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# *Succession Plan*

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**Fiscal Year 2020 – 2021**

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# A Message From the General Manager

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Memorandum

Date: July 8, 2020

To: All CALPIA Staff

Subject: **CALIFORNIA PRISON INDUSTRY AUTHORITY SUCCESSION PLAN 2020-2021**

I am pleased to present the California Prison Industry Authority's (CALPIA) first Succession Plan. Through dedicated collaboration and planning between CALPIA's Workforce Recruitment & Planning Unit and CALPIA Executive staff, we are concentrating on previously identified agency challenges, such as loss of institutional knowledge, and lack of professional development.

In 2018, CALPIA developed its first workforce plan. The workforce plan committed to invest in CALPIA's most important resource – our staff. This Succession Plan is a blueprint for the shared workforce plan objective to develop an internal and competitive talent pipeline by the creation and implementation of various strategies, including a mentor program.

This Succession Plan assessed the key positions in our agency and then identified strategies to capture institutional knowledge and competencies to ensure the continued success and longevity of our leadership and the sustained fulfillment of our public safety goals.

If you have any questions, please contact the CALPIA Executive Office at (916) 358-2699.

A handwritten signature in blue ink that reads "Scott A. Walker".

SCOTT A. WALKER  
General Manager

State of California  
Department of Corrections and Rehabilitation

## Introduction

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Succession planning is a dedicated and progressive effort whereby critical departmental positions and their required competencies are identified. Succession Planning will enable CALPIA to develop a sustainable workforce by identifying and bridging any departmental competency gaps and provide support and resources to strengthen a competitive talent pool to fill key leadership positions.

## Overview

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### Methodology

The need for a succession plan was initially recognized in the CALPIA Strategic Business Plan, and further expanded as part of the Knowledge and Succession Planning initiative in the 2019-2021 CALPIA Workforce Plan. CALPIA is fully committed to the successful development and implementation of a departmental Succession Plan.

CALPIA's Workforce Recruitment & Planning Unit partnered with CALPIA Executive staff to identify current and future workforce challenges. CALPIA Executive staff conducted internal risk assessments on their respective division workforce and participated in a survey based on CalHR's Leadership Competency Model which identifies the top competencies that are necessary to successfully perform the duties of CALPIA leadership positions. The survey results revealed the top three leadership competencies for CALPIA are Results-Driven, Business Acumen, and Vision & Strategic Thinking.

## Leadership Development Program Initiatives

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The need to develop strong future leaders is a significant driver for the CALPIA Leadership Development Program (LDP). CALPIA's leadership pipeline helps facilitate the execution of CALPIA's mission, vision, and strategic goals. The LDP initiatives aim to provide equitable opportunities for professional growth and development to the leadership pipeline to ensure enhancement of their abilities and readiness for future promotional opportunities. The LDP does not guarantee promotion, however it provides opportunities for current employees to develop the competencies needed to be competitive in the hiring process for their career objectives.

CALPIA offers a Leadership Challenge training course that is available on a first-come, first-serve basis for all employees at the Associate Governmental Program Analyst level or equivalent, and above. CALPIA recognizes the need for leadership skills at all levels of the leadership pipeline.

Additional professional development opportunities and programs will be explored in future iterations of this succession plan to include more specific development of the pipeline for Staff to Leadership, Leaders as Supervisors, and Leaders as Managers. Our initial succession plan focus will be the Leaders as Executives category of the leadership pipeline.

The LDP initiatives are divided into four categories: Bridging Development, Supervisor Development, Manager Development, and Executive Development. CALPIA's leadership

pipeline is included in Table 1 and Appendix A. Each category is described below along with the description of the Organization-wide pipeline. The list of LDP initiatives are further outlined in Appendix B: Action Plan.

## **Organization-wide**

The leadership pipeline development initiatives apply to CALPIA's entire leadership pipeline. CALPIA currently offers classification-specific training opportunities and will evaluate further professional development opportunities to prepare staff for their next career level.

## **Staff to Leadership Bridging**

CALPIA recognizes that analyst and journey-level classifications serve as the candidate pool for the potential leadership positions and is committed to providing development opportunities to gain the leadership competencies needed to effectively lead. Employees at the Associate Governmental Program Analyst level or equivalent and above are invited to participate in the Leadership Challenge training on a first-come, first-serve basis. CALPIA recognizes the importance of leadership competencies at all levels of the organization as potential leaders of the department.

## **Leaders as Supervisors**

CALPIA recognizes supervisors as the first line leaders in our department. Supervisors provide the day-to-day operational support needed to carry out CALPIA's mission and vision. They have some of the greatest impact on employee engagement, retention, and job satisfaction. Supervisors have classification specific training, mandatory Supervisor-Development, and opportunities for the Leadership Challenge training. CALPIA will explore further professional development opportunities to prepare supervisory staff for their next career levels.

## **Leaders as Managers**

CALPIA managers carry out our mission and vision by leading and delivering results throughout the department. Managers get this done efficiently and effectively by collaborating across organizational lines with an organizational approach to day-to-day decision making and by carrying out organizational initiatives. Managers are role models for the organization, demonstrating CALPIA's core values in their everyday activities and interactions. Managers have classification specific training, mandatory Manager-Development, in addition to opportunities for the Leadership Challenge training and training specific to the top three leadership competencies identified as part of this Succession Plan. CALPIA will design a formal mentoring program, within the next fiscal year, to support tacit knowledge transfer and to retain a qualified talent pool.

## **Leaders as Executives**

CALPIA executives are responsible for articulating CALPIA's vision and fostering an inclusive, engaged workforce. Executives show others what organizational values mean through their behaviors. Executives demonstrate the highest level of proficiency in leadership competencies and serve as role models within CALPIA. Executives mentor

and support CALPIA's next generation of leaders. In addition, Executives will participate in the development of transition binders for their positions.

## Succession Planning Gaps and Risks

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CALPIA's 2019-2021 Workforce Plan identified the following gaps and risks in Succession Planning and Knowledge Transfer:

1. A lack of talent or unidentified talent in emergency situations to properly prepare for succession.
2. Flight risks of internal talent pool, which may lead to loss of critical knowledge and skills.
3. Inconsistent or lack of ongoing knowledge transfer to mitigate potential loss of expertise needed to maintain CALPIA's vision and values.
4. Aging workforce and impending Baby Boomer retirements, which widen the talent gap for the next generation of leaders and workforce.
5. Identify all Key Leadership positions and their competencies within the department as the first step in developing CALPIA's first succession plan.
6. Development and implementation of a succession plan.

The risk of not addressing these challenges is that CALPIA cannot identify internal talent to prepare for succession planning and retain the knowledge and expertise to support our bench strength.

The development of this Succession Plan is designed to mitigate these risks as follows:

Risk # 1 – Identification and development of current leadership pipeline.

Risk # 2 – Development of entire leadership pipeline via professional development and mentoring opportunities. Additional mitigation of this risk is to be addressed with the retention initiatives included in the Workforce Plan.

Risk # 3 – Development and implementation of CALPIA Mentorship Program as identified in the Knowledge Transfer initiatives included in the Workforce Plan. Additionally, an action plan for development of a Mentor Program included in this Succession Plan.

Risk # 4 – Initial iteration of Succession Plan addresses this risk at the CEA level. Future iterations will mitigate this risk throughout the entire leadership pipeline.

Risk # 5 – All key positions have been identified and the listing is incorporated in this Succession Plan.

Risk # 6 – Risk mitigated with the development and implementation of this Succession Plan.

# Leadership Development Program

## Program Development Overview

The knowledge transfer strategies CALPIA will focus on for this Succession Plan include the development of a formal mentoring program, an informal online mentoring toolkit for supervisors and managers, and transition binders for key leadership positions.

The various steps to initiate these programs shall include but are not limited to the following: 1) Identify departmental Subject Matter Experts (SME), 2) Create a team comprised of departmental SMEs, the Workforce Recruitment & Planning unit, Staff Development, and Management staff, 3) Hold facilitated brainstorming sessions with established team and staff. CALPIA's Project Management Office (PMO) will participate in establishing and tracking action plan items and objectives.

## Key Positions

The initial focus of this Succession Plan is the identification of key leadership positions at the Career Executive Assignment (CEA) and General Manager level and the respective competencies needed for these positions. The data analysis of our workforce identified 57 percent of our CEA incumbents are at the risk of immediate retirement and 7 percent of our CEA incumbents are at risk for retirement within the next 5 years. Future iterations of our Succession Plan will include a focus on the entire leadership pipeline from Analyst level through CEA.

## Our Leadership Pipeline

CALPIA is a medium-sized department with approximately 1,100 permanent staff at the time of this plan. The CALPIA leadership pipeline is comprised of 585 positions, consisting of Level I Managers, Supervisors and Lead positions including CEA positions; 76 percent of the leadership pipeline manage staff.

*Table 1. Leadership Pipeline Categories and Number of Positions.*

Leadership Pipeline Categories	Number of Positions	Supervisorial
Executive Development	14	14
Manager Development	180	180
Supervisor Development	42	37
Bridging Development (non-mgmt)	349	215
<b>Total</b>	<b>585</b>	<b>446</b>

Appendix A illustrates the classifications represented in each category. Additional demographic statistics can be found in CALPIA's workforce plan.

*Table 2. Programs/Divisions and Leadership Positions*

Program/Division	Functional Title	Classification
Administration	Assistant General Manager	CEA A
CALPIA	General Manager	Exempt
External Affairs	Chief, External Affairs	CEA A
Fiscal Services Management	Assistant General Manager Financial Controller	CEA B CEA A
General Counsel	Chief Counsel I	CEA
Marketing	Assistant General Manager	CEA A
Management Information	Chief Information Officer	CEA A
Operations	Assistant General Manager (Facility Operations)	CEA B
	Assistant General Manager (Facility Support)	CEA B
	Branch Manager (Consumables)	CEA A
	Branch Manager (Manufacturing)	CEA A
	Branch Manager (Services)	CEA A
Workforce Development	Chief of Workforce Development	CEA A

Thirteen (13) executives participated in a Succession Planning Survey identifying critical leadership competencies for their positions. The classifications ranged from CEA A to CEA B, and Exempt. All classifications are Executive Management level.

*Table 3. Gender and Classification*

Gender	# CEA	Exempt
Men	7	1
Women	4	0

## Competencies

Participants identified and ranked the leadership competencies which contribute towards their ability to lead the Division's/Program's critical functions and support the mission and achieve strategic goals.

*Table 4. Leadership Competencies*

Leadership Competencies
Business Acumen
Inspirational Leadership
Results-Driven
Stewardship
Talent Management
Vision and Strategic



The top three common leadership competencies identified in the survey results were: 1) Results-Driven; 2) Business Acumen; 3) Vision & Strategic Thinking. While most leadership competencies received a high-ranking score, these specific competencies were rated as a higher priority to the Executive Management team.

*Table 5. Competencies*

<b>Top 3 - Leadership Competencies</b>
Results-Driven
Business Acumen
Vision & Strategic Thinking

## **Candidate Pool**

The CALPIA LDP aims to address those positions most closely able to promote into CALPIA's executive leadership roles, which include those classifications listed in Appendix A in the Supervisor and Manager pipeline.

## **Minimum Qualifications**

In order to ensure optimal utilization of resources, applicants must meet the minimum qualifications:

- Permanent civil service employee
- In good standing performance-wise, with a current Performance Appraisal Summary on file
- Obtain supervisor approval
- Complete classification-specific training

## **Application Process**

The application process will be further evaluated and determined by an established team consisting of departmental SMEs, the Workforce Recruitment & Planning unit, Staff Development, and Management staff.

## **Selection Process**

The selection process will be further evaluated and determined by an established team consisting of departmental SMEs, the Workforce Recruitment & Planning unit, Staff Development, and Management staff.

## **Leadership Development Plan**

The Leadership Development Plan will be further evaluated and determined by an established team, consisting of departmental SMEs, the Workforce Recruitment & Planning unit, Staff Development, and Management staff.

## Conclusion

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CALPIA is a self-sustaining organization with a dynamic mission and vision. Our organization prides itself in our commitment to reduce recidivism, provide stellar customer service, and develop high performing staff. This Succession Plan will be an ongoing effort between Human Resources, PMO, and a dedicated team to oversee program implementation and to support the development and retention of a high performing leadership pipeline. By implementing initiatives such as a formal and informal mentorship program we will foster an environment of engagement, recognition, and development. The key leadership positions, identified in this plan, will prepare transition binders to proactively respond to future retirements and unexpected attrition.

CALPIA's succession plan, workforce plan, and strategic business plan, will be evaluated concurrently to ensure that the strategies and initiatives are properly aligned to the organization's mission, vision, values, and goals. As we continue to invest in the development and growth in our workforce, we commit to remain proactive in our efforts.

## Appendices

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**Appendix A: Key Position Pipeline Classifications**

**Appendix B: Action Plan**

**Appendix C: Competency Model**

## Appendix A: Key Position Pipeline Classifications

Bridging Development	Supervisor Development
Associate Accounting Analyst	Accounting Administrator I (Supervisor)
Associate Budget Analyst	Accounting Administrator I (Specialist)
Associate Business Management Analyst	Accounting Officer (Specialist)
Associate Governmental Program Analyst	Equipment Maintenance Supervisor (CF)
Associate Personnel Analyst	Information Technology Supervisor I
Industrial Supervisor	Information Technology Supervisor II
Industrial Warehouse & Distribution Specialist, P.I.	Industrial Warehouse & Distribution Supervisor, P.I.
Information Officer I (Specialist)	Senior Accounting Officer (Supervisor)
Information Technology Associate	Senior Accounting Officer (Specialist)
Information Technology Specialist I	Staff Services Manager I
Information Technology Specialist II	Staff Services Manager I (Specialist)
Labor Relations Specialist	
Senior Personnel Specialist	
Supervising Program Technician II	
Training Officer I	
Manager Development	Executive Development
Accounting Administrator II	Assistant General Manager, Administration
Accounting Administrator III	Assistant General Manager, Marketing
Industrial Warehouse & Distribution Manager I, P.I.	Assistant General Manager, Operations (Facility Operations)
Industrial Warehouse & Distribution Manager II, P.I.	Assistant General Manager, Operations (Facility Support)
Information Technology Manager I	Branch Manager, Consumables
Information Technology Manager II	Branch Manager, Services
Prison Industries Administrator	Branch Manager, Manufacturing
Prison Industries Manager	Branch Manager, Services
Staff Services Manager II (Supervisory)	Chief, External Affairs
Staff Services Manager III	Chief Financial Officer
	Chief Information Officer
	Chief Workforce Development Branch
	Financial Controller
	General Counsel
	General Manager

## Appendix B: Action Plan

*This appendix relates to the Initiatives section of the plan.*

<u>Initiative</u>	<u>Responsible Person(s)</u>	<u>Performance Indicators</u>	<u>Due Date</u>
<i>What is the name of the initiative?</i>	<i>Who is responsible for overseeing successful implementation of the initiative?</i>	<i>How will we know we achieved our goal and what will success look like?</i>	<i>When will it be completed?</i>
<b>Organization-wide Initiatives</b>			
<b>Continue to educate employees about classification-specific training</b>	<b>Staff Development</b>	<b>Continue to track training completion Document increase in attendance</b>	<b>Continuous Review quarterly</b>
<b>Create online Informal mentoring toolkit for Supervisors/Managers</b>	<b>Workforce &amp; Recruitment Planning Unit</b>	<b>Continue to track Individual Development Plan (Std. 637) submissions</b>	<b>Continuous</b>
	<b>Senior Personnel Specialist</b>	<b>Document increase in Std. 637 submissions</b>	<b>Review quarterly</b>
<b>Staff to Leadership Initiatives</b>			
<b>Increase marketing for the Leadership Challenge training</b>	<b>Staff Development</b>	<b>Continue to track training completion Document increase in attendance</b>	<b>Continuous Review yearly</b>

<u>Initiative</u>	<u>Responsible Person(s)</u>	<u>Performance Indicators</u>	<u>Due Date</u>
<i>What is the name of the initiative?</i>	<i>Who is responsible for overseeing successful implementation of the initiative?</i>	<i>How will we know we achieved our goal and what will success look like?</i>	<i>When will it be completed?</i>
<b>Leaders as Managers Initiatives</b>			
<b>Formal Mentoring Program</b>	<b>Workforce &amp; Recruitment Planning Unit</b>  <b>PMO</b>	<b>Program development</b>  <b>Implementation</b>  <b>Participation</b>	
<b>Leaders as Executives Initiatives</b>			
<b>Transition Binders</b>	<b>Workforce &amp; Recruitment Planning Unit</b>  <b>PMO</b>  <b>Departmental SME</b>	<b>Create a transition binder for each Executive role</b>	

\_\_\_\_\_  
General Manager Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Chief, Human Resources Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

## Appendix C: Competency Model

CALPIA adopted the CalHR Leadership Competencies

*The CalHR leadership competencies are:*

<b>CalHR Leadership Competencies</b>	
<b>Business Acumen</b>	Understands and demonstrates sound judgment, fiscal competence, and organizational business knowledge to optimize the quality of operations and services.
<b>Inspirational Leadership</b>	Energizes and creates a sense of direction, purpose, excitement, and momentum for the organization's mission. Creates a positive work environment offering clarity around goals and objectives and ensuring that those who are led work collaboratively to achieve results
<b>Results Driven</b>	Focuses efforts to efficiently achieve measurable and customer-driven results consistent with the organization's mission, goals, and objectives.
<b>Stewardship</b>	Focuses on being responsible and accountable for managing resources well, choosing to use influence to serve the long-term collective good of the public. Places public interests above self-interests and focuses on the larger purpose or mission of the organization.
<b>Talent Management</b>	Recruits, selects, and develops effectively to retain world-class staff.
<b>Vision and Strategic Thinking</b>	Supports, promotes, and ensures alignment with the organization's vision and values. Creates a compelling future state of the unit or organization. Understands how an organization must change in light of internal and external trends and influences.

## LDP Contact

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