




**KWAZULU NATAL  
PROVINCIAL TREASURY**

**SUCCESSION PLANNING  
POLICY**

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## **1. INTRODUCTION**

- 1.1 The Department is consistently experiencing the loss of vital managerial talent, critical skills knowledge and scarce technical expertise. Succession Planning can play an important role in effectively reducing the negative effects of staff turnover.
- 1.2 Contemporary systems no longer concentrate on the replacement of talent only, but also focus on the development of existing staff members. This new approach takes a more systematic approach towards the department's human resources, in capacitating employees for higher positions.
- 1.3 Succession Planning focuses on being proactive in assisting management;
  - Identify jobs that are critical to the overall success of the Department;
  - Reduce the loss of skills; and
  - Fast track the development of employees that display potential.

This strategy also explores the critical link between succession planning and management development.

## **2. SUCCESSION PLANNING EXPLAINED**

- 2.1 This programme is directed at scarce skill posts, wherein difficulty has been experienced in the filling of the post. Candidates are selected through specific selection criteria and are placed on a training plan to be developed for the higher level identified post.
- 2.2 In the event of the higher level post becoming vacant, proper recruitment processes are to be followed through an open advert process.
- 2.3 The succession planning candidate will **still be responsible for performing his or her current duties** as per his/her appointment whilst on the program.

## **3. OBJECTIVE**

- 3.1 The main objective of this policy is to develop potential employees for the occupation of key positions i.e. Managerial, Technical and Professional Positions in the Department. The purpose is therefore to:
  - a. Identify high-potential employees capable of rapid advancement to positions of higher responsibility than those they presently occupy;

- b. Ensure the systematic and long-term development of individuals to replace key job incumbents as the need arises due to resignations, deaths, disabilities, terminations, retirement and other unexpected losses.
- c. Provide a continuous flow of talented people to meet the department's strategic objective thus preventing the hampering of service delivery; and
- d. Meet the department's need to exercise social responsibility by providing for the advancement of disadvantaged groups within the department.

#### **4. APPLICABILITY**

The provisions of this policy apply to staff at salary level 9 and higher within KwaZulu-Natal Provincial Treasury.

#### **5. DEFINITION AND TERMS**

- 5.1 Mentor: Person/Persons identified to assist, guide and coach the Employee for the duration of the succession plan.
- 5.2 Workplace Assignment: Development activity in the workplace
- 5.3 Training Intervention: Formal training course/ programme.
- 5.4 Succession Plan: Training plan of an employee.

#### **6. LEGISLATIVE FRAMEWORK**

This document is informed by the following:

- 6.1 Skills Development Act, 1998, and relevant White Papers
- 6.2 Public Service Act, 1994
- 6.3 **Public Service Regulations, 2016**
- 6.4 The National Skills Development Strategy for South Africa
- 6.5 Human Resource Development Strategy for the Public Service 2006-2010
- 6.6 Public service Act 103 of 1994, as amended
- 6.7 Departmental Human Resource Plan

- 6.8 Departmental Human Resource Development Strategy
- 6.9 Workplace Skills Plan
- 6.10 Approved EE Plan of the Department

## **7. GUIDELINES**

The procedures relating to succession planning is based on the following principles:

- 7.1 In compliance with priorities defined in various plans and strategies developed by the department i.e. Strategic Plan, EE Plan, WSP, HRP etc.
- 7.2 In compliance with legislative and constitutional prescripts;
- 7.3 Administered with full recognition of human dignity, in a professional manner and with skill, integrity, objectivity and accountability;
- 7.4 To the benefit of the department and the public it serves to identify individuals with potential growth and leadership capabilities so as to provide them with opportunities to develop their skills, knowledge and to gain experience in leadership roles;
- 7.5 Recognized targeted succession plan as a necessity, in ensuring the development of identified individuals who are to step into leadership positions, both in the short term, and on a long term basis;
- 7.6 Recognized successful succession planning in using the workplace as an active learning environment; and
- 7.7 A range of development opportunities be used to develop potential employees, including but not limited to: Utilization of acting position for the purpose of gaining experience, training programmes, educational courses and accelerated learning, secondments, lateral transfers to gain knowledge of different work areas of the department, mentoring and work assignments.

## **8. IDENTIFICATION OF POSTS FOR SUCCESSION PLANNING**

- 8.1 The following serves a guide in identifying posts; although priority is given to scarce skill posts:
  - i) Posts that have a high labour turnover;
  - ii) Posts that fail to attract suitable candidates;
  - iii) Scarce skill/ highly specialised posts where incumbents are to retire.

## 9. SELECTION CRITERIA

The following selection criteria will be used when choosing suitable candidates for Succession Planning:

- 9.1 Identified employee must be fully effective (100% or higher) for the previous assessment year in terms of the Employee Performance Management and Development System;
- 9.2 Must have the required qualification, **academic or professional**, for the higher position (**or is registered towards attaining the required qualification or related qualification**). The candidate should be registered for the final year majors at the time of being selected on the succession planning programme. Proof of registration must be provided.
- 9.3 Must be in line with the Departmental Employment Equity targets, predominantly women and persons with disabilities.
- 9.4 The employee must be in employment of the Department in their current post for 12 months or longer.
- 9.5 The probation of the official must be confirmed.

## 10. THE SUGGESTED ATTRIBUTES OF A CANDIDATE

- 10.1 A candidate should ideally have or work towards having the following attributes in order to be successful on the programme:

The ability to work with and lead people (e.g. adapting to cultural differences, demonstrating behaviour that is aligned with the Public Service values, demonstrating integrity, proven loyalty, appropriate relation and identification with management, attitude befitting a future leader, eagerness for responsibility, seeking and accepting feedback, amicable to suggestions, maturity of thought, thirst for knowledge, willingness to make a difference and take risks, mindfulness of consequences, ability to mobilise people, accurate insight and willingness to learn, a skill set that will be of value in the future, etc.).

## 11. PERFORMANCE MANAGEMENT

In respect of **Performance Management**, the only recognition a candidate can obtain is via the GAFs (for additional responsibilities) and not under the KPAs as the candidate is already receiving a benefit in respect of the development exposure in comparison to others.

## **12. STRATEGIC APPROACH**

A strategic approach is used in implementing the following phases of succession planning:

- 12.1 Phase 1: Planning
- 12.2 Phase 2: Individual succession plans and implementation
- 12.3 Phase 3: Monitoring
- 12.4 Phase 4: Evaluation

### **12.1 Phase 1: Planning**

The Planning phase is critical to the success of this programme. Succession planning mirrors Human Resource Planning but focuses on identification of positions. Managers must identify positions for this purpose. As in the Human Resource Planning model, managers must evaluate and determine the readiness of current staff to assume the responsibilities of the identified positions.

### **12.2 Phase 2: Individual succession plans and implementation**

In order to ascertain employee readiness, a succession plan for each individual employee must be developed by aligning the individual's skills, knowledge, expectations and preferences for defined career paths / qualification, against the inherent requirements of the higher post and the department's needs.

There are three common factors on how to engage in developmental activities:

- 12.2.1 Job Assignments / Work Experience:** Managers (Mentors) may assign projects with higher responsibility to the employee to gain the knowledge, skills and experience
- 12.2.2 Mentoring / Coaching / Job Rotation:** Managers are required to invest time and resources in these employees, giving them the necessary guidance, support and constructive feedback on their progress. Placing the employee in various components attached to the key position will allow the employee to gain a holistic understanding of the function.
- 12.2.3 Development Plans / Formal Training Interventions:** There is a vast range of management courses available to enhance the functional and generic management competencies of the employee. Management Competency Training must be aligned to the competency gaps determined through the Middle Management Services (MMS)/ Senior Management Services (SMS) Competency Assessments.

### **12.3 Phase 3: Monitoring**

Tracking the progress of each employee is vital, to ensure that the desired outcomes are being achieved or whether additional interventions should be introduced or not. The HRD committee will be tracking the progress of each employee's progress on a quarterly basis.

### **12.4 Phase 4: Evaluation**

Quantitative measurement is used to determine the effectiveness of the programme by the department's ability to fill key positions with internal candidates, equity and gender diversity in promotions, retention rates, and reduction in high turnover rates. The department must create a "succession list" to track the progress of the employees who were given the opportunity to participate in this programme. It must be stressed that the accelerated development of employees on this programme does not entitle them to promotion based on their participation in this programme.

Note: Attached as Annexure A is the suggested process flow.

## **13. ROLES AND RESPONSIBILITIES**

### **13.1 Head of Department**

The Head of Department or his delegate is responsible and accountable for the following:

- 13.1.1 To ensure that critical posts and talented employees with potential growth are identified for the programme;
- 13.1.2 To ensure that Succession Planning is integrated into the Human Resource, Employment Equity and Work Place Skills Plans;
- 13.1.3 To ensure that the identification of potential employees is linked to the department's recruitment strategy, as well as, the scarce skills that have been identified;
- 13.1.4 To monitor and evaluate progress of the programme; and
- 13.1.5 To integrate succession planning into the performance agreement of relevant managers.



## **13.2 HUMAN RESOURCE DIRECTOR**

**The Human Resource Director** is responsible for the following:

- 13.2.1 Analyse the current changes in relation to the losses in term of vacancies, resignations, deaths, etc;
- 13.2.2 Consult and assist managers in identifying key positions and employees with potential to participate in this programme;
- 13.2.3 Ensure that succession planning is implemented successfully;
- 13.2.4 Report to the Head of Department and Top Management on the status of succession planning;
- 13.2.5 Ensure that succession planning is aligned to various HR plans, strategies and policies.

## **13.3 MANAGERS**

Managers are responsible for the following:

- 13.3.1 To identify circumstances which impact on the functioning of key positions in the department and where succession planning would benefit the department;
- 13.3.2 To identify employees that display potential, skills, knowledge and have proven to have a good performance rating to be developed for leadership and other positions;
- 13.3.3 To develop succession plans in relation to the inherent requirement of the position;
- 13.3.4 To ensure that the employees are afforded the best development opportunities to enhance the necessary skills, knowledge and experience;
- 13.3.5 To give guidance, advice and support to the employees;
- 13.3.6 To mentor and provide a supportive environment for the employee by playing a facilitative and mediatory role to ensure the employee's development and
- 13.3.7 To monitor the progress of each employee and give constructive feedback.

#### **13.4 MENTOR**

Each participant must be assigned a mentor. It is advised that the respective managers or delegates take on this role, as they are best suited to mentor persons that fall within their line function and will be responsible for:

- 13.4.1 To develop a training plan using a standardised format.
- 13.4.2 Implementation and maintaining of training plan.
- 13.4.3 To provide mentorship and coaching.
- 13.4.4 To provide advice and guidance.
- 13.4.5 To allocate work assignments/ tasks.
- 13.4.6 To provide quarterly progress reports to HR as per the prescribed template.

#### **13.5 HUMAN RESOURCE DEVELOPMENT COMMITTEE**

The HRD Committee must:

- 13.5.1 Ensure that employees receive development opportunities aligned to their individual succession plans;
- 13.5.2 Monitor and Evaluate the progress of each employee and;
- 13.5.3 Ensure that managers create an enabling environment for the development of the employees.

#### **13.6 THE SKILLS DEVELOPMENT FACILITATOR**

The skills development facilitator must:

- 13.6.1 Oversee the implementation of succession planning;
- 13.6.2 Provide advice to managers pertaining to the programme;
- 13.6.3 Determine criteria to evaluate the effectiveness of the programme;
- 13.6.4 Assist with the determining of criteria for the selection of employees;
- 13.6.5 Ensure that managers are trained as mentors and;

13.6.6 Report on the implementation of the programme.

### **13.7 EMPLOYEE**

The employee chosen to participate in succession planning must:

- 13.7.1 Link theoretical knowledge (acquired from formal course attended) with practical work assignment / experience;
- 13.7.2 Supply the mentor with feedback on the effectiveness of the programme and mentoring arrangements;
- 13.7.3 Demonstrate pro-activeness towards self-development;
- 13.7.4 Participate in the development opportunities;
- 13.7.5 Plan and manage with the mentor / manager learning and development in a way consistent with the needs of the department and the individual's succession plan;
- 13.7.6 Show commitment and loyalty towards the programme.

### **14. COMMUNICATION**

The Directorate: Human Resources is responsible for communicating this policy to all employees within the department.

### **15. MONITORING AND EVALUATION**

The Directorate: Human Resources is responsible for the development and regular review of this policy document.

Any inputs or amendments regarding this policy can be directed to the abovementioned component for the attention: Senior Manager: Human Resources.

## **ANNEXTURE A**

### **SUMMARISED PROCESS**

1. Identify Succession Planning Post.
2. Determine Target Group and Selection Processes (if applicable).
3. Obtain approval to implement programme.
4. Conduct information session with targeted group and Initiate selection process (if applicable).
5. Obtain approval of selected candidate(s).
6. Develop Training Plan using Job Description of the higher/targeted post (Mentor).
7. Identify training/development needs of candidate and signing off plan (SMS/MMS Competency gaps, use of job description to determine gaps) – Consultative approach between Mentor and Mentee.
8. Implementation of the Training Plan (job shadowing, project/task assignments, attending meetings, conducting presentations, on the job work exposure, formal training).
9. Monitoring – Quarterly meetings with Mentor and Mentor by HRD to gauge progress. Quarterly submission of progress indicators against Training Plan by the Mentor to HRD.