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**U.S. Department of Housing and Urban Development**

# **Succession Management Plan**

**Fiscal Year 2006-2009**

**September 2006**

**U. S. Department of Housing and Urban Development**

**SUCCESSION MANAGEMENT PLAN**

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## **I. OVERVIEW AND EXECUTIVE SUMMARY**

The U.S. Department of Housing and Urban Development is the primary Federal agency responsible for addressing America's housing needs. The mission of HUD is "to increase homeownership, support community development and increase access to affordable housing free from discrimination." Over the past two years, the national homeownership rate for all Americans has reached a record of 68 percent, but minority homeownership rates lag far behind. The Department is committed to President Bush's goal of creating 5.5 million new minority homeowners by the end of the decade. Together with the housing industry, HUD programs play a key role in helping to reach this goal, including FHA mortgage insurance, an important source of financing, especially for minority and lower income homebuyers; homeownership vouchers; the HOME program; Community Development Block Grants; housing counseling; and other focused efforts.

Recently, U.S. Office of Personnel Management (OPM) Director, Linda M. Springer, referred to the number of retirements as a coming "retirement tsunami." HUD recognizes that this potential tsunami is upon us. Like many other Federal agencies, HUD faces significant challenges in ensuring that it has the appropriate workforce to meet both current and future needs. During the last 20 years, HUD has undergone staff reductions (excluding the Office of the Inspector General), with 49 percent of the workforce currently eligible for some form of retirement, while legislation, various Administrations' initiatives, and other Federal requirements have significantly increased the Department's workload. In Fiscal Year (FY) 2007, the number of retirements will increase to 53 percent. In addition to retirements, HUD's workforce has significant skill gaps, which could impact the Department's ability in the future to meet its management and mission goals.

As part of the Human Capital Strategy on the President's Management Agenda (PMA) scorecard and to address HUD's material weakness identified by the Government Accountability Office regarding human capital, HUD is addressing the fact that approximately 60 percent of its workforce will be eligible to retire by FY 2009. Although 60 percent of employees will be eligible to retire, the Department recognizes that not all employees retire when they become eligible. For this reason, HUD plans to use a probability model to more accurately project future retirement and target high-risk critical positions for succession planning purposes.

In August 2000, HUD developed its first Workforce Succession Plan. HUD's workforce was assessed in terms of attrition losses due to retirements and buyouts. This study determined that the Department's workforce had decreased in size as anticipated and that the workforce as a whole was aging. Further, the plan concluded that in order for HUD to meet the challenges of the future and continue to perform its essential functions, succession planning is necessary.

As a consequence of this knowledge, the Department has been actively engaged in reviewing various aspects of human resource management and established, in October 2005, a senior level Strategic Workforce Planning Task Force, with representatives from all HUD program and

support areas. This Task Force, using the President's Management Agenda and HUD's strategic management goals as its objectives, completed a preliminary analysis of the Department's workforce, skill gaps, critical and non-critical positions, and the location of the Department's retirement eligibles. Coupled with HUD's Strategic Human Capital Management Plan, the work of the Task Force, which includes the completion of a comprehensive strategic workforce plan for HUD, will serve as a foundation for the Department's succession planning efforts.

## **II. PHASE ONE: STRATEGIC DIRECTION AND ALIGNMENT**

HUD has identified human capital strategic management, particularly succession planning, as priorities for the agency. On March 9, 2005, Deputy Secretary Roy A. Bernardi noted, "Human Capital is everyone's responsibility," and charged all Assistant Secretaries and their management staffs to work closely with the Assistant Secretary for Administration, who is also the Department's Chief Human Capital Officer, to: (1) carry out the mandate of the President's Management Agenda efforts related to human capital planning; (2) enforce OPM succession planning requirements; and (3) obey the Federal Workforce Flexibility Act. HUD has a management team committed to ensuring the development and implementation of a thoughtful, realistic, and effective succession plan that incorporates the Department's mission and overall strategic plan.

Significant steps have been taken by the Department to better utilize its existing staff capacity and to obtain, develop, and maintain the workforce necessary to adequately support HUD's future mission-critical program delivery. Under the direction of HUD's Executive Steering Committee for Human Capital Management, the Department's Strategic Human Capital Management Plan was developed, emphasizing the following three strategic goals: (1) a mission focused agency; (2) a high quality workforce; and (3) an effective succession plan. The committee is chaired by the Assistant Secretary for Administration and is composed of senior officials from HUD's major program and support offices. (See Appendix A for a listing of the current members on the committee.)

In addition, the Department's Strategic Workforce Planning Task Force conducted in-depth reviews of all positions in the organization. The task force identified the following: 1) all of the positions the program offices deemed critical to meeting the goals and the objectives of the programs; 2) analyzed whether existing staff in the positions had the required competencies to perform the jobs; 3) assessed the number of retirement eligible employees in critical and non-critical positions; and 4) determined the "probability" of retirements over the next 3 years by analyzing the workforce. Consequently, the overall HUD succession planning strategy has a wider scope than just ensuring leadership continuity. It is multifaceted and far-reaching in terms of the types of positions needed and the training and development programs that will be used.

HUD is focused on ensuring that members of the workforce who retire over the next several years are succeeded by qualified employees who are prepared to continue providing quality service and program delivery so that the technical knowledge of those departing is captured, documented and

institutionalized. As a result, all employees will have the skills and knowledge needed to achieve HUD's mission, institutional knowledge is sustained, customer service will not suffer due to retirements, and clear lines of succession will result in maintaining our high performing mid-level and junior employees.

The Department's succession planning approach embraces training and development as a most essential component for tapping and expanding the potential of existing staff for more responsible positions at various grade levels. To establish a foundation to support this key aspect of the plan, HUD will implement the following: 1) centralization of all non-technical training in the Office of Administration to avoid duplication; and 2) the establishment of an employee specific training profile. In FY 2007, the Department will strive to implement a 2-year protocol specific career intern program managed by the Office of Administration.

A benefit analysis was conducted on the costs associated with implementing the plan, which strategically emphasizes the training of current employees, and the recruitment and development of interns as opposed to a mass hiring initiative. Upon review of the analysis performed, the cost of training and developing employees opposed to mass hiring is not only less expensive but also more beneficial. As such, the Department's developmental programs are the tools being used to address existing gaps in the leadership core and identified skill gaps in HUD's major program offices. The cost differential between external hiring to fill designated positions versus a training and recruitment initiative (e.g., interns) is substantial. Although the benefits may be gradual, the Department, based upon the aforementioned analysis, has elected training and development as the vehicle for implementation of this vital piece of its succession plan. The expected returns over the course of time places the Department in a position to meet its mission critical needs while effectively building a workforce for the future.

### **III. PHASE TWO: SUCCESSION TARGETS, TALENT POOL**

#### *HUD's Succession Targets*

The Department will target or structure its plan to encompass positions in the following major program offices:

- Public and Indian Housing (PIH)
- Community Planning and Development (CPD)
- Fair Housing and Equal Opportunity (FHEO)
- Housing

The Department will also target its key leadership positions primarily concentrated in the Senior Executive Service (SES). This plan identifies those employees who are eligible to retire from critical positions in the Department. As such, the plan focuses on the leadership core population who are retirement eligible and top mission-critical positions in the aforementioned offices.

**RETIREMENT ELIGIBLES IN CRITICAL POSITIONS**

Office	Number of Positions Analyzed	Number of Critical Positions	Percent Critical Positions	Number of Criticals Eligible for Retirement	Percent Criticals Eligible to Retire
Administration (Admin)	549	521	95%	340	65%
Chief Financial Officer (CFO)	275	204	74%	73	36%
Chief Information Officer (CIO)	262	222	85%	92	41%
Chief Procurement Officer (CPO)	128	104	81%	1	1%
Community Planning and Development (CPD)	830	775	93%	372	48%
Departmental Equal Employment Opportunity (ODEEO)	21	19	90%	10	53%
Fair Housing and Equal Opportunity (FHEO)	619	576	93%	282	49%
Faith Based and Community Initiatives (FBCI)	9	9	100%	1	11%
Field Policy and Management (FPM)	447	347	78%	161	46%
General Counsel (OGC)	687	670	98%	238	36%
Government National Mortgage Association (GNMA)	66	65	98%	27	42%
Healthy Homes and Lead Hazard Control (HHLHC)	44	41	93%	8	20%
Housing	3204	2849	89%	1455	51%
Policy Development and Research (PDR)	144	143	99%	66	46%
Public and Indian Housing (PIH)	1586	1424	90%	774	54%
<b>TOTAL</b>	<b>8871</b>	<b>7969</b>	<b>90%</b>	<b>3900</b>	<b>49%</b>

\*Note: The aforementioned chart does not include OIG employee totals.

**RETIREMENT ELIGIBLES SUMMARY (4 YEARS) AS OF 5/27/06**

Office	Current # Employees as of 5/27/06	# Eligible for Full or Partial Retirement 2006*	% of current staff	# Eligible for Full or Partial Retirement 2007*	% of current staff	# Eligible for Full or Partial Retirement 2008*	% of current staff	# Eligible for Full or Partial Retirement 2009*	% of current staff
PIH	1499	743	50%	805	54%	867	58%	921	61%
Housing	3089	1640	53%	1747	57%	1866	60%	2002	65%
PDR	146	67	46%	73	50%	74	51%	76	52%
FHEO	593	304	51%	328	55%	348	59%	365	62%
OHHLHC	44	9	20%	10	23%	10	23%	13	30%
DM	92	24	26%	25	27%	26	28%	26	28%
ODEEO	26	10	38%	13	50%	14	54%	15	58%
ODOC	98	44	45%	48	49%	55	56%	60	61%
FBCI	8	1	13%	2	2%	2	25%	3	38%
OGC	682	241	35%	272	40%	295	43%	318	47%
ADMIN	534	313	59%	333	62%	347	65%	358	67%
CIO (incl. WCF)	292	124	42%	132	45%	142	49%	157	54%
OCPO	108	22	20%	27	25%	31	29%	31	29%
OFPM	456	219	48%	235	52%	254	56%	286	63%
CPD	799	409	51%	431	54%	454	57%	486	61%
GNMA	64	26	41%	26	41%	30	47%	30	47%
OCFO (incl. WCF)	228	92	40%	101	44%	108	47%	120	53%
<b>Total</b>	<b>8758</b>	<b>4293</b>	<b>49%</b>	<b>4613</b>	<b>53%</b>	<b>4928</b>	<b>56%</b>	<b>5282</b>	<b>60%</b>

\*Note: This chart does not include OIG employee totals.

**Leadership Core – SES**

SES employees occupy the majority of key leadership positions in the Department. HUD recognizes that leaders impact organizations more than any other group or system. Having the right leaders in the right jobs can keep an organization focused, effective and progressive. Therefore, it is of great importance to assess the stability of the agency's current leadership for the future.

The OPM reported to the Senate and Congressional leaders in December 1999 that succession planning for executive leadership is one of the most serious management challenges facing OPM and the Federal government as a whole. This conclusion was based on research, which revealed the following: 1) Eighty (80) percent of SES members will be eligible to retire in 2010; 2) there is a dwindling pool of individuals/employees who will be available for future SES positions due to downsizing; and 3) the government has difficulty competing with private industry for top talent.

To combat this problem, HUD has implemented programs targeting the development of its leaders. This information is contained in the section of this plan entitled HUD's Talent Pool.

The following chart illustrates the total SES retirement eligibles by program area as of June 2006. A review of individual retirement data reveals that the majority of the SES retirement eligibles, approximately 95 percent, are career members.

**SES RETIREMENT ELIGIBILITY: JUNE 2006**

Office	Current SES Total	# Retirement Eligible for: (Early, Optional, Reduced Immediate)	% Retirement Eligible
Departmental Management	7	2	29%
ADMIN	7	6	86%
CFO	4	3	75%
CIO	3	3	100%
CPD	6	5	83%
FHEO	3	0	0%
CPO	3	1	33%
OGC	13	8	62%
HHLHC	1	1	100%
GNMA	5	3	60%
HOUSING	12	6	50%
ODEEO	0	0	0%
ODOC	2	2	100%
FPM	12	8	66%
PDR	1	1	100%
PIH	11	6	55%
<b>TOTAL</b>	<b>90</b>	<b>59</b>	<b>65%</b>

\*Note: This chart does not include OIG employee totals.

In addition, a review of SES recruitment data for the last three years reveals the following:

- In 2005 --- 11 individuals appointed (7 internal selections; 4 external selections)
- In 2004 --- 6 individuals appointed (5 internal selections; 1 external selection)
- In 2003 --- 7 individuals appointed (6 internal selections; 1 external selection)

The above figures indicate that HUD selects a significant majority of its SES members from within the Department. However, because the retirement eligibility of the GS 14/15 population within the agency rivals that of the SES members, other means of selecting senior managers must be utilized.

A review of the Department's employees at the GS-14 and GS-15 level reveals that 57 percent are eligible to retire, and 61 percent will be eligible in one year. At the GS-13 level and below, approximately 44 percent are eligible for some form of retirement. Clearly, HUD is vulnerable to potential retirements of a significant number of its workforce, not only at the senior levels, but also in other areas, which traditionally comprise "feeder populations." Recently collected data by the Department indicates that the actual number of retirees for all HUD positions for FY 2005 was 352. HUD's projection for FY 2006 is that 458 employees may retire.

The Department will continue its efforts to maintain qualified leaders in the future, with a goal of training a minimum of two employees per total number of leadership positions.



As of June 2006, the Department's Leadership Gap Analysis Report for the SES leadership core projects a resource gap of 9 in 2007. In light of this information, the succession plan targets these leadership positions to cover the perceived gap. To ensure that persons who are appointed to these positions are properly qualified, the focus will be on addressing the competencies contained in OPM's Executive Core Qualifications. The Department will utilize all tools available, inclusive of but not limited to, traditional recruiting, the SES Candidate Development Program, the SES Forum Series, and the Council for Excellence In Government Program in order to ensure that qualified leaders are available to further its mission. Detailed information about these developmental programs is provided under the section entitled "HUD'S Talent Pool."

**Top Mission-Critical Positions – Four Major Program Offices**

The chart below reflects the types of mission-critical positions that have been found vulnerable to retirements in HUD's four major program offices. Most of the positions are encumbered with employees at GS-12 and GS-13 levels. It is at these levels where the highest retirement eligible percentages exist. HUD will utilize all tools available, inclusive of, but not limited to, traditional recruiting and HUD's Intern Program in those areas where significant staff losses may result from possible retirements over the next several years. (For additional information on HUD's Intern Program, refer to the section entitled "HUD's Talent Pool.")

**Top Mission-Critical Positions – Four Major Program Offices**

Office	Top Mission-Critical Positions Affected by Potential Retirements
Community Planning and Development	CPD Representative, GS-301 Financial Analyst, GS-1160 Program Manager, GS-301 Public Trust Specialist, GS-301
Fair Housing and Equal Opportunity	Equal Opportunity Assistant, GS-361 Equal Opportunity Specialist, GS-360 Management/Program Analyst, GS-343
Housing	Appraiser, GS-1171 Debt Servicing Specialist, GS-1101 Housing Program Specialist, GS-1101 Project Manager (Asset Development/Asset Management), GS-1101
Public and Indian Housing	Engineer, GS-801 Financial Analyst, GS-1160 Grants Management and Evaluation Specialists, GS-1101 Public Housing Revitalization Specialist, GS-1101

The fact that HUD's workforce has gotten older and includes a higher percentage of employees over the age of 60 than the overall federal workforce amplifies the challenge facing the Department's ability to address the housing needs of the nation. The figures under this section also support anecdotal observations that the baby boom generation is not retiring when they become eligible. In light of this data, managers at the operating levels will need to carefully examine future positions for the "functions" of the future, not just for today.

## *HUD's Talent Pool*

Recognizing the importance of succession planning, HUD has initiated the following programs:

### **Senior Executive Service Candidate Development Program (SESCDP)**

HUD's SESCO is a competitive program designed to create pools of qualified candidates for SES positions. The HUD SESCO includes a variety of activities that prepare candidates for success in the SES. In addition, the SESCO advances the goal of a "corporate SES," a diverse corps of career executives who share a Government-wide perspective. These executives share values and a common identity that reach beyond their individual professions or agencies. They are well positioned to lead change both within HUD and throughout the Federal Government.

The SESCO addresses the five ECQ's that embody the leadership skills needed to succeed in the SES. These skills apply to all SES positions and are in addition to the technical qualifications that HUD specifies for particular positions. OPM's Guide to SES Qualifications describes these leadership skills (competencies) and the behaviors associated with the ECQ's.

HUD's SESCO is a 12-month program open to GS-14s/15s or employees at equivalent levels from within or outside the Federal Government. Through the SESCO, Training Services assists HUD with its succession planning by providing a program that meets future executive resource needs, and recruits a cadre of individuals who have high potential for assuming the executive responsibilities of SES positions. The program provides intensive developmental activities to enhance candidates' executive leadership skills consistent with OPM requirements. Accordingly, Training Services assists all SESCO participants to complete the following training and development activities:

- Competency-based leadership needs assessment based on OPM's ECQs: leading change, leading people, achieving results, developing business acumen, and building coalitions/communication.
- Executive Development Plan that is derived from the results of the leadership assessment. The EDP reflects the candidates planned training and planned developmental activities.
- Eighty (80) hours of required training that addresses the five OPM ECQs.
- Completion of a minimum of one hundred and twenty (120) days of developmental assignments outside the candidate's position of record. Assignments reflect each candidate's specific developmental objectives and address one or more of the ECQs.
- Assignment of an SES mentor.

Once the SES candidates successfully complete the 12-month developmental program and obtain the approval of the HUD Executive Resources Board on their Qualifications Package and certification by an OPM established Qualifications Review Board, they can be appointed to an executive level leadership position.

In 2000, HUD graduated its first class of SESCO candidates. There were 9 candidates; 6 of whom have been subsequently placed in SES positions. Using a very competitive process that attracted 150 applicants, the Department initiated a second class in 2005, with 10 candidates completing the program during the final quarter of FY 2006. For FY 2007 and 2008, HUD will enroll 10 candidates in the SESCO class and continuing every two years thereafter.

### **SES Forum Series**

This program is a consortium among the Departments of Labor (DOL), Health and Human Services, and HUD. Although the primary oversight of the forums remains with DOL, today 27 government departments and agencies partner to provide meaningful forums to the SES members within their respective agencies. The SES Forum Series provides SES members opportunities to develop and refine their skills and knowledge in areas defined by OPM. The ECQs represent the critical leadership skills all executives need to succeed today and in the future, and they are the primary criteria for the SES. The ECQ's address the following: leading change, leading people, achieving results, developing business acumen, and building coalitions/communication. The forums are conducted in half-day sessions and are an ideal source for keeping government executives abreast of current leadership trends and platforms. World-renowned authors and leadership experts facilitate these forums and cover topics relevant to the major missions and programs of government agencies.

### **Council for Excellence in Government (CEG) Program**

The Department's Training Services staff coordinates HUD employees' participation in the CEG Program, which is a nationally recognized non-partisan, non-profit organization that works to develop talented leadership and improve the performance and image of government. HUD annually selects high-performing GS-13/14 employees to represent the agency in the program and has sponsored the participation of 11 employees in the CEG, with a new class of 10 participants to be sponsored in 2007 and 20 participants in 2008.

HUD's fellows engage in developmental activities in preparation to take on real issues facing the agency. Many of these developmental activities involve addressing organizational performance issues, which are outlined in the PMA, and in HUD's human capital strategic plan. Fellows are trained through the utilization of classroom lectures, benchmarking exercises, case studies, and guest speakers. Each fellow is assigned to a leadership team that is overseen by an executive coach. These teams obtain a client with whom they are assigned to work throughout the term of the program. Each team presents a final product, which includes its team strategies and recommendations.

The CEG leadership model, Leadership Delta, serves as a foundation for the curriculum. Interactive learning activities bring the model alive as fellows explore ways to:

- Create and communicate a powerful mission and shared values;
- Determine critical measures that will align the organization to achieve improved performance; and
- Choose and initiate the actions to achieve performance improvements including, leading change, leading people and building coalitions.

**PIH Leadership Development Program**

HUD’s managers and supervisors have already begun identifying and establishing leadership talent pools utilizing the principles of HUD’s Seven Steps to Success (see Appendix B).

Since 2003, PIH has offered four Leadership Development Program classes and successfully graduated 102 participants in June 2006. During the nine-month program, the participants in the PIH Leadership Development Program have reduced the individually identified management competencies, completed an action plan that includes a learning project, a special developmental assignment, a community leadership activity, a two-hour peer training, and two book reports, attended monthly conference calls with small learning groups and their personal mentor, completed monthly readings/questions and accomplishment reports.

Based on the success rate of the program, PIH has partnered and expanded the Leadership Development Program to HUD’s other core program offices. The results of this concerted effort are as follows:

<b>Program Office</b>	<b>Total Employees in Leadership Talent Pool</b>
Public and Indian Housing	102
Fair Housing and Equal Opportunity	126
Community Planning and Development	68
Housing	24 (Targeted for FY 2007 class)

**Emerging Leaders Program (ELP)**

The ELP is a 12-month competency-based training program, which targets high performing employees at the GS-11/12/13 levels who are interested in broadening their knowledge and developing their leadership skills. This program improves performance of its participants, as well as prepares them for future career goals.

A variety of learning activities allow participants to explore leadership issues and practices through classroom training, executive interviews, developmental and shadowing assignments, and team projects. Participants network with senior managers and executives within HUD and other organizations to acquire knowledge of becoming a successful leader.

The ELP provides the following benefits to the participants and to HUD:

- Broadened perspective on effective organizational performance at HUD;
- Increased understanding of the role managers and supervisors play in HUD, including issues they handle and partnerships they build with other program organizations;
- Firm knowledge of technical skills required to meet management challenges over the next decade;
- Strengthened commitment to personal responsibility for career planning and management;
- Creation of a network of talented and competent leaders from various organizations within HUD;
- Collaboration on issues that support the mission and goals of HUD; and
- Increased retention of highly qualified and skilled employees.

In 2004, HUD selected 30 employees to participate in the ELP. A second program was implemented in 2005 with 32 participants that will conclude in September 2006. A third and fourth program will be implemented in 2007 and 2008, respectively, with an enrollment of 60 participants for each program.

The current status for the first group of participants is summarized below:

• Now in management positions:	2
• Promoted (non-management):	9
• No promotion since graduating:	17 (NOTE: 3 of these individuals have served on details in management positions since graduating)
• Left agency:	<u>2</u>
Total 2005 Program Graduates:	30

**Intern Programs: Federal Career Interns (FCI) and Presidential Management Fellows (PMF)**

The Department has a longstanding, impressive history of recruiting interns under the FCI and PMF Programs to support its goal of recruiting, developing, managing and retaining the best and the brightest candidates to sustain a workforce that is talented, committed and diverse. Over the last few years, more than 200 individuals have been appointed under these programs. HUD's success in motivating, training, and utilizing individuals hired under these programs has contributed to a retention rate of over 80 percent.

During the next three years, the Department will continue to utilize these programs to help ensure that a highly skilled workforce is present in the future to meet the Department's mission. In Fiscal Years 2007 and 2008 the Department will hire 100 interns as part of its efforts to gain new talent and close skill gaps. This will include the development and implementation of an FCI/PMF recruitment and retention plan of action. In addition, to ensure achievement of the plan goals, a HUD Intern Program Manager has been designated to coordinate and monitor the recruitment, placement, rotations, and development of FCIs and PMFs throughout the Department.

## *Developing Competencies and Identifying Skill Gaps*

### **Identification of Skill Gaps**

In an effort to sustain a culture of high performance, annual skills assessments must be conducted by each program organization to identify specific skill gaps based on the competencies associated with each mission-critical occupation (MCO). The following describes the manner in which HUD has been assessing skill gaps in the workforce and how the Department plans to continue moving this process forward.

In FY 2006, the Strategic Workforce Planning Task Force gathered skills assessment data from all program organizations, which resulted in the identification of the following top ten skill gaps across the Department:

- Customer Service
- Problem Solving
- Analytical Ability/Reasoning
- Organizational Awareness or Knowledge
- Written Communication
- Oral Communication
- Attention to Detail
- Integrity/Honesty
- Technical Credibility
- Knowledge of Housing Financial Analysis

In FY 2007, the process for ensuring that mission-critical skill gaps are identified and addressed will be as follows:

- Training Services will implement a web-based assessment tool to assess the employee's current knowledge, skills and abilities.
- Program organizations will conduct annual skills assessment to determine skill gaps. Assessments of technical MCOs will be based on the competencies associated with each occupation as defined by the program offices. The Department will use the 27 OPM leadership competencies to assess supervisors, managers, and executives as defined in HUD's Management Competency Plan.
- Skill gaps resulting from these assessments and the associated training activities to address each gap will be recorded in Individual Training Action Plan (ITAP) for each employee. In addition to competency-based skills, training needs should also be based on other sources such as Office of Management and Budget and OPM mandates, Government Accountability Office and Inspector General audits, new lines of business, new technology, etc. Each skill gap should be categorized as a general, technical, or leadership/management skill. The ITAP shall also include the skill gaps in priority order with funding estimates for each solution. Training Services will assist with identifying cost effective training solutions.

- Program organizations will consolidate all ITAPs into a Program Training Action Plan (PTAP) and submit the PTAP to Training Services.
- Training Services will use the PTAPs to develop a Departmental Training Action Plan (DTAP) that will be used to develop training delivery and funding strategies for addressing Departmentwide skill gaps and to track skill gap closure.

These improvements will assure that HUD's training resources are targeted towards addressing needs that have the greatest impact on the Department's ability to achieve its' mission.

#### **IV. PHASE THREE: STRATEGIES FOR SUCCESSION PLANNING**

##### *Addressing the Problem*

HUD's human resources management has reviewed and updated the Department's recruitment/selection policies to ensure as much flexibility as possible is available to recruit and retain talented human capital. These topics are presented at monthly executive steering committee and administrative officer meetings, along with handouts to provide on-going training and knowledge enhancement. When vacancies occur as a result of retirements or other losses, organizations are invited to assess how work is accomplished, as well as whether overall organizational objectives are still valid. Advanced planning for staff losses is the ideal situation in which these assessments are made. However, as a practical matter, advanced planning cannot always anticipate unexpected resignations, agency transfers, deaths or other terminations that cannot be forecasted in advance.

HUD's "solution" to fixing the "problem" of succession planning will focus on these areas:

- Redeploying employees from non-critical positions to mission-critical positions;
- Strategic recruitment/hiring;
- Maximizing use of retention tools;
- Closing Skill Gaps -- Training and Development Programs; and
- Implementing the orderly migration of full-time equivalents (FTEs) from support positions in Program offices to established support offices (i.e., CIO, CPO, CFO, and ADM)

##### **Redeploying Employees from Non-Critical Position to Mission-critical Positions**

The need to rebalance the skills of our current employees to meet the demands of our customers has become increasingly urgent. To address this challenge, HUD will begin a redeployment initiative designed to shift employees from non-critical positions to mission-critical positions. The goal of the program is to achieve a balance between talent supply and demand. This focus on redeployment will cause a ripple effect across other processes, including the way we hire external candidates and fill internal positions. In support of this initiative, the Office of Human Resources (OHR) will provide human resources consultation services, such as effective internal and external communication plans, reassignment, placement assistance, relocation allowances, etc.

The main challenge of this initiative will be enticing employees into essentially making lateral transfers into other jobs within the Department. For this reason, HUD lists self-development as one method for employee development. Employees must share the responsibility for succession planning by making themselves available for lateral transfers. The rewards for doing so should be self-evident to public servants: helping the Department to deliver quality products and services to the American people. The Department cannot implement a successful succession plan without willing and able employees.

### **Strategic Recruitment/Hiring**

One of the most obvious ways to fill succession-planning needs is by matching required competencies with hiring efforts. HUD will develop a communication program aimed at managers and supervisors informing them that for every new hire, they must certify that the selected candidate meets a competency need for their program office that otherwise could not have been filled internally. This strategy will help focus hiring efforts to meet the competency requirements of program offices.

In addition, HUD will review current technical and leadership competencies developed by the program offices for each employee. After matching these competencies with existing staff, with assistance from Training Services, supervisors and managers will work with employee to establish the appropriate training plans based on existing and future work responsibilities. These plans should replicate the career path for each employee, particularly those who are prepared to enter into a leadership pool, i.e., ELPs, PMFs and FCIs.

If it becomes necessary to pursue external applicants, a panel would be convened to develop criteria for the selection of external applicants whose backgrounds meet the competency requirements of program offices. New hires will require different training plans than existing ones. Support staff will need to participate in this process to expedite the review methodology.

Training dollars must increase to properly train new and existing staff in the various aspects of the programs to which they are assigned.

### **Maximizing Use of Recruitment/Retention Tools**

The Department will foster an effective working relationship with its employees by expanding the use of retention tools to retain employees who possess mission-critical skills, knowledge, and competencies. This means providing incentives and recognition to employees based upon performance and acknowledging their contributions to the Department's mission. Among the various retention tools available, the Department has specifically chosen to increase incentive programs to enhance workforce motivation commitment and performance around mission accomplishment.

A number of different strategies may be used to respond to changing workload requirements and priorities. These strategies may be used as single efforts or in combination with one another. Following are examples of 21 strategies that may be useful in developing action plans for succession planning purposes:



- **Constructing Career Ladders/Career Paths** – Creating new career ladders for some occupations may help to create more flexibility for employee retention. Employees may be encouraged to stay in certain positions longer if they know that opportunities for advancement in the same job exist. Likewise, clear career paths that can be identified by employees provide a means for employees to visualize advancement opportunities. Offices will need to be prepared to enrich some occupations in order to provide legitimate advancement opportunities.
- **Technology Improvements/Reengineering** – Advances in technology may contribute to improved work methods and allow greater flexibility for job restructuring and overall staff size reductions. Technological advances also provide an opportunity to examine workflow process methods (reengineering) and make assessments on whether traditional processes are still valid in light of staff losses.
- **Regular Recruitment** – Traditional recruitment methods (both internal and external) may be used and should focus on filling vacancies for more routine jobs that are supported by workforce analysis or planning. Recruitment efforts may also be targeted for certain occupations by contacting organizations related to the occupation (e.g., State and local government with CDBG and HOME funds, public housing authorities, multifamily management agencies, fair housing organizations, mortgage lenders, realtors, etc.), newspaper advertisements, or vacancy listings through USAJOBS at OPM. Employee referrals, State Employment Agencies, professional associations, industry partners, and others may be used to ensure the broadest practical spectrum of applicants.
- **Recruitment Incentives** – Recruitment incentives may be useful for filling positions, which would otherwise be difficult to fill. Agencies have authority to pay a recruitment bonus of up to 25 percent of the annual basic pay to a newly appointed employee, or an individual to whom a written offer of employment has been made if difficulty would be encountered in filling the position.
- **Relocation Incentives** – Relocation incentives allow agencies to pay up to 25 percent of the annual pay to an employee who must relocate to accept a difficult to fill position in a different commuting area. Also, agencies have the ability to pay relocation (moving) expenses for employees hired.
- **Retention Incentives** – Retention incentives may be authorized for up to 25 percent of basic pay to a current employee if the unusually high or unique qualifications of the employee, or special need of the agency for the employee's services makes it essential to retain the employee, and the employee is likely to leave Federal service in the absence of a retention incentive.
- **Special Employment Programs** – An often-overlooked recruitment source is Special Employment Programs for handicapped or disabled employees. Special appointing authorities are available for the appointment of disabled employees that make the recruitment process faster and easier.

- **Student Employment Programs** – The employment of students provides a practical opportunity for students to have exposure to a potential permanent future work environment, and can thus serve as a recruitment tool and potential source of candidates for recruitment. Depending on the workforce needs of organizations, students could be a prime target group for recruitment for entry level positions, as well as for responding to short term projects.
- **Re-employed Annuitants** – OPM regulations allow for the re-employment of retirees without reduction in annuity when the employment of the person is needed to meet emergency needs in recruiting or retaining employees with special skills.
- **Redeployment of Staff/Voluntary Reassignments** – One of the less traditional methods of staff redeployment could include reassigning employees where needed on both a voluntary and non-voluntary basis. In some cases, the action could result in an increase in pay if an employee accepts a reassignment to a geographical area where locality pay is higher than what they currently earn. Voluntary reassignments are generally less disruptive to the organization overall since employees are not forced to move. However, if organizations are able to pay moving expenses, it may serve as another incentive for employees to accept a reassignment.
- **Outplacements** – If organizations are faced with excess employees in any occupational categories, comprehensive outplacement programs could be considered as a viable option in lieu of reductions-in-force (RIF), which are costly and very disruptive to organizations. Effective outplacement programs will provide for resume and interview preparation as well as job development for specific placements.
- **Realignment/Reorganization/Restructuring** – Realignments, reorganizations or restructuring should not be overlooked as an effective strategy to realign staff with new or changing priorities in the face of retirements or other staff losses. Redeployment of staff through these methods to meet mission objectives can be accomplished through realignments, reorganizations or restructuring that do not have an adverse impact on staff.
- **Streamlining/Downsizing** – Streamlining the organizational structure and/or downsizing the number of employees devoted to specific functions can provide opportunities to reduce organizational layers, and increase the overall span of control within organizations. Reduction-in-force is another option that may be considered in extreme situations, but is usually very costly and disruptive to the organization.
- **Transfer of Functions** – Transfer of functions could involve moving certain functions from one program office in the Department to another or transferring functions to other agencies where overlapping or similar responsibilities exist between the offices or agencies. There are economies of scale that could be gained by consolidating related functions into one organization or agency.

- **Buyouts/Early-Outs** – Use of buyouts and/or early-out authorities often will allow organizations an opportunity to consider workload redistribution or restructuring when faced with losing skills as a result of retirements. The organization can be “retooled” with new skills and competencies that will be needed for the future workforce.
- **Pre-retirement Mentoring/Knowledge Transfer** – This strategy would allow for a senior employee to be reassigned to a parallel position while he/she serves as a mentor or guide for the position they will/have vacated because of planned retirement. This approach helps facilitate knowledge transfer while the senior person is still on the job.
- **Reclassify Positions** – Abolish obsolete and outdated duties and functions to realign job duties with new mission objectives and reclassify positions in line with current and projected Departmental requirements. Managers should consider new or non-traditional HUD jobs as other possibilities for accomplishing work. This may also provide job enrichment and potential advancement opportunities.
- **Consolidate Job Functions** – Eliminate fragmented and overlapping duties by combining similar duties and responsibilities into consolidated functions. This will strengthen Departmental programs and ensure successful operations and effective utilization of employees at all levels.
- **Eliminate Job Functions** – Eliminating unessential job functions because: 1) the particular job function is no longer performed; 2) the job no longer exists to perform the function; 3) the proportionate amount of time spent performing the function has decreased considerably; 4) the function is more appropriately assigned elsewhere; or 5) taking the function from the job would fundamentally change the job for the better, result in increased productivity, and a more and efficient organizational structure.
- **Contracting-Out** – Outsourcing work to private companies is an option that may be considered, particularly when certain skills do not exist in the organization, or would otherwise be too costly to retain as permanent staff.
- **Other Incentives** – Often recruitment and retention strategies focus on salary as the primary inducement to most employees. However, a number of other incentives are available that may contribute to the recruitment and retention of a first-class workforce. Additionally, certain types of the incentives may appeal to younger or older workers because of generational issues. Some of these include:
  - Broadened perspective on effective organizational performance at HUD
  - Student Loan Repayment Program
  - Flexible Work Schedules
  - Telecommuting Program
  - Transit Subsidy Program
  - Professional Liability Insurance
  - Child Care Tuition Assistance
  - Health Care Screenings

- Fitness Center
- Voluntary Leave Transfer Program
- Tuition Reimbursement
- Part-Time Schedules/Job Sharing

### *Ensuring Staff Competency*

#### **Closing Skill Gaps/Training and Development Programs**

Undoubtedly, managing human capital over the next several years will be challenging. To do so will require new ways of capturing knowledge, transferring the knowledge and lessons of experience of those who will retire, building the capacity of current staff, and attracting or developing a new cadre of employees. To close skill gaps, numerous solutions will be used such as instructor-lead classroom courses, eLearning courses via the HVU, distance learning via HUD satellite broadcasts, job-aids, blended learning, cross-cutting training activities such as the HUD New Employee Orientation, knowledge transfer events via the Operation BrainTrust Program, the Mentoring/Coaching Program, and developmental programs including the HUD SESCO, ELP, FCI and PMF Programs, the CEG Program and SES forums.

The following provides more detailed descriptions of these and other instructional methodologies and programs that will be used to close skill gaps:

#### **Instructional Methods**

- **Formal Training** - Formal training will consist of live instructor-led classroom training, where feasible, as well as distance learning via satellite broadcasts and web-based training activities. Once Training Services is fully implemented under the Most Efficient Organization Plan, in-house training covering leadership and general skill gaps will be conducted. In instances where it is cost effective to procure contractors to conduct group training sessions, that approach will be considered as well. HUD's seasoned management and technical subject-matter experts will also serve as trainers under the Operation BrainTrust knowledge transfer program.
- **Coaching/Mentoring** - Coaching/mentoring will provide career-oriented training to hundreds of HUD employees. Coaching/mentoring is a one-on-one process in which intensive learning occurs via demonstration and practice followed by guidance and feedback. Training Services will assist program offices with developing coaching/mentoring relationships tied to mission-critical occupational areas where there are documented skill gaps.
- **eLearning** - The HVU is a web-based Learning Management System that includes a course library of over 2,800 courses that are accessible to all HUD employees. This valuable tool facilitates "anytime, any place, and any pace" access to learning content in

the areas of business, leadership, and Information Technology (IT) skills. The HVU allows for student registration, pre- and post testing, course delivery, course evaluations, and reports on student transcripts course completions. The HVU course catalog is being restructured to flow with the Workforce Planning Taskforce skill gaps and the 27 OPM Leadership Competencies.

- **On-line Library (Reference ware)** - All HUD employees have access to a web-based on-line library of over 7,000 books and materials covering business, leadership, and IT content via the Book 24x7 Referenceware.
- **Blended Learning** - The term blended learning is used to describe a solution that combines several different delivery methods, such as collaboration software, web-based courses, and knowledge management practices. This methodology also mixes various event-based activities, including face-to-face classrooms, live e-learning, and self-paced learning. Blended learning is the combination of multiple approaches to teaching. For example: self-paced, collaborative or inquiry-based study. Blended learning can be accomplished through the use of 'blended' virtual and physical resources. Examples include combinations of technology-based materials and traditional print materials.
- **Job Aids** – Many forms of job aids can be given to staff to assist them in doing their jobs. These include: worksheets, checklists, samples, flowcharts, procedural guides, glossaries, diagrams, manuals, etc.
- **Field Trips** – Staff is taken to the environment where the task is performed. This practice allows staff to gain a better understanding of how what they do fit into the overall big picture.
- **On-the Job Training** – Also called job instruction training, this method consists of a formalized training plan for obtaining knowledge and learning skills while actually performing the job.
- **Peer-Assisted Learning** – Staff help each other learn under the guidance of more senior or experienced staff person.
- **Broadcast Presentations** – HUD maintains video archived training and informational broadcasts on a range of subjects. The broadcasts include program technical, supervisory and management, as well as generic skills training.
- **Career Resource Center** – The HUD Career Resources Center, located in Headquarters, provides ongoing programs and services, including a computer-based training lab, books and training materials designed to inform and develop skills, increase knowledge, meet job performance requirements, enhance career/life planning and decision-making skills, and provide professional development.

## **Training and Developmental Programs**

- ***Intern Training Programs*** - Training Services provides guidance and assistance to PMFs and FCIs on their training and development. These programs are used to recruit and develop highly motivated and talented individuals for professional and administrative positions in the Department. These programs serve as major components of HUD's Succession Management Plan.

*Competencies Addressed:* Competencies identified for target positions.

- ***Mentoring/Coaching Program*** - The HUD Mentoring/Coaching Program fosters voluntary professional relationships between seasoned and less experienced employees. The objective of the program is to enhance the potential of all HUD employees from entry level to senior executives. These relationships provide opportunities for seasoned employees to share experiences, insights, professional wisdom, guidance and career information with less experienced employees that will assist them in his/her professional growth and development.

*Competencies Addressed:* Interpersonal Skills, Communications Skills, Decision Making, Organizational Awareness, Self-Management, and others depending on specific gaps of less experienced employees.

- ***New Employee Orientation Program*** - A New Employee Orientation presentation for new hires is provided each month. This program is designed to broaden new employees knowledge of HUD programs and policies, and equip them with pertinent information necessary for them to become well inform and effective HUD employees. Participants who attend this broadcast will increase and strengthen their understanding of:

- History of HUD and its mission;
- Health Benefits;
- Human Resources policies;
- Knowledge and function of the Program Areas;
- Long Term Care Insurance;
- Employee Service Center function;
- Types of Appointments;
- Incentive Programs;
- Types of Leave;
- Presentations by Various Program Offices;
- HUD Integrated Human Resources Training Systems (HIHRTS); and
- IT Security Awareness.

*Competencies Addressed:* Organizational Awareness, Self-Management, and Teamwork.

- **Individual Development Plan (IDP) Training and Assistance** - Training Services provides Individual Development Plan (IDP) training and assistance to employees and their supervisors. The IDP is a tool that HUD employees are encouraged to utilize in the ongoing processes of job performance improvement and career progression. The IDP process requires employees to document training and developmental activities that are aimed at obtaining or enhancing the employee's knowledge and skill levels for current and aspired positions.

*Competencies Addressed:* Self-Management, Organizational Awareness, Communications Skills, and others depending on individual's skill gaps.

- **Operation: BrainTrust (Knowledge Transfer Program)** – Over the next 5 years, up to 50 percent of HUD's workforce will be eligible to retire. In order to combat the possible "brain drain" that might occur as a result, HUD Training Services created Operation BrainTrust. Through classroom-led instruction, mentoring/shadowing assignments, HVU blended learning sessions, seminars, brown bags, forums, job aides, video, distance-learning broadcasts, and panel discussions, Training Services utilizes an elite corps of volunteers to ensure the widest scope of program and technical knowledge remains within HUD.

The corps gives back to HUD in an invaluable way and is called the Council of HUD Professors (CHP). The CHP consists of HUD's most experienced subject-matter experts and recent retirees whose key purpose is to transfer critical technical and program-specific knowledge to current HUD employees. Training Services coordinates the development of critical training courses and activities that will address the impending skill deficiencies of critical occupational series as outlined by HUD management. Such coordination enhances organizational performance and facilitates rapid and effective response to HUD's succession planning goals. By employing innovative and creative programming, OBT provides relevant and interactive training and developmental activities to enhance HUD's institutional knowledge base.

*Competencies Addressed:* Qualified subject matter experts may address competencies within their area of expertise for which there is a demand.

- **Presidential Classroom Volunteer Instructors Program** - Training Services serves as the coordinator for HUD participation in the Presidential Classroom Volunteer Instructors Program. OPM encourages Federal workers to participate in the Presidential Classroom Volunteer Instructors Program. This program gives federal workers an opportunity to participate in teaching young citizens about the realities and benefits of Government service. Training Services recruits volunteer instructors for this program.

As a Presidential Classroom Volunteer Instructor, participants can develop or enhance leadership, organizational, facilitation and other professional skills. They can also bolster teamwork skills as they work with colleagues from other agencies and organizations. In addition, there are networking opportunities that will increase their professional contact

resources. At the end of the service, Presidential Classroom will reward them with a certificate of participation. OPM and many Federal and military organizations recognize this experience as a professional development opportunity.

*Competencies Addressed:* leadership, organizational, facilitation, teamwork, and other professional skills.

- **Management Competencies Plan Initiative** - Training Services developed and began implementing HUD's Management Competency Plan in FY 2005. This plan provides program offices a formal process for determining leadership and management skill gaps, developing action plans to address these gaps, and producing a results and impact report to show how closing these gaps impacted HUD's ability to achieve its mission.

*Competencies addressed:* All 27 OPM leadership competencies.

### **Training Evaluations**

Training evaluations will be conducted to help the Department assess, verify, and increase the impact of its training courses on HUD employees' job performance. A critical step of any training evaluation process is gathering the correct information. Through the accumulation of accurate, clear, and concise data, Training Services will be able to determine the impact of the training and provide measurable results. These results are critical because they will allow Training Services to determine how the training contributes to the organization's objectives and goals, decide whether to continue or discontinue training programs, and gain information on how to improve future training programs.

For training programs to be effective, they must meet the needs of the participants. Training Services' approach to determining whether their customers' needs are being met involves implementing the following four levels of the Kirkpatrick model.

- **Level 1: Reaction (Were the participants pleased with the training)?**  
Assesses participants' initial reaction to a course. This is typically accomplished by distributing a survey to the participants at the end of training.
- **Level 2: Learning (What did the participants learn as a result of the training)?**  
Measures the amount of information participants learned. Trainers usually assess this with pre-test and post-test or other objectives or performance tests. Learning is measured based on pre-determined learning objectives.
- **Level 3: Behavior (Did the participants change their on-the-job behaviors as a result of the training)?**  
Measures the extent to which a change in behavior has occurred as a result of the training session. These evaluations usually occur 6 to 8 months after taking the course. This assessment is based on the objectives of the course and would typically be assessed through tests, observations, surveys, or interviews with participants, co-workers, and supervisors.

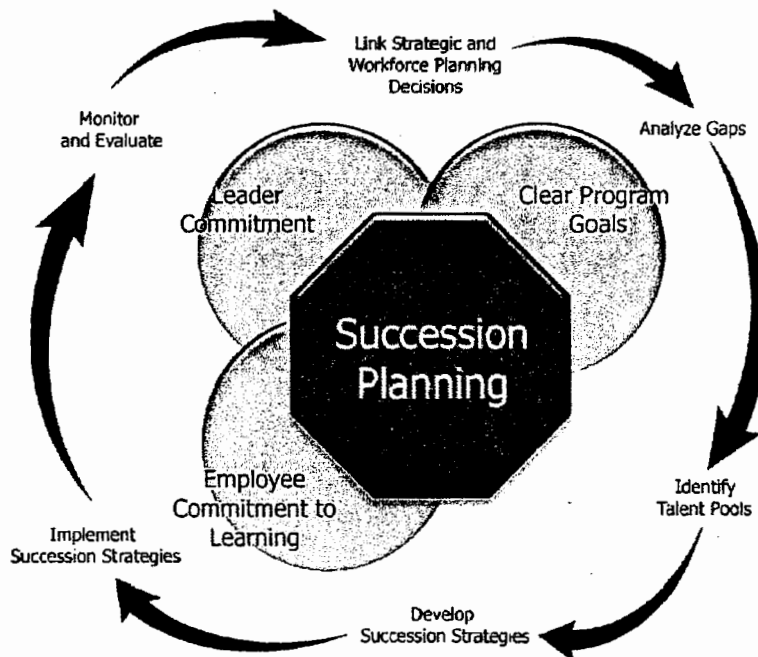


- Level 4: Business Results (Did the training help the organization achieve its goals)? This measures the participants', supervisors', and/or managers' impressions of the organizational benefits derived from training. Here we would also look at the financial impact or return on investment of the training course. This would typically occur 8 to 12 months after the course was completed (the actual time varies depending on the context of the course).

These results are critical because they will allow Training Services to determine how the training contributes to the organization's objectives and goals, decide whether to continue or discontinue training programs, and gain information on how to improve future training programs.

#### V. PHASE FOUR: SUCCESSION PLAN IMPLEMENTATION

Succession planning poses a unique challenge for most Federal agencies. The challenge centers on conducting a smooth succession of employees while simultaneously avoiding a disruption to the delivery of products and services. A good succession plan should resemble a steady flow of events that unfolds over time rather than a single dramatic event. Like a well-run relay race, the succession of employees should be smooth, carefully strategized and well executed in order to be successful. Successful implementation of solid succession planning will rest heavily upon obtaining a commitment from HUD leadership as the starting point for initiating the process, because the success or failure of this plan depends on the personal involvement and commitment of top Departmental leaders. In fact, the foundation of the plan is predicated upon obtaining a commitment that has been cascaded from the Deputy Secretary down to HUD's senior executives. All HUD program offices have a vested interest in working to achieve the same succession planning model presented in the figure below designed to facilitate smooth movement of employees into the positions needed to meet expected future demands and Departmental needs.



## ***Roles and Responsibilities***

Management responsibility and accountability at all levels is critical to ensure that effective succession planning efforts are carried-out on a continuous basis. In order to instill the goals and objectives of the succession plan it is important to assign roles and responsibilities. These responsibilities are briefly described below:

### **Secretary/Deputy Secretary**

- Provide the overall strategic direction of human capital management in support of the Department's mission.
- Establish priorities for management planning efforts associated with succession planning.

### **Organization Heads**

- Ensure the development of program succession plans that support organizational management plans and workforce analysis efforts.
- Ensure the development of employees to take on greater responsibilities associate with succession planning.

### **Supervisors and Managers**

- Ensure the development of ITAP's for staff.
- Foster understanding among employees regarding their participation in succession planning efforts.

### **Assistant Secretary for Administration**

- Provides oversight of human resources functions and human capital management initiatives.
- Serves as the Chief Human Capital Officer and coordinates succession planning efforts with the OPM.

### **Deputy Assistant Secretary for Human Resource Management/Director, Office of Human Resources**

- Develop and issue policy guidance and advice for consistent approaches on succession plans.
- Provide assistance to program offices in identifying effective succession planning strategies.

### **Training Services**

- Develops and maintains training programs and initiatives for competency development of employees.
- Provides assistance to program offices in identifying effective training and development strategies in support of succession planning.

### *Seven Steps to Succession Planning*

HUD's Succession Planning Guidance entitled, "Seven Steps to Success: Succession Planning for HUD's Future" (see Appendix B) is being utilized by the Department for purposes of establishing talent pools for mission-critical leadership positions. By utilizing the SES Candidate Development Program and the CEG Program, future leaders are being groomed and developed for future SES positions. The aforementioned programs are discussed in detail under the section styled HUD's Talent Pool. The competencies addressed are determined by and through pre-testing of the employees. This allows principal staff to ensure that leadership talent pools are established with the skills assessment completed in accordance with the guidance. Training action plans to close competency gaps must include high quality activities involving training, rotational assignments, mentoring and other activities to enhance their leadership skill and potential for future placement. In addition, senior managers should encourage leadership pool members to apply for the Department's existing leadership development programs, i.e., Emerging Leaders Program; Council of Excellence in Government opportunities; and SES Candidate Development Program. Program offices will develop specific action plans for implementation that will be expected to include the following:

- Identification of two to three individuals who have or will have the skills/abilities necessary to assume future leadership positions.
- Identification of critical positions occupied by individuals eligible for immediate retirement that should be designated for knowledge transfer via Operation BrainTrust.
- Annual hiring plans indicating the percentage of positions that will be filled by internal promotions or transfers, external recruitment, or interns.
- Specific orientation/mentoring programs that will be used to enhance successful acclimation to new assignments.

HUD has been presenting statistics to senior management that highlight the Department's increasing vulnerability to retirements since 2000. That awareness was a factor in establishing its first senior executive service candidate development program. Updates to this information have been presented to senior management on an on-going basis. The Department will now develop a specific plan to communicate this information, as well as the goals and objectives of the succession plan, to the other employees and how it can impact them. The communication plan will be developed by the Office of Human Resources and targeted for completion by the first quarter of FY 2007. It will be recommended that senior managers of the program offices conduct a business case analysis based on the strategies presented in the plan to identify the staffing and development resources they will need at three year intervals. The goal will be to establish a new culture where succession planning receives viable consideration along with other competing Departmental and program office priorities.

## **VI. PHASE FIVE: EVALUATION OF SUCCESSION STRATEGIES**

HUD's Executive Steering Committee for Human Capital Management will meet and review the progress being made by the Department. The committee will update the Strategic Human Capital Plan, make improvements to the Succession Plan, and monitor the timely implementation of the Department's Succession Timeline to ensure the Department meets its targeted goals. The committee will also explore options for ensuring accountability of HUD's SES employees in supporting the Succession Management Plan.

A survey or polling of senior management staff will be done to insure that the plan is being implemented and to determine what modifications should be made to the plan.

The committee will also track the number of employees who are placed in leadership positions as a result of the implementation of this succession plan on a semi-annual basis starting after the first twelve months on a semi-annual basis. As part of the evaluation of HUD's succession management efforts, the Department will monitor compliance with Federal laws, rules, regulations and guidelines.

### **Tracking and Improving Results**

As noted above, continuous evaluation and improvements are vital to effective succession planning programs and plans. For this reason, it is important for HUD organizations to track quantitative and qualitative succession planning program measures. Examples of such measures include:

- Percentage of managerial positions filled by former candidates from leadership development programs in relation to monetary investment.
- Retention rates of graduates from the programs.
- Completion rates of candidates in leadership development programs.
- Feedback from supervisors with candidates in leadership development programs.
- Candidate's post-program progress.
- Selection rates for higher-level positions of participants in special training programs.
- Feedback from mentors and protégés.
- The number of Individual Training Action Plans (ITAP) initiated and completed.
- Progress on addressing competency and skill gaps.
- Completion rate of formal training and/or developmental assignments.
- Developmental spending for each candidate in relation to selection or final placement.
- Ratio of internal hires to external hires in key positions.
- Percentage of key positions filled according to pre-determined succession plans.
- Average number of candidates for key positions.

In addition to the above metrics for measuring success, evaluations from training courses should not be overlooked as a source for valuable information in order to gauge whether we are hitting the targets for reducing competency and skill gaps. Training evaluations will be conducted to help Training Services assess, verify, and increase the impact of its training courses on HUD

employees' job performance. A critical step of any training evaluation process is gathering the correct information. Through the accumulation of accurate, clear, and concise data, Training Services will be able to determine the impact of the training and provide measurable results.

**Critical Success Factors**

One of the most critical success factors for effective succession planning programs is continuous assessment of whether the Department is achieving the results intended from workforce analysis and the development of succession planning strategies. Other critical success factors include:

- Top leadership support and commitment.
- Transparent, merit-based, and consistent selection processes for high-potential individuals.
- Alignment of critical skills with organizational objectives and mission.
- Aligning succession-planning efforts with changing organizational needs.
- Taking a strategic approach in our succession planning efforts.
- Identifying “Bench Strength” for critical occupations in the organization.
- Having competency-based leadership development programs.
- Follow-up with graduates of leadership development programs.
- Aligning succession-planning efforts with other programs such as diversity, performance management, recognition and rewards.

**VII. SUCCESSION PLANNING TIMELINE**

Task/Initiative	Strategy/Response	Completion Date/Target
Establish Strategic Direction	Formulated first business case (Retirement projections).	August 2000
	Issued five-year Human Capital Strategic Plan.	March 2003
	Establish Human Capital Accountability System.	March 2004
	Executive leadership direction set. (Video broadcast).	March 2005
	Updated business case (Retirement projections).	FY 2005-06
	Reaffirm executive leadership strategic direction.	FY 2007
Identify Succession Targets and Analyze Talent Pool	Determine which eligibles are highly probable to retire.	FY 2007
	Developed Competency model for 30 positions.	FY 2003-05
	Created Emerging Leaders Program.	FY 2004
	Conducted comprehensive Workforce Analysis (LMI Report – four major program offices).	September 2004
	Established Workforce Planning Taskforce.	FY 2006
	Identified critical positions (Task Force).	FY 2006
Develop Succession Management Plan	Conducted Skills Gap analysis (Task Force).	FY 2006
	Developed “Seven Steps to Success” (Succession Planning Process identified).	FY 2005
	Identified sources of potential talent – Leadership development programs (i.e., SESCDP, Emerging Leaders, PIH Leadership Dev. Program, MF, FCI, CEG, Legal Honors Program).	FY 2005
	Developed management competencies plan.	FY 2005-06

Task/Initiative	Strategy/Response	Completion Date/Target
Implement Succession Management Plan	Selected 177 FCIs, 32 PMFs & 40 Legal Honors.	FY 2002
	Selected 1 FCI, 7 PMFs & 1 Legal Honors.	FY 2003
	Selected 4 FCI, 7 PMFs & 15 Legal Honors.	FY 2004
	Selected 2 FCI, 2 PMFs & 22 Legal Honors.	FY 2005
	Developed Hiring Plans for each Program Office.	FY 2004-07
	Convert E-Learning HVU Course Catalogue to competency based index.	FY 2006-07
	Develop and execute Communication Plan.	FY 2007
	Reemphasize Senior level commitment.	FY 2007
	Launch PIH/Housing Leadership Development Program.	FY 2007-08
	Expand existing leadership pools for all program offices.	FY 2007-08
	Conduct intern recruitment (100 positions).	FY 2007-08
	Conduct new class of 60 Emerging Leaders.	FY 2007-08
	Sponsor class of 20 for Council of Excellence In Government Program.	FY 2007-08
	Graduate current SESCO class.	FY 2007-2008
Conduct recruitment to expand SESCO pool.	FY 2009	
Evaluate Succession Planning Strategies	Develop web-based competency assessment tool.	FY 2007
	Conduct quarterly monitoring and planning.	FY 2007-08
	Measure the closure of competency gaps.	FY 2007-08
	Examine selection rates from leadership development programs.	FY 2007-08
	Examine retention rates of graduates from leadership development programs.	FY 2007-08
	Track placement of leadership pool employees.	FY 2007-08
	Explore options for ensuring accountability of HUD's SES employees in supporting the Succession Management Plan.	FY 2007
	Assess automation improvements (HIHRTS) for enhancements to succession planning.	FY 2007-08

## VIII. SUMMARY

To conduct effective assessments of our succession planning efforts, the Department will analyze the results of the measures described herein then, report the results to senior leadership, determine corrective actions, and recommend improvements. This will allow HUD an opportunity to fine tune this succession plan as needed, and ensure that we have the right combination of occupations, skills and competencies needed to accomplish the work of the Department. This will also result in smarter decisions and better long-term investments. Needless to say, these efforts must be done on a continuous basis to ensure the implementation of HUD's succession planning program.

**HUD Executive Steering Committee for Human Capital Management**

**Membership:**

Keith A. Nelson, Assistant Secretary for Administration (Committee Chairperson)  
A. Jo Baylor, Assistant Deputy Secretary for Field Policy and Management, Office of Field Policy and Management  
Marcella Belt, Chief Executive Officer, Office of the Secretary  
Inez G. Banks-Dubose, Director, Office of Departmental Operations and Coordination, Office of Departmental Operations and Coordination  
Paula O. Blunt, General Deputy Assistant Secretary for Public and Indian Housing, Office of Public and Indian Housing  
Linda Bradford-Washington, Acting Director, Office of Departmental Equal Employment Opportunity, Office of Departmental Equal Employment Opportunity  
Nelson R. Bregón, General Deputy Assistant Secretary for Community Planning and Development, Office of Community Planning and Development  
Frank L. Davis, General Deputy Assistant Secretary for Housing, Office of Housing  
Jon L. Gant, Director, Office of Healthy Homes and Lead Hazard Control, Office of Healthy Homes and Lead Hazard Control  
Michael F. Hill, Senior Advisor, Office of the Deputy Secretary  
Sharman R. Lancefield, Deputy Assistant Secretary for Operations, Office of Administration  
James M. Martin, Deputy Chief Financial Officer, Office of the Chief Financial Officer  
Joseph A. Neurauter, Chief Procurement Officer, Office of the Chief Procurement Officer  
Karen A. Newton, Deputy Assistant Secretary for Operations and Management, Office of Fair Housing and Equal Opportunity  
Cheryl W. Owens, Senior Vice President, Office Of Management Operations, Government National Mortgage Association  
Dawn M. Petchell, General Deputy Assistant Secretary for Administration, Office of Administration  
Lisa Schlosser, Chief Information Officer, Office of the Chief Information Officer  
George L. Weidenfeller, Deputy General Counsel (Operations), Office of General Counsel  
Darlene F. Williams, Assistant Secretary for Policy Development and Research

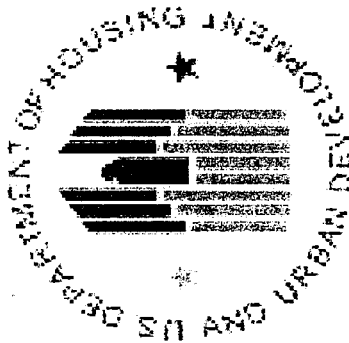
**Human Resource Management Consultants**

Barbara J. Edwards, Deputy Assistant Secretary for Human Resource Management, Office of Administration  
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Dolores W. Cole, Director, Office of Human Resources, Office of Administration  
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Pamela F. Taylor, Human Capital Manager, Office of Human Resources, Office of Administration  
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# APPENDIX B

## STEPS TO SUCCESS:

### Succession Planning for HUD's Future



#### Succession Planning

##### STEP 7

The leadership and management skill gap information should be used as follows:

- To determine leadership and management training needs for the upcoming fiscal year's Training Needs Assessment
- To develop your office's leadership and management recruitment strategies
- To provide recommendations for the following leadership development programs:
  - Emerging Leaders Program
  - Supervisor Survival Seminars
  - SES Candidate Development Program
  - OPM Executive Management Development Seminars
  - Operation Brain Trust Seminars
  - Operation Brain Trust Professors
  - Council for Excellence in Government Program
  - Federal Executive Institute
  - Shadowing/Executive Coaching
  - HVU Leadership and Management Certificate Program
- Program Offices will document all activities associated with these seven steps which constitute the Department's Succession Planning effort

#### Individual Development Plan

##### STEP 6

- Based on identified leadership skill gaps, each Leadership Pool member's supervisor should develop/update the employee's IDP
- Supervisor will recommend three or more competencies for employee leadership development
- Coordinate with Training to correlate skill gaps with HVU offerings and discuss alternative learning activities
- Supervisors should be flexible and allow ample time for training and developmental activities
- Supervisors will document progress

#### Supervisory Assessment and Skill Gap Analysis

##### STEP 5

- Leadership Pool member's supervisor will complete the applicable leadership assessment of their staff using the Management Competencies Assessment Tool
- The supervisor will compare the employee's self assessment against the supervisory assessment and determine skill gaps

#### Self-Assessment: Leadership Pool Members

##### STEP 4

- Leadership Pool members will complete a self-assessment using the applicable Management Competencies Assessment Tool for the next level of leadership for which they are eligible, i.e., Pre-Supervisor, Supervisor, Manager, and Executive
- Each Management Competencies Assessment Tool allows the employee to indicate his or her interest in becoming a Supervisor, Manager, or Executive and being included in the Agency's Leadership Pool

#### Leadership Pool

##### STEP 3

- Establish a list of potential "Leadership Pool" members from eligible staff members within your current organization
- Indicate the most immediate management level each individual is aspiring to achieve
- Distribute applicable Management Competencies Assessment Tool to potential Leadership Pool members

#### Eligibility of Current Staff for Leadership Positions

##### STEP 2

- Identify staff currently eligible and interested in competing for these leadership positions within the next 3 years

#### Mission Critical Leadership Positions

##### STEP 1

- Identify current and future Mission Critical leadership positions



## Instructions to Succession Planning Guidance Organization X-Y-Z

**Step 1:** Identify current and future (within the next three years) mission critical leadership positions in your organization. Complete for each office level component of the program office. For example: The Assistant Secretary for Administration, Office of Human Resources, Office of Management and Planning, etc.

Note: A "mission critical" leadership position is any supervisory, managerial, or executive level position that is essential to achieving the organization's strategic goals. The position must be filled to ensure the successful delivery of the organization's mission, products, or services.

Sample: Organization XYZ has the following mission critical leadership positions:  
(Specify complete title, series, and grade for each position)

1. Office Director
2. Deputy Office Director
3. Division Director
4. Branch Chief
5. Team Leader (Non-Supervisory)

**Step 2:** Identify staff that is currently eligible or will be eligible to compete for these leadership positions within the next three years.

Note: To identify employees who are "eligible" for the leadership position being reviewed, it is not necessary to perform a full qualifications evaluation. Human resources staff will fully evaluate candidates for qualifications when the position is posted in the competitive process. Your determination of "eligibility" should be general, primarily focusing on all employees within your immediate organization who are within the grade range to compete for the position. If you know whether or not these employees have done work that would have prepared them to perform the work of the leadership position being reviewed, this information may be useful under Step 6 when you must develop the Individual Development Plan and recommend three or more competencies for employee development. When determining potential "Leadership Pool" members, at a minimum, include all employees within your organization who potentially meet these criteria:

- **Employees are currently at the next lower grade of the leadership position being reviewed;**  
(For example, if the leadership position is Office Director, GS-15, include all employees at the GS-14 level whom you believe could compete for this position.)

- **Employees will be within the grade range to compete for the leadership position being reviewed within the next three years;**  
(For example, if the leadership position is a Branch Chief, GS-14, include all employees at the GS-13 level, and those at the GS-12 and GS-11 levels who could compete for the position within three years. For another example, if the leadership position is a Branch Chief, GS-13, include all employees at the GS-12 level, and those at the GS-11 and GS-9 levels who could compete for the position within three years.)

Sample:

Item	Leadership Position	Eligible Staff Within The Specific Office
1	Office Director (Specify complete title, series, and grade for each position)	<u>Currently Eligible</u> Employee 1 Employee 2  <u>Eligible Within 3 Years</u> Employee 3 Employee 4
2	Office Deputy Director	<u>Currently Eligible</u> Employee 1 Employee 2  <u>Eligible Within 3 Years</u> Employee 3 Employee 4
3	Division Director	<u>Currently Eligible</u> Employee 3 Employee 4  <u>Eligible Within 3 Years</u> Employee 5 Employee 6
4	Branch Chief	<u>Currently Eligible</u> Employee 5 Employee 6  <u>Eligible Within 3 Years</u> Employee 7 Employee 8
5	Team Leader - Non-Supervisory	<u>Currently Eligible</u> Employee 7 Employee 8  <u>Eligible Within 3 Years</u> Employee 9 Employee 10

**Step 3:** Establish a list of Potential Leadership Pool members from eligible staff members within your current organization and indicate the most immediate management level for which each individual is eligible.

Sample: Potential Leadership Pool (The total in this example is 10)

<b>XYZ Office Potential Leadership Pool</b>	<b>Next Leadership Level</b>
Employee 1	Executive
Employee 2	Executive
Employee 3	Manager
Employee 4	Manager
Employee 5	Supervisor
Employee 6	Supervisor
Employee 7	Supervisor
Employee 8	Supervisor
Employee 9	Pre-Supervisor
Employee 10	Pre-Supervisor

**Step 4:** Distribute the appropriate HUD Management Competencies Assessment Tool (Assessment Tool) to each Potential Leadership Pool member and have them complete the tool. Note: determine the appropriate Assessment Tool based on the next leadership level for which they are eligible. There are four Assessment Tools:

<b>Assessment Tool Name</b>	<b>Competencies (See Table 1)</b>
Pre-Supervisor	1 – 14
Supervisor	1 – 18
Manager	1 – 23
Executive	1 – 27

The Assessment Tool consists of 27 Office and Personnel Management (OPM) suggested competencies found in Table 1 that applies to each management level position. The Assessment Tool can assist in determining an employee's interest in a management position, as well as identifying leadership and management skill gaps. The supervisor/manager also indicates his assessment of the employee's skills and identifies potential training and leadership development programs.

Table 1. HUD Management Competencies

<b>Core Leadership Competencies</b>	<b>Pre-Supervisor, Project Leader, Team Leader</b>	<b>Supervisor</b>	<b>Manager</b>	<b>Executive</b>
1. Integrity / Honesty	9. Team Building	15. Human Resource Management	19. Technology Management	24. External Awareness
2. Interpersonal	10. Customer	16. Conflict	20. Political	25. Vision

Core Leadership Competencies	Pre-Supervisor, Project Leader, Team Leader	Supervisor	Manager	Executive
Skills	Service	Management	Savvy	
3. Continual Learning	11. Technical Credibility	17. Leveraging Diversity	21. Financial Management	26. Strategic Thinking
4. Resilience	12. Accountability	18. Service Motivation	22. Creativity & Innovation	27. Entrepreneurship
5. Oral Communication	13. Decisiveness		23. Partnering	
6. Written Communication	14. Influencing / Negotiating			
7. Flexibility				
8. Problem Solving				

NOTE: Table 1 denotes OPM's suggested development journey as a systematic approach in acquiring the skills needed to successfully perform in the aspiring leader or supervisory, management and executive leadership positions.

**Step 5:** Once the employee has submitted the completed Assessment Tool, the supervisor should first review the employee's response to the question regarding their interest in pursuing a position at the next highest management level for which they are eligible. If the employee has indicated that they are interested, they become a part of the organization's leadership pool. The supervisor should then complete the knowledge/skills assessment for the employee.

Sample: Leadership Pool (The total in this example is 8)

XYZ Leadership Pool Members	Next Leadership Level
Employee 1	Executive
Employee 2	Executive
Employee 3	Manager
Employee 4	Manager
Employee 5	Supervisor
Employee 6	Supervisor
Employee 7	Supervisor
Employee 8	Supervisor
Employee 9	Pre-Supervisor
Employee 10	Pre-Supervisor

NOTE: Employees 8 and 10 indicated that they were NOT interested in positions at their next eligible management levels.

**Step 6:** Based on leadership skill gaps identified using the assessment tool, each Leadership Pool member's supervisor should develop/update the employee's Individual

Development Plan (IDP). Links to the IDP Handbook and the IDP Form (HUD-8059) can be found at the following HTA Training Resources web site:  
<http://hudweb.hud.gov/po/amt/htaresrc.htm>

**Step 7:** The Assessment Tool should be used to:

Sample: Determine leadership and management training needs for the upcoming fiscal year's Training Needs Assessment.

Item	Competency	Estimated Training Need
1	Integrity/Honesty	1
2	Interpersonal Skills	1
3	Continual Learning	3
4	Resilience	2
5	Oral Communication	2
6	Written Communications	4
7	Flexibility	5
8	Problem Solving	4
9	Team Building	6
10	Customer Service	3
11	Technical Credibility	3
12	Accountability	4
13	Decisiveness	3
14	Influencing/Negotiating	2
15	Human Resource Management	3
16	Conflict Management	3
17	Leveraging Diversity	4
18	Service Motivation	4
19	Technology Management	3
20	Political Savvy	2
21	Financial Management	3
22	Creativity and Innovation	2
23	Partnering	2
24	External Awareness	2
25	Vision	1
26	Strategic Thinking	1
27	Entrepreneurship	2

Sample: Provide recommendations for the following HUD Leadership Development Programs:

Leadership Program	Prospective Management Levels	Estimated # of Potential Applicants / Participants
Emerging Leaders Program	Supervisor Pre-Supervisor	4

Leadership Program	Prospective Management Levels	Estimated # of Potential Applicants / Participants
Supervisor Survival Seminars	Supervisor Pre-Supervisor	4
SES Candidate Development Program	Manager	2
OPM Executive Management Development Seminars	Manager Supervisor *Pre-Supervisor	6
Council for Excellence in Government (CEG) Program	Manager Supervisor Pre-Supervisor	6
Federal Executive Institute (FEI)	Executive Manager	4
Shadowing/Executive Coaching	Executive	2
HVU Leadership & Management Certificate Program	Executive Manager Supervisor Pre-Supervisor	8
SES Forum Series	Executive	2

Sample: Develop your office's leadership and management recruitment strategies.

## Management Competencies Assessment Tool Pre-Supervisor

This tool should be provided to those employees who are aspiring to become first line supervisors and have had no experience as a team leader, or project leader, or other work leader experiences. These employees need the very basic/beginning training in work leader development.

### I. Employee Information

Employees: please fill in the requested information.

<b>Name, Current Position Title, Series, Grade, and Organization</b> Including office, division, and branch. Please be specific.		
<b>Immediate Supervisor's Name and Title</b> Please be specific.		
<b>Are you interested in becoming a supervisor/manager/executive and being included in the Agency's Leadership Pool?</b>	<b>YES</b> <input type="checkbox"/> If "YES," please continue filling out this form and return to your immediate supervisor after completing the knowledge/skill level assessment.	<b>NO</b> <input type="checkbox"/> If "NO," you do not need to complete the remainder of the form. Please sign it and return to your immediate supervisor.
<i>Note: Employees are <u>not</u> precluded from applying for any supervisory/managerial positions or any competitive leadership development programs for which they are interested and eligible whether or not they complete this Assessment Tool.</i>		
<b>Employee Signature and Date</b>		

### II. Career Overview

<b>Career Goals</b> Briefly describe career goals and aspirations.	
<b>Education/Training Completed</b> Summarize training completed within the past three years.	

<b>Previous Position Titles</b> Titles and employment dates for the last three positions only.	
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### III. Knowledge/Skills Assessment

The employee and the employee's supervisor will assess the employee's knowledge/skill level for the management competencies listed in the table below and enter the ratings into the appropriate column.

<b>Legend for Knowledge/Skills Assessment</b>
0 – Not applicable
1 – No knowledge or experience
2 – Limited knowledge or limited experience
3 – Capable Knowledge or standard level of experience
4 – Above average knowledge and experience
5 – Expert knowledge and experience

Item	Management Competencies (Pre-Supervisor)	Assessments	
		Employee	Manager
1	<b>Interpersonal Skills</b> Description: Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.		
2	<b>Flexibility</b> Description: Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.		
3	<b>Integrity/Honesty</b> Description: Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.		
4	<b>Accountability</b> Description: Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes.		
5	<b>Problem Solving</b> Description: Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.		
6	<b>Decisiveness</b> Description: Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data is limited or solutions produce unpleasant consequences; is proactive and achievement oriented.		
7	<b>Written Communication</b> Description: Expresses facts and ideas in writing in a clear, convincing and organized manner.		
8	<b>Oral Communication</b>		



Item	Management Competencies (Pre-Supervisor)	Assessments	
		Employee	Manager
	Description: Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.		
9	<b>Resilience</b> Description: Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.		
10	<b>Team Building</b> Description: Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.		
11	<b>Customer Service</b> Description: Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end products; is committed to continuous improvement of services.		
12	<b>Influencing/Negotiating</b> Description: Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.		
13	<b>Continual Learning</b> Description: Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self development; seeks feedback from others and opportunities to master new knowledge.		
14	<b>Technical Credibility</b> Description: Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.		

#### **IV. Training Recommendations**

Supervisors/managers: based on the knowledge/skill level assessment and a discussion with the employee, please recommend three management competencies for leadership development training.

Three Management Competencies for Leadership Development Training
1.
2.
3.

#### **V. HUD Leadership Development Program Recommendations**

Supervisors/managers: please indicate with a check mark (✓) the applicable HUD Leadership Development Program that your employee should consider. *Note: this information is for planning purposes only. Employees are not precluded from applying for any competitive leadership development programs for which they are interested and eligible.*

<b>HUD Leadership Development Programs</b>	<b>√</b>
Emerging Leaders Program	
Supervisor Survival Seminar	
Council for Excellence in Government Program	
OPM Leadership Development Seminars: Leadership Potential	
HVU Leadership and Management Certificate Program	

**VI. Supervisory Certification**

Supervisory certification indicates information provided is accurate and may be used for planning employee development initiatives.

<b>Supervisor/Manager Signature and Date</b>	
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## Management Competencies Assessment Tool Supervisor

This tool should be provided to those employees who are currently supervisors or have had some supervisory experience, and would like to strengthen or expand their supervisory skills, as well as those employees aspiring to become first line supervisors, having little or no previous experience as a team leader, or project leader or other work leader experiences.

### I. Employee Information

Employees: please fill in the requested information.

<b>Name, Current Position Title, Series, Grade, and Organization</b> Including office, division, and branch. Please be specific.		
<b>Immediate Supervisor's Name and Title</b> Please be specific.		
<b>Are you interested in becoming a supervisor/manager/executive and being included in the Agency's Leadership Pool?</b>	<b>YES</b> <input type="checkbox"/> If " <u>YES</u> ," please continue filling out this form and return to your immediate supervisor after completing the knowledge/skill level assessment.	<b>NO</b> <input type="checkbox"/> If " <u>NO</u> ," you do not need to complete the remainder of the form. Please sign it and return to your immediate supervisor.
<i>Note: Employees are <u>not</u> precluded from applying for any supervisory/managerial positions or any competitive leadership development programs for which they are interested and eligible whether or not they complete this Assessment Tool.</i>		
<b>Employee Signature and Date</b>		

### II. Career Overview

<b>Career Goals</b> Briefly describe career goals and aspirations.	
<b>Education/Training Completed</b> Summarize training completed within the past three years.	

<b>Previous Position Titles</b> Titles and employment dates for the last three positions only.	
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### III. Knowledge/Skills Assessment

The employee and the employee's supervisor will assess the employee's knowledge/skill level for the management competencies listed in the table below and enter the ratings into the appropriate column.

<b>Legend for Knowledge/Skills Assessment</b>
0 – Not applicable
1 – No knowledge or experience
2 – Limited knowledge or limited experience
3 – Capable Knowledge or standard level of experience
4 – Above average knowledge and experience
5 – Expert knowledge and experience

Item	Management Competencies (Supervisor)	Assessments	
		Employee	Manager
1	<b>Conflict Management</b> Description: Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.		
2	<b>Interpersonal Skills</b> Description: Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.		
3	<b>Flexibility</b> Description: Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.		
4	<b>Integrity/Honesty</b> Description: Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.		
5	<b>Accountability</b> Description: Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes.		
6	<b>Problem Solving</b> Description: Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.		
7	<b>Decisiveness</b> Description: Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data is limited or solutions produce unpleasant consequences; is proactive and		

Item	Management Competencies (Supervisor)	Assessments	
		Employee	Manager
	achievement oriented.		
8	<b>Written Communication</b> Description: Expresses facts and ideas in writing in a clear, convincing and organized manner.		
9	<b>Oral Communication</b> Description: Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.		
10	<b>Resilience</b> Description: Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.		
11	<b>Team Building</b> Description: Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.		
12	<b>Human Resource Management</b> Description: Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.		
13	<b>Customer Service</b> Description: Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end-products; is committed to continuous improvement of services.		
14	<b>Service Motivation</b> Description: Creates and sustains an organizational culture which encourages others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to mission accomplishment.		
15	<b>Influencing/Negotiating</b> Description: Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.		
16	<b>Leveraging Diversity</b> Description: Valuing cultural diversity and other differences; fostering an environment in which people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.		
17	<b>Continual Learning</b> Description: Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self development; seeks feedback from others and opportunities to master new knowledge.		
18	<b>Technical Credibility</b> Description: Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.		

#### **IV. Training Recommendations**

Supervisors/managers: based on the knowledge/skill level assessment and a discussion with the employee, please recommend three management competencies for leadership development training.

Three Management Competencies for Leadership Development Training
1.
2.
3.

### V. HUD Leadership Development Program Recommendations

Supervisors/managers: please indicate with a check mark (✓) the applicable HUD Leadership Development Program that your employee should consider. *Note: this information is for planning purposes only. Employees are not precluded from applying for any competitive leadership development programs for which they are interested and eligible.*

HUD Leadership Development Programs	✓
Emerging Leaders Program	
Supervisor Survival Seminars	
Council for Excellence in Government Program	
OPM Leadership Development Seminar: Supervisory Leadership	
HVU Leadership and Management Certificate Program	

### VI. Supervisory Certification

Supervisory certification indicates information provided is accurate and may be used for planning employee development initiatives.

Supervisor/Manager Signature and Date	
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## Management Competencies Assessment Tool

### Manager

This tool should be provided to those employees who are currently at the GS-13, GS-14, or GS-15 levels, working as supervisor or project leader, and are aspiring to become a manager (i.e., assume responsibility for leading subordinate supervisors or have a significant program management responsibility).

#### I. Employee Information

Employees: please fill in the requested information.

<b>Name, Current Position Title, Series, Grade, and Organization</b> Including office, division, and branch. Please be specific.		
<b>Immediate Supervisor's Name and Title</b> Please be specific.		
<b>Are you interested in becoming a supervisor/manager/executive and being included in the Agency's Leadership Pool?</b>	<b>YES</b> <input type="checkbox"/> If " <b>YES</b> ," please continue filling out this form and return to your immediate supervisor after completing the knowledge/skill level assessment.	<b>NO</b> <input type="checkbox"/> If " <b>NO</b> ," you do not need to complete the remainder of the form. Please sign it and return to your immediate supervisor.
<i>Note: Employees are <u>not</u> precluded from applying for any supervisory/managerial positions or any competitive leadership development programs for which they are interested and eligible whether or not they complete this Assessment Tool.</i>		
<b>Employee Signature and Date</b>		

#### II. Career Overview

<b>Career Goals</b> Briefly describe career goals and aspirations.	
<b>Education/Training Completed</b> Summarize training completed within the past three years.	

<b>Previous Position Titles</b> Titles and employment dates for the last three positions only.	
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### III. Knowledge/Skills Assessment

The employee and the employee's supervisor will assess the employee's knowledge/skill level for the management competencies listed in the table below and enter the ratings into the appropriate column.

Legend for Knowledge/Skills Assessment
0 – Not applicable
1 – No knowledge or experience
2 – Limited knowledge or limited experience
3 – Capable Knowledge or standard level of experience
4 – Above average knowledge and experience
5 – Expert knowledge and experience

Item	Management Competencies (Manager)	Assessments	
		Employee	Manager
1	<b>Conflict Management</b> Description: Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.		
2	<b>Interpersonal Skills</b> Description: Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.		
3	<b>Flexibility</b> Description: Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.		
4	<b>Integrity/Honesty</b> Description: Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.		
5	<b>Accountability</b> Description: Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes.		
6	<b>Problem Solving</b> Description: Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.		
7	<b>Decisiveness</b> Description: Exercises good judgment by making sound and well-informed decisions;		



Item	Management Competencies (Manager)	Assessments	
		Employee	Manager
	perceives the impact and implications of decisions; makes effective and timely decisions, even when data is limited or solutions produce unpleasant consequences; is proactive and achievement oriented.		
8	<b>Written Communication</b> Description: Expresses facts and ideas in writing in a clear, convincing and organized manner.		
9	<b>Oral Communication</b> Description: Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.		
10	<b>Resilience</b> Description: Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.		
11	<b>Team Building</b> Description: Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.		
12	<b>Human Resource Management</b> Description: Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.		
13	<b>Creativity and Motivation</b> Description: Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting-edge programs/ processes.		
14	<b>Customer Service</b> Description: Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end-products; is committed to continuous improvement of services.		
15	<b>Service Motivation</b> Description: Creates and sustains an organizational culture which encourages others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to mission accomplishment.		
16	<b>Influencing/Negotiating</b> Description: Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.		
17	<b>Leveraging Diversity</b> Description: Valuing cultural diversity and other differences; fostering an environment in which people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.		
18	<b>Continual Learning</b> Description: Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self development; seeks feedback from others and opportunities to master new knowledge.		
19	<b>Technical Credibility</b> Description: Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.		
20	<b>Partnering</b> Description: Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.		
21	<b>Political Savvy</b>		

Item	Management Competencies (Manager)	Assessments	
		Employee	Manager
	Description: Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality; recognizes the impact of alternative courses of action.		
22	<b>Technology Management</b> Description: Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision making. Understands the impact of technological changes on the organization.		
23	<b>Financial Management</b> Description: Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.		

#### IV. Training Recommendations

Supervisors/managers: based on the knowledge/skill level assessment and a discussion with the employee, please recommend three management competencies for leadership development training.

Three Management Competencies for Leadership Development Training
1.
2.
3.

#### V. HUD Leadership Development Program Recommendations

Supervisors/managers: please indicate with a check mark (✓) the applicable HUD Leadership Development Program that your employee should consider. *Note: this information is for planning purposes only. Employees are not precluded from applying for any competitive leadership development programs for which they are interested and eligible.*

<b>HUD Leadership Development Programs</b>	✓
SES Candidate Development Program	
OPM Leadership Development Seminars: New Managers and Management and Development	
Council for Excellence in Government Program	
Federal Executive Institute (FEI)	

<b>HUD Leadership Development Programs</b>	√
HVU Leadership and Management Certificate Program	

**VI. Supervisory Certification**

Supervisory certification indicates information provided is accurate and may be used for planning employee development initiatives.

<b>Supervisor/Manager Signature and Date</b>	
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## Management Competencies Assessment Tool

### Executive

This tool should be provided to those employees who are currently at the GS-14 or GS-15 levels, working as managers (i.e., have responsibility for leading subordinate supervisors or have a significant program management responsibility) and are aspiring to become executive leaders.

#### I. Employee Information

Employees: please fill in the requested information.

<b>Name, Current Position Title, Series, Grade, and Organization</b> Including office, division, and branch. Please be specific.		
<b>Immediate Supervisor's Name and Title</b> Please be specific.		
<b>Are you interested in becoming a supervisor/manager/executive and being included in the Agency's Leadership Pool?</b>	<b>YES</b> <input type="checkbox"/> If "YES," please continue filling out this form and return to your immediate supervisor after completing the knowledge/skill level assessment.	<b>NO</b> <input type="checkbox"/> If "NO," you do not need to complete the remainder of the form. Please sign it and return to your immediate supervisor.
<i>Note: Employees are not precluded from applying for any supervisory/managerial positions or any competitive leadership development programs for which they are interested and eligible whether or not they complete this Assessment Tool.</i>		
<b>Employee Signature and Date</b>		

#### II. Career Overview

<b>Career Goals</b> Briefly describe career goals and aspirations.	
<b>Education/Training Completed</b> Summarize training completed within the past three years.	

<b>Previous Position Titles</b> Titles and employment dates for the last three positions only.	
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### III. Knowledge/Skills Assessment

The employee and the employee's supervisor will assess the employee's knowledge/skill level for the management competencies listed in the table below and enter the ratings into the appropriate column.

<b>Legend for Knowledge/Skills Assessment</b>
0 – Not applicable
1 – No knowledge or experience
2 – Limited knowledge or limited experience
3 – Capable Knowledge or standard level of experience
4 – Above average knowledge and experience
5 – Expert knowledge and experience

Item	Management Competencies (Executive)	Assessments	
		Employee	Manager
1	<b>Conflict Management</b> Description: Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.		
2	<b>Interpersonal Skills</b> Description: Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.		
3	<b>Flexibility</b> Description: Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.		
4	<b>Integrity/Honesty</b> Description: Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.		
5	<b>Accountability</b> Description: Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes.		
6	<b>Problem Solving</b> Description: Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.		
7	<b>Decisiveness</b> Description: Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data is limited or solutions produce unpleasant consequences; is proactive and		

Item	Management Competencies (Executive)	Assessments	
		Employee	Manager
	achievement oriented.		
8	<b>Written Communication</b> Description: Expresses facts and ideas in writing in a clear, convincing and organized manner.		
9	<b>Oral Communication</b> Description: Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.		
10	<b>Resilience</b> Description: Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.		
11	<b>Team Building</b> Description: Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.		
12	<b>Human Resource Management</b> Description: Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.		
13	<b>Creativity and Innovation</b> Description: Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting-edge programs/ processes.		
14	<b>Customer Service</b> Description: Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end-products; is committed to continuous improvement of services.		
15	<b>Service Motivation</b> Description: Creates and sustains an organizational culture which encourages others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to mission accomplishment.		
16	<b>Influencing/Negotiating</b> Description: Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.		
14	<b>Continual Learning</b> Description: Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self development; seeks feedback from others and opportunities to master new knowledge.		
18	<b>Strategic Thinking</b> Description: Formulates effective strategies consistent with the business and competitive strategy of the organization in a global economy. Examines policy issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities.		
19	<b>Leveraging Diversity</b> Description: Valuing cultural diversity and other differences; fostering an environment in which people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.		
20	<b>Vision</b> Description: Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action.		
21	<b>Technical Credibility</b> Description: Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.		

Item	Management Competencies (Executive)	Assessments	
		Employee	Manager
22	<b>Partnering</b> Description: Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.		
23	<b>Political Savvy</b> Description: Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality; recognizes the impact of alternative courses of action.		
24	<b>Technology Management</b> Description: Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision making. Understands the impact of technological changes on the organization.		
25	<b>Financial Management</b> Description: Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.		
26	<b>External Awareness</b> Description: Identifies and keeps up to date on key national and international policies and economic, political, and social trends that affect the organization. Understands near-term and long-range plans and determines how best to be positioned to achieve a competitive business advantage in a global economy.		
27	<b>Entrepreneurship</b> Description: Identifies opportunities to develop and market new products and services within or outside of the organization. Is willing to take risks; initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.		

#### **IV. Training Recommendations**

Supervisors/managers: based on the knowledge/skill level assessment and a discussion with the employee, please recommend three management competencies for leadership development training.

Three Management Competencies for Leadership Development Training
1.
2.
3.

#### **V. HUD Leadership Development Program Recommendations**

Supervisors/managers: please indicate with a check mark (✓) the applicable HUD Leadership Development Program that your employee should consider. *Note: this information is for planning purposes only. Employees are not precluded from applying for any competitive leadership development programs for which they are interested and eligible.*

<b>HUD Leadership Development Programs</b>	<b>√</b>
Federal Executive Institute (FEI)	
Shadowing/Executive Coaching	
OPM Leadership Development Seminar: Management Development – Leading Organizations	
HVU Leadership and Management Certificate Program	
SES Forum Series	

**VI. Supervisory Certification**

Supervisory certification indicates information provided is accurate and may be used for planning employee development initiatives.

<b>Supervisor/Manager Signature and Date</b>	
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## Succession Planning Summary and Potential Leadership Pool for Mission Critical Positions

STEPS 1 & 2		STEPS 3 & 4			STEP 5	STEP 6	STEP 7	
Mission Critical Position/Incumbent	Current Grade	Management Competency Assessment Tools	Candidate Profiles	Supervisory Assessment	Top Three Recommended Candidates for Leadership Development Programs	Date DP Completed	Recommended Leadership Development Programs	Comments
<b>ORGANIZATION</b>								
<b>POSITION</b>								
<b>Current Incumbent</b>								
<b>Potentially Eligible Candidates</b>								
Potential Candidate 1								
Potential Candidate 2								
Potential Candidate 3								
Potential Candidate 4								
<b>Candidates Eligible in 3 Years</b>								
Potential Candidate 1								
Potential Candidate 2								
Potential Candidate 3								
Potential Candidate 4								
<b>POSITION</b>								
<b>Current Incumbent</b>								
<b>Potentially Eligible Candidates</b>								
Potential Candidate 1								
Potential Candidate 2								
Potential Candidate 3								
Potential Candidate 4								
<b>Candidates Eligible in 3 Years</b>								
Potential Candidate 1								
Potential Candidate 2								
Potential Candidate 3								
Potential Candidate 4								
<b>POSITION</b>								
<b>Current Incumbent</b>								

### Succession Planning Summary and Potential Leadership Pool for Mission Critical Positions

STEPS 1 & 2		STEPS 3 & 4			STEP 5	STEP 6		STEP 7	
Mission Critical Position/Incumbent (Potential Salary Pool)	Current Grade	Management Competency Assessment Tools	Candidate Interest	Supervisory Assessment Analysis/DOC	Top Three Recommended Candidates/Leadership Development Programs	Date DP Completed	Recommended Leadership Development Programs	Comments	
<b>ORGANIZATION</b>									
<b>POSITION</b>									
<b>Current Incumbent</b>									
<b>Currently Eligible Candidates</b>									
Potential Candidate 1									
Potential Candidate 2									
Potential Candidate 3									
Potential Candidate 4									
<b>Candidates Eligible in 3 Years</b>									
Potential Candidate 1									
Potential Candidate 2									
Potential Candidate 3									
Potential Candidate 4									
<b>POSITION</b>									
<b>Current Incumbent</b>									
<b>Currently Eligible Candidates</b>									
Potential Candidate 1									
Potential Candidate 2									
Potential Candidate 3									
Potential Candidate 4									
<b>Candidates Eligible in 3 Years</b>									
Potential Candidate 1									
Potential Candidate 2									
Potential Candidate 3									
Potential Candidate 4									
<b>POSITION</b>									
<b>Current Incumbent</b>									

