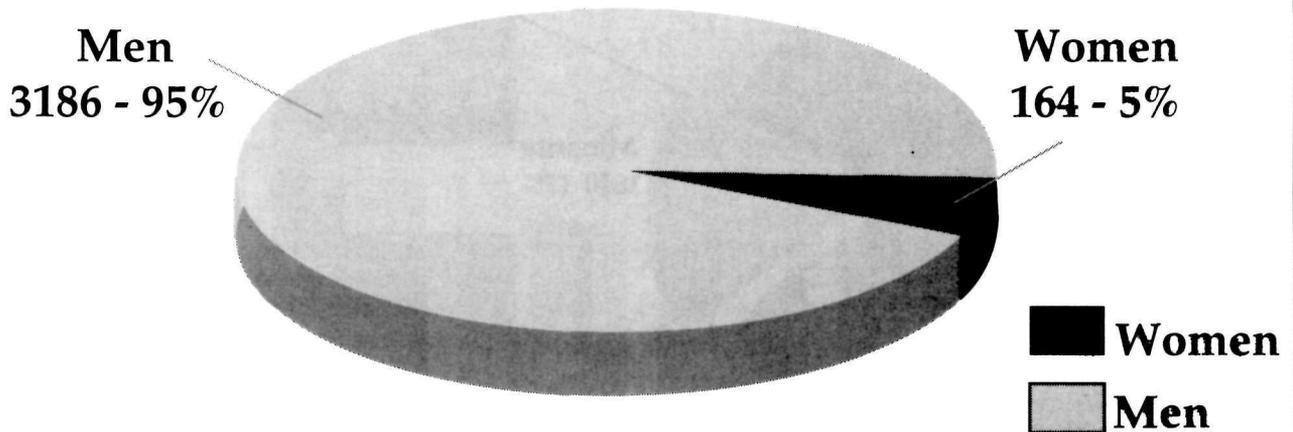
Hispanic 230 23%

Other 35 4%

Black 577 58%

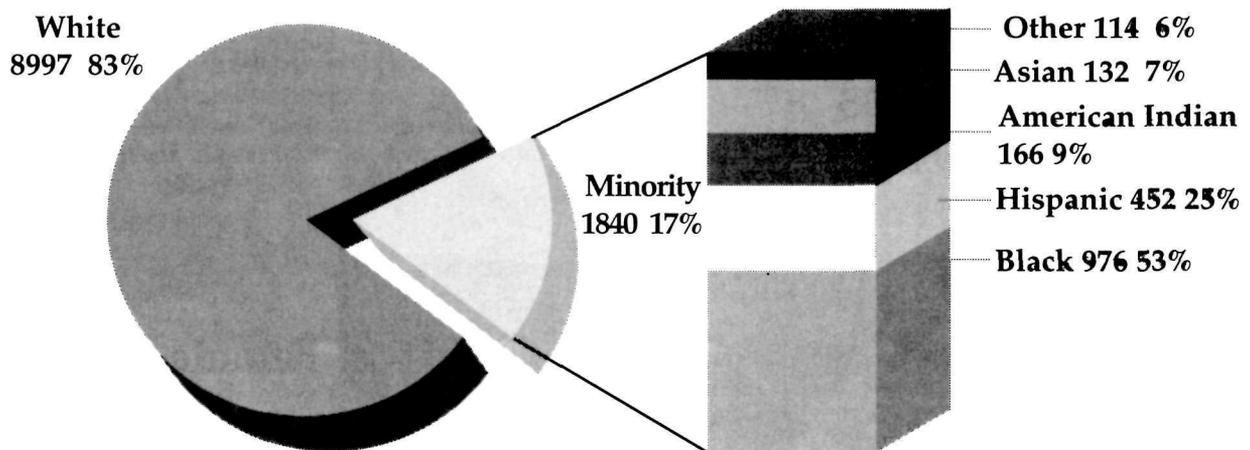
1992

Permanent Blue Collar Workforce By Gender National Park Service



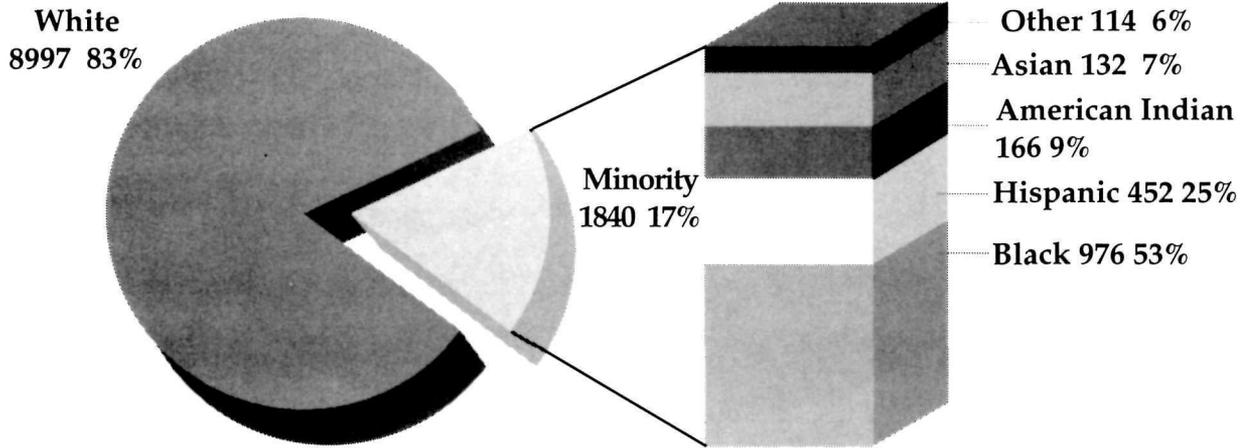
1992

Permanent White Collar Workforce By Ethnicity National Park Service



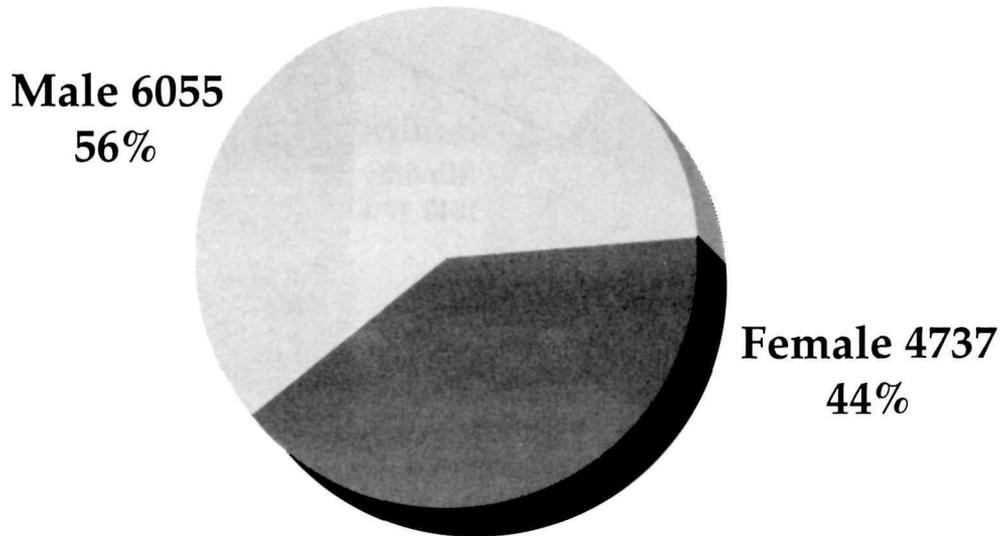
1992

Permanent White Collar Workforce By Ethnicity National Park Service



1992

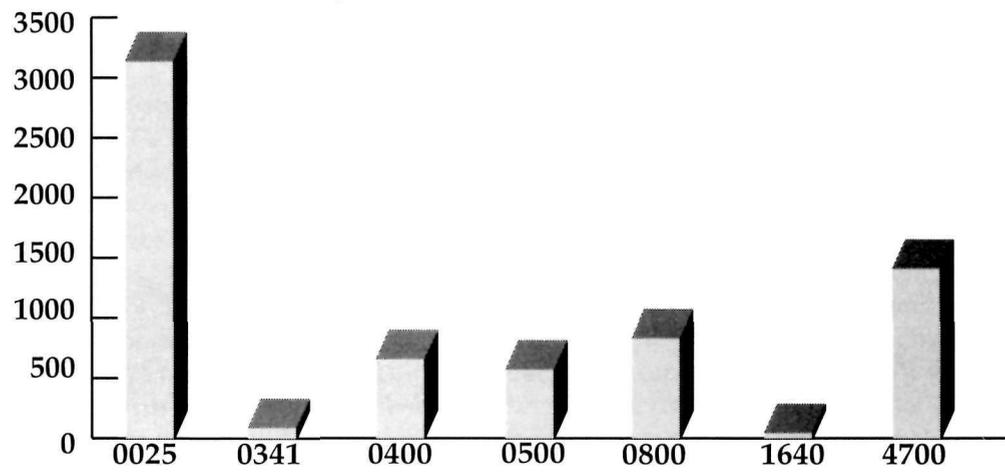
Permanent White Collar Workforce By Gender National Park Service



1992

NPS Permanent Employees for 1992

National Park Service



By Selected Occupational Groups

OCCUPATIONAL STUDY OF FEDERAL EXECUTIVES, MANAGERS, AND SUPERVISORS

An Application of the Multipurpose Occupational Systems Analysis Inventory –Closed-Ended (MOSAIC)

OVERALL FEDERAL SUMMARY

This report describes the results of a government-wide occupational study of Federal executives, managers, and supervisors. The study was supported by the U.S. Office of Personnel Management's Human Resources Development Group and conducted by research psychologists in the Office of Personnel Research and Development of the Career Entry Group. The primary objective of the study was to establish an empirically-based continuum of executive, managerial and supervisory behaviors and competencies to guide curriculum design and evaluation efforts and to update and revise the Management Excellence Framework (MEF). An additional objective of the study was to establish a single source of occupational information for the development of consistent and job-related products (e.g., selection criteria, performance standards, training curriculum) to support human resource management (HRM) programs and policies for executives, managers, and supervisors.

The managerial study was conducted using the Multipurpose Occupational Systems Analysis inventory–Closed-ended (MOSAIC). The system uses an automated occupational analysis approach that eliminates costly redundancies in the collection of data and provides technically sound and legally defensible procedures and documentation to support human resource management (HRM) decisions.

The sampling plan for this research was designed to obtain a sample representative of the Federal management population. A survey questionnaire, the Leadership Effectiveness Survey (LES), was developed and sent to a stratified, random sample of 20,664 Federal executives, managers, and supervisors in October 1991. The LES collected background information from survey participants, ratings of managerial tasks, ratings of managerial competencies, occupational description information, and personal and organizational style data. A response rate of 49 percent was achieved with the return of 10,061 completed surveys.

The initial analyses of the LES data identified important competency and task information across the three management levels. Ratings on competencies and tasks were examined by grouping respondents into three subsamples: executives, managers, and supervisors. The competencies were analyzed

using respondent ratings on (a) the importance of the competency for effective job performance and (b) whether proficiency in the competency was needed upon entry into the position. For each competency, rating levels were combined over the two scales to yield a composite rating score reflecting the value of the competency's importance and need at entry. The composite rating scores were examined to identify common competencies across all three management levels. The composite scores also were used to identify competencies that were most closely associated with one particular managerial level. This comparative analysis resulted in a continuum of competencies across the three management's levels.

The LES data also provided information about the work behaviors or tasks performed by the three management levels. The task information was analyzed based on the percentage of respondents who performed the task at each management level and on the importance ratings of the tasks by levels. The most important tasks were performed at all managerial levels. However, the importance to job performance varied across the three levels. This information provided the basis for identifying the most commonly performed tasks by management level and their overall importance to managerial effectiveness at each level. This can be used to identify key similarities and differences across these levels.

Occupational description information was collected and can identify factors or behaviors that exist by grade level. This information will be useful for developing guidance for structuring positions and developing model position descriptions for all levels of management. Personal and organizational style data were collected for use in the development of assessment instruments to evaluate total quality management initiatives and organizational development needs. Future analyses of the data will be conducted using the other rating scales that were applied to the tasks and competencies. These will provide information for constructing selection criteria and designing training curriculum and evaluation procedures.

The research-based information obtained from the analysis of the LES provided data to update the current MEF, ensuring its continued validity, as well as considering the impact of new areas such as office technology, total quality management, and work-

force diversity. The first product of the LES data is a continuum of competencies that reflects the progression of needed capabilities across the three managerial levels. It provides a new model for Federal agencies to use for executive succession planning and to develop new and incumbent managers and supervisors. These data will be used to develop additional products for assessing managerial competencies and for career development.

The information gathered from the LES data provides OPM with a common source of job-related information on managerial positions. This information can be used in the development of model HRM products and programs for classification, selection, performance management, organizational development, and total quality management applications. Using a single source of occupational information will lead to an integrated HRM system of products and policies for Federal managers.

MANAGERIAL COMPETENCIES

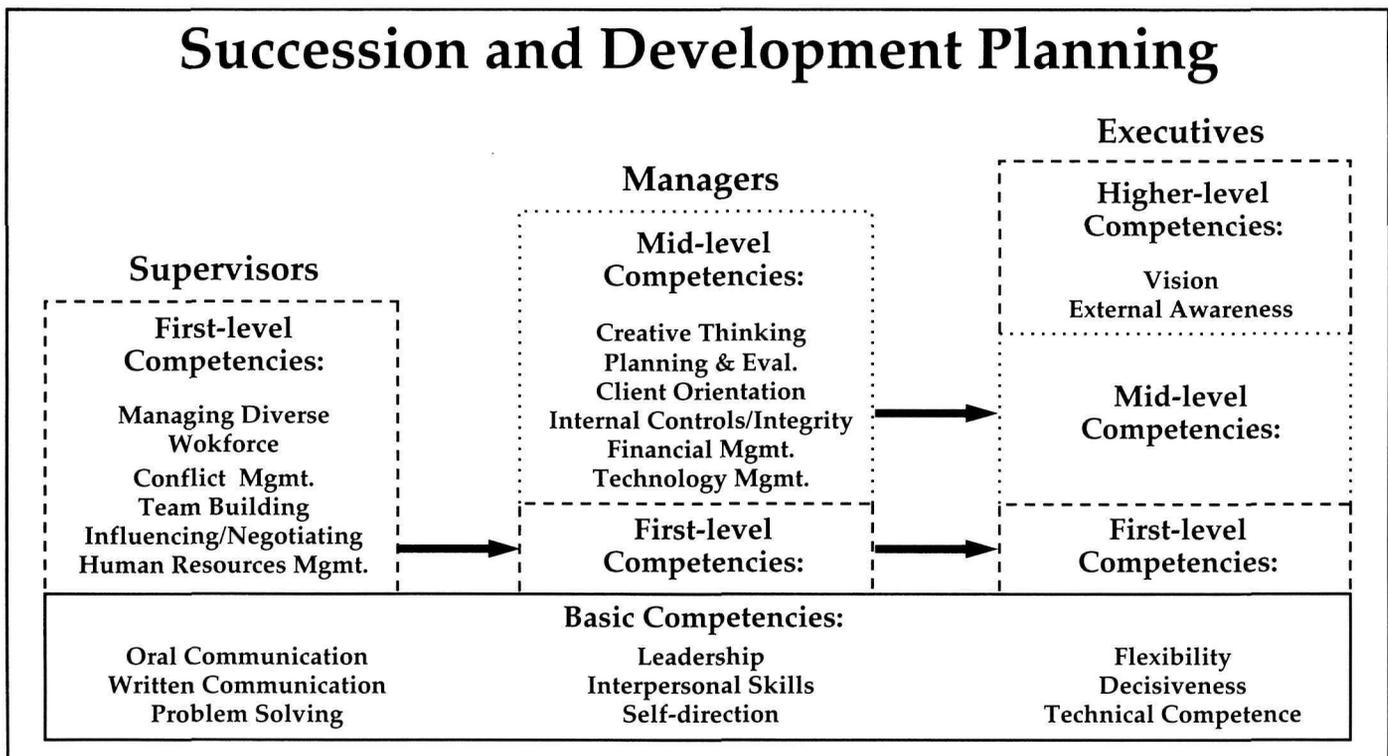
1. Written Communication—Expresses facts and ideas in writing in a succinct and organized manner.
2. Oral Communication—Expresses ideas and facts to individuals or groups effectively; makes clear and convincing oral presentations; listens to others; facilitates an open exchange of ideas.
3. Problem Solving—Identifies and analyzes problems; uses sound reasoning to arrive at conclusions; finds alternative solutions to complex problems; distinguishes between relevant and irrelevant information to make logical judgments.
4. Interpersonal Skills—Considers and responds appropriately to the needs, feelings, and capabilities of others; adjusts approaches to suit different people and situations.
5. Managing Diverse Workforce—Is sensitive to cultural diversity, race, gender, and other individual differences in the workforce; manages workforce diversity.
6. Vision—Takes a long-term view and initiates organizational change for the future; builds the vision with others; spots opportunities to move the organization toward the vision.
7. Creative Thinking—Develops new insights into situations and applies innovative solutions to make organizational improvements; designs and implements new or cutting-edge programs/processes.
8. Flexibility—Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles; effectively deals with pressure and ambiguity.
9. Decisiveness—Makes sound and well-informed decisions; perceives the impact and implications of decisions; commits to action, even in uncertain situations, in order to accomplish organizational goals; causes change.
10. Leadership—Inspires, motivates and guides others toward goal accomplishment; coaches, mentors, and challenges subordinates; adapts leadership styles to a variety of situations; models high standards of honesty, integrity, trust, openness, and respect for the individual by applying these values to daily behaviors.
11. Conflict Management—Manages and resolves conflicts, confrontations, and disagreements in a positive and constructive manner to minimize negative personal impact.
12. Self-Direction—Demonstrates belief in own abilities and ideas; is self-motivated and results-oriented; recognizes own strengths and weaknesses; seeks feedback from others and opportunities for self-learning and development.
13. Influencing/Negotiating—Persuades others; develops networks and coalitions; gains cooperation from others to obtain information and accomplish goals; negotiates to find mutually acceptable solutions; builds consensus through give and take.
14. Planning and Evaluating—Determines objectives and strategies; coordinates with other parts of the organization to accomplish goals; monitors and evaluates the progress and outcomes of operational plans; anticipates potential threats or opportunities.
15. Financial Management—Prepares, justifies, and/or administers the budget for program area; plans, administers and monitors expenditures to ensure cost-effective support of programs and policies.
16. Human Resources Management—Empowers people by sharing power and authority; develops lower levels of leadership by pushing authority downward and outward throughout the organization; shares rewards for achievement with employees; ensures that staff are appropriately selected, utilized, appraised, and developed, and that they are treated in a fair and equitable manner.
17. Client Orientation—Anticipates and meets the needs of clients; achieves quality end-products; is committed to improving services.
18. External Awareness—Identifies and keeps up-to-date on key agency policies/priorities and economic, political, and social trends which affect

the organization; understands where the organization is headed and how to make a contribution.

19. **Team Building**—Manages group processes; encourages and facilitates cooperation, pride, trust, and group identity; fosters commitment and team spirit; works with others to achieve goals.
20. **Technology Management**—Integrates technology into the workplace; develops strategies using new technology to manage and improve effectiveness; understands the impact of technological

changes on the organization.

21. **Internal Controls/Integrity**—Assures that effective internal controls are developed and maintained to ensure the integrity of the organization.
22. **Technical Competence**—Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise, e.g., engineering, physical science, law, or accounting; maintains credibility with others on technical matters.



OCCUPATIONAL LEADERSHIP

Sponsors:	Occupational Groups:
Associate Director	
Cultural Resources	History Archeology Museum Curatorship Anthropology Historical Architects
Natural Resources	Biology Ecology Science Natural Resource Management Physical Sciences Environmental Protection
Operations Harpers Ferry Center	Park Management Safety Concessions Facility Management Criminal Investigation Fire Management Law Enforcement Interpretation Realty Housing
Planning and Development Denver Service Center	Engineering Architecture Outdoor Recreation Planning Grants
Budget and Administration	Personnel/Training EEO/Civil Rights Budget Administration Finance Information Management Administrative Officer Procurement/Contracting Accounting Property/Supply Management Management Analysis
Management Systems	Miscellaneous

SOURCE REFERENCES:

National Parks for the 21st Century - The Vail Agenda, 1991

Paths to Leadership - Executive Succession Planning in the Federal Government, National Academy of Public Administration, 1992

Preliminary Research Results - Study of Succession Planning and Executive Selection - National Academy of Public Administration, 1992

Occupational Study of Federal Executives, Managers and Supervisors - U.S. Office of Personnel Management, 1992

Leadership for America - Rebuilding the Public Service - The report of the National Commission on the Public Service, 1989

Strategic Plan for Federal Human Resources Management - U.S. Office of Personnel Management, 1990

Creating Our Future - Strategic Plan for the National Park Service, 1993

As the Nation's principal conservation agency, the Department of the Interior has responsibility for most of our nationally-owned public lands and natural resources. This includes fostering sound use of our land and water resources; protecting our fish, wildlife, and biological diversity; preserving the environmental and cultural values of our national parks and historical places; and providing for the enjoyment of life through outdoor recreation. The Department assesses our energy and mineral resources and works to ensure that their development is in the best interests of all our people by encouraging stewardship and citizen participation in their care. The Department also has a major responsibility for American Indian reservation communities and for people who live in island territories under U.S. administration.



