

A Succession Planning Model for the City of McMinnville
and Small Tennessee Municipalities

By

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CHAPTER 1

INTRODUCTION TO THE ORGANIZATIONAL NEED

Description of the Organization

The city of McMinnville is a local government entity that provides numerous services to its constituents. The city of McMinnville is located in Warren County, Tennessee, halfway between Nashville and Chattanooga. Known for being the nursery capital of the world, McMinnville boasts beautiful nurseries, a steady population and a mild climate. McMinnville has a residential population of 13,242. The city of McMinnville serves as an economic center, hosting more than 550 employers. The city itself employs 160 employees. The city provides a host of services to its residents including administration, fire, police, public works, utilities, water and wastewater, planning and zoning.

The city is governed by a mayor-aldermanic charter, which is one of the state's three general law charters. This charter provides for an elected board of six alderman presided over by an elected mayor. This board of mayor and alderman is the local governing body responsible for establishing all city policy. Primarily, the board governs by passage of ordinances and resolutions, both of which are voted upon at meetings conducted in the public view. These policies are carried out by a city administrator and seven department heads.

The city administrator is hired by and serves at the pleasure of the board. Carrying out the will of the board, the city administrator is the chief administrator officer of the city.

The city administrator oversees the department heads, manages the day-to-day operations, and develops and implements the budget.

As a governmental entity, the city of McMinnville's primary concern is upholding the federal and state constitutions, city charter, and code of ordinances. Duty-bound to the electorate, the city and its governing body are charged with protecting the safety, health and welfare of its citizens. Without the requisite capital, innovation and other resources, the public sector is often years behind the private sector in adopting new advancements. Such is the case with modern business theory. McMinnville, like many of its governmental contemporaries, has yet to adopt an explicitly stated mission or vision. The adoption of these statements have only recently gained acceptance among governmental entities and the city now realizes the need to adopt this best practice.

Significant Client and Participating Parties

The Tennessee General Assembly created MTAS in 1949. Originally an independently standing organization, MTAS is now housed under The University of Tennessee. The stated mission of MTAS is to provide technical advice, training, and resources to every municipality in the state of Tennessee. MTAS provides assistance in a wide variety of areas including: legal, human resources, information technology, municipal management, public works, finance, utilities, training and development, library, police, fire and codes. With more than 50 employees MTAS can provide technical guidance on all areas of city government. In addition to direct consulting and technical assistance, MTAS offers numerous training academies and provides its

municipal clients with custom training programs. The strong reputation earned over the past 60 years gives weight and credence to MTAS' output.

MTAS is housed under the university's highly esteemed Institute for Public Service (IPS). IPS contains four branches: Municipal Technical Advisory Service (MTAS), County Technical Advisory Service (CTAS), Law Enforcement Innovation Center (LEIC), and Center for Industrial Services (CIS). IPS takes the expertise of its agencies directly to the communities by helping leaders in government, business, law enforcement and education and helping them solve real world problems. In fiscal year 2008, IPS brought more than one billion dollars of economic impact to the state of Tennessee.

The city of McMinnville, a client of MTAS for more than 60 years, routinely calls on the expertise of MTAS. A project such as succession planning is an example of the work MTAS provides for McMinnville and other clients.

Bonnie C. Jones is one of two statewide MTAS Human Resource Consultants. These consultants are charged with providing consulting services to all 347 municipalities in the state of Tennessee. As a Human Resources consultant, Bonnie provides cities and towns with training, advice, writes technical publications, and provides expertise in any area that affects human resources. This could encompass advisement on federal, state and local laws, employment discrimination, workplace harassment, employee benefits, employment law, and the development of employee policies and procedures.

The primary parties from the city of McMinnville are: David Rutherford, City Administrator; Fredia Black, Human Resources Manager; Shirley Durham, City Recorder. Bonnie C. Jones was the Human Resources Consultant who led the project on succession planning.

Problem Statement

The city of McMinnville lacks a succession plan. Without a succession plan, the city is currently unable to fill key positions with qualified, well- trained replacements in a timely manner. This leaves a transitional interval where a critical position may be occupied by an inadequate or inexperienced person. These key positions are critical enough that the risk is an interruption of city services if not addressed properly.

Description of the Problem/ Need

A large percentage of McMinnville's current workforce is retirement-eligible. It is estimated that 55 % of McMinnville's critical positions and 50 % of McMinnville's general workforce are retirement-eligible or will be by FY 2015. This demonstrates that the city of McMinnville has a need to develop a succession plan and follow up strategy to address this performance gap.

Significance of Problem/ Impact on Organizational Effectiveness

The City of McMinnville and the community at large will be affected if and when retirement-eligible employees leave their current positions. These key employees have institution-specific knowledge, skills and abilities that cannot be replaced without proper planning. For example, one key employee currently serves as city recorder and finance director. Not only is this employee retirement-eligible, she actively wishes to retire. It is only her commitment to the organization and her good health that keep her from doing so.

However, her retirement is inevitable. Upon this occurrence not only will the city lose decades of institutional knowledge and experience, it will likely require separating her positions. Even if the replacements were talented, they will lack familiarity and credibility, which cannot be replaced by an outside candidate. These roles are essential to the day- to- day functioning of the city, and without her it seems certain that productivity and services will suffer. This is not an isolated example. Key personnel in utilities, water, public works, police and other departments also face this same prospect.

Desired or Expected Outcomes

A personalized succession plan is essential to address the aforementioned problem. Upon conclusion of this project, the city will have a succession plan for select key positions. The goal of the work plan is to create a specific process to address hiring a replacement for each key position. A second benefit of this project is the development of the process and tools to adapt for implementation of the succession planning model in other Tennessee municipalities. Although every position within McMinnville serves an important role, there are some functions that are so critical that even short term vacancies can have a large impact on the day- to- day functions of the city. Succession planning requires identification of the candidate, and implementing those actions needed to support that assumption of the new role as well- prepared as possible.

These terms, acronyms and definitions are used in the report.

CTAS : (County Technical Advisory Service)- An agency that falls under the University of Tennessee's Institute for Public Service. CTAS serves all counties in the state of Tennessee.

CM: (City Manager)- city manager is an official appointed as the administrative manager of a city, in a council-manager form of city government. Called the chief administrative officer in some municipalities

Generations:

Generation Silent- 1926-1944

Generation Baby Boomers- Born between 1945-1964 (80 million)

Generation X - Born between 1965-1977 (45 million)

Generation Y- Born between 1978-1995 (60 million)

Generation Millennial - Born after 1995

HR: (Human Resources) - Term that refers to managing human capital

ICMA: International City Managers Association

IPS: (Institute For Public Service) - A division of the University of Tennessee. The statewide service provides university expertise for communities and workplaces by consulting daily with government, law enforcement and industry leaders.

LEIC: (Law Enforcement Innovation Center) - A division of the Institute for Public Service charged with providing technical services to law enforcement agencies, schools and communities.

MTAS: (Municipal Technical Advisory Service) - A division of the Institute for Public Service charged with providing technical services to cities and towns across the state of Tennessee.

Succession Planning: A systematic effort and process of identifying and developing candidates for key managerial or professional positions over time in order to ensure the continuity of management and leadership in an organization.

Talent Pools: Individuals that could potentially succeed the current incumbent in a key position who have indicated an interest in being considered for the job if and when the opportunity presents itself.

UT- University of Tennessee

Key Positions: Those positions that your organization must have to properly function.

Literature Review

Corporate Leadership Council Report (2004) stated that succession planning in the government sector is critical. All organizations are facing the approaching “baby-boomer” retirement wave and the government sector is projected to be affected severely. The Social Security Administration, for example, is projected with the prospect of losing more than half its employees by the end of 2010, including a large number of the organization’s leaders. This talent drain makes the topic of succession planning a critical issue for cities in Tennessee as well as all government organizations. CLCR (2004) stated the key questions for government entities are these: (1) Who is responsible for succession planning? (2) How are you going to identify, select and develop these candidates? (3) How are succession planning initiatives evaluated and improved?

The State of Washington's Workforce Planning Guide (2004) indicated that by the year 2005 up to 27% of a core part of their staff would be eligible for retirement. With more than 50% of their workforce over age 45, they had to put together a comprehensive workforce planning guide. This guide provided managers with a strategic basis for making human resources decisions. It also allowed the State to anticipate changes and prepare for the shifting in demographics that was to come.

The key benefits that came from their workforce planning project were that it: (1) allowed more effective utilization of employees through accurate efficient alignment of the workforce with strategic objectives; (2) helped ensure that replacements were available to fill important vacancies, especially critical as they faced increased turnover, coupled with labor market shortages and limited compensation levels; (3) provided realistic staffing projections for budget purposes; (4) Ensured that recruitment resources were more efficiently and effectively used; (5) Provided better focused investment in training and retraining, development, career counseling, and productivity enhancement; (6) Helped maintain or improve diversity profile.

The State of Washington's Workforce Planning Guide (2004) developed a supply projection plan which offered a host of factors included in looking at their present workforce. Key factors included: Number of employees, competencies, job classification/occupation, salary level, age, gender, race, location, educational level, appointment status (permanent, temporary, etc.)

What is the objective of succession planning? Iowa Department of Administrative Services (DAS) - Human Resources Enterprise, Succession Planning Guide (2007) stated that the objective of succession planning was to ensure the organization or unit of the organization continues to operate effectively when individuals depart.

A succession plan may not include all existing managerial positions and may include positions that are not supervisory or managerial but instead require unique, hard-to-replace competencies. Succession planning is not the same as workforce planning. Succession planning is a part of workplace planning. Succession planning aims to ensure that “bench strength” is in place for replacing critical positions.

DAS (2007) explained that the public sector has unique challenges with respect to succession planning. For one, the public sector is held to much different standards than private industry. Some public sector systems have to consider merit or civil service hiring systems where candidates are selected based on qualifications and a stringent scoring system. This changes the dynamic of succession planning in that there will be no predetermination of who will succeed any given person until all qualified candidates are provided with the same due process. DAS outlines the steps of succession planning as: (1) Articulate Strategic Direction (2) Develop a Staffing Plan (3) Describe Current and Future Needs (4) Communicate Possible Career Opportunities to Staff (5) Identify who is interested (6) Develop a Succession Planning Strategy (7) Assess Competency Readiness (8) Gap Analysis (9) Prepare Development Plans (10) Provide Development Opportunities (11) Formalize Eligibility. Another critical factor in determining the state of a succession plan is an understanding of each employee’s retirement plans. However, it is important to remember that asking an employee about his or her retirement plans is illegal and violates privacy rights.

The California division of International City Manager's Association (ICMA) (2005) has prepared successful case studies for local governments preparing for the next generation. The idea behind these ten case studies was to see if local governments had plans in place to deal with the "Demographics Tsunami" of baby boomer retirements set to hit the public sector in the next few decades. ICMA outlines ten lessons learned: (1) Partner with governing boards and unions (2) Use outside resources (3) Focus resources on high-potential employees but make the program inclusive (4) Place responsibility for self-development on employee (5) Go beyond training (6) Identify leadership competencies (7) Differentiate between leadership and management skills (8) Align all systems (9) Re-conceptualize the role of the manager (10) support from the top. In public agencies favoritism is always an issue, so the concept of "training academies or certificate programs have been favorable approaches to developing high potential employees." An example of this is the Iowa state government certified Public Manager Program (CPM) program.

ICMA (2005) stated that in the public sector, approaches to developing high potential employees are generally:

1. Assess everyone.
2. Assess everyone in like group (such as, the division where the vacancy is anticipated).
3. Assess those who voluntarily request to be assessed.

The benefit of this strategy is that everyone can be included without concern of excluding a group of employees.

As featured in California's International City Manager Association (2007) case study, the concept of mentoring in succession planning has proven to be successful with public entities. In 2002, the City of Santa Clarita, California began a mentoring program to groom future leaders from within the city and strengthen the mentoring skills of existing leaders. Mentoring is a cost-effective means of retaining talent and cultivating employees. The mentoring program was created with the following goals in mind: (1) provide employees with growth and development opportunities; (2) institutionalize mentoring and support the City of Santa Clarita's philosophy and core values; (3) address issues identified in an employee survey that showed desire among employees to engage in mentoring relationships; (4) invest in human capital; (5) identify leaders and potential leaders to build and deepen leadership capacity; (6) provide training and resources; (7) and provide support and recognition network for those seeking growth and development opportunities. The program was run by a mentoring committee, which is composed of the city's executive team. The mentor program is open to all classifications of regular employees (management, non-management, union, etc.). The program is a yearlong effort. The program is voluntary and requires participants to complete a form, requesting to participate. All participants are required to self select their partners and seek out their potential matches. The city does not match mentors and mentorees. Once in the program, the pair can mutually agree on a development plan for the one year duration which outlines the goals, area of focus, etc. There is no requirement to turn in the plan. Mentors have the responsibility to provide professional areas of guidance, career advice, and assistance with work projects, advising, discussing development goals, role modeling, and serving as a communication channel.

Once the program begins, the participants are provided with comprehensive training opportunities and information about how to make mentoring a success.

The city brings in keynote speakers and facilitates dialogue on making the transition successful. Participants can also attend two professional development trainings on topics such as: business etiquette, leadership, conflict management, successful negotiation, creativity, project management, etc. During the first two years of the program, approximately 35-40 employees participated. In 2004-2005, participation increased significantly to 69 employees and, in 2005-2006, participation climbed to 96 employees. The city appropriated \$10,000 per year to implement the mentoring program. Dozens of other cities have implemented similar programs with success.

The Minnesota Department of Employee Relations Workforce Planning Guide (2004) paints a compelling picture of why workforce planning is so important. There are 70 million baby boomers and only 40 million Generation Xers behind them. This leaves a gap so large, it is almost incomprehensible. Technology may absorb some positions, but who is going to fill the rest of the positions? Even with all the Gen Xers properly trained, we are faced with a crisis of catastrophic proportions. Aging workforce, loss of trade skills, reduction of civilian workers, and the demographics tell us we need to do something about this public issue.

The Kelly Services Intelligence Report (2005) shows aggressive competition for top talent as demographic trends lead to large gaps between labor supply and demand over the next 20 years. Combined, Generations X and Y will represent a massive 70% of the workforce by 2012. A unique challenge is that Generations X and Y have entirely different motivations than the generations they are replacing. This is going to impact the way companies go about their strategic succession planning.

Generations X and Y are independent, technologically savvy, and desire work family balance. They are natural entrepreneurs and do not desire to stay in the same work climates for the majority of their lives. The Kelly Services Intelligence Report provides some tips for companies to use in planning their future hiring strategies: (1) Think “high tech ; (2) Create fun environments (3) Leverage relationships, Get Personal; (4) Embrace workplace flexibility; (5) Expand and enhance training opportunities.

Rothwell (2005) reported that demographers have been long aware that the U.S workforce is aging and that the population is changing. He suggested the risk on government entities was far worse than that of private industries with higher percentages eligible for retirement in local government than that of federal government or any other jurisdiction. An example Rothwell gave was California’s forest fires had to be fought by those firefighters called out of retirement because there were simply not enough skilled firefighters available to battle the blazes. Rothwell outlined some common misconceptions about succession planning:

1. To confuse succession planning with replacement planning. They are not the same. Replacement planning prepares a back-up disaster plan to deal with such contingencies as a plane crash when the CEO or other key persons are aboard. In contrast, comprehensive succession planning is a way to integrate planning for talent with organizational strategic planning. Rothwell goes on to explain that the only way a strategic plan can be realized is when the right people are at the right places and at the right times doing the right jobs.

2. A second misconception about succession planning is to regard it as a way of guaranteeing promotions. Management often worries that it might create a feeling of entitlement, causing employees to kick back and put their feet up, but that is not what it means.

When done properly, succession planning is simply a way of preparing people for advancement—either vertically (up the chain of command) or horizontally (along a technical career ladder of increasing breadth and depth of knowledge).

CHAPTER 2

THE ASSESSMENT

Assessment Objective

The objective of the assessment for this project was to determine the age of McMinnville's current workforce and to use the current statistical information on McMinnville's workforce to determine areas where positions would need to be filled, based on projected retirement dates and criticality of positions. The data validated the nature of the performance gap.

A succession plan does not address every city position, but rather essential positions of key personnel. This required the consultant to limit the assessment focus to essential positions. Thus, as succession planning focuses on visible replacement strength, it was crucial that the consultant and client understand which positions are key and when they would likely need to be replaced.

While all employees and most management positions were important in leading the day-to-day business of the city of McMinnville, it was nonetheless important to gauge how critical each position was to determine where the city needed to focus its planning and recruitment efforts. The final determining factor was to select the positions that would create the most impact in the event of a vacancy. Those positions were evaluated by instruments developed and implemented by the consultant.

Assessment Method

Data returned from the Human Resources Department was the basis for the creation of an Excel spreadsheet (Appendix A). The demographic information contained in the spreadsheet was narrowed to two pertinent columns, age and position. While other factors eventually became important to succession planning, the initial review was conducted in a more efficient manner with this limitation.

The consultant created an Excel spreadsheet including all relevant data received from the Human Resources Department. This file, containing demographic information for all 141 city employees, originally contained columns for: employee name, date of birth, age, position, date of hire and minimum educational requirements. The spreadsheet was further sorted by department: Police, Administration, Public Works, Water, Parks and Recreation, Urban Forestry, and Vehicle Maintenance. Because the city is organized into these departments, the spreadsheet used the same organization. The workforce numbers contained therein provided a sound basis for assessment and the instruments developed.

Instruments

Several instruments were developed. The first instrument developed for the assessment was the Position Impact Questionnaire (Appendix B). This questionnaire, designed to be completed by the City Administrator, City Human Resources Manager, City Recorder/Finance Director, City Councilmember, and the Mayor, rated the competencies, skills, and experience required for each key position. This form included: position summary, essential functions, minimum qualifications, education, training, preferred qualifications, and physical and mental requirements of the position. The participants completing this form used narratives to provide detailed information and a full picture of each city position. These narratives provided the basis for the next instrument's numeric rankings.

A linear numeric scale was developed to identify key positions by ranking their criticality. A linear numeric scale proved useful for identifying and ranking key positions, based on their criticality. The Consultant created the Position Impact Ranking Survey (Appendix C). This survey asked the aforementioned city employees to give each key position a 1-5 numeric ranking: *1 = Very Low Impact (1), 2 = Low Impact (2), 3 = Some Impact (3), 4 = Medium Impact (4), 5 = High Impact (5)*. The scores were evaluated using the returned ratings and used to determine criticality of key positions and impact on the city. The consultant recorded the scores and analyzed the results calculating total score for each position and the mean. The consultant was then able to place the results in an ordinal list, from most critical to least critical.

The third instrument developed was the Key Position Status Overview tool (Appendix D). This table incorporated collected city data and the results of the previous two instruments to provide the city with a current snapshot its need for succession planning for these ten key positions.

The instrument includes current retirement eligibility status, as well as criticality of position and future incumbents(s) who are high-potential employees eligible for advancement. Using this table, city officials can quickly pinpoint positions where succession issues may soon arise.

Data and Statistical Analysis

Sorting the data by age, the consultant analyzed each group of employees by putting employees into likely retirement-eligible categories. The retirement-eligible categories were: less than 3 years, within 3-5 years, and more than 5 years. The baseline data showed the average age of the city workforce and allowed the consultant to extract relevant data (Table 1) such as: total number of employees, average age of workforce, and number of employees over age 40, number of employees over age 50, most significant age range, and percentage of retirement-eligible employees based on the three categories described above. In addition to the numeric results, the spreadsheet was used as a comprehensive inventory of all city positions. From this list, the Consultant selected key positions needing further inquiry.

While the spreadsheet provided data, the other instruments provided subjective need assessment for the selected key positions. The first two forms, Position Impact Ranking Survey and Position Impact Questionnaire, built upon the baseline data by demonstrating where skill sets, education and training are requisite to certain replacements.

The results of these forms were incorporated into the Key Position Status Overview tool, where positions were scored on criticality, age, retirement status and number of current employees able to fill position.

Assessment Findings

Table 1 displays the results of the initial spreadsheet analysis.

Table 1- Spreadsheet Results

Spreadsheet Results - Summary of McMinnville Employee Demographic Data.

City of McMinnville - All employees

- 1 Total number of employees: 141
- 2 Average employee age: 44 years
- 3 Employees over age 50: 29.79 % (42 of 141)
- 4 Employees over age 40: 62.41% (88 of 141)
- 5 Most significant age range: 45-63 (1946-1964) 65 of 141
- 6 Percentage of retirement-eligible employees in less than 3 years: 3.55% (5 of 141)
- 7 Percentage of retirement-eligible employees in 3-5 years: 4.26% (6 of 141)
- 8 Percentage of retirement-eligible employees in more than 5 years: 92.2% (130 of 141)

**Retirement-eligible according to federal Medicare guidelines*

These results showed that the average age of City of McMinnville employees is 44 years old with the most significant number of employees in the 45-63 age range.

While the number of employees who are retirement-eligible within 3 years looks fairly low according to Medicare standards, some employees may be eligible for state retirement benefits when they achieve a set number of years of service, regardless of Medicare eligibility or age.

With city manager approval, the consultant employed subjective data analysis to identify ten key positions. Many factors went into this decision, including: leadership, overall effect on day- to- day functions, education required, skills required, etc. These key positions were as follows: (1) City Administrator, (2) City Recorder/ Finance Director, (3) Director of Planning and Zoning, (4) Director of Public Works, (5) Director of Water and Wastewater, (6) Fire Chief, (7) Police Chief, (8) Waste Water Plant Manager, (9) Waste Water Plant Operator-Certified, (10) Waste Water Shop Supervisor. Table 1 displays the ten key positions that were ranked by the five city employees. Narrowing the focus to ten key employees allowed for more detailed analysis as shown below in Table 2.

Table 2- Key Employees

Key Employees & Criticality Ranking

JOB TITLE	Eligible In*
City Administrator	Over 5
City Recorder / Finance Director	Less than 3
Director of Planning & Zoning	3-5
Director of Public Works	Over 5
Director of Water & Wastewater	Over 5
Fire Chief	Over 5**
Police Chief	Over 5**
WW Plant Manager	Over 5
WW Plant Operator - Certified	Over 5
WW Shop Supervisor	Over 5

* *Medicare eligibility was used to estimate retirement dates.*

** *Likely to retire significantly earlier than average employees due to nature of work / years of service.*

Retirement Eligibility Status Key: A: Eligible in 0-3 years B: Eligible in 3-5 years C: Over 5 Years

Pertinent statistics from this table include that 90 % of key positions have incumbents over age 50. A total of 70% of key positions have incumbents over age 55. Average age of those holding key positions is 56. 8 years. In the event that the city separates the Finance

Director /City Recorder position into two positions held by individual persons, that will create two vacant key positions rather than one.

The results of the analysis indicated a need to review each position independently and come up with an individual plan for each position to be filled in the event of a vacancy.

Criticality was determined in the next step when the five city personnel ranked the ten key positions.

Recommendations for Intervention

The first recommended intervention was to implement a succession plan for the ten key employees highlighted in this project. With planned transitions in these positions, city leadership can continue smoothly even as employees change.

The second recommended intervention was to explore a new nomination program in which employees could nominate themselves or others for consideration in preparatory program aimed at grooming younger employees for eventual leadership roles. While this would have little immediate effect, during the next round of retirements, the city could have a larger percentage of planned successions.

The third recommended intervention was to evaluate all job descriptions annually to ensure there are no changes or revisions that need to be made. For as society advances, jobs evolve to meet the changes. Annual reviews would ensure that the requisite skills for each position remain current. This process should also include interviewing and observing the employee in the field. The city can and should make this part of the APR process.

The fourth recommended intervention was to create and distribute an annual workforce survey to help collect voluntary information from employees. This will aid in the succession

planning process and will allow the city to make continual changes to the current plan while increasing employee trust.

The fifth recommended intervention was to develop and implement a formal mentoring program. This will assist high-potential employees cross train, expand their work horizons, and gain new expertise in preparation for future opportunities.

Contractual Relationship

All the interventions were not completed by the consultant, due to the time and resources allocated for the project. The Consultant was prepared to move forward with recommended interventions one and four. The contractual agreement is listed in Appendix E.

CHAPTER 3

THE INTERVENTION

Description of the Planned Intervention

The first intervention was the creation of a succession plan for the city. The consultant created a model succession plan for McMinnville contained as a separate document. The consultant and city agreed to focus on 2-3 key positions as the initial phase of this planning. The positions were: City Recorder, Police Chief, and Finance Director. Additional positions were identified in this report and should be addressed in the order of criticality that the city ranked them. Several instruments were developed as part of the succession plan and are contained in the appendices A-E.

The second intervention was the creation of an annual employee succession plan survey. The survey is voluntary but the city should make every effort to provide employees with education and information surrounding their need to collect this additional information. This survey is contained in the model succession plan and can also be found in Appendix F.

A written summary report detailing the deliverables was submitted to the client. The items included in the report have been listed in table 3.

Table 3- List of Deliverables

List of Deliverables

Activity	Targeted Date	Responsibility
Level 1 Evaluation	11/10/09	Consultant and Client
Follow up with Client	1/5/10	Consultant
Level III Evaluation	1 Year from Implementation	Client
Level IV Evaluation	26 Months from Implementation	Client

Participants

The primary participants were the consultant Bonnie C. Jones and two members of city administration: the City Administrator and Human Resources Manager. The consultant completed interventions one and four and provided the information to the city of McMinnville for feedback, review, and approval. When the interventions were completed, results were delivered to the City Administrator, David Rutherford and Human Resources Manager, Freida Black.

Materials and Methods

The basic materials were provided by the consultant's employer, The University of Tennessee, MTAS. This included computer materials, paper, ink, software, electronic mail, printing, etc. Additional materials will be supplied by the client if needed.

The primary resource used to create the Model Succession Plan came from the employee data spreadsheet (Excel file) pulled from information provided by Human Resources. Statistics pulled from this report were fully analyzed to provide tables, statistics and meaningful information displayed in the form of charts and tables. Those tables were created in Microsoft Word 2007 by using the chart and table resources. The consultant employed a large library of professional references and government resources to create the model succession plan. Some of the references used were as follows: Pierce County's 2009 Succession Plan, TVA's Succession planning (select documents), IPMA's Benchmarking Report 2009: Workforce and Succession Planning, and CPS Human Resources Service Succession Planning Guide.

All forms listed as instruments were created in Microsoft word and were developed by the consultant. These newly created forms are listed in the Appendices A-E.

The model succession plan was provided to the client in PDF- electronic file, as well as a Microsoft Word file and a paper file. The model succession plan is presented and contained in a separate document. The succession plan contains current statistical information and the client is encouraged to update this plan and applicable statistics each year. The city should incorporate the results of the employee succession plan survey.

Implementation Schedule

During the first client meeting on August 4, 2009, the preliminary deadlines and tentative schedule were discussed with the client's approval. The client was flexible on the implementation schedule and allowed the consultant to take the lead on that aspect.

The implementation schedule was determined to fall in line with the deadlines set for the class project. With November 30, 2009, being the commencement of class, the project was planned to be completed and finalized by November 15th. The client was then given one work week to make changes and recommendations to the model succession plan.

The consultant will make final changes and respond to client's comments and have the final copy to the client by November 22, 2009. The consultant will then have 8 days to make changes prior to submitting the final copy to the school for credit.

Table 4. Schedule for the targeted dates that were met at each step of the implementation process.

*Table 4-Intervention Schedule**Schedule for Intervention*

Activity	Targeted Date	Responsibility
Deliver draft of intervention to client	11/22/2009	Consultant
Make changes based on client's feedback	11/27/2009	Consultant & Client
Complete intervention document	11/29/2009	Consultant

Projected Cost of Project

The consultant worked on this project as part of her regular job duties as Human resources Consultant for the University of Tennessee therefore there were no direct costs billed to the client. However, if this project had been completed by a paid consultant, the cost to the client would have been a minimum of \$100 per hour for the consultant's fee. A total of 70 hours were spent on this project, bringing the total cost of this project to \$ 7,000.00, if fees actually applied.

CHAPTER 4

RESULTS OF THE INTERVENTION

Brief Summary of the Completed Intervention

The intervention developed by the consultant was a Succession Plan for the City of McMinnville, Tennessee. The intervention also served as a Model Succession Plan for Small Municipalities in Tennessee. The intervention included workforce statistics from the City as well as the identification of ten key employees. The city and consultant worked together to select 3 positions that were deemed most critical. The three positions were: Finance Director (new position), Police Chief, and City Recorder. The three positions were further analyzed and a specific development plan was outlined for each of the three positions.

Results of the Interventions

The result of the interventions were immediate as the city had no prior data or plans in place to identify key employees or those positions in jeopardy of vacating due to retirement-eligible transitions.

Description of Method(s) to Evaluate the Intervention

Level I Evaluation (Reaction). A Level I evaluation was accomplished by the consultant by asking the client the following questions: “How satisfied with the intervention are you? How useful was the data from the intervention? What areas would you improve upon?” The information was followed up and a form was sent via email to provide formal documentation of feedback and response back. Level I questions are attached in Appendix G.

Level III (Application). The proposed Level III evaluation will be conducted by the client approximately one year after the project has been completed. The Level III evaluation tool will be filled out by the client approximately 12 months after the intervention is implemented. Level III measures whether the client made the proposed recommendations to their workforce planning program efforts. The evaluation tool looks at what measures were completed and the client’s level of confidence for each action item. In this evaluation the client is asked about the benefits of the succession planning model and if the Succession Plan Model assisted them with filling pre-identified positions. Level III Application will be recorded on a form that records information from the client at the one year mark. The Level III evaluation tool is attached in Appendix H.

Level IV Evaluation (Impact). The client will conduct a Level IV evaluation to identify organizational impact. This will be done at 26 months post the implementation. Measures for organizational impact will be measured through the results of two annual Employee Succession Planning surveys as well as information recorded results from client. The Level IV evaluation tool is attached in Appendix I.

CHAPTER 5

RECOMMENDATIONS AND LESSONS LEARNED

Summary of the Project

The city of McMinnville, facing a baby boom retirement challenge similar to the rest of America did not have any plans or information on their retirement-eligible workforce. An assessment of their workforce showed that the city needed to put a succession plan in place and identify key employees that would likely retire in the near future. The intervention created was a Model Succession Plan for the City of McMinnville as well as other small municipalities in Tennessee. The results of the intervention were that a Model Succession Plan was successfully created, and the city was able to have an accurate snapshot of their workforce retirement-eligibility. In addition, a workforce succession survey was developed for the city to distribute and evaluate annually.

Recommendations to the Client Organization

All the recommended interventions were not completed by the consultant, due to the time and resources allocated for the project. The Consultant completed recommended interventions one and four, which were the interventions that the Human Resources Consultant contracted to complete.

The first completed recommended intervention was to implement a succession plan for the ten key employees highlighted in this project. Due to time limitations the consultant developed a plan for 3 positions: Fire Chief, City Recorder, and Finance Director. With planned transitions in these positions, city leadership can continue smoothly even as employees change. The remaining positions would be worked on by the client upon the close of this project.

The second future recommended intervention was to explore a new nomination program in which employees could nominate themselves or others for consideration in preparatory program aimed at grooming younger employees for eventual leadership roles. While this would have little immediate effect, during the next round of retirements, the city could have a larger percentage of planned successions. The city should plan to begin this intervention immediately.

The third future recommended intervention was to evaluate all job descriptions annually to ensure there are no changes or revisions that need to be made. For as society advances, jobs evolve to meet the changes. Annual reviews would ensure that the requisite skills for each position remain current. This process should also include interviewing and observing the employee in the field. The city can and should make this part of the APR process. The city should move forward with this recommendation as soon as they are able.

The fourth recommended intervention was to create and distribute an annual workforce survey to help collect voluntary information from employees. This will aid in the succession planning process and will allow the city to make continual changes to the current plan while increasing employee trust. The consultant successfully completed the development of the survey. The client will need to start distributing the survey annually.

The fifth recommended intervention was to develop and implement a formal mentoring program. This will assist high-potential employees cross train, expand their work horizons, and gain new expertise in preparation for future opportunities. This should be explored by the city as soon as they begin implementing the succession plan.

Evaluation methods were established by the consultant and tools for Level I, Level II and Level IV evaluation were developed and distributed to the client. The city of McMinnville should continue to evaluate their succession planning efforts. Along with the outlined evaluation methods in chapter 4, the client should re—visit evaluation frequently to ensure their succession planning efforts are meeting the needs of their city.

Personal Skills Assessment

The consultant applied a wide array of skills, knowledge, and abilities as well as other competencies to complete the interventions for the city of McMinnville. The core competencies used were: Human Resources knowledge, ability to analyze and problem-solve, management of project deadlines, and flexibility. Knowledge of industry trends and benchmarking was critical, as succession planning incorporates workforce planning with needs of the organization.

Table 5- Self Evaluation Assessment

List of Competencies-Self Evaluation

Competency	Level of Effectiveness: 1- 5
Organization	4
HR Knowledge	5
Relationship Management	4
Project Management Skills	3
Communication	4
Leadership	5
Creates Trust	5
Consults	5
Analyzes	4
Evaluates	4
Decision Making	5
Detail Oriented	4
Stress Tolerance	4
Negotiates	5
Integrity/honesty	5
Teamwork	4
Problem-Solving	5
Technical Aptitude	4

(1- Not Effective, 2- Somewhat Effective. 3- Moderately Effective, 4- Effective, 5- Very Effective)

Lessons Learned in Organizational Assessment and Intervention

Lesson 1: Spend time in the library reading other students' projects. In starting to work on chapter 1 I found that I was frustrated at not knowing if I was on the right track. It would have been helpful to spend more time with the other projects before developing my own chapter.

Lesson 2: Be open to various methods of addressing succession planning. Even though you may be interested in a specific approach, take time to reflect on different approaches because you can still use concepts from different methods to approach your succession plan.

Lesson 3: Approach succession planning in small steps. If you attempt to jump around in the process it will likely slow you down. I found I was so anxious to get to the core of the plan that I had to go back and re-visit earlier steps.

Lesson 4: Understand that there is no perfect succession plan. Succession plans should be changed and modified regularly to adapt to the changes in strategic processes and turnover.

Lesson 5: Understand what Gap Analysis really means. When describing my client's gap, I found that I often focused on other items that were not directly related to the gap.

Dr. Solomon often reminded me to go back to the gap at hand and not to focus on secondary items.

Lesson 6: Don't pull more data than what the project requires. I found I was afraid that I wasn't going to have enough workforce data, so I had more data pulled than necessary. This then made my work more complicated and required additional steps. It took me several meetings with Dr. Solomon before it occurred to me that I was being over analytical. I needed to narrow my focus to the necessary statistics and not try to find a place for statistics that would not provide direct value to the project.

Lesson 7: Complete your analysis in its entirety before moving to the intervention phase. For me, this required feedback from your project support team as well as Dr. Solomon. I found chapter 2 to be the most difficult. It is important to go back and re-read notes on the assessment function before completing this chapter. I spent more hours than I would like to admit re-writing my chapter 2.

Lesson 8: Although you may determine the need for multiple interventions, stay focused on what you think you can complete in the time you have. I didn't realize how much time would go into the client's succession plan and I thought I would be able to complete more items than were appropriate given the time frame.

Lesson 9: Quality of your project is more important than quantity. It is not the length of the intervention but rather "Does your intervention address the gap?"

Lesson 10: Use your team members to bounce ideas off of. I found I had a much easier time when I met with my classmates and asked them for suggestions and advice. It is easy to not do this, especially when some team members are less open about sharing their project information, but find classmates who are willing to help and work as a team. I actually moved outside my learning team and found some great support through Faye and Stephen.

Lesson 11: Don't take criticism personally. It is important to have constructive feedback. Constructive feedback can mean extra work, but it is done to improve the quality of the project.

Lesson 12: Ask the experts questions. While at a seminar I opted to attend some classes on Succession Planning. Initially, I was hesitant about asking the speakers for their advice and feedback, but once I did, it proved very helpful to my project.

Lesson 13: Have your team provide you with feedback on where you are going awry. In one part of my writing, I needed up close assistance from someone who was able to read my work and spend time with me going over the problem areas. This proved to be one of the most helpful two days of work for me. I wish I had not waited to ask for another set of eyes.

Lesson 14: When you feel stuck , refer to your resources you collected as part of the project. I had to frequently remind myself to keep looking at the reference material I used as my project guidance. It seemed at each juncture of the project I would get something different from reading about how others' used succession planning in their organization. This takes multiple looks at the same references. Just because you read something once doesn't mean you shouldn't go back and review the material again.

Lesson 15: Don't let your anxiety or emotions control your project. I got married out of the country, held a demanding full-time job down, commuted from Nashville, took care of a baby, and had a very sick parent during the project and intervention. There were more times than one that I thought I wouldn't finish on time. You make the time for things that are a priority.

Lesson 16: Don't expect a sense of completion when working on a succession plan. Succession plans are never really completed. They are a work in progress.

APPENDIX A

Spreadsheet – McMinnville Workforce Data: All Employees

2009

Age removed to preserve privacy of employees.

AGE	JOB TITLE
	Account Clerk I
	Account Clerk I
	Accounting & HR Assistant
	Accounting Technician
	Accounting Technician
	Administrative Assistant
	Administrative Assistant
	Administrative Assistant
	Administrative Assistant
	Administrative Assistant
	Animal Control Officer
	Assistant Director
	Assistant Director PW
	Building Maintenance Worker
	City Administrator
	City Recorder / Finance Director
	Civic Center Office Supervisor
	Court Clerk
	Crew Chief
	Crew Chief
	Detective
	Detective
	Detective
	Detective
	Detective Captain
	Detective Sergeant
	Director of Planning & Zoning
	Director of Public Works
	Director of Water & Wastewater
	Director Parks & Rec
	Evening Supervisor
	Executive Secretary

	Heavy Equipment Operator
	Human Resource Administrator
	Inflow & Infiltration Crew Chief
	Inflow & Infiltration Worker
	Landscape Manager
	Landscape Worker
	Landscape Worker
	Light Equipment Operator
	Light Equipment Operator
	Light Equipment Operator
	Maintenance Assistant
	Maintenance Assistant
	Maintenance Supervisor
	Maintenance Worker
	Maintenance Worker
	Maintenance Worker II
	Maintenance Worker II
	Mechanic
	Mechanic
	Mechanic Supervisor
	Police Captain
	Police Chief
	Police Lieutenant
	Police Lieutenant
	Police Lieutenant
	Police Lieutenant
	Police Major
	Police Officer
	Police Officer
	Police Officer
	Police Officer
	Police Officer
	Police Officer
	Police Officer
	Police Officer
	Police Officer
	Police Officer
	Police Officer – Housing
	Police Officer – Housing
	Police Sergeant
	Police Sergeant
	Police Sergeant

	Police Sergeant
	Pump Station Crew Chief
	Records Clerk
	Residential Codes Inspector
	Senior Crew Chief
	Sports Field Maintenance Worker
	Street Lead Worker
	Street Maintenance Supervisor
	Tax & Business License Clerk
	Utility Billing Clerk
	Utility Billing Clerk
	Utility Worker
	Water Plant Manager
	Water Plant Operator
	Water Plant Operator
	Water Plant Operator
	Wellness & Aquatics Manager
	WW Construction Foreman
	WW Disposal Operator
	WW Plant Manager
	WW Plant Operator
	WW Plant Operator
	WW Plant Operator
	WW Plant Operator - Certified
	WW Shop Supervisor

APPENDIX B

City of McMinnville- Position Impact Questionnaire

Date:

Attach detailed job description to this form.

Position Title:	Department:
Incumbent:	Position Reports to:

Score from Key Position Impact Ranking Form:

Comments:

Retirement-eligible (*estimated*): Now (Less than 3 Years) 3-5 Years Over 5 Years

Other factors:

Required Education, Training, Certifications:
Required Experience:

Competencies: Select up to five for the position.

<input type="checkbox"/> Building Partnerships <input type="checkbox"/> Stress Tolerance <input type="checkbox"/> Building Strategic Working Relationships <input type="checkbox"/> Building Trust <input type="checkbox"/> Technical/Professional <input type="checkbox"/> Coaching <input type="checkbox"/> Continuous Learning <input type="checkbox"/> Contributing to team success <input type="checkbox"/> Communication <input type="checkbox"/> Customer Focus <input type="checkbox"/> Decision Making <input type="checkbox"/> Delegating Responsibility <input type="checkbox"/> Other:	<input type="checkbox"/> Adaptability <input type="checkbox"/> Aligning Performance for Success <input type="checkbox"/> Initiating Action <input type="checkbox"/> Innovation <input type="checkbox"/> Public Safety Awareness <input type="checkbox"/> Follow-Up <input type="checkbox"/> Strategic Planning <input type="checkbox"/> Leading through Vision and Values <input type="checkbox"/> Managing Conflict <input type="checkbox"/> Planning and Organizing Work <input type="checkbox"/> Strategic Planning <input type="checkbox"/> Other:
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Vacancy Risk: High Medium Low

APPENDIX C

City of McMinnville- Position Impact Ranking Survey

JOB TITLE	City Administrator	HR Director	City Recorder	Mayor	Councilmember	Total Score	Mean
City Administrator							
City Recorder / Finance Director							
Director of Planning & Zoning							
Director of Public Works							
Director of Water & Wastewater							
Fire Chief							
Police Chief							
WW Plant Manager							
WW Plant Operator - Certified							
WW Shop Supervisor							

5- High Impact: This position requires competencies, skills, and leadership qualities that would create a high impact on the city if the position were to become vacant. This position requires critical and unique knowledge.

4- Medium Impact: This position requires competencies, skills, and knowledge that would create a medium impact on the city if the position were to become vacant. This position requires important, procedural knowledge.

3- Some Impact: This position requires competencies, skills, and knowledge that would create a limited impact on the city if the position were to become vacant. This position requires field specific knowledge, skills, and abilities.

2- Low Impact: This position requires competencies, skills, and knowledge that would create a low impact on the city if the position were to become vacant. The position requires field specific knowledge, skills, and abilities.

1- Very Low Impact: This position requires competencies, skills, and knowledge that would create a very low impact on the city if the position were to become vacant. This position requires field specific knowledge, skills, and abilities.

APPENDIX D

City of McMinnville- Key Position Status Overview

Position Title	Current Incumbent Age	Impact Ranking Score	Retirement eligibility Status	Criticality	Number of Staff Ready Now	Comments
City Administrator	58		C			
City Recorder / Finance Director	66		A			May split into two positions.
Director of Planning & Zoning	61		B			
Director of Public Works	56		C			
Director of Water & Wastewater	58		C			
Fire Chief	43		C			
Police Chief	59		C			
WW Plant Manager	53		C			
WW Plant Operator Certified	54		C			
WW Shop Supervisor	60		C			

Retirement Eligibility Status: A- Eligible in 0-3 years B- Eligible in 3-5 years C- More than 5 Years

Criticality

1- High: Must have replacement ready to transition immediately. Position is critical to ensure city services are not affected.

2- Moderate: Must have replacement fully function within 3-6 months. Position is moderately critical to ensure city services are not affected.

3- Low: Must have replacement fully functional within 12 months of vacancy. Position would have a low probability of interrupting city services.

APPENDIX E

**Letter of Agreement between
Consultant and City of McMinnville for Tusculum College Project**

Client Organization and Contact:

City of McMinnville
City Administrator
David Rutherford

Consultant:

Tusculum College Student
University of Tennessee-MTAS HR Consultant
Bonnie C. Jones

The consultant agrees to provide a high-level succession plan that focuses on McMinnville's most critical positions. The consultant agrees to provide the following services:

- Analysis of workforce statistics
- Creation of an individualized succession plan for at least 3 employees highlighted in this project
- Creation of an annual workforce survey to help collect voluntary information from employees
- Other recommendations for the city to consider

Charge: There is no charge to the client for any of these services.

Dates: The project will begin on August 1, 2009 with a completion date of November 15, 2009.

The Client agrees to be available to the consultant and to provide access to information and any materials needed to assist the consultant with the project. The Client will review each chapter and indicate their satisfaction and provide feedback to the Consultant as the project is developing. The Client will provide an evaluation at the end of the project and approve recommendations that the consultant makes.

I hereby acknowledge and agree to the above.

Client: David Rutherford

Date:

Consultant: Bonnie C. Jones

Date:

APPENDIX F

Annual Employee Succession Planning Survey
--

Name or EE Identification Number:

Date:

Current Position:

1. What is the likelihood that the next hire at your level of the organization will be an internal hire/promotion?

- Highly Likely
- Likely
- Neutral
- Unlikely
- Highly Unlikely

2. What do you consider to be the top barriers to selecting a viable replacement to your position?

Barrier 1:

Barrier 2:

Barrier 3:

Annual Employee Succession Survey cont. (p2 of 2)

3. Do you believe that the person hired to fill your position when you leave will be an internal hire/promotion or will be an external hire? Select one: *

- My successor will most likely be an internal hire.
- My successor will most likely be an external hire.

4. Please list up to 5 key characteristics, knowledge, skills, and/or abilities you consider when identifying future leaders for your position.

Key characteristic, knowledge, skill, or ability #1

Key characteristic, knowledge, skill, or ability #2

Key characteristic, knowledge, skill, or ability #3

Key characteristic, knowledge, skill, or ability #4

Key characteristic, knowledge, skill, or ability #5

Comments:

END OF SURVEY

APPENDIX G

Level I- Evaluation Tool

Please rate the following on a scale of 1-5.

- 1. How satisfied with the organization of the succession plan?**
- 2. How satisfied are you with the level of detail provided in each section of the succession plan?**
- 3. How satisfied are you with the usefulness of the succession plan?**
- 4. How satisfied are you with the involvement of appropriate persons in collection of information for your succession plan**
- 5. How satisfied are you with the evaluation methods outlined in the succession plan?**

5- Fully satisfied 4- High level of satisfaction 3- Moderate level of satisfaction 2- Some satisfaction 1- Not Satisfied

2. Please rate the interventions value to your organization.

- 1- No Value
- 2- Some Value
- 3- Moderate Value
- 4- High Value
- 5- Superior Value

Comments:

3. How useful were the data from the intervention?

- 1- Not Useful
- 2- Somewhat Useful
- 3- Moderately Useful
- 4- Highly Useful
- 5- Extremely Useful

Comments:

3. What areas would you improve upon?"

APPENDIX H

Level III- Evaluation Tool

Section 1: Task List (12 months after implementation)						
<i>Do you complete the following?</i>	YES					<i>NO</i>
If yes, rate your confidence:	HIGH-----LOW					
Year 1 Employee Succession Planning Survey	1	2	3	4	5	6
Analyze results of Employee Succession Planning Survey	1	2	3	4	5	6
Update workforce statistics in succession plan	1	2	3	4	5	6
Add additional critical positions to succession plan	1	2	3	4	5	6
Incorporate Employee Survey Results into succession plan	1	2	3	4	5	6

Section 2: Benefits of Succession Planning Model

1. The Succession Planning Model assisted our organization in planning and recruitment for key positions.

Yes

No

Comments:

2. The Succession Planning Model provided a strong base to proficiently identify key employees requiring immediate support.

Yes

No

Comments:

2. The Succession Planning Model is expected to continue to be a resource for how we conduct workforce planning.

Yes

No

Comments:

APPENDIX I

Level IV- Evaluation Tool

Compile results of two annual employee Succession Planning Surveys.

1. What are the differences between year 1 and year 2 employee succession Planning Surveys?

Response Rate Year 1:

Response Rate Year 2:

Results of Year 1 Survey:

Results of Year 2 Survey:

2. Please indicate next to the positions below what action has been taken:

Police Chief

- Hired a New Police Chief (internal)
- Hired a New Police Chief (external)
- No action taken, but position is vacant
- Other:

Finance Director

- Hired a new Finance Director (internal)
- Hired a new Finance Director (external)
- No action taken, but position is vacant
- Other:

City Recorder

- Hired a new City Recorder (internal)
- Hired a new City Recorder (external)
- No action taken, but position is vacant
- Other:

Comments:

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