



USM Board of Regents
Committee on Organization and Compensation
February 21, 2019
USM Office – Elkins Building

AGENDA FOR OPEN SESSION

Approximately 9:30 a.m.

Call to Order

Regent Rauch

1. [Convene to Closed Session \(action\)*](#)
2. [Policy Reviews: Policy on Government Relations – IX-1.0 \(action\)](#)
3. [Presidential Search Guidelines \(action\)](#)
4. [Post-Presidential Leave \(discussion\)](#)
5. [Sibson Presentation \(information\)](#)

*Please note: the first item action occurs at 8:30 a.m., prior to the start of the closed session.



BOARD OF REGENTS

SUMMARY OF ITEM FOR ACTION,
INFORMATION OR DISCUSSION

TOPIC: Convening Closed Session

COMMITTEE: Committee on Organization and Compensation

DATE OF MEETING: February 21, 2019

SUMMARY: The Open Meetings Act permits public bodies to close their meetings to the public in special circumstances outlined in §3-305 of the Act and to carry out administrative functions exempted by §3-103 of the Act. The Board of Regents will now vote to reconvene in closed session. As required by law, the vote on the closing of the session will be recorded. A written statement of the reason(s) for closing the meeting, including a citation of the authority under §3-305 and a listing of the topics to be discussed, is available for public review.

It is possible that an issue could arise during a closed session that the Board determines should be discussed in open session or added to the closed session agenda for discussion. In that event, the Board would reconvene in open session to discuss the open session topic or to vote to reconvene in closed session to discuss the additional closed session topic.

ALTERNATIVE(S): No alternative is suggested.

FISCAL IMPACT: There is no fiscal impact

CHANCELLOR'S RECOMMENDATION: The Chancellor recommends that the Committee vote to reconvene in closed session.

COMMITTEE ACTION:

DATE:

BOARD ACTION:

DATE:

SUBMITTED BY: Denise Wilkerson, dwilkerson@usmd.edu, 301-445-1906



STATEMENT REGARDING CLOSING A MEETING
OF THE USM BOARD OF REGENTS
ORGANIZATION AND COMPENSATION COMMITTEE

Date: February 21, 2019
Time: Approximately 8:30 a.m.
Location: Chancellor's Conference Room
Elkins Building
USM Office

STATUTORY AUTHORITY TO CLOSE A SESSION

Md. Code, General Provisions Article §3-305(b):

- (1) To discuss:
 - [X] (i) The appointment, employment, assignment, promotion, discipline, demotion, compensation, removal, resignation, or performance evaluation of appointees, employees, or officials over whom it has jurisdiction; or
 - [X] (ii) Any other personnel matter that affects one or more specific individuals.
- (2) [] To protect the privacy or reputation of individuals with respect to a matter that is not related to public business.
- (3) [] To consider the acquisition of real property for a public purpose and matters directly related thereto.
- (4) [] To consider a preliminary matter that concerns the proposal for a business or industrial organization to locate, expand, or remain in the State.
- (5) [] To consider the investment of public funds.
- (6) [] To consider the marketing of public securities.
- (7) [] To consult with counsel to obtain legal advice on a legal matter.
- (8) [] To consult with staff, consultants, or other individuals about pending or potential litigation.
- (9) [X] To conduct collective bargaining negotiations or consider matters that relate to the negotiations.

FORM OF STATEMENT FOR CLOSING A MEETING

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- (10) [] To discuss public security, if the public body determines that public discussions would constitute a risk to the public or public security, including:
- (i) the deployment of fire and police services and staff; and
 - (ii) the development and implementation of emergency plans.
- (11) [] To prepare, administer or grade a scholastic, licensing, or qualifying examination.
- (12) [] To conduct or discuss an investigative proceeding on actual or possible criminal conduct.
- (13) [] To comply with a specific constitutional, statutory, or judicially imposed requirement that prevents public disclosures about a particular proceeding or matter.
- (14) [] Before a contract is awarded or bids are opened, to discuss a matter directly related to a negotiation strategy or the contents of a bid or proposal, if public discussion or disclosure would adversely impact the ability of the public body to participate in the competitive bidding or proposal process.
- (15) [] To discuss cybersecurity, if the public body determines that public discussion would constitute a risk to:
- (i) security assessments or deployments relating to information resources technology;
 - (ii) network security information, including information that is:
 1. related to passwords, personal identification numbers, access codes, encryption, or other components of the security system of a governmental entity;
 2. collected, assembled, or maintained by or for a governmental entity to prevent, detect, or investigate criminal activity; or
 3. related to an assessment, made by or for a governmental entity or maintained by a governmental entity, of the vulnerability of a network to criminal activity; or
 - (iii) deployments or implementation of security personnel, critical infrastructure, or security devices.

Md. Code, General Provisions Article §3-103(a)(1)(i):

[X] Administrative Matters

TOPICS TO BE DISCUSSED:

1. Mid-negotiation briefings of collective bargaining negotiations at UMCP and TU.

2. Update on status of collective bargaining at USM institutions.
3. Discussion of presidential succession at two USM institutions.
4. Information update regarding athletics employment contracts at BSU, FSU, and UMCP subject to review under BOR VII-10.0 Policy on Board of Regents Review of Certain Contracts and Employment Agreements.
5. Discussion of an Individual's Employment Contract.

REASON FOR CLOSING:

1. To maintain confidentiality regarding collective bargaining negotiations (§3-305(b)(9)).
2. To handle an administrative matter concerning presidential succession planning (§3-103(a)(1)); and
3. To maintain confidentiality of discussion regarding specific employment agreements (§3-305(b)(1)).



BOARD OF REGENTS

SUMMARY OF ITEM FOR ACTION,
INFORMATION OR DISCUSSION

TOPIC: Review of IX-1.0: Policy on Government Relations

COMMITTEE: Committee on Organization and Compensation

DATE OF MEETING: February 21, 2019

SUMMARY: The Committee on Organization and Compensation is charged with reviewing policies relevant to the committee's mission and those of the full BOR on a 4-year cycle.

A redlined version of IX-1.0: Policy on Government Relations is attached for review. This policy outlines the coordination of government relations across the system. Suggested edits to the policy include grammatical corrections, standardization of "Government Relations" vs. "Governmental Relations", and discussion about ambiguous language.

ALTERNATIVE(S): Policy will not be changed.

FISCAL IMPACT: Minimal fiscal impact.

CHANCELLOR'S RECOMMENDATION: The Chancellor recommends that the Committee accept the proposed changes to the Policy on Government Relations.

COMMITTEE ACTION: DATE: February 21, 2019

BOARD ACTION: DATE:

SUBMITTED BY: Denise Wilkerson, dwickerson@usmd.edu, 410-576-5734 or 301-445-1906

IX-1.00-POLICY OF THE BOARD OF REGENTS ON GOVERNMENT~~AL~~ RELATIONS

(Approved by the Board of Regents, November 30, 1988, amended December 9, 2005)

The University System of Maryland ~~wishes~~ intends to have a well coordinated program for government relations. All University personnel are expected to be responsive to inquiries from governmental agencies and to assist in building good understanding and support for the University System of Maryland. In particular, visits by elected officials to the institutions are to be encouraged, and contacts should be used as opportunities to support priorities and policies that have been established by the Board of Regents.

By provisions of the Education Statute, the Chancellor is the Chief of Staff for the Board of Regents and the Chief Executive Officer of the University System. In this dual role, the Chancellor is responsible for the overall direction and supervision of the System under the policies and procedures and direction of the Board of Regents. In consultation with the Presidents, the Chancellor is responsible for recommending Systemwide plans, policies, operating and capital budgets, and other Systemwide matters to the Board, and for ensuring and monitoring compliance with Board policies and procedures. The Chancellor's responsibilities include coordinating relations for the System and its institutions with the Governor, the General Assembly, State agencies, other related officials, ~~Federal~~ federal ~~Government~~ government ~~Officials~~ officials, and the Maryland Higher Education Commission.

The Board of Regents and the Chancellor will provide leadership in setting appropriate expectations of the System and in buffering the institutions from inappropriate intrusion. The establishment of System priorities and coordinating the relationship of the University System to the State government are System functions. All institutional and Systemwide matters requiring consideration and action by other State agencies and officers will be submitted to such agencies and officers by the Chancellor or his or her designee. The Presidents and senior officers of the

System Administration will inform the Chancellor or his [or her](#) designee of significant meetings held with elected and senior appointed government officials. The Office of the Associate Vice Chancellor for Government Relations will assist in institutional relations with legislators and other key officials; when appropriate, a representative of the Office of Government Relations will be invited to participate in meetings with State and federal legislators and their staffs.

STATE RELATIONS FUNCTIONS SHALL BE CARRIED OUT BY SYSTEM AND INSTITUTIONAL EMPLOYEES. THE HIRING OF A REGISTERED LOBBYIST FOR STATE RELATIONS PURPOSES IS PROHIBITED.



BOARD OF REGENTS

SUMMARY OF ITEM FOR ACTION,
INFORMATION OR DISCUSSION

TOPIC: University System of Maryland Guidelines for the Selection of University Presidents

COMMITTEE: Organization and Compensation

DATE OF MEETING: February 21, 2019

SUMMARY: The University System of Maryland maintains guidelines for the selection of USM institutional presidents. This document was initially approved in 1991 and revised last in 2004. Recent searches have largely followed the elements within the guidelines but have adapted to include other practices to facilitate greater stakeholder engagement and a high caliber candidate pool.

ALTERNATIVE(S): The Committee could choose not to approve the suggested revisions.

FISCAL IMPACT: Fiscal impact is to be determined.

CHANCELLOR'S RECOMMENDATION: The Chancellor recommends that the Committee approve the revisions to the Guidelines for the Selection of University Presidents.

COMMITTEE ACTION: DATE: February 21, 2019

BOARD ACTION: DATE:

SUBMITTED BY: Denise Wilkerson, dwilkerson@usmd.edu, 301-445-1906 or 410-576-5734

UNIVERSITY SYSTEM OF MARYLAND

GUIDELINES FOR THE SELECTION OF PRESIDENTS

(Approved by the Board of Regents, January 24, 1991; Revised July 13, 2001;

Revised October 22, 2004, Revised February XX 2019)

Purpose

The purpose of these guidelines is to establish a general procedural framework for the search and selection of university presidents within the University System of Maryland (“USM” or “System”). The Board of Regents (“BOR” or the “Board”) deems it important that there be general consistency in the presidential search and selection process among the institutions of the System. It is recognized, however, that differences in institutional objectives, traditions, and cultures may require some institution-specific variation in search procedures within and consistent with these general guidelines.

Selection and Appointment of Presidents

The final selection and appointment of a university president is, by law, the responsibility and prerogative of the Board of Regents. All other elements of the search process under these guidelines are designed to assist the Board in meeting that responsibility in a manner responsive to the leadership needs of the institution and the System.

To facilitate the recruitment of high caliber candidate pools, searches for USM presidents will be conducted as closed searches, meaning the identity of candidates will not be publicly disclosed during the search process. At the same time, a closed search process should be inclusive and reflect input from the campus and the community in which the campus resides, such that the selection of a president is a product of stakeholder engagement.

Presidential Search Process

The Chancellor will launch the start of a president’s search by meeting with campus stakeholders to discuss the search and to invite nominations for members of the search committee. Thereafter, the Chancellor will appoint a search committee (see below for more information on the search committee composition and responsibilities), with Board review, including a member of the Board of Regents as the Chair of the search committee. The Chancellor may, but is not required to, employ an executive search firm to assist with the process. Once the committee has been established, the Chancellor will give the search committee its charge.

The search committee will develop for itself procedures that will govern the conduct of the search. It should, to the best of its ability, adhere to these guidelines.

The search committee and the executive search firm consultant(s), if applicable, will meet with campus constituents—in groups and individually – to ascertain criteria and skills desired in a new president. In consultation with and subject to the approval of the Chancellor, the search committee will develop a comprehensive leadership profile, which includes information about the campus and, more importantly,

includes a statement of professional qualifications and personal qualities sought in the individual to be selected as president.

The search committee will conduct an intensive and extensive proactive search for qualified candidates, using the search firm (if applicable) and its own contacts and soliciting the assistance of any and all appropriate individuals or organizations internal and external to the institution. Additionally, the committee will undertake major recruitment efforts to include advertising in key national publications and other means to disseminate information about the availability of the position.

The search committee will review and discuss candidate submissions, and then select and interview a group of semi-finalist candidates. Typically, the semi-finalist group includes 6-10 candidates, and the interviews are conducted as "airport interviews" over a period of two days. After these interviews and deliberation on the semi-finalists, the committee should identify three to four finalists from the semi-finalist pool for the Regent's consideration.

Prior to submitting the list of finalists to the Chancellor, the search firm consultant(s) should conduct background and reference checks on each finalist. If a search firm was not utilized in the search process, then the committee must employ a professional reference checker to ensure thorough, consistent, and fair use of sources of references on candidates, including checking references other than those submitted by the candidates.

The committee should submit to the Chancellor the names of the finalists, unranked, together with all relevant information, and a written report of the Committee's assessment of the strengths and weaknesses of each finalist. Following receipt of the report of the search committee, the Chancellor will consult with the committee chair along with the search firm consultant(s) or the professional reference checker (if separate from the search service) and conduct any further reference checks that may be appropriate.

The Office of the Chancellor will arrange for interviews of the finalists by the Chancellor and the Regents. Additionally, the Chair of the search committee will personally brief the Regents and the Chancellor on the work and recommendations of the committee.

Following the interviews of the final candidates, the Regents will hear the recommendation of the Chancellor and either proceed to select the successful candidate or charge the committee to present other names.

Following the Regents' selection, the Chancellor, in consultation with the Chair of the Board and with the advice of the Office of the Attorney General, will negotiate the terms of appointment, compensation, and other details with the successful candidate. Formal appointment by the Board of Regents and public announcement of the appointment will follow.

Search Committee

The search committee will normally consist of 12-15 persons selected by the Chancellor from institutional constituent groups and/or individuals, including faculty, students, administrators, staff, alumni, foundation boards, boards of visitors, and, often, the community in which the institution is situated, in addition to the search committee Chair. The Committee will be composed of a balanced selection of individuals drawn from some or all of these groups. It is essential that the members of the

Committee see themselves and function not as representatives of particular special interest groups, but as members of a team dedicated to a single objective: the identification and recommendation of the strongest possible candidates for the presidency of the institution.

The Chancellor will designate a Chancellor's liaison to the search committee. The function of the Chancellor's liaison is to provide to the committee a direct and immediate source of informed advice as its work proceeds. The Chancellor's liaison is not a voting member of the committee.

Search Committee Staff Support

The Office of the Chancellor will arrange staff support for the search committee. In most cases, the primary staff support for the committee will come from the committee's institution. USM Office staff will assist in such matters as: providing advice and assistance to the Chair of the search committee in handling committee documents and communications; providing assistance in preparing committee reports to the Chancellor; providing liaison between finalist candidates and the Chancellor and Regents in the final stages of the process; and maintaining the permanent records of the search.

Responsibilities of the Search Committee

The primary responsibilities of the search committee are three-fold:

- 1. To develop a broad and deep pool of strong candidates, through a national and proactive search using all available means;**
- 2. To select from that pool, with care, deliberation, and thoroughness, a group of no fewer than three and (usually) no more than five finalist candidates to be recommended to the Regents, unranked.**
- 3. To adhere to a strict code of confidentiality.**

In meeting its primary responsibilities, the Committee will:

- Agree on a statement of professional qualifications and personal qualities sought in the individual to be selected as president, in consultation with and subject to the approval of the Chancellor.
- Review the evolving role of a university president in today's environment and develop a set of criteria that recognizes and encourages traditional academic candidates as well as non-traditional candidates.
- Ensure that the search is demonstrably conducted in a manner consistent with both the letter and the spirit of relevant equal opportunity and diversity policies and requirements.
- Screen candidates fairly and consistently, using evaluative criteria based on the professional qualifications and personal qualities sought.
- Maintain confidentiality during the entire process to protect the candidates, the integrity of the process, and the interests of the institution. Only the University System Office at the direction of the Chancellor or the Chancellor's designee should disclose information about the status of the search.

Duration of Searches

It is extremely important that a search be conducted expeditiously, in order to protect the candidate pool and the semi-finalist and finalist groups from erosion by competing searches at other institutions, and to impress upon candidates the seriousness and professionalism with which the search is

conducted. Every effort must be made to avoid the deleterious consequences that can accompany a lengthy search process. The Regents expect that a search for president should normally lead to the appointment of a president within six months following the initiation of the process with the first meeting of the search committee. This means that the work of the Committee should normally extend over no more than six to nine months. It is recognized that the nature of the academic calendar or other circumstances may in some cases compel extending the search period.

Costs of the Search

Costs of a search will normally be borne by the institution for which the search is conducted.

DRAFT



BOARD OF REGENTS

SUMMARY OF ITEM FOR ACTION,
INFORMATION OR **DISCUSSION**

TOPIC: Post-Presidency Leave

COMMITTEE: Organization and Compensation

DATE OF MEETING: February 21, 2019

SUMMARY: One of the benefits extended to University System of Maryland (USM) presidents at the time of hire is the opportunity for sabbatical leave at the termination of their presidential appointment. The USM does not have a stand-alone policy on post-presidential leave and relies upon faculty-oriented policies to govern this benefit. Current practice includes a provision in appointment letters that presidents who have been awarded tenure and who have completed at least six years of service are eligible to apply for sabbatical leave under University System of Maryland Board of Regents Policy II-2.00, Policy on Sabbatical Leave for Faculty. Presidents with tenure who have not met the years of service requirement under II-2.00 may, at the discretion of the Board, be awarded Transitional Terminal Leave at the end of their presidential appointment under Board of Regents Policy II-2.10, Policy on Transitional Terminal Leave for Faculty.

Nationally, changing trends in both the tenure of presidential terms and the paths to the presidency suggest the need for the Board to examine the matter of USM post-presidential leave. The length of time in which university presidents serve is decreasing. A widely cited study by the American Council on Education (2016) found that university presidents served on average 8.5 years in office a decade ago compared to 6.5 years on average in 2016.

Additionally, the paths from which individuals arrive at the presidency are becoming less traditional. Presidents typically have come from within traditional faculty ranks, many already having earned tenure at some point in their careers. Increasingly, the career paths of today's presidents are becoming more diverse as higher education administrators and business leaders and public servants outside academia are assuming presidencies. There is no clear path under current BOR policies to providing leave to former presidents who are not tenured.

The Board should discuss its current approach to providing post-presidential sabbatical and whether it should develop a policy specific to presidents that supports current practice and considers the aforementioned changing trends. Questions for consideration include:

- A. What are the reasons for offering leave?
- B. Under what circumstances should a post presidency leave be offered? Does it matter whether the individual will be returning to another University position or ending all USM employment?
- C. If the Board supports a post-presidency leave, how long a period of leave should be offered, and should the length of the leave be tied to length of service as president?
- D. Should USM try to "fit" leave into existing policies, or create a new category for leave following a presidency or chancellorship?

- E. What are the tax considerations involved in leave arrangements, e.g., continuing obligation to provide substantial services on behalf of the employer related to Section 409A concerns and eligibility for employment-based fringe benefits?
- F. What are the relevant polices and regulations should be considered?

ALTERNATIVE(S): The Committee could choose not to discuss the topic.

FISCAL IMPACT: Fiscal impact is to be determined.

CHANCELLOR'S RECOMMENDATION: The Chancellor recommends that the Committee discuss post-presidency leave.

COMMITTEE ACTION: DATE: February 21, 2019

BOARD ACTION: DATE:

SUBMITTED BY: Denise Wilkerson, dwilkerson@usmd.edu, 301-445-1906 or 410-576-5734



BOARD OF REGENTS

SUMMARY OF ITEM FOR ACTION,
INFORMATION OR DISCUSSION

TOPIC: Sibson Presentation

COMMITTEE: Organization and Compensation

DATE OF MEETING: February 21, 2019

SUMMARY: Sibson Consulting will be presenting information on presidential performance evaluation, succession planning, and leadership development at this meeting.

ALTERNATIVE(S): This is an information item.

FISCAL IMPACT: No direct fiscal impact at this time.

CHANCELLOR'S RECOMMENDATION: This is an information item.

COMMITTEE ACTION: DATE: February 21, 2019

BOARD ACTION: DATE:

SUBMITTED BY: Denise Wilkerson; dwilkerson@usmd.edu; 301-445-1906 or 410-576-5734



The University System of Maryland

PRACTICES IN PRESIDENTIAL EVALUATION AND DEVELOPMENT

Report to the Committee on Organization and Compensation

February 21, 2019

Introduction

- The University System of Maryland (USM) engaged Sibson to conduct a custom study to understand the various approaches to presidential assessment at other public university systems and large research institutions
- Additionally, USM was interested in developing a succession planning process across the system. Sibson presented a seminar on succession planning on September 11, 2018, which resulted in USM's desire to create a development program for campus Presidents. The Board of Regents has asked Sibson to research practices in leadership development for the purposes of succession
- Sibson conducted discussions with nine systems and institutions to understand their:
 - Current presidential evaluation process (including goal setting, tools and technology, governance, etc.)
 - Development programs and succession for senior leadership roles
- Sibson also conducted broader research on leadership development / succession planning in higher education, including interviews with over a dozen institutions and a review of published research and publicly available information

Themes from 2016 Study on Presidential Compensation

Sibson’s interviews with USM Presidents in 2016 resulted in the following feedback regarding the existing goal-setting and evaluation process:

Current USM Practice	USM President Perceptions
<ul style="list-style-type: none"> • Committee on Organization & Compensation is responsible for overseeing Chancellor’s annual performance evaluation • The Chancellor presents to the Committee his performance evaluation of each President • Goals (aligned with system priorities) are developed by Presidents at the beginning of each fiscal year and are reviewed and agreed upon by the Chancellor • Goal setting formats and details are generally left to the Presidents’ discretion and practices vary greatly • Mid-year reviews are conducted, primarily via reports and email; meetings are held when needed or requested • Presidents develop end-of-year reports on goal achievement; feedback provided via in-person meetings • System staff spend considerable time consolidating and summarizing Presidential reports of varying length and detail, for review / presentation to the Committee • USM also conducts a review of a President’s first five years, which includes a Presidential self-assessment and outside reviewers 	<ul style="list-style-type: none"> • There was general satisfaction with the current process • Satisfaction with the flexibility and autonomy that allows Presidents to develop their own goals in their preferred format. While viewed as positive by most Presidents, the individualized formats and differing level of detail among the twelve Presidents increases the time required for review, evaluation, and calibration within the System office • Mid-year reviews (i.e., status updates, typically conducted via email / phone) and end-of-year performance evaluations were generally perceived to be frank and productive • In most cases, compensation outcomes are provided via e-mail or a letter. Some Presidents desired a face-to-face meeting with the Chancellor to receive and discuss feedback. That said, Presidents generally felt the Chancellor was available, if needed • Those that have undergone a five-year review have found it a constructive process, with no recommendations for changes

1. Presidential Performance Evaluation

2. Leadership Development in Higher Education

Features of Presidential Assessments

1. **Process:** Approach includes:
 - Who leads / facilitates the assessment
 - Who provides input
 - How performance information is gathered and summarized
 - How results are disseminated
 - What impact the results have on other areas such as compensation
 - Timeframe
2. **Self-Assessment:** President's assessment against agreed-upon criteria or goals
3. **Evaluation:** Evaluator's review of the self-assessment as well as their own assessment of the President's performance
4. **Communication:** Dialog between the President and evaluator(s) to review the assessment and provide feedback on the President's performance
5. **Goal Setting:** Setting and prioritization of objectives for the subsequent year(s)

The format and structure of the assessment is influenced by variables such as Board structure, Presidential leadership style, longevity in office, and institutional culture.

Presidential Evaluation—Best Practice

Presidential assessment includes two components; an annual review and comprehensive review that is conducted less frequently

	1. Annual Review	2. Comprehensive 360 Review
Purpose	<ul style="list-style-type: none"> • Ensure President and Board alignment • Assess performance on a regular basis and/or annual goals • Maintain systematic communications • Clarify short-term institutional goals 	<ul style="list-style-type: none"> • Conduct broad and detailed review of the President’s overall effectiveness and performance against longer-term strategic priorities (i.e., time adds perspective) • Clarify longer-term institutional goals and priorities • Prepare for contract renewal
Involved Parties	<ul style="list-style-type: none"> • Compensation Committee • President/Chancellor • Select group of direct reports • Select group of Trustees • Independent third party / advisor to lead the process (optional) 	<ul style="list-style-type: none"> • Board and Compensation Committee • President/Chancellor • Variety of diverse stakeholders from a cross-section of the campus community and external constituencies (as appropriate) • Most (or all) Trustees • Independent third party/advisor to lead the process
Timeframe	<ul style="list-style-type: none"> • 1 – 2 months 	<ul style="list-style-type: none"> • 3 – 4 months (every 3 – 5 years)

What to Do and What Not to Do

To Do

- ✓ Include President in shaping the process
- ✓ Focus evaluation on the wider organizational context in which the President operates
- ✓ Establish clear goals, expectations, and metrics developed by the President and endorsed by the Board
- ✓ Bring a developmental rather than judgmental attitude to the process (i.e., learn from mistakes and failures)
- ✓ Evaluate the past; focus on the future
- ✓ Evaluate not just attainment of goals, but the President's approach (i.e., conduct, communications, tone, style, etc.)

Not to Do

- ✗ Initiate a review in response to a crisis or special event
- ✗ Rush the process
- ✗ Develop major process changes without input from participants
- ✗ Breach confidentiality
- ✗ Replicate staff and/or faculty approach
- ✗ Rely on formulaic, "check the box" forms that don't allow for open-ended, narrative responses

All but one participant in the study mentioned recent or upcoming changes, whether to their annual and/or comprehensive evaluation. We expect executive performance assessment to continue becoming more sophisticated, especially as the use of incentive pay increases (i.e., requires goal setting and measurement).

Presidential Performance Evaluation Practices in Higher Education¹

The American Council of Education, in 2017, published a study of American College and University Presidents.

	2011 Study Results	2016 Study Results
Do you have a formal annual performance evaluation?		
Yes	87.3%	90.9%
No	12.7	9.1
What is the frequency of your formal annual performance evaluation?		
Annual	N/A	88.4
Every two years		4.8
Every three years		4.3
Every four years		0.6
Every five years		2.0
Who performs your formal performance evaluation?		
Board chair	14.0	16.4
Board or sub-committee of board	60.3	55.6
Independent/outside consultant	0.4	1.3
System head (institution only)	20.3	21.3
Other head	5.0	5.4

¹ American College President Study, 2017, American Council of Education. The data reflect responses from 1,546 presidents, chancellors, and CEOs at public, private not-for-profit, and private for-profit institutions of various types.

Introduction to Custom Study

- The following pages summarize chief executive (i.e., the President or Chancellor of a system or campus) performance evaluation processes and practices at peer systems/institutions. The in-scope population for this study are chief executive officers systems as well as individual campuses
- Sibson facilitated phone conversations with nine peer systems/institutions in December 2018 and January 2019, focusing on the following topics:
 - Types of reviews (e.g., annual versus comprehensive)
 - Roles and responsibilities
 - Goal setting process and measures
 - Tools and technology
 - Linkages to compensation
 - Succession planning and leadership development

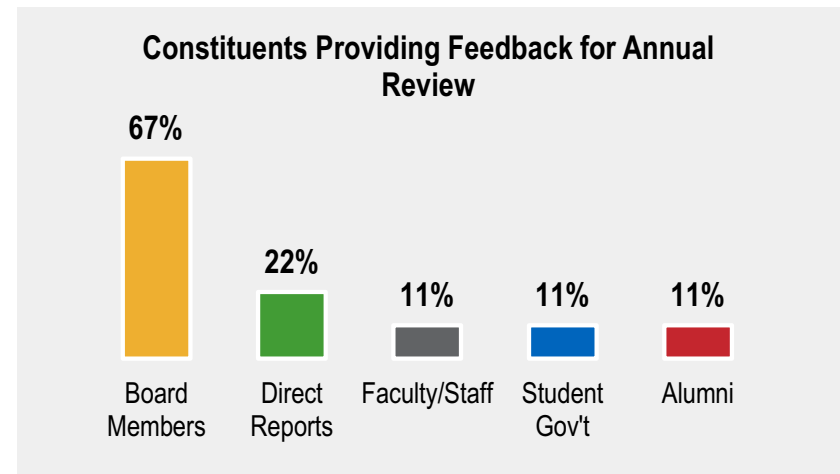
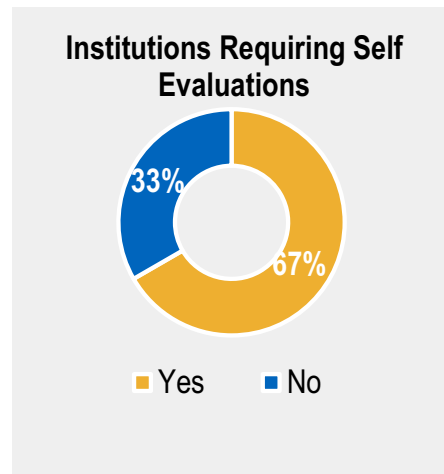
Participating Systems/Institutions

- University of California System
- University of Colorado System
- University of Illinois System
- University of Massachusetts System
- University System of New Hampshire
- The Ohio State University
- The Pennsylvania State University
- University of Tennessee System
- The University of Vermont

All but one participant in the study mentioned recent or upcoming changes, whether to their annual and/or comprehensive evaluation.

Annual Evaluation

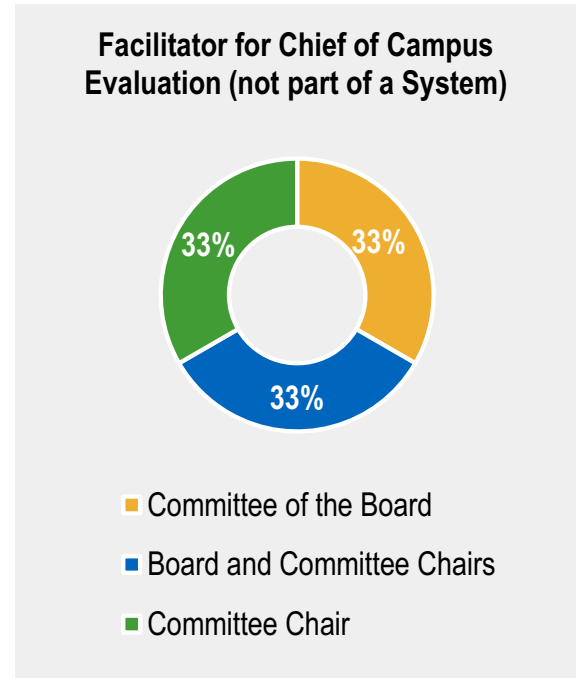
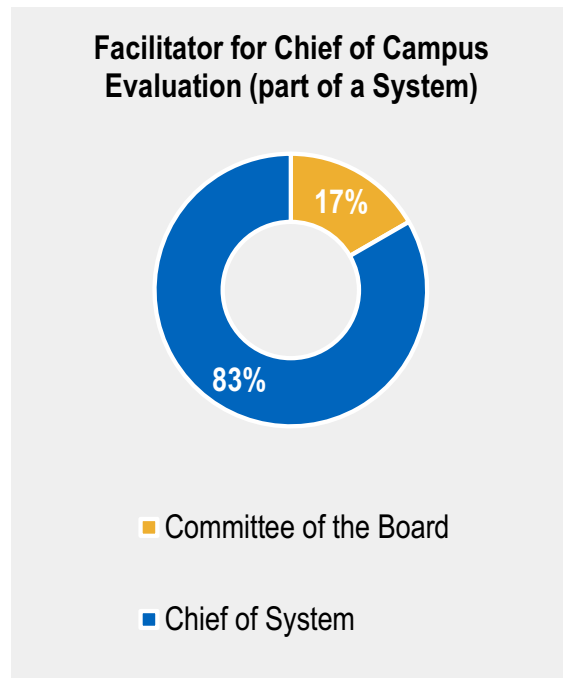
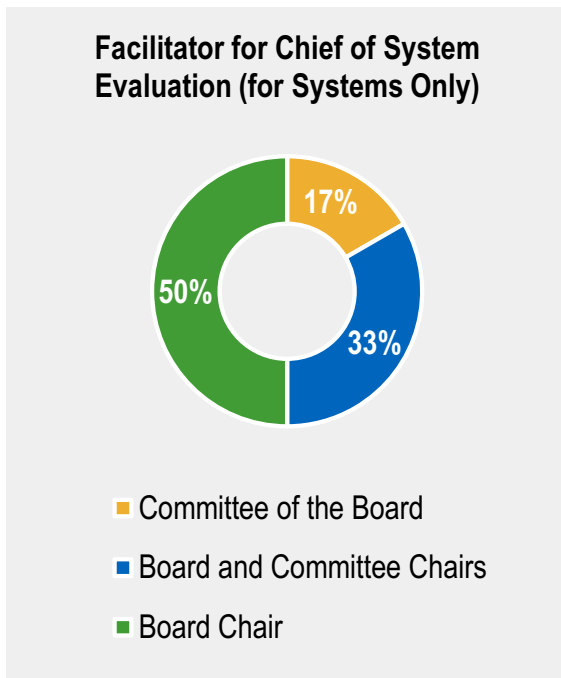
- All institutions conduct an annual review of their Chief Executives for both the system and campuses¹
- In most instances, these reviews begin with a self-evaluation that is provided to the reviewer. This is typically a **narrative** review of goals and objectives from the previous year, allowing for customization by the chief executive; approximately one-third complete a directive template for their self-evaluation
- Two-thirds of institutions gather feedback from board/committee members; 22% gather feedback from direct reports. All institutions solicit feedback through interviews, with 22% also utilizing online surveys
- 55% of participants produce a written report, although that document is typically not made public. The remaining institutions communicate the evaluation results verbally to the board/committee



¹ According to an Association of Governing Boards (AGB) survey, approximately nine out of ten presidents undergo a formal review annually, usually comparing their objectives with achievements over the course of the year.

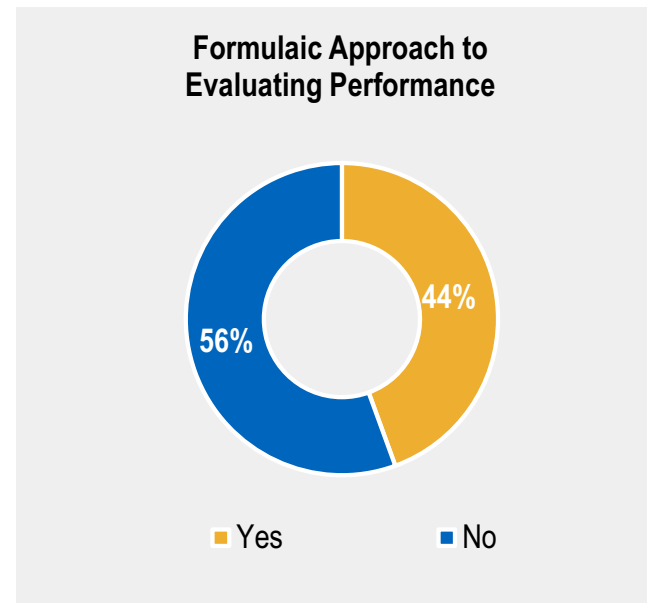
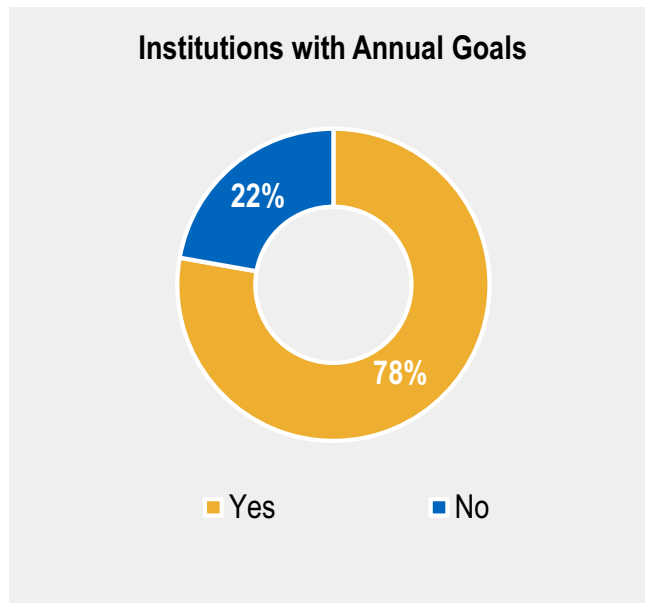
Roles and Responsibilities

- The chair of the board is most commonly responsible for the annual evaluation of the Chief Officer of the System (COS). In other cases, a committee chair or full committee are responsible
- For the Chief of the Campus (COC) annual evaluation, the facilitator mimics the reporting relationship. For institutions where the COC reports to the Chief of the System (COS), the COS is the facilitator



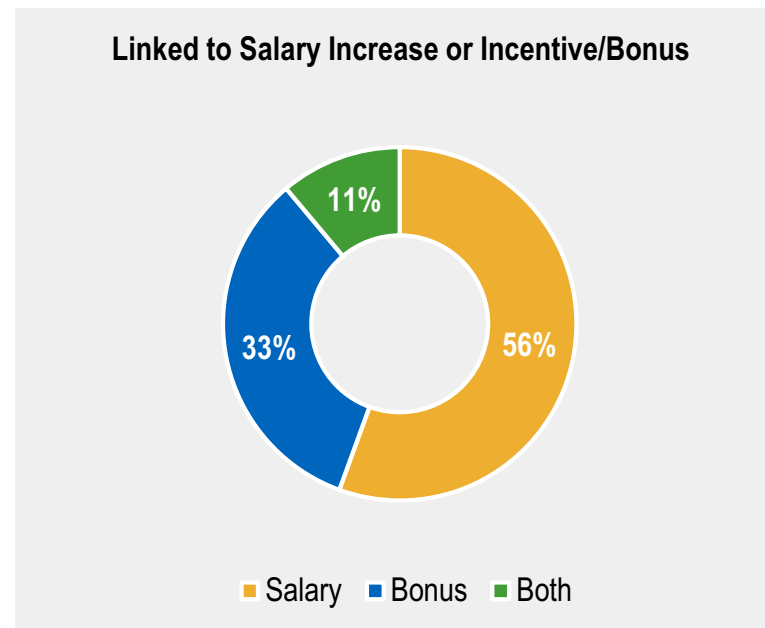
Goals and Performance

- For the annual evaluation, performance for almost 80% of institutions is focused around a set of goals, which are typically derived from the institution's strategic plan and are a blend of quantitative and qualitative
 - Quantitative: financial, enrollment, fundraising
 - Qualitative: professional leadership, cultural development, board relations
- Behavioral competencies are sometimes included in the annual review, but are more common in the comprehensive evaluation
- More than half of institutions have a more discretionary, rather than formulaic, evaluation of annual performance against goals



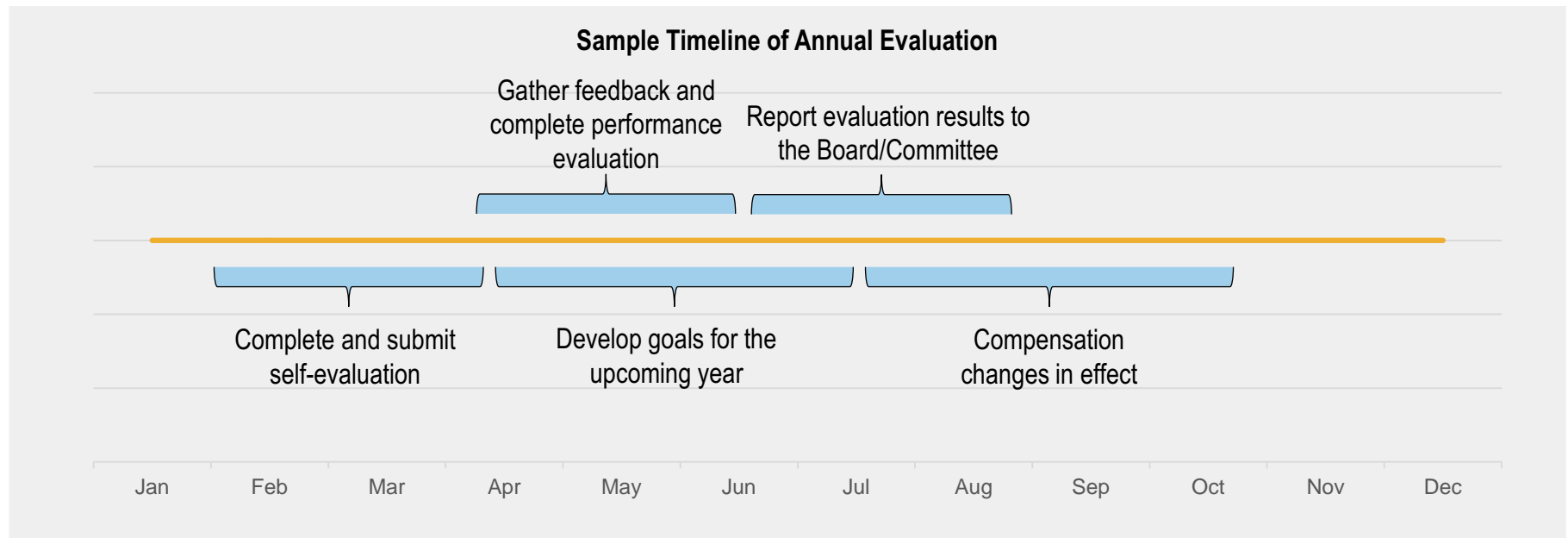
Linkages to Compensation

- 100% of institutions use the annual performance evaluation to determine annual salary increases and/or incentive/bonus payouts
- Fewer than half of institutions take a formulaic approach in determining the salary increase or bonus payout. For most, the decision is discretionary and takes into account a comprehensive view of the evaluation
- For most of the participants who link the assessment only to bonus payouts, the salary for the coming year is already defined in the contract



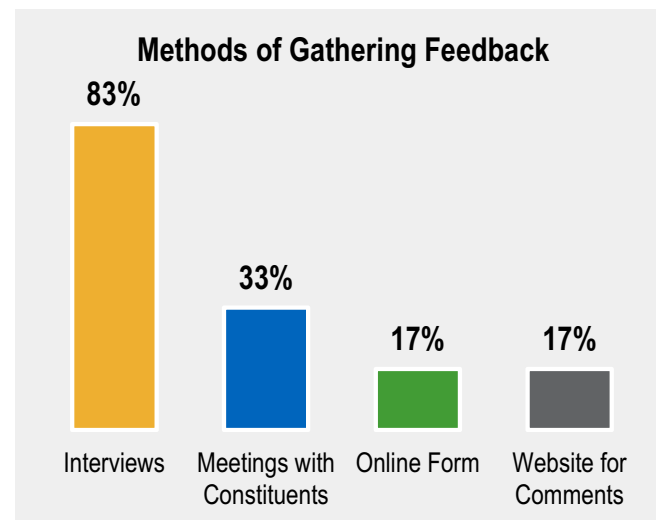
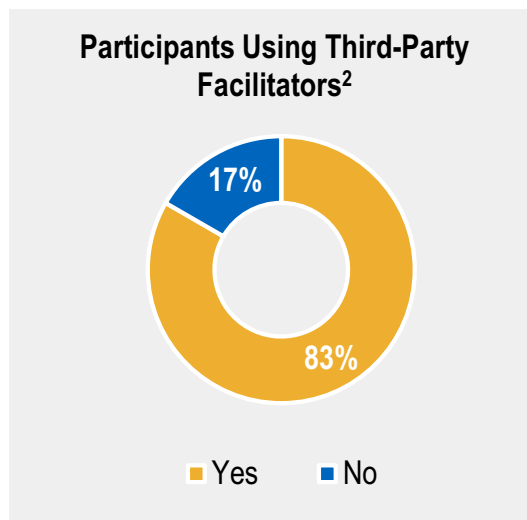
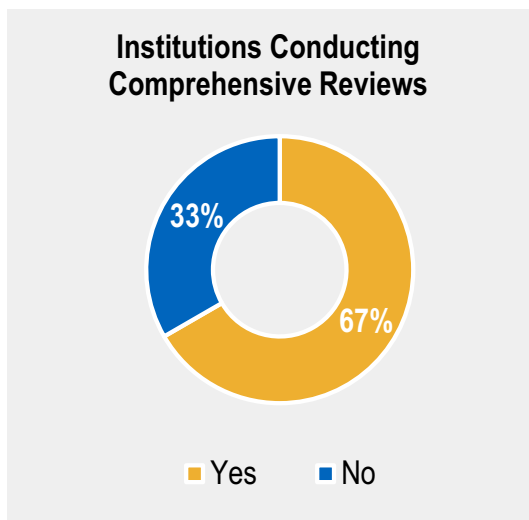
Annual Evaluation Steps and Timing

- **Self-Evaluation:** Complete and submit self-evaluation from February – April
- **Goal-Setting:** Develop goals for the upcoming fiscal/academic year in April – July
- **Performance Evaluation:** Gather feedback and complete performance evaluation from April – June
- **Report to the Board/Committee:** Prepare and present final report in June – August
- **Compensation Results:** Salary increases or bonus payouts occur July – October



Comprehensive Evaluation

- Two-thirds of the participants conduct a comprehensive evaluation, typically every 3 to 5 years. The focus of these reviews is on the executive’s long-term performance, alignment with institutional values, development needs, and overall effectiveness¹
- For institutions with comprehensive evaluations, more than 80% use a third-party facilitator to conduct the interviews, compile findings, and present to the board/committee. While reports may be developed (either written or verbal) these are usually not made public
- Feedback is gathered from multiple stakeholders typically reaching wider cross-section of the community than the annual evaluation; including faculty, staff, students, government and business constituents, and alumni through interviews, surveys, and website commentary/submissions



¹ According to an Association of Governing Boards (AGB) survey, only about half undergo a comprehensive or 360-degree review every three to five years, which is best conducted by an experienced outsider, such as a former president.

² This is only including those that conduct a comprehensive evaluation.

Prospective Considerations for USM Discussion

Presidential Performance Evaluation

Comprehensive Evaluation

- **Timeframe:** 3 years or 5 years
- **Focus:** Long-term performance, alignment with institutional values, competency/development needs
- **Facilitation Lead:** Chancellor, Chair of O&C Committee, Board Chair / Vice Chair, or independent third party (recommended)
- **Evaluation Criteria:** Typically include the following:
 - Building and sustaining relationships with various constituents inside / external to the University
 - Support / alignment with institutional values / culture
 - Ability to lead positive, meaningful change
 - Specific institutional issues/priorities
 - Competencies and behaviors
- **Stakeholders Providing Feedback:** All regents, variety of diverse stakeholders from a cross-section of the campus community and external constituencies
- **Method(s) of Gathering Feedback:** Interviews, open sessions, focus groups, survey, website

1. Presidential Performance Evaluation

2. Leadership Development in Higher Education



Leadership Development and Presidential Succession

- Interviews from the nine systems/institutions yielded the following insights on leadership development:
 - Most expressed an interest in succession planning, but none had formal succession planning processes in place¹
 - Two institutions established leadership development programs or institutes to further develop those below the chief executive level
 - Fellows program that provides academic leadership experience for distinguished faculty; retreat for newly appointed senior leaders; both programs include development of leadership skills and collaboration with colleagues across campus
 - Institute for leaders aimed at preparing members to assume executive roles; includes skill building, mentorship and coaching, and learning through hands-on experiences
- Additionally, Sibson recently conducted a study on succession planning in higher education and found that the prevalence of such programs is low. In speaking with 17 institutions, only two had a formal succession planning process and neither were Board-sponsored and governed. The programs were developed for senior leadership, key contributor, and faculty positions

While succession planning is not prevalent in higher education, leadership development occurs on a more frequent basis.

¹ According to the American Council on Education's American College President Study (2017), only 24% of Presidents reported that their institution or system had a presidential succession plan. Presidents of doctorate-granting universities were the least likely to report having a succession plan (16%), followed by associate colleges (21%), master's institutions (23%), bachelor's colleges (24%), and special focus institutions (37%).

Introduction to Presidential Development

- While the provost's office has long been the most frequent stopover point on the way to the presidency, the paths prospective presidents now take are becoming more complex, fragmented, and overlapping. Academic deans are increasingly moving right to the top job and bypassing the provost's office altogether. This is particularly the case at small colleges, where the institution as a whole is akin to the dean's job at a large university¹
 - 53% of sitting presidents came up through traditional ranks (~half directly through the Provost role, ~20% directly from Dean role)
 - 47% moved in and out of institutions (of these ~ one fifth directly from Provost Role, ~one fifth directly from Dean)

- Who is promoted from within their own institution?²
 - ~1 in 4 new presidents of *public doctoral* granting institutions come from within their own institution, while 1 in 3 new presidents of *private doctoral* granting institutions come from within their own institution
 - ~1 in 5 new presidents of *public master's* degree granting institutions come from within their home institutions, while 1 in 4 new presidents of *private master's* degree granting institutions come from within their own institutions

¹ Pathways to University Presidency, Deloitte/Georgia Tech's Center for 21st Century Universities study – 840 CV's of Presidents, Deloitte University Press, 2018.

² The American College President, ACE and TIAA Institute, 2017.

The Presidential Career Path¹

- In 2016, 58% of sitting presidents have worked outside of higher education (63% in 2006, 48% in 2011)
- The average age has increased from ~60 in 2006 to ~62 in 2016, with a decrease in average years in present job from 8.5 to 6.5

	2001 Study Results	2006 Study Results	2011 Study Results	2016 Study Results
Immediately Prior Position				
President/CEO/interim president/CEO system	20.4	21.4%	19.5%	23.9%
CAO or provost/other senior executive in academic affairs/dean	40.8	43.8	44.7	42.7
Other senior campus executive	19.7	17.3	11.9	16.3
Chair/faculty	4.4	4.1	3.5	2.1
<i>Inside higher education total (from above)</i>	85.3	86.9	79.6	85.0
<i>Outside higher education</i>	14.7	13.1	20.3	15.0
Average				
Age (in years)	N/A	59.9	60.7	61.7
Years in present job	N/A	8.5	7.0	6.5

¹ American College President Study, 2017, American Council of Education. The data reflect responses from 1,546 presidents, chancellors, and CEOs at public, private not-for-profit, and private for-profit institutions of various types.

Presidential / Executive Competencies

What are the presidential competencies and traits needed for success in the role?

- An ongoing study by AASCU identifies four domains of knowledge skill and ability needed by presidents to be successful¹:
 - **Management Competencies:** managing academic enterprise, business enterprise, resources, communication, engagement, relationships, climate
 - **Leadership Competencies:** problem-solving, people/team development, strategic vision, managing adversity
 - **Personal Characteristics:** integrity, servant leader, self-development, resilience
 - **Additional:** achievement orientation, positive expectations

- In addition to competencies related to these general domains, the American Council on Education's ongoing study of the American College President identifies presidential requirements for functional competencies in the following areas²:
 - Student learning
 - Budget and financial management
 - Fundraising
 - Capital improvement
 - Enrollment management

¹ Competencies for State Colleges and University Presidents American Association of State Colleges and Universities (AASCU), 2016.

² The American College President, ACE and TIAA Institute, 2017.

Optimal Program Elements for Higher Education Executive Leadership Development

Based on our research on higher education executive leadership development¹, a number of optimal design elements are needed to produce tangible growth:

- University leaders and faculty experts as key presenters and facilitators
- Cohort model with moderate class size (20-35)
- 9-12 months duration
- Minimum 2-3 back-to-back, in-person sessions, ongoing programming
- Assessment tool(s)
- Coaching and mentoring/peer coaching
- Clearly-defined nomination and selection process
- Clear theoretical foundation
- Examples, tools, cases that stimulate application to real life situations
- Built-in reflection practices
- Team projects
- Multiple evaluation approaches to assess pre-, mid-, and post-session experiences
- Observable qualitative and quantitative program outcomes

We identified at least five public programs² who utilize these program elements to develop potential presidents and senior leaders:

- Executive Leadership Academy (Co-Sponsorship: CIC, AASCU, AALI)
- HERS Institute: Higher Education Leadership Development Program (HERS)
- ACE Fellows Program (ACE)
- The Senior Leadership Academy (AALI)
- Executive Certificate in Transformational Leadership (Georgetown University)

¹ Council of Independent Colleges (CIC), American Association of State Colleges and Universities (AASCU), American Academic Leadership Institute (AALI), American Council on Education (ACE).

² See Appendix for program details.

Prospective Considerations for USM Discussion

Presidential Leadership Development

- Develop the business case
- Identify possible candidates, assess interest
- Pursue buy or build development strategies
- Build required processes
 - Program ownership
 - Cost/financing
 - Communication
 - Selection of participants
 - Content development and presentation
 - Outcome tracking

Appendix

- 1. Performance Evaluation Considerations for New Program Design**
- 2. Leadership Development Program Inventory**
- 3. Succession Planning Research Findings**



Considerations in Developing a New Presidential Performance Evaluation Program

Area	Perspectives / Alternatives / Recommendations
<p>1. Evaluation Criteria: “How to identify the appropriate assessment criteria?”</p>	<ul style="list-style-type: none"> • Chancellor and Committee collaborate to identify evaluation criteria • Criteria should be specific to the institution and typically include the following: <ul style="list-style-type: none"> – Linkages to strategic plan – Building and sustaining relationships with various constituents inside / external to the University – Performance in several functional areas of responsibility (e.g., finances, fundraising, planning) – Support / alignment with institutional values / culture – Ability to lead positive, meaningful change – Specific institutional issues/priorities • Presidents provided with key categories for goals, draft and review with Chancellor, approved by the O&C Committee, and communicated to the Board
<p>2. Process Facilitation: “What is involved in the facilitation process and who should lead it?”</p>	<ul style="list-style-type: none"> • Functions of the facilitation lead include: <ul style="list-style-type: none"> – Preparing data collection materials / questionnaire – Conducting / facilitating stakeholder interviews (individual or group) – Summarizing feedback – Presenting results to the Committee • Facilitation lead alternatives: <ul style="list-style-type: none"> – Annual: Chancellor, Independent third party, Chair of O&C Committee, Board Chair / Vice Chair – Comprehensive: Independent third party (recommended)

Considerations in Developing a New Presidential Performance Evaluation Program *continued*

Area	Perspectives / Alternatives / Recommendations
<p>3. Stakeholders / Participants: “Who should be involved in providing feedback?”</p>	<ul style="list-style-type: none"> • Annual: <ul style="list-style-type: none"> – Self-evaluation from Presidents – Chancellor – Board Chair, Vice Chair, O&C Committee members – Key direct reports (e.g., F&A, academic affairs, development/alumni relations, general counsel) • Comprehensive: In addition to the annual process <ul style="list-style-type: none"> – All Trustees – All direct reports – Other constituents as appropriate (e.g., deans, faculty, staff, alumni)
<p>4. Data Collection: “How should performance assessment information be collected?”</p>	<ul style="list-style-type: none"> • Data collection techniques <ul style="list-style-type: none"> – Self-assessment – Questionnaire (free-form responses) – Interviews – Focus groups • Standard framework for goal-setting and reporting creates consistency and decreases the time required to aggregate and evaluate performance; incorporate System-wide goals, campus specific goals, System scorecard metrics, and potentially behaviors and competencies • Committee generally intimately involved (especially for comprehensive review) • Trustees generally prefer to see their own unfiltered feedback • Preference for rating scales or thematic feedback?

Considerations in Developing a New Presidential Performance Evaluation Program *continued*

Area	Perspectives / Alternatives / Recommendations
<p>5. Dissemination of Results: “What information should be communicated regarding the evaluation process and/or results?”</p>	<ul style="list-style-type: none"> ● Process facilitation lead provides written narrative report of results to Chancellor and O&C Committee ● O&C Committee Chair or Chancellor shares and discusses results with full Board ● Process may differ based on annual vs. comprehensive review ● Communication outside of the Board, the Chancellor, and the Presidents is not recommended
<p>6. Pay Linkages: “How will the results of the evaluation impact the Presidents’ compensation?”</p>	<ul style="list-style-type: none"> ● To what extent should the outcomes impact base salary increases? ● Formulaic or discretionary? ● To the extent USM explores/implements variable pay in the future, the performance evaluation process will need to support it

Appendix

1. Performance Evaluation Considerations for New Program Design
- 2. Leadership Development Program Inventory**
3. Succession Planning Research Findings



Public Leadership Development Programs for Future Presidents of Higher Education Institutions

Host Organization	Program	Duration	Description	Comments
Council of Independent Colleges (CIC) cosponsored with American Association of State Colleges and Universities (AASCU) and (AALI)	Executive Leadership Academy (ELA)	One year	Prepares experienced provosts and vice presidents to become successful presidents or move up to positions of greater responsibility.	<ul style="list-style-type: none"> Approximately 40 cabinet officers per cohort; drawn from all divisions of the institution Since 2010, ~25% achieved President/Chancellor, most within 5+ years
American Council on Education (ACE)	ACE Fellows Program	One year	A customized learning experience that enables participants to immerse themselves in the study and practice of leadership and experience the culture, policies, and decision-making processes of another institution.	<ul style="list-style-type: none"> Since 1965, nearly 2,000 vice presidents, deans, department chairs, faculty, and other emerging leaders have participated
American Academic Leadership Institute (AALI)	The Senior Leadership Academy (SLA)	One year	SLA prepares mid-level administrators for senior leadership positions at the presidential cabinet level in independent colleges and universities. Up to 40 participants from CIC member institutions, nominated by their institution's president or vice president.	<ul style="list-style-type: none"> AALI provides leadership identification, development, and support programs across all sectors of public and private higher education. For nearly 10 years, AALI has earned acclaim as the nation's leading nonprofit organization committed to leadership development in higher education.

Public Leadership Development Programs for Future Presidents of Higher Education Institutions *continued*

Host Organization	Program	Duration	Description	Comments
The HERS Institute	HERS Institute: Higher Education Leadership Development Program	12-day residential	Transformational leadership development program for women in higher education, founded to fill leadership pipelines across the United States with dynamic women.	<ul style="list-style-type: none"> • Approximately 60–70 program participants, • Designed for women (both faculty and staff) who generally hold mid-to-senior level positions in higher education
American Association of Blacks in Higher Education (AABHE)	Leadership and Mentoring Institute (LMI)	1 day	The Institute is an effort to help professionals acquire the requisite information and skills to prepare for senior administrative and faculty positions.	<ul style="list-style-type: none"> • Foremost concern is improving the educational leadership pipeline responsible for training, sustaining and advancing Blacks in higher education
American Association of State Colleges and Universities (AASCU) Supported by TIAA	Millennium Leadership Initiative Institute (MLI)	3.5 days	<p>Prepare, enhance, and advance the prospect for qualified candidates, who have progressed in their professional careers, to compete successfully for positions of president or chancellor at universities or colleges, public or private.</p> <p>The MLI experience allows participants to determine if the presidency is a realistic goal and affords them the opportunity to develop skills, gain a philosophical overview, and build the network to compete for, and attain, the position of college or university president or chancellor.</p>	<ul style="list-style-type: none"> • Originally conceived by AASCU's African-American presidents to ensure that the next generation of leaders in higher education reflects the diversity of our nation. The program identifies African-American, Hispanic, Latino, Asian and Pacific Islanders in senior-level positions who are interested in career advancement and helps them achieve that goal. MLI, however, accepts all qualified applicants who meet the requirements. • 570 program graduates since 1999, with over a third advancing significantly in their careers; 104 graduates appointed a presidency or chancellorship

Public Leadership Development Programs for Future Presidents of Higher Education Institutions *continued*

Host Organization	Program	Duration	Description	Comments
American Association of Hispanics in Higher Education (AAHHE) and University of Michigan School of Education National Forum	New Leadership Academy (NLA) Fellows Program; includes Summer Leadership Institute	Six months; five day program to start	Residential sessions consist of 4-5 day Leadership Institute at the University of Michigan where NLA Fellows will work in teams with a highly experienced leadership coach to engage in learning modules related to leading for diversity, equity and inclusion in higher education. Fellows then participate in tailored programs and activities, which include online learning modules and discussions, and written reflections, and coaching sessions throughout the six month program.	<ul style="list-style-type: none"> • N/A
American Council on Education (ACE)	Women's Network Executive Council	Network; supports national and regional forums	A national system of networks within each state, Puerto Rico, and the District of Columbia with the goal of advancing and supporting women in higher education. Each state network is led by a state chair who works with institutional representatives and at least one presidential sponsor to develop programs that identify, develop, encourage, advance, link, and support (IDEALS) women in higher education careers within that state.	<ul style="list-style-type: none"> • This collaborative, multi-association initiative seeks to increase the number of women in senior leadership positions in higher education through programs, research, and resources

Public Leadership Development Programs for Future Presidents of Higher Education Institutions *continued*

Host Organization	Program	Duration	Description	Comments
Harvard University Graduate School of Education	Seminar on Advancement Leadership	2.5 days	Designed to help college and university presidents, chancellors, and chief advancement officers address critical strategic questions about the institutional advancement function and their role within it.	• N/A
Harvard University Graduate School of Education	Institute for Educational Management (IEM)	9-day executive education program	Help enable experienced, senior-level higher education leaders to articulate a compelling institutional vision, to foster meaningful and enduring institutional growth, and to address the issues and make decisions that drive positive organizational change and innovation.	• N/A

Leadership Development Programs for Newly Appointed Presidents

Host Organization	Program	Duration	Description	Comments
Harvard University School of Education	Harvard Seminar for New Presidents	6 days	For first-time college and university presidents and chancellors ranging from those who have been appointed but not yet assumed office to those within the first 12 months of their presidencies.	<ul style="list-style-type: none"> • Non-cohort; enrolls 40 to 45 presidents each year • 22 year-old program
Harvard University Graduate School of Education	Seminar for Presidential Leadership	2.5 days	Join a cohort of college and university presidents from a wide range of institutions as you step back from the daily responsibilities of the presidency and engage in candid and critical conversations about your challenges, your concerns, and your own leadership performance.	<ul style="list-style-type: none"> • More advanced than Harvard Seminar for New Presidents
American Association of Community Colleges (AACC)	Presidents Academy Summer Institute	3 days with 8 pre-convention workshops	Annual professional development program for CEOs and presidents of member community colleges, providing intensive focus on current challenges, emerging trends, and opportunities unique to that position.	
Council of Independent Colleges (CIC)	New Presidents Program	2 seminars; each 2 days	A seminar-based program designed to help college and university presidents and their spouses to clarify their own sense of personal vocation and weigh it in the context of the missions of institutions they lead and might lead in the future.	
American Association of State Colleges and Universities (AASCU)	New Presidents' Academy	5 days	Focus on the first 500 days, developing and enhancing skills that will carry participants through their presidential career.	
American Council on Education (ACE)	Institute for New Presidents	9 months; 3 onsite meetings	A 9-month program designed to ensure presidents within their first two years of service find long-term success in today's volatile and uncertain environment.	<ul style="list-style-type: none"> • Looks like it ended in 2015

Appendix

- 1.** Performance Evaluation Considerations for New Program Design
- 2.** Leadership Development Program Inventory
- 3.** Succession Planning Research Findings



Succession Planning Research Findings

Overall Prevalence

- Sibson conducted a study on succession planning in higher education in 2018 and found in speaking with 17 institutions¹, and conducting in depth interviews with 7 institutions², that only two institutions have a formal succession planning program
 - The majority have not implemented such programs due to competing priorities, limited in-house capacity, and/or stakeholder support
 - Among the two institutions with formal succession planning, neither were Board-sponsored and governed
 - The programs include such cohort groups as senior leadership, key contributor, and faculty positions
 - Five institutions had tools available for leaders but the program was not applied consistently

Key Program Characteristics (formal and informal)

- Nomination process for participants
- Use of traditional methods such as a 9-Box grid
- Mentorship to develop program portfolios and gain deeper meaning from the formal training methods used in the program
- Tailored programs for each cohort group
- Many institutions do not leverage technology for their programs, but aspire to in the near future
- Although many institutions aspire to streamline diversity and inclusion efforts into succession planning programs, only one institution is intentionally targeting underrepresented candidates for leadership positions (i.e., minorities and women)

¹ Cornell University, Dallas County Community College District, Elon University, Emory University, Rollins College, University of Kentucky, University of Washington, University of Michigan, Massachusetts Institute of Technology, The Pennsylvania State University, Trinity College, Rutgers, The State University of New Jersey, University of California, Berkeley, University of Richmond, University of Wisconsin – Madison.

² Cornell University, Dallas County Community College District, Elon University, Emory University, Rollins College, University of Kentucky, University of Washington.

Succession Planning Research Findings *continued*

Challenges

- Establishing the necessary level of buy-in from leaders on the importance of the program
- Overcoming the bias to recruit for talent externally rather than internally
- Developing integrated programs due to the decentralization of leadership and available funding
- Leaders' tendency to resist sharing identified high potential individuals across the institution
- Tracking the success of programs as the impact of such programs are longitudinal in nature. Some interviewees noted the struggle with rationalizing the value of succession planning when individuals leave the institution

Establishing the Business Case

- For institutions with programs, securing buy-in of the succession planning initiatives/programs included:
 - Framing the program as a risk avoidance strategy centered on ensuring business continuity when talent retires or turns over
 - Including costs associated with external hiring such as search firm costs and delays in productivity during extended searches