



Republic of the Philippines  
**DEPARTMENT OF ENERGY**

DEPARTMENT ORDER NO. D02014-03-0006

**ADOPTION OF GUIDELINES FOR THE DEPARTMENT OF ENERGY SUCCESSION  
DEVELOPMENT PLAN**

**WHEREAS**, the Civil Service Commission (CSC) issued Memorandum Circular No. 3, series of 2012, on the Program to Institutionalize Meritocracy and Excellence in Human Resource Management;

**WHEREAS**, the CSC Memorandum Circular No. 3, series of 2012, directs all government agencies to inculcate meritocracy and excellence in public service which includes the establishment of an Agency Succession Plan;

**WHEREAS**, there is a need to provide for guidelines to develop a plan for the Department of Energy (DOE);

**NOW, THEREFORE**, premises considered, the following is hereby adopted:

**SECTION 1. Succession Development Plan.** To help identify, prepare and development suitable employees to fill in key leadership positions in the DOE, the establishment and implementation of the DOE's Succession Development Plan is hereby enjoined. Towards this end, the Guidelines for the DOE's Succession Plan is hereby adopted. Attached hereto as Annex "A" are the said Guidelines.

**SECTION 2. Separability Clause.** If for any reason or reasons, any part of this Department Order be declared unconstitutional or invalid, no other parts or provisions hereof shall be affected thereby.

**SECTION 3. Repealing Clause.** All other circulars, orders or issuances inconsistent herewith are hereby repealed or modified accordingly.

**SECTION 4. Effectivity.** This Department Order shall take effect immediately and shall remain in effect unless revoked or modified accordingly.

Energy Center, Bonifacio Global City, Taguig City.

  
CARLOS JERICO L. PETILLA  
Secretary



Republic of the Philippines  
DEPARTMENT OF ENERGY

IN REPLYING PLS CITE:

SOE-JLP-14001797



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**SUCCESSION DEVELOPMENT PLAN****I. POLICY STATEMENT**

Succession Development Plan is a tool to identify, prepare and develop suitable employees to fill up key leadership positions in the DOE as these become vacant with the movement/separation of the incumbents. It further involves making provision for the development and promotion of employees who are found qualified successors. It is important to note that the DOE Succession Development Plan is an integration of existing systems in place such as the Performance Evaluation System (PES), Merit Selection Plan (MSP) and Training and Development Guidelines. It also serves to establish a pool of talents in DOE in a systematic and timely manner for the purpose of filling up future key positions.

With the early and compulsory separation and retirement of incumbent employees holding key positions in DOE, affirmative measures should be undertaken to strategically and appropriately select who will be the most qualified successor/s. This is necessary to ensure continuity in the effective and successful implementation of DOE's mandate. It is important that the Department manages/implements its staffing strategy through Succession Development to address this issue. Moreover, it is equally important that DOE takes deliberate steps to ensure the retention and advancement of high performing employees in general and, in particular, those candidates that show potential to be in key positions, or those with superior qualifications and who exhibit capability to move up the ladder of positions in the DOE.

**II. PURPOSE OF THE POLICY**

DOE is implementing Succession Development Plan in order to:

1. Create an ongoing supply of well trained, broadly experienced, well-motivated personnel who are prepared and ready to assume key positions, as needed;
2. Train and retain a pool of suitable qualified employees who will serve as reservoir of talent fit for key positions in various offices / bureaus / services;

3. Provide critical development experiences to those who can move into key positions and engage them into leadership functions;
4. Improve employee commitment and retention by meeting career development expectations as well as establishing positive career goals;
5. Align the future staffing needs of DOE with the availability of appropriate resources within;
6. Counter the increasing difficulty and costs of recruiting employees externally; and
7. Build a database that can be used to make better staffing decisions for key positions.

### **III. GUIDING VALUES AND PRINCIPLES**

The Succession Development Plan is anchored to the DOE Mission and Vision and further guided by the DOE values (Commitment, Respect, Integrity and Teamwork). In addition, The Succession Development Plan commits itself to the following principles:

1. Use of affirmative recruitment policy which is consistent with the purpose of the DOE Succession Development Plan;
2. Encourage the support of offices / bureaus / service chiefs to allow the release of potential subordinates to other offices / bureaus / services for multi-skills in other functions;
3. Provide the assistance to supervisors in terms of mentoring skills required in helping candidates obtain the necessary exposure;
4. Keep the job specific experience up-to-date through the following:
  - a. employee performance of relevant work experience and achievements;
  - b. conduct of regular performance appraisal results;
  - c. exposure to and development of special areas of expertise;
  - d. enhancement of communication skills; and other skills that may benefit the Department; and
5. Use of existing MSP, PES and PDC policies which reinforces the purpose of this policy.

### **IV. LEGAL BASIS**

The Succession Development Plan is established pursuant to Civil Service Commission (CSC) Memorandum Circular No. 3 s. 2012 on the Program to Institutionalize Meritocracy and Excellence in Human Resource Management (PRIME-HRM).

One of the components of PRIME-HRM is the Comprehensive HRM Assistance, Review and Monitoring (CHARM) which is generally a detailed appraisal of human resource management systems and standards. The areas covered by the CHARM are the HR Systems and Programs which include the establishment and implementation of an Agency Succession Development Plan.

## **V. STRATEGIES**

Succession Development Plan, as a dynamic tool, shall include the following elements:

1. Determining the key positions in the Department;
2. Updating the Position Description Forms (PDFs) of key positions to ensure that Job Descriptions clearly cover the proper specifications;
3. Identifying / inviting potential / prospective candidates or generating nominations through portfolio rounds;
4. Screening available candidates through interview, consultation and the use of other assessment tools;
5. Capacity Building for potential candidates which includes:
  - Preparation and discussion of individual short-term work plan;
  - Temporary assignments in other sections / services / bureaus / offices;
  - Participation in "mentorship program;"
  - Strategic exposure to specialized training of various types (in-house seminars, on-the-job trainings to other government / private agencies, local / foreign trainings and scholarship programs, masters / doctoral degrees, etc.); and
6. Evaluating / revising individual work plan on an annual basis.

## **VI. ROLES AND RESPONSIBILITIES**

The major roles and responsibilities of the DOE Succession Development Plan rest with the following:

### **1. CANDIDATE**

- A. Commits self to the succession development process;
- B. Provides feedback and support in refining the Succession Plan;
- C. Drives personal development;
- D. Invests necessary time and effort;
- E. Keeps a receptive mind to feedback and advices;
- F. Displays willingness and interest to learn and adapt;
- G. Makes the necessary changes and improvements; and
- H. Provides suggestions/options in calculated risks, if any.

**2. HUMAN RESOURCE MANAGEMENT DIVISION**

- A. Establishes succession development procedures and guidelines;
- B. Identifies critical/target positions and competency requirements;
- C. Prepares list of potential candidates based on the recommendation of Bureau/Service/Office heads and performance evaluation ratings;
- D. Collaborates with Supervisors, Division Chiefs, Bureau/Service Directors and management in creating a Succession Plan for each candidate;
- E. Engages candidates in training and other necessary human resource interventions;
- F. Provides guidance and support when needed;
- G. Monitors candidates' progress.

**3. DIVISION CHIEFS AND SUPERVISORS**

- A. Identifies potential candidates for positions with SG 22;
- B. Assists the HRMD in creating a Replacement Plan;
- C. Engages in mentorship program;
- D. Establishes smooth transition and good working environment;
- E. Commits resources for candidates' development;
- F. Clarifies performance expectations;
- G. Provides feedback and motivational coaching; and
- H. Ensures active engagement to the Succession Development Plan processes.

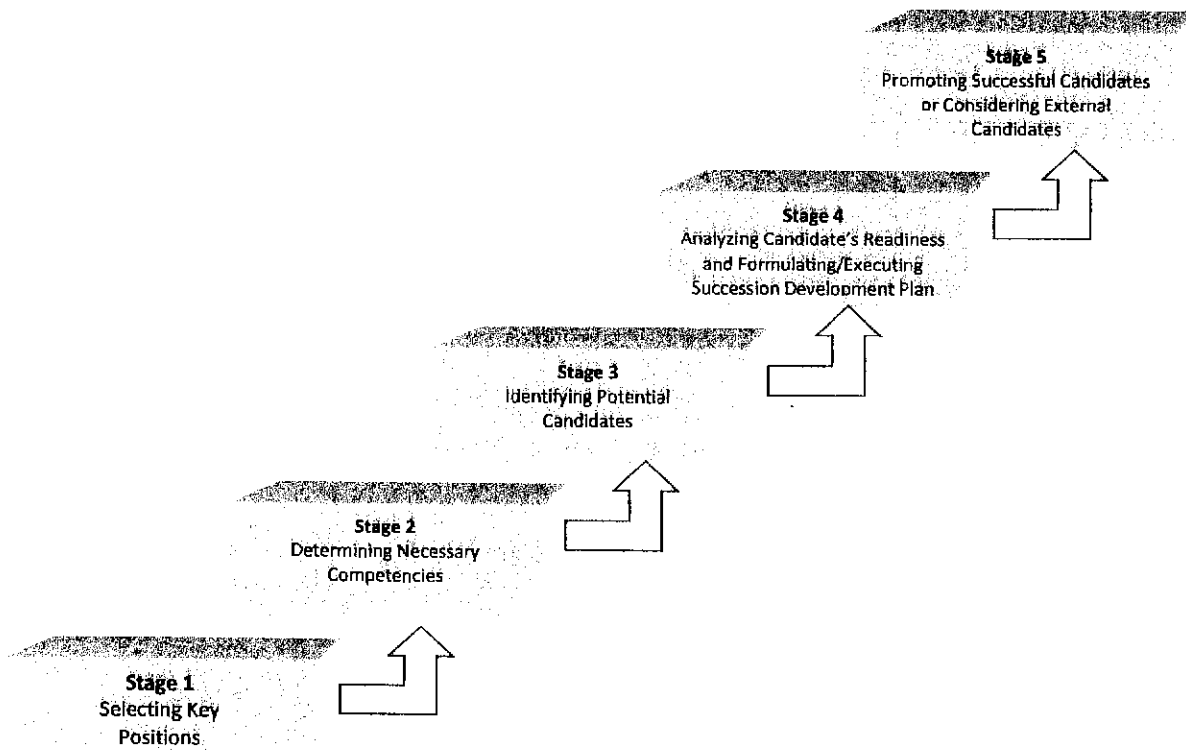
**4. BUREAU/SERVICE DIRECTORS AND DOE MANAGEMENT**

- A. Identifies potential candidates for position with Salary Grade 24 and above;
- B. Assists the HRMD in creating a Succession Plan;
- C. Provides necessary financial and human resources to aggressively and effectively manage the Succession Development Plan;
- D. Approves monetary support to leverage available technology to streamline talent management activities;
- E. Provides direction, perspectives, and guidance; and
- F. Makes final decision in promotion and placement of candidates.

**5. CONSULTANT (OPTIONAL)**

- A. Provides expertise, or acts as resource person, in the effective practice and implementation of the Succession Development Plan;
- B. Assists in the creation of Succession Plans;
- C. Provides periodic coaching for development and revision of the Succession Development Plan, as necessary;
- D. Recommends applicable strategies and development processes; and

## VI. CONCEPTUAL FRAMEWORK



## VII. SUCCESSION DEVELOPMENT PROCEDURE

### STAGE 1 SELECTING KEY POSITIONS

The HRMD shall identify key positions within the Department.

"Key Position" is defined as leadership position having one or both of the following components:

1. critical to the execution of the Department's mandate; and
2. high level of policy setting and decision-making responsibilities affecting the Department's direction and success

**STAGE 2  
DETERMINING NECESSARY COMPETENCIES**

The HRMD shall create a Competency Model (see attached sample) for the key positions. This shall include a combination of knowledge, skills, attitudes (KSA) necessary to effectively perform the functions of the key positions in the Department.

The Competency Model is a set of defined KSA that provide a structured guide which will enable the proper identification, evaluation and selection of candidates for the succession process. The KSA shall be identified through the following:

1. review of Performance Evaluation System (PES) rating (for the last two (2) consecutive years);
2. review of Position Description Forms (PDFs) and job descriptions;
3. review of the 201 profiles of incumbents;
4. conduct of structured interviews with the incumbents and/or their immediate supervisor/s; and
5. benchmark with external sources such as energy-related companies and firms.

**STAGE 3  
IDENTIFYING POTENTIAL CANDIDATES**

The identification of "potential candidates" is a collaborative effort of the HRMD and the Heads of Bureaus / Services / Offices. The HRMD shall request Supervisors, Division Chiefs, Bureau/Service Directors and Management to provide a list of potential candidates for identified key positions.

Specifically, a list of "potential candidates" can be obtained through the one or more of following strategies and methods:

1. review of Performance Evaluation System (PES) ratings (for the last two (2) consecutive years);
2. nomination from among heads of offices;
3. written tests and instruments;
4. simulations;
5. on-the-job observation with functional & psychological/attitudinal checklists; and
6. structured interviews (by one person/panel interview);

Potential candidates shall be chosen in comparison to the established Competency Mode. Careful consideration should be given in identifying potential candidates in relation to the necessary KSA of key position and other factors affecting the talent pool.

**STAGE 4  
ANALYZING CANDIDATE'S READINESS AND FORMULATING /  
EXECUTING SUCCESSION DEVELOPMENT PLAN**

The HRMD, Supervisor, Division Chief, and Director of Bureaus / Services / Offices shall assess the candidate's readiness to take over a key position. A comparison and contrast of the candidate's KSA with the established Competency Model shall be made in order to determine the candidate's strengths and weaknesses or development gaps.

Out of this comparison-contrast analysis, a strategic Succession Plan shall be formulated in a collaborative effort of the candidate, HRMD and the candidate's supervisor/s. The goal of the Replacement Plan is to hone the candidate's strengths while addressing his / her weaknesses until the development gap is closed and the desired Competency Model is finally achieved. The following strategies can be employed to meet the expected targets in the Replacement Plan:

1. orientation sessions;
2. establishing expectations;
3. degree programs;
4. strategic seminars and training programs;
5. mentoring program; and
6. coaching program.

The effectiveness of the Succession Plan shall be assessed through a rating sheet which will determine if the candidates were able to comply with the Succession Plan.

**STAGE 5  
RANKING CANDIDATES**

At the end of the allocated / target time indicated in the Succession Plan, a final list of ranking of the candidates for the Succession Development Plan shall be produced by the HRMD to be used as basis for promotion or other personnel actions.

**VIII. REVIEW AND AMENDMENT**

The Succession Development Plan is valid for two (2) years and is subject for review/amendment, as needed.



## **IX. FINANCIAL REQUIREMENTS**

The Financial Service is hereby directed to allocate funds for the purpose of training and development of identified/prospective candidates as indicated in the Human Resource Development Plan (HRDP) and in the Annual Procurement Plan (APP).

Further, the Training Funds shall also be used for this purpose.

## EVALUATION CRITERIA DOE SUCCESSION DEVELOPMENT PLAN

### I. PERFORMANCE (30%)

The Performance comprises the highest score among the Evaluation Criteria for the DOE Succession Development Plan. The Performance shall be taken from the candidate's rating on the Performance Evaluation System (PES) for the last two (2) consecutive years. The rating scale for Performance is as follows:

<b>PERFORMANCE (30%) (For 3<sup>rd</sup> Level positions)</b>	
AVERAGE POINT SCORE (PES Rating Scale)	30%
Below VS	8
4.63-5.23 (VS)	15
5.24-5.83 (VS)	20
5.84-6.44 (O)	25
6.45-7.00 (O)	30

<b>PERFORMANCE (30%) (For 2<sup>nd</sup> Level positions)</b>	
AVERAGE POINT SCORE (PES Rating Scale)	30%
Below VS	8
7.51 – 8.0 (VS)	15
8.1 – 8.6 (VS)	18
8.7 – 9.2 (VS)	21
9.3 – 9.49 (VS)	24
9.5 – 9.7 (O)	27
9.8 – 10.0 (O)	30

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## II. RECOMMENDATION OF HEADS OF OFFICE (10%)

The Recommendation of Heads of Office consists of the quality of the endorsement for a particular employee for a specific position. The employee shall request endorsement letter/s from the Heads of Office and this shall be scored as follows:

RECOMMENDATION OF HEADS OF OFFICE (10%)	
SCALE	SCORE
<p><b>Highly Recommended</b></p> <p>The endorsement letter includes a comprehensive write-up of the employee – indicating his/her qualities, potential and attitude - which makes him/her a strong candidate to a key position. The letter is duly signed by the immediate supervisor and the Bureau Assistant Director / Director.</p>	<b>8-10</b>
<p><b>Recommended</b></p> <p>The endorsement letter indicates consent/approval from the Heads of Office that the employee is a potential candidate to a key position. The letter is duly signed by the immediate supervisor and noted by the Bureau Assistant Director / Director.</p>	<b>5-7</b>
<p><b>Fairly Recommended</b></p> <p>The endorsement letter states that the employee is nominated as a candidate to a key position. The letter is signed by the immediate supervisor.</p>	<b>1-4</b>
<p><b>No Recommendation</b></p> <p>The employee is a next-in-rank to the position and there is no endorsement from the Heads of Office.</p>	<b>0</b>

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### III. WRITTEN TESTS AND INSTRUMENTS (10%)

Written Tests and Instruments shall consist of a battery of psychological tests to be administered to all candidates for the Succession Development Plan in order to gauge their mental capacity, psychological readiness and character for the position they are being considered for. This shall be scored as follows:

WRITTEN TESTS AND INSTRUMENTS (10%)	
SCALE	SCORE
Highly Recommended All factors (intelligence, aptitude and personality) are highly favorable in connection to the position the candidate is being considered for.	9-10
Recommended All factors (intelligence, aptitude and personality) are favorable in connection to the position the candidate is being considered for.	7-8
Fairly Recommended Some factors (intelligence, aptitude and personality) are unfavorable in connection to the position the candidate is being considered for.	4-6
Recommended with Reservations Most factors (intelligence, aptitude and personality) are unfavorable in connection to the position the candidate is being considered for.	1-3

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#### IV. SIMULATIONS (10%)

Simulation is described as the imitation of an expected behavior to achieve a certain purpose. In particular, behavioral simulation is the imitation of interpersonal dynamics, often using role-playing and structured conditions, to help participants experience and understand the dynamics of a complex situation. In the case of the Succession Development Plan, the act of simulating a behavior for a particular position generally entails representing certain key characteristics or attitude which the said position calls for.

An employee shall be observed in a structured simulation and their behavior shall be scored as follows:

SIMULATIONS (10%)	
SCALE	SCORE
High Impact The employee displayed highly favorable characteristics or attitude during the simulation. He/She conducted him/herself in a very professional, composed and confident manner, which may be considered "exceptional" compared to most employees.	8-10
Medium Impact The employee displayed favorable characteristics or attitude during the simulation. He/she conducted him/herself in a manner "typical" of most employees.	5-7
Low Impact The employee displayed unfavorable characteristics or attitude during the simulation. Lapses in behavior/judgment have been observed.	1-4

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### V. ON-THE-JOB OBSERVATION (15%)

On-the-Job Observation shall indicate an employee's capacity to adequately respond to the critical and urgent demands of the supervisory/managerial positions. This shall be scored as follows:

ON-THE-JOB OBSERVATION (15%)	
SCALE	SCORE
Excellent The employee has mastered the tasks and has been able to mentor others.	13-15
Very Satisfactory The employee has performed the tasks to a level that is more than usual for his or her age group.	10-12
Satisfactory The employee has performed the tasks to a level that is typical for his or her age group.	7-9
Needs Improvement The employee was not able to meet what is required of him/her in relation to his/her assigned tasks.	4-6
Poor The employee has poor output. Work performance is characterized with negligence, slackness and laxity	1-3

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## VI. INTERVIEW (25%)

Employees shall undergo an Interview by the immediate supervisor, Director, Assistant Secretaries and Undersecretaries in order to determine the employee's readiness, motivation, capacity and competency in performing the duties and responsibilities of the position he or she is being groomed for.

INTERVIEW (25%)	
SKILLS/COMPETENCY	SCORE
Interpersonal Skills The ability to build and maintain professional rapport, to form honest alliances and to negotiate effectively.	5%
Technical Competency Possesses the required expertise, skill, and ability to perform a specialized task in a specific discipline.	5%
Supervisory/Leadership Skills The ability to set priorities, to clearly communicate objectives and targets, to wisely delegate tasks, to motivate subordinates and to develop people's skills through coaching and mentoring.	5%
Decision-Making Skills The ability to render sound judgment based on given facts, to approach problem solving logically, to research options, to avoid biases, to focus on meaningful data, to draw the right conclusions even under pressure.	5%
Planning Skills The ability to anticipate unforeseen events, to identify needed course of actions, resource requirements, and key personnel towards the attainment of required output, to grasp the scope and objectives of projects, to recognize the roles and responsibilities of others.	5%

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**SUCCESSION PLANNING ASSESSMENT SHEET**

Position :  
Division / Bureau :

NAME OF CANDIDATE/S	Performance Rating	Nomination of Heads of Offices	Written Tests and Instruments	Simulations	On-the-job Observation	Structured Interview	GRAND TOTAL
1. Candidate A	30%	10%	10%	10%	15%	25%	100%
2. Candidate B							
3. Candidate C							
4. Candidate D							

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**SUCCESSION DEVELOPMENT PLAN  
INTERVIEW FORM (25%)**

NAME OF CANDIDATE \_\_\_\_\_ DATE \_\_\_\_\_  
POSITION APPLIED FOR \_\_\_\_\_

**Direction**

Based on interview and pertinent documents, encircle your numerical rating for the following:

<p>A. Interpersonal Skills (5%)</p> <p style="text-align: center;">Favorable    5    4    3    2    1    Unfavorable</p>	<p>Self-confidence Assertiveness Customer Orientation Interpersonal Effectiveness Coordination Skills</p>
<p>B. Technical Competency (5%)</p> <p style="text-align: center;">Favorable    5    4    3    2    1    Unfavorable</p>	<p>Work Expertise Depth of Concept / Knowledge Performance Stability Breadth of Skills Level of Motivation Management of Time and Skills</p>
<p>C. Supervisory/Leadership Skills (5%)</p> <p style="text-align: center;">Favorable    5    4    3    2    1    Unfavorable</p>	<p>Integrity Delegating Skills Mentoring Skills Capacity to Motivate People Personal Credibility</p>
<p>D. Decision-making Skills (5%)</p> <p style="text-align: center;">Favorable    5    4    3    2    1    Unfavorable</p>	<p>Analytical Skills Inductive-Deductive Capacity Reflective Skills Intuitive Skills Decisiveness Goal Orientation</p>
<p>E. Planning Skills (5%)</p> <p style="text-align: center;">Favorable    5    4    3    2    1    Unfavorable</p>	<p>Strategic Management Results Orientation Capacity to Managing Change Anticipation Futuristic and Innovative</p>

**Total Score** \_\_\_\_\_  
(sum of encircled numbers)

\_\_\_\_\_  
**Rater's Name and Signature**

9  
0  
rating