



## REPORT TO COUNCIL City of Sacramento

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Staff Report  
**October 25, 2005**

Honorable Mayor and  
Members of the City Council

**Subject:** City of Sacramento Succession Plan

**Location/Council District:** Citywide

**Recommendation:** This reports recommends that the Mayor and City Council, by resolution, endorse the City's Succession Plan as a strategy for addressing future upper management vacancies.

**Contact:** Brian Moffitt, Organizational Development Manager, (916) 808-5943.

**Presenter:** Cassandra Jennings, Assistant City Manager, (916) 808-8888.

**Department:** Human Resources

**Organization No:** 1561

### **Summary:**

The City Manager's Office has prepared a Succession Plan (Exhibit A) that is designed to develop highly trained, experienced and effective leaders eligible to succeed as the future executive and division managers. The Succession Plan is a specific strategy intended to help address future vacancies of key positions, particularly in upper management, that will be vacated due to impending retirements. This plan is consistent with the City Manager's Leadership Development initiatives that were established to promote the efficient and effective management of City employee development resources, and meets the criteria established by the City's Executive Team.

**Committee/Commission Action:** None.

### **Background Information:**

Various factors, including aging of the baby boom generation and changes in retirement packages, have resulted in high numbers of City employees eligible to retire within five years. The most significant number of potential retirees is in upper management. For



example, 60% of current Charter Officers, Assistant City Managers, Department Heads and Division Managers will be eligible to retire in 3-5 years.

The Succession Plan calls for the creation of a Leadership Development Institute (LDI) to identify, assess, and develop staff with leadership potential. The following outlines the features of the LDI.

- Quarterly assessment centers will be administered to identify and evaluate leadership talent;
- Each LDI participant will receive individual feedback and coaching and construct a customized leadership development plan;
- A Leadership Development Team will be established, comprised of members of the City's executive team on a rotational basis. This team will provide policy direction and serve as sponsors and mentors;
- The LDI will make full use of a diverse menu of internal and external leadership development programs and resources;
- Rotational positions will be established where appropriate;
- The LDI will yield a talent pool of candidates that will be able to compete for future leadership positions.

Exhibit A provides more detail about the LDI. This program was developed by participants in the City Management Institute in collaboration with the Human Resources/Organizational Development, Managers and Executive Team. This approach to succession planning will yield a diverse talent pool for meeting short and long term leadership requirements.

A pilot effort of the LDI will be undertaken in early 2006. This will allow for fine tuning of the process and an evaluation of the effectiveness and cost.

Staff will report back to Council following the pilot as to the results and ongoing funding requirements.

**Financial Considerations:**

The proposed succession plan will require funding to support and develop the program. There is sufficient funding in the current Human Resources budget to support the pilot program.

**Environmental Considerations:** None

**Policy Considerations:**

Adoption of a Succession Plan is one of the City Manager's strategic objectives to sustain the health of the organization.

**Emerging Small Business Development (ESBD):**

The LDI will utilize external consultants to design and administer the Assessment Center component and ESBD certified businesses will be solicited.

Respectfully Submitted by:   
Geri Hamby  
Director of Human Resources

Approved by:   
Cassandra Jennings  
Assistant City Manager

Recommendation Approved:

  
ROBERT P. THOMAS  
City Manager

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## **RESOLUTION NO.**

Adopted by the Sacramento City Council

### **ENDORISING THE CITY'S SUCCESSION PLAN**

#### **BACKGROUND**

- A. Various factors, including aging of the baby boom generation and changes in retirement packages, have resulted in high numbers of City employees eligible to retire within three to five years.
- B. The most significant number of potential retirees is in upper management - 60% of Charter Officers, Assistant City Managers, Department Heads and Division Managers will be eligible to retire in 3-5 years.

#### **BASED ON THE FACTS SET FORTH IN THE BACKGROUND, THE CITY COUNCIL RESOLVES AS FOLLOWS:**

- Section 1 City Council endorses the City's Succession Plan including implementation, which calls for the creation of a Leadership Development Institute (LDI) to identify, assess, and develop staff with leadership potential and yield a diverse talent pool to meet short and long term leadership requirements.

#### **Table of Contents:**

Exhibit A: City of Sacramento Succession Plan: Growing Leaders



## **SUCCESSION PLANNING: GROWING LEADERS!**



**City Management Institute 2005 - Team A**

Christopher Stewart  
Lucinda Willcox  
Susana Alcala Wood  
Nicole York-Johnson

# City of Sacramento Succession Plan

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## I. Introduction

Succession Planning is a specific strategy of workforce planning and employee development to ensure continued effective performance of the City of Sacramento.

As the result of anticipated retirements over the next three to five years, the City faces future vacancies of key positions, particularly in upper management. The City is focusing on succession planning to ensure continued effective performance of the City as a service organization.

This report outlines the issues and includes strategies to identify and develop employees with high potential for management and leadership positions.

## II. The Problem

Various factors, including aging of the baby boom generation and changes in retirement packages, have resulted in high numbers of City employees with eligibility to retire over the next three to five years. As illustrated in Table 1 below, the most significant number of potential retirees is in "top management".

Table 1

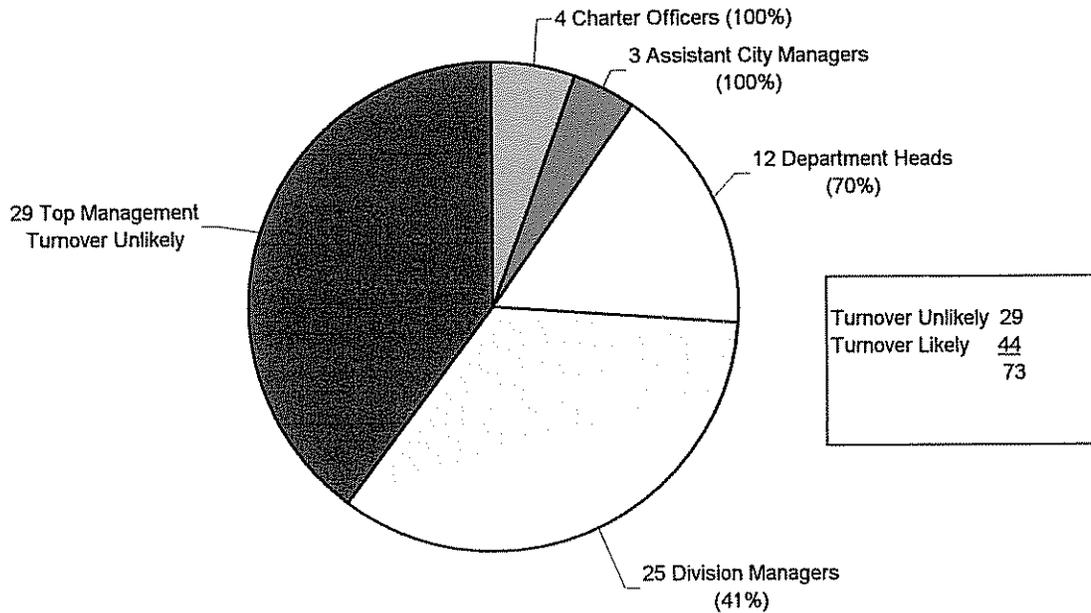
<b>Population</b>	<b>Total FTE</b>	<b>Eligible to Retire (in 3-5 years)</b>	<b>Percent Turnover</b>
Top Management	73	44	60%
Exempt Management (includes "Top Management")	482	140	29%
Admin/Confidential	208	52	25%
Represented	3224	831	26%

*Updated July, 2005*

Table 2 below provides a more focused view of the projected turnover in top management, including Charter Officers, Assistant City Managers, Department Heads and Division Managers. This will be the area of concentration for this report.

Table 2

**Projected Top Management Turnover, 3-5 Years (Updated 7.21.05)**



Prepared by Human Resources - Support Services 07/21/05

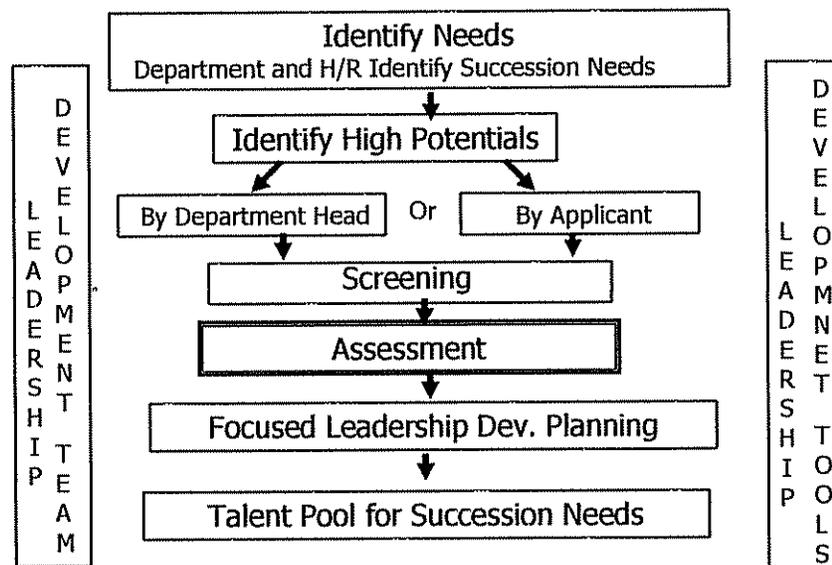
**Succession Plan Needs As Identified by Department Heads and Charter Officers**

Department Directors and Charter Officers were surveyed to identify issues and needs for succession planning. The common themes are summarized below

- Most departments have not created individual, formal succession plans;
- Department heads need tools to identify leadership potential in existing employees;
- Most department structures don't support linear progression (ie. "Assistant Director" positions do not exist);
- There is a general preference to develop internal (Citywide) talent where possible rather than recruit from outside;
- Department heads want flexibility when addressing their operational requirements.

III. The Solution

**Leadership Development Institute (LDI) for Succession Planning**



The City has a wide variety of internal and external employee and leadership development programs that can be used to build future talent, as described in the Appendices to this report. In order to best utilize these resources, the City proposes a method to assess and develop staff leadership talent. Therefore, a key component of the City’s Succession Plan calls for creation of a **Leadership Development Institute (LDI)**, which includes an assessment center and development program. In addition, the Succession Plan calls for added rotational positions to better grow and broaden staff capabilities to prepare them for leadership positions. These strategies are described in detail in the following sections.

**The Leadership Development Institute**

**Overview**

The purpose of the Leadership Development Institute (LDI) is to establish an inclusive and objective method for identifying and developing leadership talent in the organization at various levels. The LDI will be a development program to better identify and develop staff to compete for available leadership positions. The LDI has the following benefits:

- Provides greater visibility for staff with leadership talents
- Provides an inclusive and objective assessment of skills and abilities
- Provides links to the City’s leadership development programs

- Provides opportunities for cross-department mobility and training by focusing on leadership abilities that can serve throughout the organization, to better meet the City's succession needs.

The LDI will initially focus on the top or senior management level, primarily for critical succession purposes. In the future, the LDI may be expanded to include other supervisory and middle management levels as part of the City Manager's Leadership Development initiative. This section provides general information for the design and operation of the LDI, including administration, eligibility, competencies, assessment activities, feedback and planning, and evaluation.

### **Administration**

The Human Resources Department (HR), Organizational Development Division, will be responsible for the implementation of the LDI. HR will determine funding requirements for the LDI.

The City Manager and Charter Officers will appoint a **Leadership Development Team (LDT)**, comprised of Assistant City Managers, Department Heads, and Charter Officers. Members will rotate annually or as determined by the City Manager and Charter Officers. The LDT will provide general oversight for the implementation of the Succession Plan and the LDI. The role of the LDT is summarized below.

- Comprised of five to seven members of the Executive Team appointed by the City Manager and other Charter Officers
- Provide general oversight for selection and development of LDI participants
- Evaluate and manage the talent pool identified through LDI
- Serve as a clearinghouse for special projects and development assignments

The LDI consists of four phases: Application, Assessment, Feedback and Coaching. Participation in the LDI can range from 6-18 months, depending on the needs of the individual. As part of the LDI, HR will operate assessment centers on a quarterly basis, beginning with a pilot in the first quarter in 2006 to test and refine the program. Applications will be screened in January, assessments conducted in February, and feedback delivered in March. Coaching and development will be an ongoing process, tailored to each individual. Up to 8 employees will be selected to participate in the LDI each quarter, yielding up to 32 participants per year. The assessments will be completed by a team of three external consultants who are professionally trained to conduct leadership assessments. Assessments will take one to two days, plus additional staff time to discuss feedback. This will require an HR staff person to be tasked with this responsibility.

The Leadership Development Team will receive final assessment data from the assessment center and use this data to assess leadership readiness and to determine targeted leadership development activities for individuals and groups.

**Eligibility and Selection for Participation in Leadership Development Institute**

The eligibility criteria to apply to the LDI reflect the minimum qualifications for most senior management positions in the City. The following is a preliminary list of criteria, which are the same criteria used to determine eligibility for participation in the City Management Institute (CMI).

- Possess increasingly responsible and successful experience in supervision, management, project management and/or policy development (within the City or elsewhere)
- Completion of a bachelor's degree
- Above average performance evaluations
- Demonstrated competency and commitment to successfully perform as a Division Manager or Department Head, including leadership talent and the ability to work effectively with diverse individuals and teams.

Department Directors and Charter Officers may recommend employees within their department or office to participate in the LDI. Alternatively, employees who meet the eligibility criteria may submit their application directly to HR, subject to review by their respective Department Director/Charter Officer and the LDT.

The LDT will adopt selection criteria based on succession priorities and review all submitted applications and select those candidates that best meet the selection criteria, with input from Department Heads and Charter Officers. Applicants not selected to participate in the LDI will be given feedback for continued professional development.

**Leadership Competencies to be Assessed**

Competencies are the essential qualities, capabilities or behaviors that are required to perform successfully as a senior manager in the City of Sacramento. The following list of Leadership Competencies will be used, which are used in the City Management Institute and based on research for effective leadership in the public sector:

- Accountability
- Adaptability
- Communication
- Conflict Resolution
- Cultural Sensitivity
- Decisiveness
- Development Orientation
- Ethics
- Political Acumen
- Public Relations
- Resilience

- Risk-Taking
- Self Awareness
- Service Orientation
- Strategic Agility
- Team Orientation
- Vision

### **Assessment Activities**

The LDI activities allow participants to describe and demonstrate the core leadership competencies. The following are examples of some of the exercises that can be utilized in the assessment center. All exercises selected will be those that have the highest degree of reliability and validity for assessing leadership competencies. Listed below is an example of some of the exercises that will be utilized:

- Background Questionnaire – Participants reflect upon, describe and assess their own level of development in each of the leadership competencies and their career goal and path.
- Personal Interview – Participants have an opportunity to expand on their Background Questionnaire and give the Assessors a deeper understanding of their current developmental level on each leadership competency.
- Group Interaction – Participants interact in a peer group problem-solving exercise.
- Role Play – Participants conduct a role-play regarding a problem situation
- 360 Feedback - Participants identify direct reports, peers and superiors to assess the candidate's performance along each of the leadership core competences listed in the previous section.

### **Focused Leadership Development Planning**

Upon completion of each quarterly assessment center, Human Resources and the LDT will receive copies of the individual and group feedback. This report will serve as a Citywide leadership talent pool resource. The LDT will recommend targeted leadership development tools and activities (outlined in the Appendices of this report) for individuals and groups to best meet the City's succession priorities. These may include internal leadership development tools/resources, rotational positions, and/or external leadership development programs.

Each LDI participant will receive a written narrative report. The report will provide a summary of their demonstrated strengths and developmental needs in each of the competencies. Each participant will receive a one-on-one individualized feedback session with one of the Assessors. The purpose of this session is to understand the feedback and to construct a Leadership Development Plan (LDP) (See Appendix A). The LDP will be customized for the individual and include the most appropriate leadership development tools (see Appendix B, C and D). Human Resources, Organizational Development Division, will schedule regular individual and group sessions with LDI participants to

help them successfully complete their LDP. The participant's current supervisor will serve as their "coach", and participants may also be assigned to someone other than their coach to serve as a mentor. Members of the LDT will serve as "sponsors" to help participants refine and implement their respective LDP. LDP's must be aligned with and incorporated into the participant's Performance Appraisal System (PAS).

#### Evaluation of the Leadership Development Institute

As part of the City Manager's Trend Management program, Human Resources Department (HR) will establish metrics to evaluate the effectiveness of the LDI. Specifically, HR will report back to the City Manager on how this Succession Planning process is being utilized to fill gaps in the workforce.

#### **IV. Conclusion**

The data presented in this report clearly demonstrates a need for a Citywide Succession Plan. In order to ensure continued effective performance of the City, it is critical that there be a Succession Plan that takes a holistic approach to developing future leadership. The City's current senior leadership will play a critical role in finding and developing future leadership. The following are some next steps:

- The City Manager and Charter Officers will appoint executive team members to serve on the Leadership Development Team (LDT).
- Human Resources will select consultants for the Assessment Center and refine the LDI application, selection, assessment, feedback, coaching, mentoring and evaluation processes.
- The Executive Team will identify potential LDI candidates, serve as mentors for LDI participants, and participate on the LDT on a rotating basis.



<b><i>Planned Changes</i></b>			
<i>What are your improvement or development priorities indicated by your feedback?</i>			
<b>Competency</b>	<b>Behavioral Steps</b>	<b>Timeline</b>	<b>Benchmark for Success</b>

## APPENDIX B

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**INTERNAL LEADERSHIP DEVELOPMENT TOOLS & RESOURCES**

- ***Employee Development Policy/API #50***  
This policy demonstrates the City's commitment to employee development by setting forth guidelines which support individual skills assessment and development planning that is conducive to an employee's current and future career goals with the City of Sacramento.
- ***Performance Appraisal System (PAS)***  
The Performance Appraisal System is a framework for performance coaching, planning, and assessment of exempt management and administrative/confidential employees. The PAS is a method for setting and achieving production, project and career development goals.
- ***Career Counseling and Education***  
Career counseling and education is offered under the division of Organizational Development. All employees are offered one on one confidential consultation with a career development specialist whose focus is to help the individual explore and clarify career interests, strengths and goals. The ultimate goal is to assist the employee in securing rewarding and meaningful employment.
- ***City University***  
City University offers classes, seminars, workshops, lectures, and semester-length courses in a variety of topics in the following areas: communication, career development, business, inclusion, policy & strategy, safety, wellness, technology, leadership and supervision & management. City University can also deliver "training on demand", customized to meet the unique needs of a department or division.
- ***City Management Institute (CMI)***  
City Management Institute is a development program designed to provide highly qualified City of Sacramento supervisors and managers with assessment and development activities to help them pursue senior management and executive positions within the City.
- ***Development Assignments***  
Developmental assignments involve temporary reassignment of an employee to a position in another classification with the goal of providing that employee with exposure and experience that will help them obtain the skills necessary for future growth. The developmental position may be in a classification that is equivalent, higher or lower in job content and salary range than the employee's regular position; however, the employee retains their existing salary range. Typically, the length of a developmental assignment is less than one year.

- ***Upward Mobility Program***

The Upward Mobility Program is subject to an available vacant full-time equivalent position at the level of the target classification. Appointing Authorities may select a candidate for this program. After successful completion of an approved training plan, candidates may be appointed to a “targeted” classification, which is typically entry level of a classification series or job family. Upward mobility positions are similar in scope and administration to apprenticeship programs, but are principally used in professional, semi-professional, and administrative occupations. Upward promotions follow completion of both on-the-job training, training courses and the certification of the employee's learned skills as specified in a formal development plan signed by the employee, the Appointing Authority and the Director of Human Resources. Appointment to an exempt management position or advancement from an exempt management position to a higher position through upward mobility shall be at the discretion of the Appointing Authority.

- ***Leadership Development Plan***

A leadership Development Plan is an individualized plan that responds to areas of development as identified by a comprehensive assessment. Individuals seeking leadership roles within the City will work with their coaches, mentors, a member of Organization Development, or the LDI to set specific goals, objectives, and timelines for their leadership growth.

- ***Mentoring***

The Organizational Development Division is in the process of developing a Citywide formal mentoring program that will be linked with the LDI. The mentoring program will specify the mentoring roles of the current senior management.

## APPENDIX C

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**ROTATIONAL POSTIONS****What are they?**

Job Rotation is a career development strategy where an individual temporarily moves laterally into an established or "shadow" position designed to enhance management and leadership skills, and broaden familiarity with the city's essential functions and competencies required for effective executive level performance. The length of a rotational assignment may vary in time, and can be tailored to meet both individual and organizational requirements.

**Why are they used?**

- To attract and retain an exceptional group of management and leadership candidates who will develop expertise across city's essential functional competencies.
- To maximize an individual's exposure to understanding the city's overall mission, knowledge of city operational and departmental functions, management styles, operational and political strategies, and exposure to executive management staff.
- To prepare an individual for career advancement

**How should they be used?**

- Rotational assignments can be individually designed to provide candidates with experience and exposure to enhance and broaden familiarity with the essential city functions through assignments in operational, support services, public safety, community development and policy development departments
- Emphasis should be placed on understanding the varied roles of the essential departmental functions and how these roles interconnect and support the overall mission of the city.
- Establish expectations and learning goals to meet organizational and individual needs before the job rotation.
- Assignments must incorporate formal course work, challenging work assignments, special projects, mentoring and exposure to executive level staff.

- Assignments should include experiences in project management, negotiation skills, employee relations, time management, customer service, team building, presentation skills, decision-making, budgeting, strategic planning and political acumen.
- Assignments may vary in length for periods of 6 months up to 2 years.
- Projects must include defined deliverables with key executive and senior level managers.

APPENDIX D

EXTERNAL LEADERSHIP DEVELOPMENT PROGRAMS

NOTE: This is not an exhaustive list and will be supplemented as needed

Institution Name	Program Name	Location	Length	Cost	Target Audience	Program Goals
Stanford University	Executive Program in Strategy & Organization (EPSO)	Stanford campus, Palo Alto, CA	2-weeks (13 days)	\$16,000	Senior functional managers (10-15 years exp) with strategic organizational responsibilities; any industry	Analysis of global business strategy research from market-focused & non-market focused perspectives, introduction to interactive tools for strategic leadership, "big picture" perspective on avenues for executing organizational strategy
	Executive Program in Leadership (LEAD)	Stanford campus, Palo Alto, CA	1-week (6 days)	\$9,800	Mid- to senior-level executives (10+ years exp); any industry	Identify & leverage team leadership potential, develop own leadership skills & personal influence, utilize a personalized Leadership Questionnaire for Change Plan development
	Leading Change & Organization Renewal (LCOR)	Alternate between Stanford campus, Palo Alto CA & Harvard campus, MA	1-week (6 days)	\$10,500	Senior-level executives (1-15 years exp); any industry	Utilize practical analysis and design tools for innovation and strategic organizational change. Learning medium includes participant workgroup presentations & Multimedia Action Learning toolkit

<b>Institution Name</b>	<b>Program Name</b>	<b>Location</b>	<b>Length</b>	<b>Cost</b>	<b>Target Audience</b>	<b>Program Goals</b>
Harvard University	Senior Executives in State & Local Government	Harvard campus, MA	3-weeks	\$10,300	State & local government senior-level executives	Investigate and evaluate policy alternatives in new conceptual framework to deploy resources, strategies, information & services; examine ethical & professional leadership responsibilities
	Driving Government Performance: Leadership Strategies That Produce Results	Harvard campus, MA	1-week (5 days)	\$5,540	Public organization executives	Tools for organizations that focuses on performance, results, leadership responsibilities, organizational strategy and employee motivation
	Strategic Management of Regulatory and Enforcement Agencies (SMREA)	Harvard campus, MA	1-week (5 days)	\$4,935	Federal, state & municipal policy makers and law enforcement officials	Focus on social regulation and economic regulation responsibilities of law enforcement agencies; identify current prescriptions for "reinvention" and reform within regulatory atmosphere
	Innovations in Governance	Harvard campus, MA	1-week (5 days)	\$5,300	Senior executives in government, business & non-profits	Examine innovative governance arrangements, new leadership & managerial techniques to create real public value for collaborative governance processes
	Leadership for the 21 <sup>st</sup> Century: Chaos, Conflict & Courage	Harvard campus, MA	1-week (5 days)	\$5,350	Senior executives in government, business & non-profits	Focus on personal values and assumptions of organizational leaders and the impact on strategy formulation & deeper organizational challenges

Institution Name	Program Name	Location	Length	Cost	Target Audience	Program Goals
CSUS College of Continuing Education	Leadership for the New Millennium series	CSUS—CCE campus, Sacramento CA	12 weeks; (9 after-noon sessions & 1 retreat)	\$5,500	Public, private & non-profit organizational leaders	Assessment & development of key leadership skills; building of cross-sectional teams; can be customizable to your organization via "Private Series"
UC Davis Graduate School of Mgmt	Executive Leadership Consortium	One Capitol Mall Center, d'town Sacramento	4 hour session, 4 times per year	\$295 per session; corp. member \$8,000	Executives and managers; all industries	Rotational speaker series of world's top business thinkers
UC Davis Extension	Executive Program	UC Davis campus, Davis CA	8 weeks; 6.5 hour sessions	\$4,500	Executives and managers; all industries	Rotational workshops: strategy, leadership, customer service, innovation, motivation
American Leadership Forum (Silicon Valley and Sacramento / Mountain Valley)	Leadership Talks	Sites throughout Silicon Valley	Multiple hour workshops	\$15 – 100 per session for speaker series; \$12,000 for full program	Executives and managers; all industries	Rotational expert speaker series; networking opportunities through Fellows & Senior Fellows Programs

# CITY OF SACRAMENTO SUCCESSION PLAN

*10.25.05*

## THE PROBLEM

Population	Total FTE	Eligible	Turnover
Top Mgmt	73	44	60%
Exempt	482	140	29%
Admin/Conf.	208	52	25%
Represented	3224	831	26%

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## THE SOLUTION

### Leadership Development Institute

- ◆ Identify high potentials
- ◆ Application
- ◆ Screening
- ◆ Assessment
- ◆ Planning (feedback & coaching)
- ◆ Evaluation

## THE PROCESS

### Assessment Center – What?

Accountability	Public Relations
Adaptability	Resilience
Communication	Risk-Taking
Conflict Resolution	Self Awareness
Cultural Sensitivity	Service Orientation
Decisiveness	Strategic Agility
Development Orientation	Team Orientation
Ethics	Vision
Political Acumen	

## THE PROCESS

### Assessment Center – How?

- ◆ Administered quarterly by HR using external leadership assessors – 8 participants per quarter
- ◆ Likely methods:
  - Background Questionnaire
  - Personal Interview
  - Group Interaction
  - 360 Feedback

## THE PROCESS

### Focused LD Planning

- ◆ Feedback (HR / Assessor)
- ◆ Coaching (Supervisor / Mentor / Sponsor)
- ◆ Develop Plan
- ◆ **WORK** Plan!
- ◆ Monitoring and Follow-up

## THE TOOLS

- ◆ Internal: City University, City Management Institute, Career Development, Mentoring, Job Rotation, Developmental Assignments, Upward Mobility Program, etc.
- ◆ External: American Leadership Forum, CSUS, UC Davis, Stanford, Harvard, etc.

## Next Steps

What	When
HR finalizes LDI processes	November
Appoint and orient 5-7 members of the Leadership Development Team	December
Pilot first group from Dept Head nomination	January 06

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# CITY OF SACRAMENTO SUCCESSION PLAN

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*CMI 2005 – Team A*

*Christopher Stewart      Susana Alcala Wood*  
*Nicole York-Johnson      Lucinda Wilcox*

*Brian Moffitt, Advisor*

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