

# The Who, What, When, Where, Why and How of Succession Planning

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# Learning Objectives



Identify high potential talent that can be mentored.



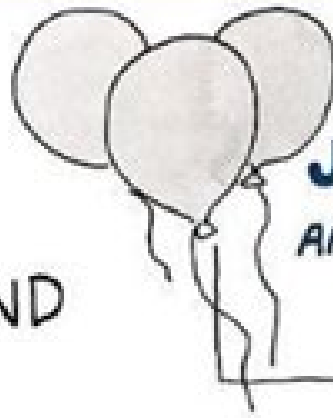
Develop a succession plan that allows for gradual increases in responsibility during the mentoring period.



Enact a seamless transition to new leadership.

## The 99<sup>th</sup> Floor

DON'T YOU  
THINK WE'RE  
CUTTING IT KIND  
OF CLOSE?



**JILL'S RETIREMENT PARTY  
AND SUCCESSION PLANNING  
KICKOFF MEETING**

**R** Russell  
Reynolds  
ASSOCIATES



marketoost

# *Definition of Succession*

- a: The act or process of following in order: **Sequence**
- b: (1) the act or process of one person's taking the place of another in the enjoyment of or liability for rights or duties or both  
(2) the act or process of a person's becoming beneficially entitled to a property or property interest of a deceased person
- c: The continuance of corporate personality
- d: Unidirectional change in the composition of an ecosystem as the available competing organisms and especially the plants respond to and modify the environment

Source: Merriam-Webster Dictionary @<https://www.merriam-webster.com/dictionary/succession>

# What is Succession Planning



A tool used to address the inevitable changes that occur when employees resign, retire, are fired, get sick, or die.



Universities prepare by identifying and training high-potential employees for advancement into key roles.



Needed for an institution to continue to run smoothly. It's a manageable event, not an organizational crisis.

Robert Half, What is Succession Planning? Your steps to Success, April 19, 2018, <https://www.roberthalf.com/blog/>



WHY plan for  
succession?

*Best Practices Organizations use succession planning to develop and maintain strong leadership and to ensure that they address all the competencies required for today's and tomorrow's work environment*

Source: Ibarra, Patrick (2005), "Succession Planning: An Idea Whose Time has Come", *Public Management*, January/February, pp. 18-24.

# Benefits of Succession Planning

- Essential business strategy
- Decreases recruitment and orientation costs and minimizing time-to-fill for vacancies
- Benefit of providing systematic development of new emerging leadership competencies called for by technological and cultural changes
- Promotes continual development of the leadership potential in rank and file
- Identifies opportunities for growth and establishes a culture of promoting within

Source: Bolton, J. & Wendy, R. (December 2004). "Succession Planning: Securing the Future." *The Journal of Nursing Administration*. 34(12). p. 589-593.





It makes the transition  
much easier.

*Experience is a hard  
teacher because she  
gives the test first, the  
lesson afterward.*

Vernon Saunders Law  
Cy Young Award Winner

# Components of a Succession Plan

- Identifies and prepares internal candidates to qualify for anticipated vacancies in key position and can also include positions that require more specialized knowledge and experience
- Identify key positions and requisite qualifications
- Selecting potential internal candidates
- Target development and tracking those candidates
- Select a successor
- Ensuring commitment of resources
- Must be formalized and incorporated into HR management policies and procedures

Bolton, J. & Wendy, R. (December 2004). "Succession Planning: Securing the Future." *The Journal of Nursing Administration*. 34(12). p. 589-593.

# Seven Steps for Succession Planning

## 1. Be proactive

- It takes time to find and prepare a promising candidate for a leadership role
- Even if you don't think you you'll need a replacement in the near future, prepping someone to assume an important role creates an invaluable safety net.

## 2. Keep an Open Mind

- While the obvious successor may be the second in command, don't disregard other promising employees. Look for people who best display the skills necessary to thrive in higher positions, regardless of their current title.

## 3. Make the Vision Known

- Include potential managers in strategy conversations to help them acquire planning and leadership skills, as well as a broad vision of the organization and its objectives. Consider sharing your succession planning with human resources and your Vice Presidents/Vice Chancellors.

## 4. Offer regular feedback to Mentees

- When someone uses well-honed [presentation skills](#) or outperforms on a project, make note of it.
- Keep track of these achievements in a top-performer file so you have something to reference the next time a management position opens.
- Diligently chronicle topics like strong work and achievement will also come in handy during [performance reviews](#).

Source: Robert Half, What is Succession Planning? Your steps to Success, April 19, 2018, <https://www.roberthalf.com/blog>

# Seven Steps for Succession Planning

## 5. Provide training to peak performers

- As you identify your top performers, offer [mentoring relationships](#), job shadowing and training, which are true articles of value to help them develop new skills and refine existing ones. Remember that good leaders not only need technical acumen but also strong interpersonal skills, including standout verbal and written communication abilities, as well as tact and diplomacy.

## 6. Do a trial run of your succession plan

- A vacation is a great time to have a potential successor step in to assume some responsibilities. The employee will gain experience while you learn how prepared the person is to take on a bigger role.

## 7. Use your plan to develop a hiring strategy

- Once you've identified internal employees as successors for key roles in your organization, take note of any talent gaps. In this way, the succession planning process can help you identify where to focus your recruiting efforts.

Source: Robert Half, What is Succession Planning? Your steps to Success, April 19, 2018, <https://www.roberthalf.com/blog>

*Unfortunately, most organizations wait too long to conduct forward thinking succession planning, waiting until there are obvious problems or important talent has exited their companies.*

Source: Guinn, Stephen L, (2000). "Succession Planning without Job Titles." *Career Development International*, Volume 5 Issue 7, pp.390-393

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*Bolton, Julia, Roy, Wendy: Succession Planning: Securing the Future (2004): JONA: The Journal of Nursing Administration: Issue 34(12), December; p. 589-593*



WHO should you  
identify?



# Think about what you need for the future


- Changing nature of our business
- Technology proficient
- Adaptable/Change tolerant
- Institutional strategic plan





# Leadership Strategic Planning Qualities of a Leader

- Leadership qualities
  - Initiative
  - Knowledge
  - Good Interpersonal skills
    - Ability to communicate well
    - Ability to write well
    - Ability to relate to people throughout the university
    - Networking
  - Ability to build a team
  - Ability to have people believe in your leadership
  - Ability to think!



WHERE do you find  
candidates?

Look for  
emerging  
leaders.

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Followers will never know how hard  
the leader works to create a path.



The background is a dark blue world map. Overlaid on the map is a network diagram consisting of several glowing blue circles, each containing a white person icon. These circles are connected by thin white lines. A hand with a light skin tone is pointing its index finger at one of the central glowing person icons. On the left side, there is a semi-transparent light blue circular area containing the text 'External Candidates' and a bulleted list of four items: 'Networking at meetings', 'LinkedIn', 'Recommendations', and 'Mentoring'.

## External Candidates

- Networking at meetings
- LinkedIn
- Recommendations
- Mentoring

# Internal Candidates





**Mentoring:  
A formal or informal  
relationship between an  
experienced,  
knowledgeable employee  
and a not so experienced  
employee**



# Characteristics of Mentors

- They want to mentor another employee and is committed to the employee's growth and development and cultural integration.
- They have the job content knowledge necessary to effectively teach a new employee significant job knowledge.
- They are familiar with the organization's norms and culture. Can articulate and teach the culture.
- They demonstrate honesty, [integrity](#), and both respect for and responsibility for stewardship.
- They demonstrate [effective communication skills](#) both verbally and nonverbally.
- They are willing to help develop another employee through guidance, feedback, and occasionally, an insistence on a particular level of performance or appropriate direction.
- They initiate new ideas and fosters the employee's willingness and ability to make changes in his or her performance based on the constant change occurring in their work environment.



# Characteristics of Mentors

- They have enough [emotional intelligence](#) to be aware of their personal emotions and is sensitive to the emotions and feelings of the employee they are mentoring.
- They are an individual who would be rated as highly successful in both their job and in navigating the organization's culture by coworkers and managers.
- They demonstrate success in [establishing and maintaining professional networks](#) and relationships, both online and offline.
- They are willing to communicate failures as well as successes to the mentored employee.
- They can spend an appropriate amount of time with the mentored employee.
- They are open to spending time with diverse individuals who may not share a common background, [values](#), or goals.
- They can initiate conflict to ensure the employee's [successful integration](#) into the organization. Willing to acknowledge, as a mentor, that an employee may not succeed in your organization.
- They can say when the relationship is not working and back away appropriately without regard to ego issues or the need to assign blame or gossip about the situation.

# Mentee Evaluation of Mentor Checklist:

## My Mentor:

- Goes out of his/her way to promote my interests
- Conveys feelings of respect me as an individual
- Encourages me to talk openly about anxiety and fears that detract from your work
- Shares personal experiences as an alternative perspective to my problems
- Discusses my questions or concerns regarding feelings of competence, commitment to advancement, relationships with peers and supervisors or work/family conflicts
- Shares history of his/her career with me
- Encourages me to prepare for the next steps
- Serves as a role model?
- Displayed attitudes and values similar to my own
- Helps me finish assignments/tasks or meet deadlines that otherwise would have been difficult to complete
- Protects me from working with other faculty, lecturers, or staff before I know about their likes/dislikes, opinions on controversial topics, and the nature of the political institutional environment
- Gives me authorship on publications
- Helps me improve your writing skills
- Helps me with a presentation (either within your department, or at a conference)
- Explores career options with me
- Gives me challenging assignments that present opportunities to learn new skills
- Helps me meet other people in my field at the University
- Helps me meet other people in my field elsewhere

Source: National Science Foundation Workshop on Mentorship



WHEN do you assign  
greater responsibility?



A wooden ladder is leaning against a blue stone wall. The ladder is made of light-colored wood and has several rungs. The wall is made of irregular blue stones with some mortar visible. The background is a solid blue color.



# Creating a Career Ladder

- “Growing your own leaders sends a positive message throughout your workforce. Promoting people within is good for morale and essential to a positive organizational culture.” (Ibarra)
- Things to consider:
  - Money – is there enough to fund every year?
  - Career paths – Ladder or Lattice?
  - Performance – don’t let your career ladder run on autopilot. Make performance count!

Source: Ibarra, Patrick (2005), “Succession Planning: An Idea Whose Time has Come”, *Public Management*, January/February, pp. 18-24.



# Career Ladder Using CRA Certification

| Grants and Contract Specialist  | Sr. Grants and Contract Specialist   | Team Leader  |
|---|--|--|
|    |   |  |
| <u>Proposed Pay Increase</u><br>(whichever is highest) <ul style="list-style-type: none"> <li>- Current annual starting pay for or</li> <li>- \$3,000/increase to base</li> </ul>   | <u>Proposed Pay Increase</u><br>(whichever is highest) <ul style="list-style-type: none"> <li>- Current annual starting pay or</li> <li>- \$3,000/increase to base</li> </ul>  | <u>Proposed Pay Increase</u> <ul style="list-style-type: none"> <li>- \$3,000/increase to base</li> </ul>  |
| <b>Criteria for auto advancement consideration:</b> <ul style="list-style-type: none"> <li>• 3yrs in the job code</li> <li>• overall performance eval better than satisfactory for prior two evaluation periods</li> <li>• obtained CRA certification</li> </ul> <p>If 5 yrs service are obtained in the job code, all other qualifying requirements above continue to be met and the individual has not received auto advancement in the prior two fiscal years, promote to Sr. Grants and Contracts Specialist at the Proposed Pay Increase listed for that job code.</p> | <b>Criteria for auto advancement consideration:</b> <ul style="list-style-type: none"> <li>• 3yrs in the job code</li> <li>• overall performance eval better than satisfactory for prior two evaluation periods</li> <li>• obtained CRA certification (if not previously held before entering job code)</li> </ul> | <b>Criteria for auto advancement consideration:</b> <ul style="list-style-type: none"> <li>• 6yrs in the job code</li> <li>• overall performance eval better than satisfactory for prior two evaluation periods</li> <li>• - have demonstrated over past two yrs an increased responsibility including participation in programming initiatives as a lead or primary business support person, participate in a lead role for parts of the annual financial report production, etc.</li> <li>• have not received auto advancement in the prior two fiscal years</li> <li>• Masters Degree in Research Administration</li> </ul> |

# Overcoming Specialization

Lateral  
Promotion

Promotion

Special  
Assignments


Cradle to  
Grave

Departmental/  
Smaller  
Institutions

Compliance  
Committees

*Possessing only a depth of knowledge would make you an idiot savant, fantastically capable at one thing and helpless in all other matters.*

Dean Carpenter, Hobbyist Physicist



HOW do you keep great  
candidates for the long  
term?





Key motivators for  
remaining in the  
our profession

- Challenge
- Variety of tasks
- Working with intelligent colleagues
- Job security
- Feeling a sense of purpose

Source: Shambrook, J. & Brawman-Mintzer, O. (2007). "Results from the 2007 Research Administrator Stress Perception Survey (RASPerS)." *Research Management Review*. NCURA. Vol. 15. No. 2, pp. 41-52.

# There is no substitute for genuinely caring about your employees.

- Employees who believe their manager cares about them as a person.....
  - Are more likely to be top performers
  - Produce higher quality work
  - Are less likely to be sick
  - Are less likely to change jobs
  - Are less likely to get injured on the job

Source: Rath, T. & Harter, J. (2010). *Well Being: The Five Essential Elements*. Gallup Press: New York.

*True leaders don't create followers....they  
create more leaders.*

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J. Sakiya Sandifer, Author and Entrepreneur

# Contact Information

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