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Academic leadership for succession: research and implementation across the arts, social sciences and humanities in Australia

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The Australasian Council of Deans of Arts, Social Sciences and Humanities
(DASSH)

Project Leaders and team members

Professor Pal Alhuwalia
Professor Monique Skidmore
Professor Toni Makkai
Ms Liz Allen
Ms Tempe Archer

Additional assistance provided by Ms Sharon Hickox (ANU) and Ms Zohra Akseer

Report authors

Ms Liz Allen
Ms Tempe Archer
Professor Toni Makkai

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Office for Learning and Teaching
Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education
GPO Box 9880,
Location code N255EL10
Sydney NSW 2001
learningandteaching@deewr.gov.au

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LIST OF ABBREVIATIONS

ALTC	Australian Learning and Teaching Council Ltd
ASSH	Arts, social sciences and humanities
AU	Australia
CGS	Commonwealth Grant Scheme
DASSH	Australasian Council of the Deans of Arts, Social Sciences and Humanities
DVC	Deputy vice-chancellor
ERA	Excellence in Research for Australia
FGD	Focus group discussion
HECS	Higher Education Contribution Scheme
HDR	Higher degree research
HR	Human resources
MOOC	Massive Open Online Course
NTEU	National Tertiary Education Union
NZ	New Zealand
NZAAU	New Zealand Academic Audit Unit
OLT	Australian Government Office for Learning and Teaching
PBRF	Performance Based Research Fund
TEQSA	Tertiary Education Quality and Standards Agency
PVC	Pro vice-chancellor
PGCW	Postgraduate coursework
TEC	Tertiary Education Commission
UK	United Kingdom
US	United States of America
VC	Vice-chancellor

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1. EXECUTIVE SUMMARY

Leadership succession planning is complex and challenging, but necessary for the sustainability of the academic workforce. The complexity and challenges of leadership succession planning largely relate to the uncertainty of the future directions within the sector and the function of planning for unknowns. With an older, age-heaped demographic composition the academic workforce will face increasing challenges as more senior academics, particularly leaders, enter retirement over coming years. Leadership succession planning is thus vital to the success of the sector into the future. This report provides insights into the challenges and requisites for leadership succession planning among leaders in the arts, social sciences and humanities (ASSH). A number of findings emerge from this study indicating the barriers and challenges, enabling mechanisms, and key factors associated with leadership succession planning.

1.1 SUMMARY OF KEY FINDINGS

- Leadership succession planning is not widely undertaken among ASSH leaders. Where it is being conducted it is typically informal.
- The current approach to leadership succession planning is reactive, driven by career intentions and other motivational factors of individual leaders, rather than institutionally driven.
- Academic leaders experience a number of external barriers and challenges for leadership succession, and express ambivalence toward succession initiatives.
- A mixed approach, incorporating both informal and formal initiatives, is a preferred strategy for leadership succession initiatives.
- A supportive institutional culture is necessary for effective leadership succession initiatives at the local level.
- Adaptive, proactive and sector-specific implementation of leadership succession planning activities is required for effective workforce planning.
- Succession planning should be open, transparent and a committed priority among academic leaders and institutions.

1.2 SUMMARY OF IMPLEMENTATION STRATEGIES FOR SUCCESSION PLANNING

- Key building blocks to ensure effective succession planning include: executive support, identification and resolution of barriers and enablers, cascading business planning, articulated career paths and workforce planning.
- Improvements in business processes and infrastructure, and recruitment and selection help address the main barriers to leadership succession planning – time, resources, and demands of leadership roles.

- Institutional support strategies such as more timely and transparent decision making, budget and leadership development initiatives, along with requisite budget support, are important for the development of future leaders.
- A talent management approach tailored to institutional individual requirements will enable potential leaders to be identified, developed and retained.
- Putting in place mechanisms to support and foster non-linear and linear careers is a key component of succession planning in the higher education sector.
- Reward and recognition, and structure and job design initiatives, are integral to addressing the barriers to taking on leadership roles.

1.3 DATA SOURCES AND METHODOLOGY

The report draws on three sources of new empirical data:

1. Focus group discussions with leaders across the ASSH sector including Associate Deans, Deans, Executive Deans and Pro/Vice Chancellors (n=52)
2. In-depth cases studies (n=3)
3. Online survey of ASSH leaders covering 45 Australian and New Zealand universities (n=152).

The report also draws on relevant prior ALTC reports and the broader literature on strategic and succession planning.

2. OVERVIEW OF THE PROJECT

Fiscal pressures, global competition for students and academics, changes in the pedagogy of teaching and expectations of the role of university academics, alongside wider demographic factors pose significant challenges for planning for the future academic workforce. A strong academic workforce, led by skilled academic leaders is essential for the success of the sector and this is now becoming critical as the sector faces a period of significant change which some have called a “perfect storm” (Parker, 2010). In the absence of any sector-wide succession planning, this project recognises the importance of leadership development to ensure substantial imminent retirements do not adversely impact on the ASSH sector.

The project has two aims:

1. conduct the first analysis of leadership succession planning among ASSH leaders in Australasia; and
2. identify key elements of a leadership succession framework.

The barriers, challenges and requisites for leadership succession in the higher education sector are explored using data collected via an online survey, through focus group discussions and case studies of academic leaders. The findings from the data analysis and previous ALTC projects inform the development of implementation strategies for leadership succession in the sector.

The report starts with a review of relevant literature, followed by the details of the approach and methodology used in the collection and analysis of data for this study. The results of the analyses and findings are then presented, informing the final discussion and development of recommended strategies for a succession planning framework and implementation.

2.1 CONTEXT

Succession has been identified as a critical issue facing most business, health care and educational organisations (Kezar & Eckel, 2004; Leslie & Fretwell, 1996). However, as organisations become more complex, evolving in response to environmental influences, succession planning appears to become more complex as well. Many universities are now big businesses with complex revenue streams and activities. They are engaged in small local initiatives to major global research and teaching activities. The funding of universities is complex, variable and is subject to changes in consumer preferences; universities have to manage risk. They are also subject to various complex regulations and reporting requirements to government on the two core areas of their business operations – teaching and research. There are also community and student expectations that require careful management in a period of significant change.

A recent report by Ernst & Young (2012: 4) identified a number of changes impacting the higher education sector:

1. **Democratisation of knowledge and access** – information and knowledge is becoming more freely available online posing challenges for traditional university education.
2. **Contestability of markets and funding** – increasing competition for government funding and students, nationally and internationally is placing pressure on the core business of universities.
3. **Digital technologies** – transformation of more traditional means of teaching and learning as a result of increasing digital technologies.
4. **Global Mobility** – potential market for students and academic talent is widened due to greater global mobility.
5. **Integration with industry** – stronger relationships with industry can facilitate greater funding options and enable universities to capitalise on industry based learning.

Local changes such as reforms across the TAFE and higher education sector in Australia and New Zealand and the establishment of the Tertiary Education, Quality and Standards Agency (TEQSA) and a new Australian Qualifications Framework have necessitated a greater level of accountability and reporting for the sector. This also applies in New Zealand with the NZAAU (New Zealand Academic Audit Unit) and the TEC (Tertiary Education Commission) regulatory agencies.

The impact of the shifting demographic profile of the academic workforce, the impending retirement of the baby boomer generation, the loss of organisational memory, and concern for the continuity of human resource systems are having a significant effect on the operation of universities. These and other events such as digital technology on both research and teaching, have spurred research in the area of leadership succession (Hugo, 2010; Goodall, 2009; Rothwell, 2005). The concentration of academics in the older age groups, and an increase in the ageing of the academic workforce overall, is resulting in a substantial loss in the workforce through retirement which will accelerate over the next decade.

Scott, Coates and Anderson (2008) have observed that recruitment of replacements for the baby boomers is proving difficult as this is occurring simultaneously across all developed countries. The 1970s strategy of recruiting from overseas to fill the gap is unlikely to succeed as universities across the globe are recruiting at the same time. In terms of the availability of future leaders there is the potential complication caused through the

“bunching” caused by the baby boomers as the number of new academics entering universities during the 1980s and early 1990s decreased (see also Winchester, 2005).

There is already significant global competition for the best talent, and as this competition intensifies it will drive up salaries and only the strongest institutions, will be able to compete and recruit the highest performers in this environment. The alternative strategy is to “grow your own” while seeking to build strong loyalty to the institution to ward off poaching. Both strategies, however, require universities to engage in flexible recruitment and retention packages which in the Australian and New Zealand industrial relations and taxation system (for example, fringe benefits) is challenging. For example, in the UK and US system professorial pay levels are not set uniformly, for highly desirable recruits there are spousal appointments, and often there are interest free loans for housing.

2.2 WHAT IS SUCCESSION PLANNING?

Succession planning is a subset of workforce planning with a focus on having the right leaders in leadership positions at every level of an organisation. In the context of this project this includes having the right people, with appropriate attributes, who can transition into Heads of School, Associate Deans and Deans positions. This requires an organisational reward structure that does not discentivise individuals from taking on significant administrative positions through promotions and contractual arrangements.

2.3 WHY IS IT IMPORTANT?

While succession planning is potentially a complex and time-consuming process, research suggests it remains the preferred method of managing the delivery of leadership experience and aligning it with business needs (McConnell, 2006; Giambatista, Glenn Rowe & Riaz, 2005; Kesner & Sebor, 1994; Rothwell, 2005). In the context of higher education, the future viability of universities may be positively influenced by a better understanding of succession planning. Research also identifies that intellectual capital and knowledge management are highly valued and formal succession planning offers a way to address the challenge of ensuring past long-term investments in highly valued research and teaching activities are sustained.

2.4 CHALLENGES

As previously discussed there are a range of challenges facing the sector, but in terms of prioritisation the quality of staff is the most significant – without high quality staff universities cannot deliver on the unwritten contract with the wider community and government to be the hub of innovative and creative research to inform the solutions to problems we face today and tomorrow. Further, universities will not be able to deliver on training the kind of workforce that will underpin a high paid knowledge economy. Universities are already in the process of losing between a fifth and a third of their staff.

Although this represents opportunities for restructuring academic recruitment and retention of high quality staff, in the context of a highly competitive labour market, the capacity to replace staff losses in a way that is proactive is becoming critical. Hugo (2008: 42) has noted that 'Australia must compete not only for potential academic staff from other countries but also for Australian graduates who are increasingly seeking options in foreign universities who offer better conditions and just as importantly serious funding to support their research. It has never been easier for highly skilled Australians to move to positions in foreign countries, especially other OECD nations. Countries have modified immigration regulations to facilitate the recruitment of highly skilled, researchers, scientists and technologists. The academic labour market is now truly internationalized'.

One of the great challenges that the sector now faces in a demand driven system with performance based funding largely based on student load is how to maintain critical research capability in areas that are not currently attractive to students, but may be areas of national and international significance at some unknowable future point. Turning off the pipeline to areas with low enrolments is relatively easy as demonstrated by the closing of agricultural schools over the past 20 years, and the more recent closure of various disciplinary departments. However, in a sector where expert knowledge requires both breadth and depth, and often requires decades of investment in human capital and infrastructure to provide the platform for innovation and impact, re-opening the pipeline sometime in the future may not be as easy.

As the sector faces a significant loss of academics that have learnt to be leaders over a long period of time a third key challenge is the need to promote individuals into roles where they have not had the long "apprentice" period that their predecessors had. Further, the roles have become more complicated and demanding as the complexity of the university environment has increased. Despite the rapid growth in complexity most academic leaders are 'not prepared for their roles and learn through trial and error in (and by surviving) their leadership and management experiences' (Southwell, West & Scoufis, 2008: 7).

The effective corporatisation of university academic and professional administrative structures demands that leaders need to be mindful of the collegiate academic environment that exists within disciplinary structures which is the foundation that underpins research and teaching. Coakley and Randall (2005: 5) argue that the current model of faculty leadership that focuses 'on the delicate balance of collegiality between faculty members can lead to an outcome of satisfying faculty needs rather than incorporating the needs of the overall university or taking into account the external environment'. They argue that this model cannot meet the new challenges of the current higher education system. Universities are faced with a high degree of regulation which impacts upon their ability to introduce educational change and on the ability of academic leaders to effect change (Southwell, West & Scoufis, 2008). Having the right academic and

administrative leaders to mediate the impact of corporatization is critical. Goodall (2009) identifies four aspects that are central to academic leadership:

Credible Leadership – Being a distinguished researcher gives legitimacy in the school, college/faculty and university. This gives people authority as a leader.

Expert Knowledge – Being an expert or top scholar provides people with a deep understanding of the academic world and substantial networks.

The Standard-Bearer – Leaders are the final arbiters of quality. This can include the demonstration to their faculty/college that despite an enormous workload they can still publish.

Signalling Effect – Being a researcher sends a signal to the college/faculty that you share their scholarly values and general understanding. It also sends an internal signal to colleagues that research success in the university is important.

In a recent study of Australian researchers at all stages of their careers (of whom 67 per cent were located in universities) the overwhelming majority viewed a career in research as attractive (Toss Gascoigne and Associates, 2012). However, the structure and cultural values of the academy presents challenging paradoxes that academic leaders need to grapple with in building succession plans (see Scott, Coates, and Anderson, 2008: 66 for a discussion on paradoxes in academic roles). However, it is these very structures and values that make the academic work environment so rewarding and attractive. On the one hand academic staff often resist and complain about excessive regulation and compliance burdens and the lack of traditional management career pathways, but on the other hand are reluctant to retire because fundamentally the work environment still has a set of values and work practices that are highly desirable.

Table 2.1 highlights some of these challenges. These range from significant autonomy in determining their own research agenda, control over their own research funding and intellectual property, to largely set their own working hours and place of work, mostly autonomous control over the specific design and context of their courses and supervision of higher degree students and access to an internal promotions process that is not constrained by internal structures and finances. Even after retirement many academics remain faculty members (with access to considerable infrastructure resources) making a significant contribution to the supervision of graduate students, engaging in undergraduate teaching, and maintaining significant research profiles including securing of grants to fund that research.

These aspects highlight that universities do not have the standard hierarchical or bureaucratic model that characterises the public service and many private sector organisations. Leaders in universities can rarely direct staff, they can only seek to influence and steer individuals in certain directions.

Table 2.1: Challenging paradoxes in succession planning

Variable	Positive	Negative
Age of staff	Senior academics possess a wealth of knowledge, experience and expertise.	No mandatory retirement to effectively plan for when financial resources will become available to bring in new early career researchers or new people. Loss of experience of senior staff can impact on research and teaching profile of the local area.
Research Profile	Significant autonomy in the research environment.	Research activity on hold while juggling day-to-day tasks of leadership role so impact on personal career. Loss of research productivity that is not easily replaced when the leadership role is transitory (for example '3 years as Head of School or Associate Dean). Recruitment for role is based on research excellence but key aspects of the job require management and leadership skills.
Career pathways	Opportunities for career advancement and task variety. Promotion is largely based on research and teaching performance not leadership.	No clear pathways into academic leadership roles (for example, Associate Dean), as leadership is rarely a significant consideration in promotion processes. No clear pathway back to standard academic work from a leadership role. A decline in research productivity and adapting to new technological innovations in teaching and pedagogy will need to be addressed.
Succession planning	Leadership succession planning ensures future (and quality) of academic workforce. Outstanding academics can make good leaders as they understand what it "takes" to be a good academic.	Academics have been resistant to administrative oversight, which they see as hindering their research and teaching either through increased compliance demands or taking money away to fund "unnecessary" administrators. An individual research profile is based on unique research that is not easily replicated nor is it desirable to be replicated. This makes succession planning more difficult and less amenable to detailed planning.
Reward & recognition	Valued esteem is for excellence in research and teaching. Rewards are often external to the university (for example, membership of a learned academy, book prizes).	Not dependent on the university reward structures, therefore hard for leaders to offer "carrots". Esteem is often based on peers external to the university.

3. APPROACH AND METHODOLOGY

3.1 DATA COLLECTION

A mixed method approach to data collection was employed to inform the study. Qualitative and quantitative data were collected to explore the experiences, perceptions and attitudes toward leadership succession planning among academic leaders – Deans, Pro-Vice-Chancellors (PVC), Executive Deans, Associate Deans and Heads of Schools/Departments. There were three elements to the fieldwork –including (1) focus group discussions, (2) case studies, and (3) an online survey of academic leaders employed in the ASSH sector at universities across Australia and New Zealand.

3.2 FOCUS GROUP DISCUSSIONS

In the initial stage of fieldwork three focus group discussions (FGDs) were conducted with relevant representative groups:

1. DASSH Board Members (1 FGD), and
2. Associate Deans (3 FGDs).

Participants for the FGDs were invited to participate via direct invitation. The FGD with the DASSH board members was held via videoconference in June 2011 and included Deans and PVCs. The two FGDs with Associate Deans were held in June and September 2011 in Sydney and at the DASSH annual conference hosted by James Cook University. Each FGD ran for approximately one hour, with a total of 52 academic leaders taking part in the discussions (5 DASSH Board Members, 25 Associate Deans in Sydney, and 22 Associate Deans at Magnetic Island). Participating academic leaders for the FGDs represented both Australian and New Zealand universities.

Topics discussed in the FGDs included – individual attitudes, operationalisation, processes, challenges and decision making relating to leadership succession planning in the higher education sector. A full list of FGD questions are presented in Appendix 1.

3.3 CASE STUDIES

A small number of case studies provide vignettes of career pathways and experiences of the journey from early career academic to a leadership position. Three case studies were conducted with academic leaders using a qualitative instrument consisting of three open-ended questions. The first two questions adapted from Garrett and Davies (2010) were:

- What do you know now that you wish you had known “back then” when you commenced or got immersed in your leadership career?

- If you were mentoring a new leader what would you wish to share about operations and about strategy?

The third questions asked was:

- Tell me about how much career planning you have done versus letting things evolve.

Academic leaders were identified as suitable participants following expressions of interest and/or through their contributions to public discussions on the topics of academic career pathways or planning for leadership succession. Case studies were collected during October–December 2012 with Deans and Associate Deans.

3.4 ONLINE SURVEY

Academic leaders from 45 universities (38 Australian universities and seven universities from New Zealand) were invited to participate in the second stage of data collection. Appendix 2 presents a list of the participating universities. The second stage consisted of an online survey comprising 26 questions covering five modules – demography, role, institution, general information and personal experience with succession planning. The questionnaire is included as Appendix 3.

Invitations to participate, along with a link to the survey, were emailed to relevant contacts. The use of snowball recruitment via initial contacts was also employed, with contacts asked to forward the invitation to participate in the survey to other academic leaders. The survey was fielded in the latter half of 2011, yielding a total usable sample of 152 respondents including Deans, PVCs, Executive Deans, Associate Deans and Heads of Schools/Departments.

3.5 CHARACTERISTICS OF SURVEY RESPONDENTS

Roughly equal numbers of male and female academic leaders participated in the online survey. Figure 3.1 shows the age-sex distribution of the survey respondents. The age structure of the academic leaders indicates an older workforce. This is consistent with Hugo’s findings (2005) that the academic workforce is considerably older and age-heaped. The sample is more concentrated in the older age groups, with almost half (46%) of participants aged 56 years and over. This is not surprising given the necessary experience for academic leadership positions. These data should be interpreted with caution, particularly for the youngest and oldest cohort, due to the sample size. Proportionally more female academic leaders participating in the online survey are in the younger age cohort (36–45 years) while proportionally more male academic leaders are in the older age cohort (56–65 years).

The majority of respondents had been in their leadership role for a relatively short time. Figure 3.2 demonstrates that 70 per cent of academic leaders have been in their current role for three years or less (24% for less than 1 year and 46% between 1–3 years). Twenty per cent of participants reported being in their leadership role for between 4–6 years, while 10 per cent reported spending seven or more years in their position. This is consistent with the length of contracts or terms for senior academic leadership positions. There was no significant difference between males and females in the length of time served at this level.

All levels of leadership are represented in the survey sample (see Table 3.1). Associate Deans and Heads of Schools each comprise around two-fifths of the sample, with around one-fifth of survey respondents in PVC, Executive Dean or Dean roles. Respondents came from the four ASSH disciplines. Academic leaders from the disciplines of humanities and education comprise the largest proportion of respondents, making up 48 per cent and 34 per cent, respectively. There were no gender differences or significant age variations between respondents from the different disciplinary clusters.

A quarter of participating academic leaders possess experience in leadership roles outside the higher education sector, while the majority (75%) have work experience solely within the higher education sector. There was no significant trend with females no more or less likely than males to have had leadership roles outside of the sector, nor were there any significant variations by age or disciplinary clusters.

Table 3.1: Leader characteristics, selected summary

	N	%
Role (n=152)		
Pro-Vice-Chancellor/Executive Dean/Dean	32	21.0
Associate Dean	62	40.8
Head of School	58	38.2
Discipline (n=151)		
Creative Arts	13	8.6
Education	51	33.8
Humanities	73	48.3
Social Sciences	14	9.3
Held leadership role outside higher education sector	37	24.8

Source: DASSH Academic Leadership Survey 2011

3.6 METHOD

Data from the three collections were analysed using data-appropriate techniques. A grounded theory approach was used to analyse the data from the FGDs and the qualitative

responses from the open-ended questions in the survey. Analysis of the survey data includes descriptive and multinomial statistical analyses to explore the relationship between key explanatory variables, positivity towards succession planning, and succession planning.

Triangulation of the results from the FGDs, survey and case studies is undertaken to inform the formulation of an implementation framework for academic leadership succession planning. Further, the results from this study are consolidated with findings from relevant literature to inform the final chapter on implementation strategies.

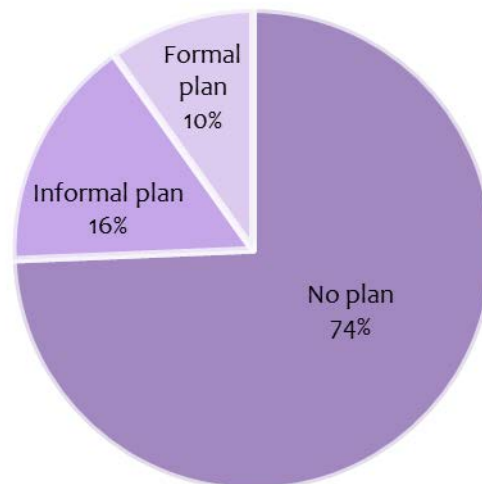
4. FINDINGS

Results are presented in nine sections. The first two sections describe the current environment of leadership succession planning among ASSH leaders. The third section explores the barriers and challenges to leadership succession planning, while the fourth section identifies enablers and support mechanisms for leadership succession planning initiatives. Key requisites and strategies for succession planning are described in the fifth and sixth sections, and the seventh section explores informal versus formal succession planning initiatives. The final two sections present the results of analyses of the key factors related to succession planning with particular reference to (a) attitudes toward succession planning in the ASSH higher education sector, and (b) leadership succession planning.

4.1 LEADERSHIP SUCCESSION PLANNING

Leadership succession planning appears uncommon. In fact, almost three-quarters of leaders do not have a succession planning program in place within their faculty or staffing area (see Figure 4.1). In total, 26 per cent of participants have some sort of succession planning initiative, with proportionally more leaders with informal succession planning initiatives versus formal programs.

Figure 4.1: Proportion of respondents with a succession plan

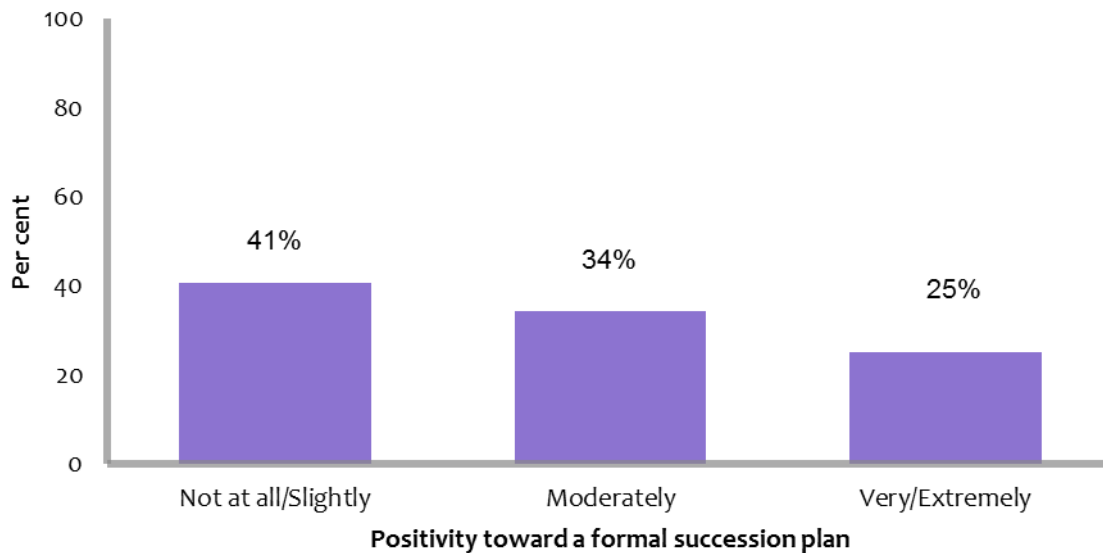


Source: DASSH Academic Leadership Survey 2011, N=152

Leaders report mixed attitudes towards succession planning, not surprising given the relatively low proportion of leaders who have a succession planning program in place. The survey data shows that marginally more leaders report positive attitudes towards formal succession planning, with 59 per cent reporting at least a moderately positive attitude (34% moderate and 25% very or extreme positivity). Conversely, 41 per cent of surveyed

leaders say that they are not at all or only slightly positive about leadership succession planning in their higher education institution (see Figure 4.2).

Figure 4.2: Attitude toward a formal succession plan



Source: DASSH Academic Leadership Survey 2011, N=140

4.2 TYPES OF SUCCESSION PLANNING

Informal initiatives described by participants indicate a more flexible and adaptive approach to succession management. The core elements of the informal initiatives described largely reflect the types of activities that form part of a formal succession program, yet are performed in a more dynamic and adaptive manner. Leaders participating in the survey and interviewed in the FGDs report that informal initiatives typically include identification of suitable successors and adoption of processes that prepare and equip potential successors for leadership roles. For example, mentoring and shadowing and appointing potential successors to deputy positions are strategies reported in both the FGDs and the case studies. Indeed, some leaders expressed a preference for more informal succession planning initiatives because they are not as rigid as a more formalised program can be. The need for flexibility is a consistent theme throughout the data. This flexibility can more readily accommodate the uncertainties experienced in the higher education sector.

4.3 BARRIERS AND CHALLENGES TO LEADERSHIP SUCCESSION PLANNING

The survey and FGDs collected a variety of information concerning the barriers and challenges relating to succession planning among academic leaders. The main reasons cited for not having succession planning programs by survey and FGD participants were related

to: (1) time, resources and the demands of leadership roles, and (2) ambivalence towards succession planning and the nature of leadership roles in academia.

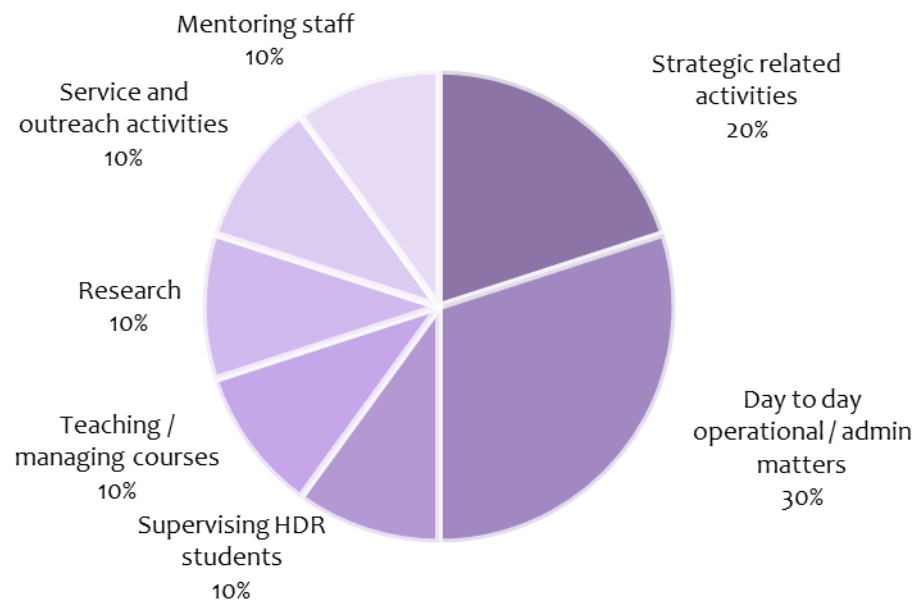
4.3.1 TIME, RESOURCES AND MANAGING ROLES

Participating leaders suggest that tensions over time and/or resources are particularly powerful barriers to succession planning programs. According to participants from each of the main data collections comprising this study, the demands of juggling day-to-day tasks related to leadership positions and resources to support leadership roles make it particularly difficult to plan for leadership succession.

Data from the survey provides interesting insights into the time demands experienced by academic leaders. Figure 4.3 illustrates the median time leaders spend in core activities over the course of a year. On average almost a third (30%) of academic leader's time is spent engaged in day-to-day operational and/or administrative activities. Another 20 per cent of time is spent in strategic related activities, with a further 10 per cent of time mentoring other staff. Teaching-related tasks together account for 20 per cent of leader's time. These tasks include teaching and/or managing courses and supervision of higher degree students (HDR). Service and outreach activities comprise 10 per cent of the participating leader's time. Similarly, on average 10 per cent of leader's time is occupied by research.

The tension between research and the demands of leadership positions is perceived as a disincentive to taking on leadership roles. Research is an important part of academic life because the publications and recognition that come from such work largely determines an academics' profile. Thus, maintaining strong research output, through conducting research ensures competitiveness in the job market. Indeed, the inability to combine research work with leadership may well be restricting the potential pool of successors. As one respondent commented: '...there are too many leadership roles and too few able people interested...on the management side' (Respondent DASSH Survey).

Figure 4.3: Time spent in various activities



Source: DASSH Academic Leadership Survey 2011, N=152

In addition to the tensions over the types of work performed by academic leaders the opportunity to engage in succession planning is affected by time. Focus group discussion participants report the competing demands of leadership positions often mean that more immediate matters are necessarily prioritised over less immediate tasks, for example succession planning. Further, the responsibility of leaders to manage other staff leaves little time for succession planning. One respondent from the survey reported that responding to staff needs and managing conflict left academic leaders operating more on a responsive level, like “fire-fighters”, than leaders following academic pursuits. It is not surprising then that there exists reluctance for academics to take on leadership roles.

Support for leaders to undertake succession planning is necessary to enable the undertaking of such activities. Administrative and institutional level factors were reported by participants in the survey and FGDs as fundamental to the success of planning for leadership succession. Indeed, insufficient administrative support was commonly identified as a barrier to succession planning. Survey responses suggest that the pressure to meet university and government reporting (“paperwork”) requirements and compliance places further burden on leaders who report insufficient administrative support to do so. The complex institutional structures within the higher education sector inhibit leaders to actively engage in succession planning. Added to this is the further complexity and uncertainty of the restructuring and change experienced within the higher education sector. This was most clearly summed up with this comment:

‘Succession planning for academic leadership is affected by competing demands of the standard academic career profile (teaching and particularly research); by mobility of academic workforce and by a rewards structure more orientated to academic values/goals than to management goals....’ (Respondent FGD)

4.3.2 AMBIVALENCE TO SUCCESSION PLANNING AND LEADERSHIP ROLES

The uncertainty of the higher education sector makes succession planning somewhat difficult. The academic leaders in the study reported that in addition to sector-wide uncertainties, uncertainty relating to staff turnover, restructuring and exits play an integral role in preventing the enactment of formal succession planning programs. Not knowing the intentions of leaders above them (that is Vice-Chancellors and Deputy-Vice-Chancellors) is also commonly cited by respondents as a fundamental challenge to succession planning.

Concerns about transparency of staff recruitment processes and procedures more broadly also reportedly act as barriers to succession planning. Open responses from the survey suggest that the lack of transparency, especially relating to perceptions of fairness and openness of leadership opportunities result in a reluctance to undertake, or ambivalence toward, the process of succession planning. Data from the survey indicates that institutional culture (disinterest in pursuing academic leadership roles and barriers to pursuing leadership through the appointment process to such roles), and staff capabilities and capacity (training and support or mentoring from senior staff) comprise significant hurdles.

While there are barriers to leadership succession planning there are also challenges that academics face in pursuing careers in academic leadership. These challenges translate to important hurdles that need to be overcome in order to produce an effective succession planning strategy. For one, career pathways for academic leaders are not always linear and this further complicates formal succession planning initiatives because career pathways are not always clear or “known”. Understanding academic career paths are discussed again in section 4.5.3.

4.4 SUPPORT AND ENABLING MECHANISMS FOR LEADERSHIP SUCCESSION

Enabling mechanisms, at the institution level are fundamental to effective academic leadership succession planning. Reports from survey participants indicate that institutional culture – around decision making, succession planning and leadership development – is key to enabling workforce and succession planning.

Decision making is integral to effective succession planning because it provides the basis for instituting change and forward planning. Qualitative data from respondents indicates that decision making in higher education institutions is generally good. However, while respondents report good decision making culture they also say that it is typically time consuming and at times lacks transparency. This perception of decision making among leaders is likely to impact on the types of leadership succession planning activities undertaken.

Similarly, while it is evident that succession planning is being performed by some academic leaders, in the main the participating leaders suggest that the process of succession

planning is unclear and often inadequate or non-existent leading to a pessimistic view of succession planning. For example, respondents describe their institutional culture toward succession planning as “not strategic”, “unclear”, “haphazard”, “piecemeal”, “rhetorical”, “needing work”, but also “well meaning”. One respondent went so far as to say they deliberately “avoid (succession planning) as much as possible”. Where succession planning is being conducted, which is in the minority of cases, academic leaders report positive results. Qualitative reports from participants suggest that training, mentoring, identification of suitable personnel and support processes for skill development is helping deliver effective leadership succession planning.

Like decision making, leadership development is an enabler of leadership succession planning because it provides a mechanism to equip academics with the necessary capabilities to be effective leaders. Some report that their institutions have a good approach to leadership development. Yet respondents from the survey typically report that leadership development activities could be improved to make the process more systematic, consistent and focused on relevant capability development. This theme of capability and capacity development of academic staff for leadership is something that also emerged in survey participant responses describing the hurdles to succession planning. Specifically cited issues requiring action to support leaders include relevant and targeted training opportunities supported by guidelines for identifying and developing necessary capability for leadership roles. On-the-job training, such as mentoring from senior leaders was also suggested by the survey respondents as an important requisite for leadership succession planning activities.

4.5 KEY REQUISITES FOR A SUCCESSION PLAN

When survey respondents were asked to identify the key elements necessary for a succession plan to be implemented in the higher education sector they reported three requisites: (1) strategic planning, (2) workforce planning, and (3) career pathways to leadership roles. These three requisites are highly interrelated and interdependent. Further, they are underpinned by the principles of openness, transparency and a commitment to the process of succession planning. Without these three principles academic leaders from across the data collected as part of this study suggest the requisites for succession planning cannot be met, thereby prohibiting or reducing the effectiveness of succession planning.

4.5.1 STRATEGIC PLANNING

Resource planning and targeted recruitment strategies comprise the factors that contribute to strategic planning, as reported by respondents. Resource planning includes planning for people, money, work and professional development opportunities (including mentoring). Targeted recruitment is related to resource planning in that it helps address the planning for people by directly aiming to ensure the right people with the right

capabilities are identified for leadership positions. Resource planning and targeted recruitment provide the broader support mechanisms for strategic planning in the form of a strategy which can be implemented through workforce planning.

4.5.2 WORKFORCE PLANNING

Succession planning is a component of workforce planning. Survey respondents report workforce planning more broadly as a key requisite for succession planning. Responses from participating leaders suggest a raft of workforce planning strategies including identification of the staffing needs, and based on this, the suitable or required staff for these positions (based on merit, equity and fairness), and ensuring opportunities for management experience especially with regard to supervising staff and budgets.

4.5.3 CAREER PATHWAYS

Strategically planning for the workforce presupposes that pathways exist for academics to progress through. When it comes to leadership positions this is not the case, according to data from the FGDs and the survey. Unlike other sectors, academics can move up the academic status hierarchy (with changes in title and increasing salary) without ever having to “move” or apply for another job because of the internal promotion process. This process does not require a higher level position to become vacant, nor is it constrained by funding – promotion is solely on the basis of academic performance starting at Level A and ending at Level E (Professor). Running alongside this is a more traditional process where leadership positions (Associate Dean, Head of School and Dean/PVC) become available and individuals apply for those positions. Usually Associate Dean and Head of School are internal recruits although increasingly Heads of Schools are being externally recruited as a mechanism to bring in “new blood” who are not locked into the existing school culture and interpersonal relationships. Dean’s positions are nearly always advertised externally. However, none of these positions are permanent – they are short term posts normally ranging from 3 to 5 years and incumbents, particularly Heads of Schools and Associate Deans, have traditionally returned to the school as a regular academic member of faculty. This also happens where Deans have been internally recruited or the external recruit has negotiated a “revisionary” right. The complexity of the academic career pathways and how you deal with this in a formal succession planning process is one expressed throughout the data collected as part of this study. Case study 1 exemplifies an unplanned but rewarding career, which crosses the academic and government sectors as well as research and leadership roles. Case studies 2 and 3 are also illustrative of “unplanned” careers.

Academic leaders say that there is a need for clear (and known) pathways to leadership roles and incentives in the form of rewards and publically recognizing and valuing the contributions made by leaders. Further, opportunities to transition between research and/or teaching and leadership or management roles, but more importantly for leaders to return back to research and/or teaching work following time in leadership positions will

becoming increasingly important incentives to secure the best people into leadership roles. In other words succession planning in the academy will largely be about non-linear career paths rather than the traditional linear career path. It will also be important to provide pathways between the university and other sectors (Toss Gascoigne and Associates, 2012). Case studies 1 and 2 demonstrate “careers” that have crossed sectors into government and business, in the ASSH sector.

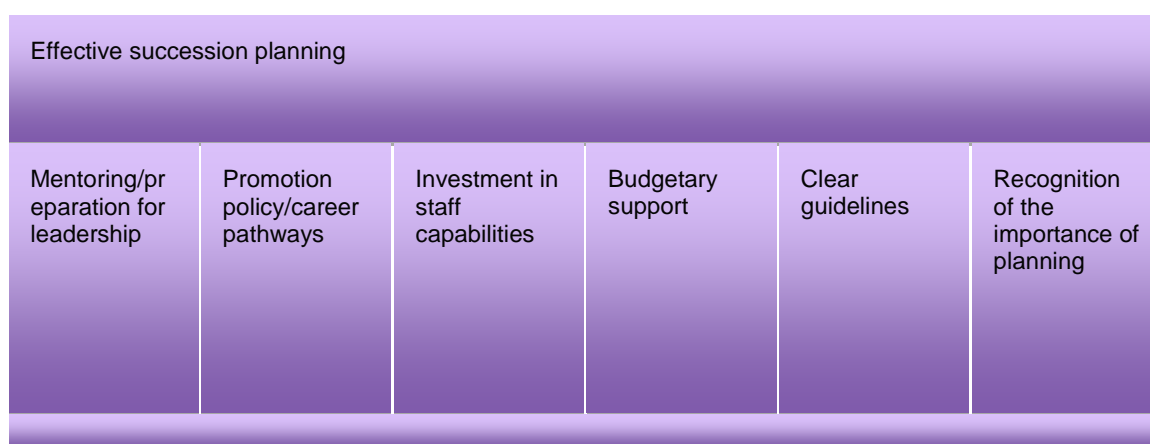
One option that is often discussed is that non-academics who are professional managers should be brought in to manage academic staff. There has been debate in the academy but also in the literature on how best to manage universities as they have transformed into big businesses. Work done by Goodall (2009) has shown that universities where the Vice-Chancellor (VC) had been an outstanding researcher perform better in terms of research productivity and teaching excellence. The argument is that unless the senior management of the university are credible and respected “researchers in their own right” they cannot understand the complexity (and what often appears to outsiders as “chaos”) of the day-to-day work environment and hence drive research performance.

Traditional linear career streams promote depth of technical knowledge and skills to the individual staff member, but this does not necessarily translate into individual motivation and engagement particularly when the individual has no interest in leadership positions. Often individual academics have taken on key roles like Heads of Schools and Associate Dean’s roles because they are “good citizens” not because they have a burning desire to manage. Building non-linear career paths that are valued within the academy will be critical for successful succession planning.

4.6 STRATEGIES FOR SUCCESSION PLANNING

Qualitative data from the survey provides complimentary insights into the strategies to translate and support effective succession planning in the higher education sector. Participants in the focus groups were asked what processes, methods, strategies or cultural changes were necessary to support a formal succession plan for their institution. Leaders report a six-pronged support structure necessary to facilitate succession planning initiatives (see Figure 4.4).

Figure 4.4: Support strategies for effective succession planning



Source: DASSH Focus Group Discussions, 2011, N=52

The six-pronged support structure consists of:

Budgetary support – financial support and ongoing commitment to leadership development activities such as training, shadowing or time for sufficient handover, and adequate funding for administrative support for leaders.

Clear guidelines – how-to guides or procedures for engaging in succession planning activities at the university and/or faculty level. Consultation with staff to develop succession planning strategies.

Mentoring and preparation for leadership – creating opportunities for academics and prospective leaders to participate in mentoring programs with the aim to provide on-the-job leadership experience. Opportunities for prospective leaders to be exposed to the experiences of being in leadership by learning from more senior leaders. Ongoing mentoring support for academics new to leadership positions.

Promotion policy and career pathways – clearly defined career pathways for academics into leadership positions and providing pathways back from leadership to research and teaching roles. Defined opportunities and support for promotion, including an understanding of what promotion committees expect to see in applications.

Recognition of the importance of workforce planning – management and staff commitment to, and support for, deliberate workforce planning to identify and meet organisational requirements, particularly leadership succession programs. There needs to be processes and procedures for identifying the preferences and timing of retirement amongst academic leaders.

Investment in staff capabilities – commitment to investing in staff skill development for all levels of staff. Reward and recognition for the contributions academics, in particular leaders, make to the university. Identification of talent and development of core capabilities necessary in higher education.

These six strategies relate to functional supports that facilitate and underpin succession programs and the cultural support mechanisms of planning for leadership succession.

Participating FGD leaders report that succession planning is something that all staff employed in higher education across all levels of management need to take responsibility for. This view of succession planning places an emphasis on the act of workforce planning as an integrated institutional response, rather than being left to individuals to address. To facilitate this, leaders suggest the establishment of more collaborative work environments (within areas and across the university and sector) to build an inclusive academic community and provide opportunities for less senior staff to be exposed to a variety of experiences. In addition, the participating leaders recommend academic leaders engage with faculty executives and staff more broadly to prepare academics for leadership. Fundamental to this engagement is the provision of opportunities for academics to express interest, and participate, in such preparatory activities, as well as identification of capable academics for leadership. All of these supportive activities identified during the FGDs presuppose that an understanding of what constitutes leadership capabilities exists. This is something the focus group discussants recognised, with leaders stating that different roles require different leadership qualities. Defining capabilities for different roles should be explicitly addressed in recruitment.

4.7 INFORMAL VERSUS FORMAL SUCCESSION PLANNING INITIATIVES

As already noted, more than half of the survey respondents with a succession plan report having an informal rather than formal plan. Having an informal succession plan may indeed be one solution to cope with the uncertainty of the higher education sector (related to staff turnover, restructuring of leadership positions and the demand driven relative funding model) identified by respondents as a barrier to succession planning.

Reports from both the survey and FGDs suggest a combination of formal and informal succession plans offer benefits because they allow for flexibility, while being supported by necessary frameworks to ensure the objectives of succession planning are met. Based on the information gathered from the survey and FGDs, the way in which formal and informal succession plans can be combined is set out below.

Formal succession plans are necessary to provide overarching and transparent guidelines or policies that facilitate discussion about succession and lay out the expectations and procedures of leadership succession planning activities. Formal succession planning initiatives might be institution-wide or operate at a faculty or division level. Formal plans are integral to ensuring that succession planning is taking place. However, formal guidelines for succession planning do not need to be rigid or prescribe the types of activities that might comprise a holistic approach to succession planning. Certainly, information gathered from survey responses and the FGDs indicate a preference for more flexible plans that are supported by more formalised guidelines.

Informal leadership succession plans offer a flexible approach to succession planning activities. However, on their own, informal succession initiatives may not constitute effective strategies because of a lack of transparency and ad hoc nature of related planning. They also do not provide the institutional support and framework that leaders also need. Together, formal and informal succession planning strategies provide the necessary guidelines and framework to support more responsive leadership succession planning. Survey respondents suggested that informal succession planning was essential to provide opportunities for training and development that may not necessarily be recognised by a formal succession strategy. For example, participation in committees, higher duties, and taking part in assessment of higher degree research applications and grant panels.

4.8 KEY FACTORS RELATED TO LEADERSHIP SUCCESSION PLANNING

Survey respondents were asked to rate the importance of a number of factors that contribute to or impact on succession planning within each leader's institution. These data were examined to determine the most important factors related to succession planning.

Factor analysis, a data reduction technique, was performed to identify the key factors that relate to succession planning among the survey respondents with reference to their institutions. The statistical technique of factor analysis uses associations between correlated variables to construct factors that represent the aggregate of individual variables. A series of statistical procedures are used to construct factors, with the results of the analyses indicating whether and how the specified variables load on a particular factor and the statistical strength of how the factors explain the variables.

Respondents rated 18 variables on their importance regarding institutional decision making concerning succession planning. A five-point Likert scale was used to measure the level of importance: (1) extremely important, (2) very important, (3) moderately important, (4) slightly important, or (5) not at all important. (See Question 20 from the online survey in Appendix 3.) The Likert response scale was reverse coded so that increased importance was reflected by a higher number (that is, 1 indicating not at all important and 5 extremely important). Factor analysis was conducted using data where responses were provided.

Two factors emerged from 15 of the 18 variables, with 10 loading on one factor and five on the second. The questions on university policy on growth in PGCW (post graduate course work), growth in HDR (higher degree research), and student demand for particular courses/programs were dropped from the analysis due to very high non-response. The two factors reflected (1) staff profile/capability, and (2) regulatory and performance framework. Table 4.1 presents a summary of the variables comprising the two factors, and reports the proportion of respondents reporting high levels of importance (very and extremely) against each of the variables.

Table 4.1: Important factors related to succession planning (per cent) (a) Eigenvalues for both factors exceed 1. Alphas were reported around 0.8 for each factor: 0.80 for the staff profile/capability factor consisting of 10 variables and 0.79 for the second regulatory and performance factor of 5 variables.

Source: DASSH Academic Leadership Survey, 2011, N=152

Within the staff profile/capability factor, the demographic profile of the sector, staff career expectations and university staffing policy are the strongest elements related to succession planning. In total, 71 per cent of survey respondents report the demographic profile of academics as highly important to succession planning. Similarly, staff career expectations (67%) and university staffing policy (60%) are also reported as highly important considerations in succession planning in the higher education sector. In addition capability

	Extremely or very important
Staff profile/capability	
Demographic profile of academics	71
Staff career expectations	67
University staffing policy	60
Age profile of staff in area	36
Gender profile of staff in area	30
Changes to discipline areas	29
Flexible delivery and online courses	22
Ethnic diversity of staff in area	16
Indigenous diversity of staff in area	14
Current technology	16
Regulatory and performance framework	
University funding model	68
University senior management strategies	66
Impact of ERA/PBRF process	60
Government policy framework	39
Wider economy	36

to meet future expectations in terms of technology, online delivery and a staffing profile that reflects the diversity of the student cohort are also important factors.

From a sector-wide perspective the structural or regulatory and performance framework of higher education is reported by leaders as highly influential of decision making around succession planning. The university funding model, senior management strategies and impact of the Excellence in Research for Australia (ERA) and NZ Performance Based Research Fund (PBRF) process feature as highly important contributors to succession

planning. Around two-thirds of respondents individually rate the university funding model and university senior management strategies as very or extremely important (68 per cent and 66 per cent, respectively) to succession planning decision making. The impact of formal research assessment policies (ERA/PBRF) was identified by 60 per cent of survey respondents as highly important.

4.9 CONTRIBUTORS TO SUCCESSION PLANNING

Exploring the factors that contribute to whether or not leaders have succession planning programs in place in their workplace – formal or informal – provides insights into the possible motivators, and conversely barriers, to succession planning for the higher education sector. Research on attitudes and behaviours demonstrates that the former are key to securing appropriate behavioural responses. Here two statistical models are presented. The first model explores the factors that contribute to respondent levels of positivity toward leadership succession planning, using ordered logistic regression. The purpose of this model is to determine whether there are particular factors that directly affect attitudes. The second model is a logistic regression analysis predicting whether the survey respondents have any sort of succession plan in their faculty or division. This model tests whether attitudes towards succession planning have a direct effect on having such a plan. It also tests whether there are any other direct effects from other factors that are not mediated by attitudes towards succession planning.

The survey data was analysed using variables representing themes from the FGDs and open-ended survey responses. Due to the sample size of the survey (N=152) caution was taken to ensure statistical analyses were appropriate and fit-for-purpose. In considering both the overall and category sample sizes the variables included in each of the models presented here are necessarily kept to a minimum.

Positivity toward succession planning was measured by asking respondents about how positive they felt about succession planning (see Figure 4.2). Whether or not respondents have a current succession plan is a dichotomous variable constructed from a closed question and coded qualitative data. The data from the following questions were combined:

Q16 Does your faculty/division currently have a formal succession-planning program?

Q19 IF NO [to Q16], have you ever considered implementing a succession plan? Why or why not?

The succession plan variable was constructed to indicate (0) no current succession plan of any kind, and (1) a formal or informal succession plan within the faculty or division. Respondents reporting having a formal succession plan in Question 16 are coded in the latter category. In addition, respondents who do not have a formal succession plan (Q16) but report having an informal succession plan in Question 19 are coded as having a

succession plan. In total, 26 per cent of respondents were classified as having a succession plan.

Four domains were tested to see if they were significantly associated with succession planning:

- **socio-demographic/employment** – sex, years in current role, position
- **motivation** – intention to apply for another leadership role, identify strategic/workforce planning as key elements of succession planning and positivity toward succession planning
- **time use** – time spent mentoring other staff, on day-to-day operation/administrative matters, and strategic activities
- **structural factors** – supportive institutional culture toward succession plan, staffing profile and capability, and regulatory and performance sector framework.

Table 4.2: Description of variables used in multivariate analyses

Variable name	Description	% Distribution
Dependent variables		
Has a succession plan	No = 0	74
	Yes = 1	26
Positivity towards succession planning	Not at all/slightly	38
	Moderately	39
	Very/extremely	23
Independent variables		
Sex	Female = 0	50
	Males = 1	50
Current role	Associate Dean/Head of School	79
	PVC/Dean/Executive/Dean (Senior leader)	21
Years in current role	Less than 4 years = 0	70
	4 + years = 1	30
Apply for another leadership role in next 5 years	No intention = 0	47
	Intend to apply = 1	53
Strategic/workforce planning key elements of succession planning	No = 0	64
	Yes = 1	36
Time spent mentoring other staff	Less than 20 per cent = 0	80
	20 percent or more = 1	20
Time spent on day-to-day operational/administrative matters	Less than 40 per cent = 0	54

	40 per cent or more = 1	45
Time spent on strategic activities	Less than 30 per cent = 0	78
	30 per cent or more = 1	22
Supportive institutional culture	No = 0	70
	Yes =1	30
Staff profile/capability	Range: 1-5	Mean=3.1; Std dev=.64
Regulatory and performance framework	Range: 1-5	Mean=3.5; Std dev =.68
Interaction		
Current role by time spent on strategic activities	Senior leader spending more than 30% on strategic activities	14

Source: DASSH Academic Leadership Survey, 2011, N=152

Table 4.2 provides a description of the variables (see Appendix 3 for list of survey questions). The time use variables were dichotomised to indicate relative rates of time spent in the various activities – the lower category includes zero up to and including the mean, and the higher category comprises time greater than the mean. Strategic/workforce planning key elements of succession planning and supportive institutional culture are thematically coded responses to the open-ended questions (Questions 22 and 23, respectively). The positivity toward succession planning variable (Question 15) is recoded as a three-category variable to reflect low (not at all and slightly positive), medium (moderately positive) and high (very and extremely positive) levels of positivity.

Male and females are equally represented. Thirty per cent of the sample had spent four or more years in their current role and 53 per cent intended to apply for another leadership role in the next 5 years. Twenty per cent report they spent more than 20 per cent of their time mentoring other staff and 45 per cent reported spending more than 40 per cent of their time on day-to-day operational or administrative matters. Twenty-three per cent were highly positive about succession planning and 36 per cent held the view that strategic/workforce planning were necessary elements of succession planning. Thirty per cent reported they worked in a supportive institutional culture for leadership succession planning.

Based on the factor analysis of the range of issues that might be seen to be important for succession planning the two items in each factor were summed to form two scales – staff profile/capability and regulatory and performance sector framework. Each scale ranges from low importance (1) through to high importance (5). A test for skewness found the staff profile/capability scale was not skewed at .04 while the regulatory and performance sector framework scale was slightly skewed at -.38. The staff profile/capability scale has a mean of 3.2 and the regulatory and performance sector framework scale a mean of 3.4.

The two scales do correlate at .45 indicating that respondents who see one factor as important are also more likely on average to see the other factor as important as well.

There are a large number of questions that were asked of respondents, but a small number of cases available for analysis (N=152). The model restricts the total number of variables that can eventually be included in the model. Tests for interactions were undertaken. Only one significant interaction was found in the logistic regression model for succession planning. This interaction term controls for the differential time spent in strategic activities by role (PVC/Dean/Executive Dean versus Associate Dean/Head of School).

4.9.1 PREDICTING POSITIVITY TOWARDS SUCCESSION PLANNING

As positivity toward succession planning has three possible responses ordered from low to high an ordered logistic regression model was developed. The final variables are presented in Table 4.3, which provides the individual parameter estimates and their significance as predictors of positivity. The final column provides the odds of the event occurring. When the odds ratio is below 1 it indicates that the odds are decreasing, above 1 they are increasing.

The analysis found leader’s personal characteristics, the amount of time they spent on specific activities and their motivations have no significant impact on whether they were more or less likely to be positive about succession planning. Of the three structural variables two were significant. The wider regulatory and performance framework did not significantly impact on positivity, however, perceptions of the individual’s institutional culture and their views about staff profile and capability were significant. The odds of being more positive about succession planning were increased by a factor 3.2 if the individual also felt that their institution’s culture was supportive. Further, if the respondent felt that staff profile and capability were important factors in developing a succession plan they were more likely to be positive about succession planning.

Table 4.3: Ordered logistic regression model predicting respondent levels of positivity towards succession planning

	β	SE	Sig.	Odds ratio
Socio-demographics				
Female	-0.13	0.35		0.88
PVC/Dean/Executive/Dean	-0.39	0.41		0.68
Four or more years in current role	-0.42	0.35		0.66
Time use				
Time mentoring other staff	-0.26	0.40		0.77

Time on day-to-day operational/administrative matters	-0.27	0.32	0.76
Time on strategic activities	0.62	0.40	1.86
Motivational			
Intends to apply for another leadership role	-0.15	0.33	0.86
Strategic/workforce planning necessary elements of succession planning	-0.08	0.34	0.92
Structural Factors			
Supportive institutional culture	1.16	0.37 **	3.20
Staff profile/capability	0.90	0.31 **	2.46
Regulatory and performance framework	0.06	0.29	1.06
/Cut 1	2.35	1.09	2.35
/Cut 2	4.30	1.13	4.30

Model chi-square=25.78, df=11, sig=0.007; Cox & Snell R Square=0.08.

* p<0.10, ** p<0.05, ***p<.01

Source: DASSH Academic Leadership Survey, 2011, N=152

4.9.2 PREDICTING WHETHER LEADERS HAVE A SUCCESSION PLAN

Having identified what predicts attitudes towards succession planning a logistic regression model was run to see whether or not positivity towards succession planning significantly impacted on having a plan. The model includes the same variables as the model from Table 4.3.

The analysis shows that succession planning is more likely to be in place where respondents report:

- higher levels of positivity towards succession planning
- spending less time on day-to-day operational and administrative matters
- intentions to apply for another leadership role in the next 5 years
- strategic or workforce planning are necessary elements for succession planning in the higher education sector.

Table 4.4: Logistic regression model predicting whether respondent's faculty/division has any sort of succession plan

	β	SE	Sig.	Odds Ratio
Socio-demographics				
Female	-0.75	0.49	0.47	
PVC/Executive Dean/Dean	0.85	0.62	2.34	
Four or more years in current role	-0.59	0.52	0.56	

Time use				
Time mentoring other staff	-0.45	0.58		0.64
Time on day-to-day operational/administrative matters	-0.83	0.49	*	0.43
Time on strategic activities	-2.83	1.14	***	0.06
Interaction of current role by time spent on strategic activities	2.93	1.41	**	18.73
Motivational				
Positivity toward succession planning				
Moderately positive	0.80	0.56		2.24
Highly positive	1.15	0.59	*	3.16
Intends to apply for another leadership role	0.93	0.49	**	2.53
Strategic/workforce planning necessary elements of succession planning	1.81	0.49	***	5.11
Structural				
Supportive institutional culture	-0.38	0.50		0.87
Staff profile/capability	0.31	0.39		1.36
Regulatory and performance framework	-0.00	0.36		1.00
Constant	-2.93	1.32	**	0.12

Model chi-square=37.10, df=14, sig=0.001; Cox & Snell R Square=0.21; Nagelkerke R Square=0.31.

* p<0.10, ** p<0.05, ***p<.01

Source: DASSH Academic Leadership Survey, 2011, N=152

These factors all significantly contribute to the likelihood of academic leaders having any succession plan (formal or informal). Tests were undertaken to see whether there were any significant interactions. The analysis showed that there was a significant interaction between current role and time spent on strategic activities. Perhaps not unsurprisingly those in a higher-level leadership position, who also spent more time on strategic matters, were much more likely to have a succession plan.

4.10 DISCUSSION

4.10.1 BARRIERS AND CHALLENGES

The data in this report has shown that leadership succession planning is not the norm among ASSH leaders. Succession planning for academic leadership is being performed by only roughly a quarter of academic leaders of faculties or divisions. However, leaders may become more familiar with existing frameworks that support leadership succession planning within their institutions as individuals gain experience with workforce planning, particularly, as leaders prepare to vacate their positions as they approach retirement, promotion or take on new roles. Nevertheless, the findings from this report suggest attitudes towards planning for leadership succession show ambivalence among academic leaders. It is not clear whether this ambivalence is the result of adverse experience or

conversely no experience with leadership succession planning. Whatever the cause of this ambivalence, it is clear that academic leaders report a variety of hurdles to leadership succession. These barriers are largely due to the nature of leadership – time pressures and the demands of a leadership role. Further, the tensions between a research career and an academic leadership role add further layers of complexity to manage when planning for leadership succession.

4.10.2 ENABLING MECHANISMS

The literature reports that effective leadership succession planning requires cultural and institutional support to ensure the key requisites of strategic planning, workforce planning and career pathways are addressed. Strategic planning is necessary to set targets for higher education providers, while workforce planning operationalizes the means by which the strategic targets can be achieved with qualified and capable staff. Career pathways are fundamental to workforce and leadership succession planning. The qualitative data from this study found that leaders believed that clear and known pathways to leadership positions are important for not only ensuring the right people are in the right roles, but also making leadership attractive to academics. This may well include provisions to enable traditional research work to be combined with leadership in a more explicit and achievable way. These requisites are not achievable in isolation; rather they require broader and functional support from the institution. The qualitative data found that leaders reported that a wider support structure is necessary to enable effective leadership succession planning. The enabling mechanisms identified comprise a six-pronged support structure for leadership succession initiatives:

- Budgetary support
- Clear guidelines
- Mentoring and preparation for leadership
- Promotion policy and career pathways
- Recognition of need for workforce planning
- Investment in staff capabilities.

In addition to the structural enablers of leadership succession the study findings identify a preference for a more mixed approach to succession planning modes. Combining both formal and informal succession initiatives enables flexibility while ensuring transparency and necessary support for the conduct of related activities. In practice this is likely to ensure the guidelines and procedures necessary for leadership succession planning can operate as a supportive framework while at an operational level more informal succession planning can be conducted. Adopting this type of approach may also enable wider activities to be incorporated into a suite of succession planning activities. Moreover, this flexibility

allows for more targeted and adaptive strategies to suit different academic areas and needs.

4.10.3 KEY FACTORS

The likelihood of succession planning among ASSH leaders increases when the leader has strong aspirations for leadership personally (that is, planning to apply for another leadership role), holds positive views about succession planning and believes strategic planning is necessary for succession planning. The results from the logistic regression analysis also show that leaders who spend less time on day-to-day operational and administrative matters are more likely to engage in succession planning. More senior leaders who spend time on strategic matters are also more likely to have a succession plan in place. These findings have significant implications for succession planning. Recruiting leaders who are committed to a “career” in leadership is important as is their attitude towards succession planning. If universities are serious about building a culture of strategic planning, and within this succession planning, that moves beyond the rhetoric of central human resources (HR) divisions, then recruiting like-minded people into leadership roles will be crucial for future workforce planning and implementation. As part of this, universities leaders (that is, VC and DVCs) need to ensure that those below them are supported through clear, transparent and stable policies and guidelines, a clearly articulated vision for the future direction of the university, and transparent funding principles to enable budgets to be proactively managed. University leaders need to proactively support their “leaders” at the coal face by ensuring they have the time to spend on strategic initiatives, not just the day-to-day operational matters and “fire-fighting”.

It is not surprising that leadership succession planning is not being widely performed as the higher education sector is currently undergoing a “quiet revolution”. This revolution is being felt across all aspects of university life. The courses offered and the staff required to teach them is being affected by the relative performance funding model and the uncapping of Higher Education Contribution Scheme (HECS)/Commonwealth Grant Scheme (CGS) places, the outcome of research assessment exercises on research profile and recruitment, the globalization of higher education in terms of competition for students and staff, and the impact of technology on education and how it is delivered and from where (for example, Massive Open Online Courses or MOOCs), the rapidly changing demographic profile of staff, and pressure to corporatize all aspects of academic life as a response to growth in size of the university and the need to comply with government regulation and expectations around what is expected of universities. A robust proactive succession planning strategy is necessary to better respond and adapt to this “quiet revolution”. An effective implementation strategy that accounts for and adapts to the unique situation of the sector is thus essential to the future of the ASSH and the higher education workforce.

5. IMPLEMENTATION STRATEGIES FOR LEADERSHIP SUCCESSION PLANNING

Effective succession planning initiatives require an environment where strategic and business planning is actively undertaken to underpin and support succession planning activities. There are a number of key building blocks necessary for successful workforce and succession planning. Workforce and succession planning must be directly aligned to the strategic, operating and business plans of the institution. Normally the university's strategic plan identifies the key goals that an institution is seeking to accomplish along with the actions and resources required to achieve those goals. The operational plan provides more detail around the strategic goals including sub-goals, as well as identifying the tasks, timeframes and roles for staff. The business plan outlines the business planning process, including the allocation of resources, to achieving the goals identified in the strategic and operational plans. This plan usually contains information on the investments required to achieve the goals and the likely return on those investments.

Unless local planning clearly articulates a "line of sight" to the university wide plans securing important university executive support will be difficult and could ultimately undermine any strategy being pursued at the local level. Conversely high level top down strategic plans that fail to take account of deeply held values and practices by those at the coal face are unlikely to succeed as academic staff engage in resistance and sometimes disengagement with processes that seek to plan and adapt to change.

Any attempt to implement strategic change requires the identification of activities, decisions and relationships critical to accomplishing desired outcomes. Certo and Peter (1991, 2012) (<http://www.strategy-implementation.24xls.com/en104>) propose a five-stage model to guide change:

1. Determine how much your organisation will need to change to be able to implement the proposed strategy
2. Analyse the formal and informal structures of your organisation
3. Analyse the culture of the organisation
4. Select an appropriate approach to implement the strategy
5. Implement the strategy and evaluate the results.

Within this, operationalizing effective succession planning, Wilkerson (2007: 6) identifies ten key steps which are adapted below:

1. Determine future workforce needs and challenges based on your institution's strategy (this can be done as part of the strategic plan at the university level and business plan in your faculty/college)

2. Identify what you do and do not know about your workforce
3. Develop a plan to fill these gaps
4. Develop the business case identifying why it is important and the required resources
5. Obtain the buy-in of leadership and other stakeholders and resources needed
6. Define the learning and development experiences that potential successors will have access to
7. Develop an effective communication strategy to communicate the succession planning approach
8. Implement the succession plan
9. Review and monitor the results and adjust the plan as required.

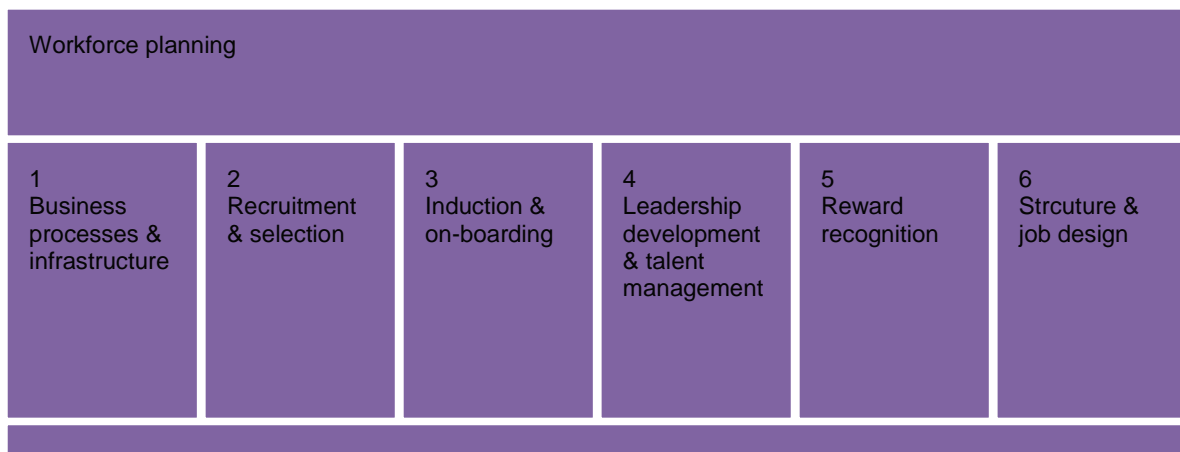
In addition, the findings from this study of senior academic leaders in Australia and New Zealand identified the following key aspects of succession planning:

1. **Executive support** – high-level support for the workforce and succession plan is unlikely to happen if faculty/college plans are not clearly aligned to the university's strategic and related plans.
2. **Cascading business plans** – business planning needs to be directly linked to the workforce requirements of the university, college/faculty and school.
3. **Workforce planning** – prior to succession planning understanding what positions and structures are required to deliver on both educational and research outcomes is obviously crucial. The specific task of identifying leadership successors is more appropriately undertaken at the College/Faculty level as this is where the crucial knowledge about both forthcoming resignations/retirements and potential internal leaders is most likely to reside. This is also the level at which strategic thinking and discussions about the future directions of teaching and research across the humanities, social sciences and the arts is most likely to happen. These discussions need to inform the development of succession plans.
4. **Building career pathways** – identifying linear and non-linear career paths as part of workforce and succession planning to ensure there is high engagement and retention of talented staff and managers and that the university has the capabilities to meet future needs. As outlined by Smith (2012: 40) 'establishing a broad range of capabilities, experiences and perspectives within individuals which will set them up to take on leadership roles'.

5. Identification of barriers and enablers – identifying barriers and enablers that exist in the local area is crucial for success. This information allows for local workforce and succession planning to be tailored accordingly and align to the culture and future needs of the local area.

Figure 5.1 identifies six elements that impact on workforce planning. These six elements of workforce planning address the five key issues identified by participants in this study. Each of the six elements of workforce planning is described in the proceeding sections.

Figure 5.1: Key elements of workforce planning



Source: DASSH Focus Group Discussions, 2011, N=52

The findings from this study suggest building stronger career pathways, and identifying and addressing the barriers and enablers of succession planning are essential to effective planning. More importantly, these two necessary elements require executive support and overarching workforce planning. This is not an exhaustive account of factors that can support succession planning initiatives. Indeed, there are a myriad of local variables, cultural issues and differential strategic objectives which will need to be considered when developing and implementing the suite of workforce and succession planning activities.

5.1 BUSINESS PROCESSES AND INFRASTRUCTURE

Commitment to business processes and infrastructure can have three direct and immediate benefits. The first is to invest in high quality professional staff who have the skill set to assist academic leaders in the development of workforce planning. The second is that high quality support staff can free up academic leaders to focus on those aspects of succession planning where they can make their best contribution to the process. The final benefit is to maximise scarce time and resources to ensure the optimal likelihood of achieving a return on investment. Given that leaders report time and resourcing as key barriers to strategic planning the recruitment of senior professional staff should be a key priority for academic leaders and such people need to have the following capabilities to support academic leaders successfully:

- Deep understanding and empathy for the core business of the school, college/faculty and university
- People and change management experience
- Business acumen and financial management skills
- Organisational and project management skills
- Information technology skills
- Business process improvement skills
- High level writing skills
- Understanding of the higher education sector governance/accountability/legislative frameworks.

As universities have grown the culture of university administration has become increasingly risk averse rather than effectively embracing and managing risk. This is partly because academic staff have shown little interest in taking ownership of the way in which university strategy, policies and procedures have rapidly expanded to respond to regulatory oversight of education and research and external industrial and work, health and safety legislative frameworks. The result is an excessive and complex web of policies and procedures. There is a need to streamline and simplify the administrative processes in universities. Investment in the “right” professional staff can provide invaluable support in identifying efficiency gains, reducing red-tape and bureaucracy, and increasing the effectiveness of strategic planning and business processes.

Getting strategy right is hard and Mintzberg (1987) provides one useful way of thinking about how you develop strategy. He discusses the five Ps for strategy:

- ‘Strategy as plan – some sort of consciously intended course of action, a guideline (or set of guidelines) to deal with a situation
- Strategy as pattern – specifically a pattern in a stream of actions
- Strategy as position – specifically a means of locating an organization in what organization theorists call “an environment”
- Strategy as perspective – looks inside the organization, indeed inside the heads of the collective strategist
- Strategy as a concept – all strategies are abstractions which exist only in the minds of interested parties’ (Mintzberg, 1987:11).

Using a model such as this can help to understand and manage the processes by which different strategies are used for different purposes.

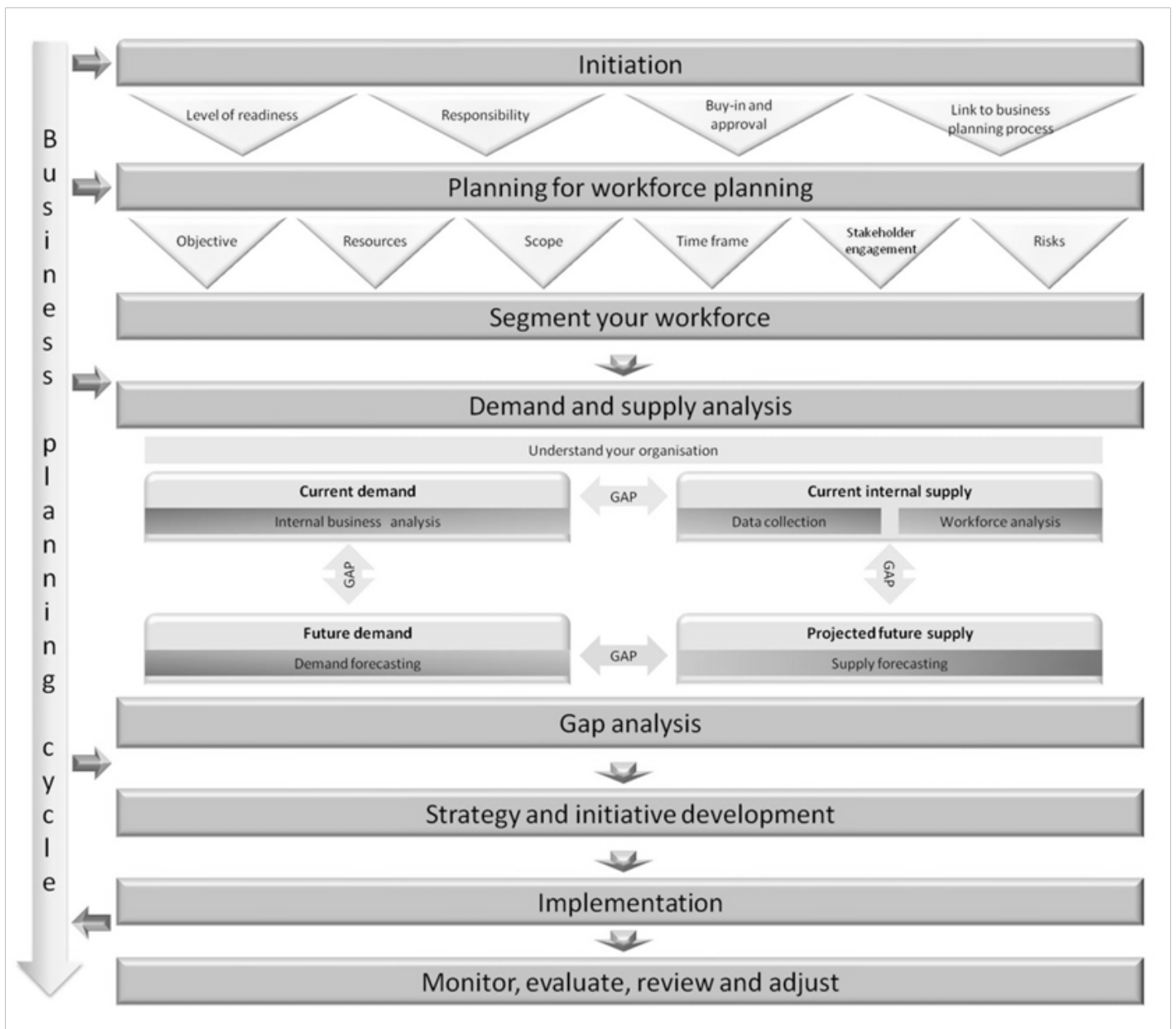
An important aspect of reengineering processes will be the design and development of systems and processes that are “fit for purpose”. Many university management systems have developed as ad hoc responses rather than as part of an integrated “whole of business” approach. The poor linkage across HR, financial, research management, student, on-line teaching systems makes it difficult to extract data for planning and business purposes. Where the university does not have an integrated and intuitively easy to use suite of management systems, leaders need to advocate for such a suite within their institution. They need to be prepared that the initial up front costs will be high but the long term benefits to staff will be significant. Reengineering local processes can also help to redress the imbalance of administrative versus academic work that is being experienced by academics. Doing this requires a commitment to business planning and being clear about what is being reengineered. Some on-line tools that may assist in thinking about business process reengineering can be found at:

<http://www.bain.com/publications/articles/management-tools-2011-business-process-reengineering.aspx>

<http://dl.acs.org.au/index.php/ajis/article/download/404/368>

Budgetary support is paramount to the success of workforce planning and succession planning within universities. As a result workforce planning needs to be integrated within the business planning cycle to ensure sufficient resourcing is available. There are a number of best practice guides for workforce planning available. We have chosen to refer to the Workforce Planning Guide released by the Australian Public Service Commission. These guidelines can be tailored to the local institutional context but offer a straightforward and pragmatic approach to workforce planning and succession planning. Figure 5.2 summarises the key stages in the workforce planning process.

Figure 5.2: Overview of the workforce planning process



Source: Australian Public Service Commission, 2011: 8

5.2 RECRUITMENT AND SELECTION

There are a number of key ways that potential leaders can be identified before and once they are employed. Assessment of leadership capabilities at the time of recruitment can be the first step even though the initial position may not involve a leadership role. This can be achieved by developing a capability framework that outlines the required capabilities for academic leadership positions. This will cover a range of job roles and/or work contexts. The following is adapted from the Defence Signals Directorate (2009:7) this approach has a number of benefits:

- ‘informs the development of training and strategic HR initiatives

- improves recruitment through consistent selection criteria and terminology
- helps develop a strong “bench strength”, providing a depth of skill and capability across the college/faculty
- acts as a guide to individual development during performance management discussions
- assists [academics]with personal career planning
- assists managers in providing advice to staff on career progression and development
- assists in identifying capability requirements and gaps across the college/faculty’ (Defence Signals Directorate, 2009).

One approach is to establish for all major roles a capability matrix, which outlines the business experience, functional knowledge and the behaviours required to be highly effective in a particular role or series of roles (Smith, 2012). Once established, this matrix is a useful tool for individuals (and their supervisors) in their personal career planning. In conjunction with some form of measurement tool, often a self- evaluation tool, it specifically highlights areas of immediate fit and areas requiring new or enhanced skills to meet the requirements of the job the person aspires to. This is of particular importance in light of the findings from the FGDs and survey respondents that clearly suggest a feeling of being ill equipped or a reluctance to take on leadership roles. Being equipped with the knowledge and tools to assess leadership qualities at the time of recruitment or during promotion can assist in better preparedness for leadership roles. This is also an important tool in helping academics identify their own personal skill needs.

Figure 5.3 provides an example of how an employee can map from their current role, for example as a principal consultant, what is needed to move to a more senior role as a manager within consulting services and also what they need to do to make a move to a role in, say, business development or project management. The matrix can also be constructed in such a way to assist with issues around requisite experience and functional knowledge for the role that differentiates “Fit to Start” from “Fit for Job” and which facilitate transition to “Fit for Job” as quickly as possible (Smith, 2012).

The matrix identifies the capabilities required at each level of the major disciplines in the group. The capabilities are further defined in a competency framework, which incorporates into each competency the traditional behavioural definitions and examples of positive behaviours, but also the business knowledge and experience, and the personal attributes that support this capability. Added benefits of investing in this approach is that the matrix can also underpin an integrated human resources system, not only for personal career

planning but also for workforce planning, talent and succession management, performance management, recruitment and learning and development.

There are a number of organisations that have developed capability frameworks particularly in the Australian Public Service. The following are some samples:

<http://www.asio.gov.au/Publications/ASIO-People-Capability-Framework.html>

http://www.curriculum.edu.au/leader/introducing_the_acel_leadership_capability_frameworko,27729.html?issueID=11775

<http://www.apsc.gov.au/publications-and-media/current-publications/senior-executive-leadership-capability-framework>

Figure 5.3: Example of a capability framework

TABLE 1 NON-LINEAR CAREER PATHWAYS – SAMPLE SKILLS AND CAPABILITY MATRIX				
OPERATING UNIT	CONSULTING SERVICES	CONSULTING SERVICES	BUSINESS DEVELOPMENT	PROJECT MANAGEMENT
ROLE	Principal consultant	Manager	Account manager	Project manager
GLOBAL CAPABILITIES				
Managing others	Intermediate	Advanced	Foundation	Advanced
Working in a dynamic environment	Intermediate	Advanced	Intermediate	Advanced
Building relationships	Advanced	Advanced	Expert	Advanced
Client orientation	Advanced	Advanced	Expert	Advanced
Delivering results	Intermediate	Advanced	Foundation	Intermediate
Technical/Professional capability	Expert	Expert	Intermediate	Expert
SPECIAL CAPABILITIES				
Negotiating and influencing	Advanced	Advanced	Expert	Expert
Building revenue	Intermediate	Advanced	Expert	Not required
Client management	Advanced	Advanced	Expert	Expert
Risk management	Expert	Expert	Not required	Expert

Source: Smith, 2012: 42

5.3 INDUCTION AND ON-BOARDING

It is imperative that the induction and on-boarding processes are effective at the initial stages of employment as the experience of “first contact” often sets the tone for the career experience of individuals in workplaces. Further, the provision of support for academics at a local and institutional level was a requisite identified in the FGDs and survey

results. Ideally, “first contact” should occur before the person arrives and be part of an overall proactive on-boarding process. For example, early assistance in terms of relocation, schooling and health care options, and access to temporary housing will influence individual’s perceptions as to whether this is a place they want to stay for the longer term.

During the first six weeks of employment there are a range of induction activities that should occur; the dilemma is to balance how much individuals, particularly if they have arrived from overseas with a family, can absorb and what needs to be communicated to ensure a smooth transition into the university. Table 5.1 provides a list of possible activities and who might be responsible. Many of these activities should ideally be repeated and those that relate to career aspirations should be part of an on-going conversation with both the supervisor and the mentor.

Table 5.1 Possible induction activities

Activity	Responsibility
General	
Structure of University, university policies and procedures including Code of Conduct	Supervisor and staff member to register with Career Development Branch
Terms and conditions of employment	HR manager
Meet and greet with key leaders in the college/faculty	Dean/Associate Deans/General Manager
Discuss College/Faculty Minimum Academic Standards or Load Planning model	Supervisor
Discuss college/faculty Research and Education Strategic Plans:	Supervisor
Discuss School Operational Plan and employee’s Research Proposal/Plan	Supervisor
Setting the research culture	
Discuss ERA/PBRF contribution	Associate Dean (Research)
Discussion about HERDC contribution	Supervisor
Discuss Outside Studies Program (OSP) – Refer to College/Faculty OSP Guidelines	Chair of OSP committee
Add academic profile to University Researchers website	School administrator
Outline internal grant programs to support research	Supervisor and Associate Dean (Research)
Setting teaching expectations	
Organise training on Teaching & Learning site	Manager, Education Design Studio
Discuss teaching requirements, approaches, program, skills and quality, students	Supervisor and Associate Dean (Education)
Induction on education policies and procedures	Associate Dean (Education)

Discuss postgraduate supervision of students	Supervisor and Associate Dean (Research Training)
Advise on the Student Enhancement of Learning & Teaching – SELT	Supervisor
Discuss Foundations of University Teaching & Learning Professional Development Program or equivalent	Supervisor
Career	
Discuss career aspirations	Supervisor
Assign an academic mentor to staff in Academic A, B or C positions	Supervisor
Discuss academic promotions process	Dean and supervisor
Discuss professional and career development opportunities	Supervisor

Internal leaders may be identified as part of a formal succession plan. Alternatively, future leaders may be identified simply because they exhibit characteristics that suggest one day they would be an effective leader. Both are important because formal succession plans can easily go awry. Having some choice through having developed a number of possible leaders makes good sense. Developing a strategy to induct possible leaders could take a similar form as the previous induction with a series of activities to be systematically worked through over a set period of time. A more informal serendipitous approach is to have a list of possible leaders and when opportunities arise ensure that they are encouraged to take on those activities as part of their professional development. Exposure to possible roles and what they involve can be an effective mechanism for inducting staff. This can happen when individuals act in a particular role for a period of time, participate in key committees so they can learn through observing how the chair runs the committee, take on deputy roles so they become more intimately involved in the backroom work of a committee, or ask them to take on a specific project.

5.4 LEADERSHIP DEVELOPMENT & TALENT MANAGEMENT

Developing leaders and managing talent can range from very formal intensive processes through to more intuitive and experience-based approaches. Leadership development can be accessed through a variety of means including networking with other colleagues, finding a mentor and engaging in activities such as observation of leaders and participating in projects. In terms of formal leadership development the Propel Pre-Leadership Program has been developed for the sector (see Lovasz, Dolnicar & Vialle 2012). It consists of six interrelated components – mentoring, networking, big picture, leadership skills, active and reflective – each focusing on the development and practice of broad leadership skills and the growth of confidence as a leader.

The framework of the program is outlined in Table 5.2 and an outline of the program is available at <http://research.uow.edu.au/propel/index.html> and the full report on the

project at <http://www.olt.gov.au/project-succession-planning-universities-propel-uow-2009>. The program is a one-year intensive leadership program for early career academics focused on training future academic leaders, both locally and nationally. The model is transferable across institutions and targets disciplinary silos and ‘closing the gap between learning, teaching and research’ (Lovasz, Dolnicar and Vaille, 2012: Appendix C: 3). The program is designed to bring together peers and academic leaders across all faculties and disciplines as they complete the six elements of the program (Lovasz, Dolnicar and Vaille, 2012).

Table 5.2: Propel framework

POSITION	Think and work strategically to position yourself, your staff and your unit within university and the wider context
REFLECT	Reflect on yourself as a leader and be prepared to make changes
OPEN	Open out to your staff on both the professional and personal level
PROVIDE	Provide a supportive environment in which your staff will thrive
ENABLE	Enable your unit to always move forward
LINK	Create links and connections with other staff, faculties and institutions which will strengthen your unit and your discipline

Source: Lovasz, Dolnicar & Vialle, 2012: 42

An academic leadership learning schedule developed by Scott, Coates and Anderson (2008) in their ALTC project provides a useful framework to different approaches that can be used in leadership development. This framework allows for self-managed learning, practice based learning through to formal management programs. This is represented in Table 5.3 with possible activities that can be used within each approach.

Table 5.3: Approaches to leadership development

Approaches	Activities
Self-managed learning	<ul style="list-style-type: none"> Ad hoc conversations about work with people in similar roles Participating in peer networks within the University Participating in peer networks beyond the University Undertaking self-guided reading on leadership Accessing leadership information on the internet Involvement in professional leadership groups or associations

Practice-based learning	Being involved in informal mentoring/coaching Being involved in formal mentoring/coaching programs Undertaking work-placements or exchanges Participating in leadership development programs which are custom-tailored to your needs Study of 'real-life' workplace problems Undertaking site visits to other institutions or agencies Learning 'on-the-job'
Formal leadership development	Participating in feedback reviews based on known leadership capabilities Participating in higher education leadership seminars Completing formal leadership programs provided by your university Completing formal leadership programs given by external providers Attending learning and teaching conferences Completing a tertiary qualification relevant to leadership Participating in annual performance reviews

Source: Scott ,Coates and Anderson, 2008

Mentoring has proven to be a successful strategy in assisting academics to achieve their goals. Data from both the FGDs and survey results shows that mentoring forms an integral part of preparedness among leaders, and helps contribute to the effectiveness of succession planning overall. Mentoring programs can range from highly structured programs to informal arrangements encouraged by local leaders. Some staff resist mentoring but where a compatible mentor can be found that resistance can often disappear when the value of the mentoring relationship starts to emerge. Because of the issue of compatibility, where possible, encouraging the individual to identify his or her own mentor will be more productive. However, this may not be possible, particularly where staff are new to the institution, so having a list of people who are willing and good role models should be a priority and included as part of the induction process.

Coaching is another aspect of leadership development which is becoming increasingly popular. This would involve the supervisor or other appropriate academics in the workplace or in other universities being identified and engaged to provide assistance with capability development in relation to their academic careers. This could include, for example, building their research profile, presentation skills and managing difficult conversations. However, coaches can come from outside the sector depending on the key purpose of the coaching (see Case study 3).

Given that current leaders report being time poor, intuitive and experience-based approaches may be more feasible particularly where there are not sophisticated and well-resourced HR systems already in place. Endless change in the people who occupy academic

leadership roles due to the contractual nature of the positions requires a continuous flow of internal candidates for the different leadership roles. There are both short and long-term needs that need to be accounted for. Charan, Drotter and Noel (2011: 209) suggest one way of identifying talent for leadership positions is to identify three types of potential in individuals:

1. **Turn potential** – ‘people who are able to do the work at the next level in three to five years or sooner’
2. **Growth potential** – ‘people who are able to do the work of bigger jobs at the same level in the near term’
3. **Mastery potential** – ‘people who are able to do the same kind of work currently being done, only better’.

Once an individual has been assigned to a particular group appropriate development paths can be mapped out. This transparent process allows individuals to take ownership on their own career development and to make “realistic choices” about how much they want to commitment to particular career development strategies. This means people are fully engaged in their own career development and are clear about management’s perception about what they need to do to achieve their aspirations. Given that research has shown that potential leaders like to plan their own development this approach could be very attractive to highly motivated staff.

Table 5.4: Three categories of potential

Turn Potential (can be promoted through the next passage within 3-5 years)	Growth Potential (can be promoted to a bigger job at the same level within 3 years)	Mastery Potential (can improve in current role with same effort)
Exhibits operating, technical, and professional skills that are extremely broad and deep	Exhibits operating, technical, and professional skills that are high for the current organisational level	On balance, exhibits operating, technical, professional, managerial, and leadership skills that are acceptable for the current organisational level
Demonstrates leadership skills that are expected at the next level.	Frequently demonstrates leadership skills that are high for the current position	Aspires to stay with the company, as opposed to assuming bigger challenges or higher personal contributions
Regularly works at building new skills and abilities	Adds new skills when the job calls for it	Is motivated to do what is needed in the current job
Aspires to higher level challenges and opportunities	Aspires to greater challenges but primarily at the same organisational level	Understands the job
Demonstrates “fire in the belly”	Is motivated to do more than is expected	Is focused primarily on technical success

Has a business perspective beyond the current organisational level	Has a business perspective beyond the current position
Is oriented toward total business results, not just focused on the success of own area	Is focused on the success of own area and the team

Source: Charan, Drotter & Noel, 2011: 212-213

Importantly, this approach helps remove the term “fast track”. Fast trackers often become intent on preserving their elite status and avoid taking difficult assignments for fear of failing and falling off the fast track. Therefore they may have avoided the growth and change necessary to make the turn at each leadership level. When people know the type of track they are on they are much more willing to work on projects that assist them in their chosen career track (Charan, Drotter & Noel, 2011).

Table 5.4 outlines ways in which each of the three categories of potential can be measured or assessed (see Charan, Drotter & Noel 2011: 212). This could assist in identifying development options that could be included as part of performance development and assessment agreements with supervisors. This information can then be fed into the succession planning process identifying potential successors that could then be documented in a succession plan for the College/Faculty. This will assist in identifying where each academic sits against the potential levels and thereby indicate the pool of people available for leadership positions.

5.5 REWARD AND RECOGNITION

Rewards and recognition can be drivers of change and can reinforce positive behaviour. Praise delivered with real sincerity can have a profound impact on individual confidence and self-efficacy (Garrett and Davies, 2010: 86). Rewards can be both intrinsic and extrinsic. Those that are intrinsic are in the form of employee recognition programs such as paying attention to job design, work schedules, fostering participation and setting goals that are challenging and creative. Extrinsic rewards are usually the more traditional rewards such as increased pay, bonus payments and the like. These are less effective for many academics as most work in academia for the deep satisfaction gained from being an expert in their discipline, and being recognized as such, advancing the knowledge base of the discipline, and influencing industry and public policy. Identification of incentive, and conversely disincentives, that enable academics to engage in their disciplinary activities is necessary; often this involves finding ways to support their research.

Expectancy theory predicts that staff ‘will exert a high level of effort if they perceive a strong relationship between effort and performance, performance and rewards, and rewards and satisfaction of personal goals’ (Robbins, Judge, Millett, and Boyle, 2011: 194). However, academics are less motivated by assessment of performance or organisational

rewards. While their work environment allows them to have personal responsibility and autonomy for their research and teaching, they have access to external funding for their research, and their peers hold them in high esteem, they are less concerned with internal performance assessments. The opinion that matters to them is not their colleague down the corridor but their colleague(s) in other universities who are working in the same related area and can make credible judgments about the quality and impact of their work in the discipline.

Reinforcement theory recognizes that 'organisational rewards reinforce the individual's performance' (Robbins, Judge, Millett and Boyle, 2011: 195). If they see the reward system is aligned to 'high performance, the rewards will reinforce and encourage continued good performance. When people are disappointed with their rewards they are likely to be sensitive to the perceived fairness of the procedures used and the consideration given to them by their supervisor' (Robbins, Judge, Millett and Boyle, 2011: 195). Understanding what is important and motivates academic staff is crucial for developing rewards and recognition strategies as part of succession planning and leadership development.

Promotion is central to academic reward and recognition. It involves an assessment by senior colleagues and external experts in the discipline that your work is of such standing in the field that you merit promotion. Indeed, support for promotion was cited by survey respondents as an important part of feeling valued. Further, opportunities for promotion, including the option for acting at higher levels, was suggested by FGD participants as a means for skill development and an essential part of leadership succession initiatives. As a result the promotion policy within universities should be clearly communicated and understood. The academic standards for each level need to clearly align to this policy so that academic staff understand the expectations the organisation has of them and the eligibility criteria for promotion. Initiatives such as early career researchers/academics forums and networks can provide opportunities for networking, mentoring and coaching, and sharing of information and knowledge vital for their professional development and understanding of requirements for promotion.

Research by Toss Gascoigne and Associates (2012) examining perceptions by Australian researchers of their work provides interesting insights into the positive and negative aspects of academia. Overall, the report shows that researchers want:

- Career paths and information about possible careers in research (Toss Gascoigne and Associates, 2012:1 6)
- Stable employment options (Toss Gascoigne and Associates, 2012: 5)
- System to encourage mobility between universities, industry and government (Toss Gascoigne and Associates, 2012: 25)
- Better administrative support (Toss Gascoigne and Associates, 2012: 17)

- Preparation for Australian PhD students for the job market so they are competitive with international academics (Toss Gascoigne and Associates, 2012: 36).

Table 5.5 lists what is working well in the Australian research system and what could be improved. The third column provides some strategies to overcome these barriers.

Table 5.5: The good and the bad issues ranked by career stage

Worst Aspect of a research career	What does the Australian system do well?	Do badly?	Initiative to address issue
Graduate students			
Job prospects	Adequate stipend to PhD students (69 respondents chose this option)	Too much reliance on short-term contracts (146)	Investigate and create/amend employment types as appropriate
Salary	Adequate salaries in universities, research bodies (47)	Inadequate provision of employment and scholarships (119)	Increase the number of employment options and scholarships
	Good working conditions (45)	Limited jobs in universities and research bodies (118)	Where possible increase number of positions available - universities and research bodies
	Trains post-grads in complementary skills (42) such as project management, managing IP and communication skills etc.	Scholarships do not allow time to complete PhD (111)	Extend the lifespan of the scholarships and length of funding where possible
Post-docs			
Job prospects	Adequate stipend to PhD students (119)	Too much reliance on short-term contracts (198)	Investigate and create/amend employment types and opportunities where possible
Lack of career path	Adequate salaries in universities, research bodies (65)	Inadequate provision of employment and scholarships (173)	Increase employment options and scholarships where possible. Access to professional development to build research career
Salary	Encourages new graduates to do post-docs (52)	Limited jobs in universities and research bodies (158)	Increase number of jobs in universities and Research bodies where possible
	Good working conditions (39)	Little assistance in career development as researchers become experienced (135)	Career Development and advice to make the transition from a higher degree student to a job e.g. documented career paths, early career researchers forums etc. Schemes to help women transition back into the workforce
Early-career			

Job prospects	Adequate stipend to PhD students (120)	Too much reliance on short-term contracts (253)	Investigate and create/amend employment types as appropriate
Career path	Adequate salaries in universities, research bodies (83)	Inadequate provision of employment and scholarships (207)	Increase employment options and scholarships where possible. Structured mentoring system
Work load	Encourages new graduates to do post-docs (67)	Limited jobs in universities and research bodies (184)	Increase number of jobs in universities and Research bodies where possible
	Trains post-grads in complementary skills (55)	Little assistance in career development as researchers become experienced (175)	Career Development options available e.g. documented career paths, early career researchers forums etc
Mid-career			
Job prospects	Adequate stipend to PhD students (151)	Too much reliance on short-term contracts (277)	Investigate and create/amend employment types as appropriate
Work load	Encourages new graduates to do post-docs (99)	Little assistance to mid-career researchers to develop (252)	Career Development options available e.g. documented career paths, secondments, exchanges between research, industry and government
Career path	Adequate salaries in universities, research bodies (97)	Inadequate provision of employment and scholarships (243)	Increase employment options and scholarships where possible
	Trains post-grads in complementary skills (70)	Little assistance in career development as researchers become experienced (242)	Career Development options available e.g. documented career paths, early career researchers forums etc
Late career			
Work load	Adequate stipend to PhD students (36)	Too much reliance on short-term contracts (87)	Investigate and create/amend employment types as appropriate
Job prospects	Adequate salaries in universities, research bodies (34)	Inadequate provision of employment and scholarships (77)	Increase employment options and scholarships where possible
Career path	Encourages new graduates to do post-docs (25)	Little assistance in career development as researchers become experienced (75)	Career Development options available e.g. documented career paths, early career researchers forums
	Helps women re-renter the workforce after family leave (18)	Limited jobs in universities and research bodies (72)	Increase number of jobs in universities and Research bodies where possible

Source: Toss Gascoigne and Associates, 2012: 18-20

5.5.1 DECISION MAKING

The discussants in the focus groups referred to the need for more timely and transparent decision making. Balancing the collegiate view of decision making with being timely raises management issues particularly as universities are now larger and more complex. The perception can sometimes be that quick decisions equate to non-transparent processes. Raising awareness of how and where decisions are made is important as well as ensuring that decisions reflect a mature, considered and consistent approach rather than being seen as “ad hoc” and “deal making”. The former promotes trust and collegiality as well as enhancing governability, the latter does the opposite and makes it difficult for leaders to engage in constructive reform or change. Leaders can be guided by models to assess the appropriateness of their decision making style. Examples of decision-making tools can be found on the following websites:

http://www.mindtools.com/pages/main/newMN_TED.htm#models

<http://asq.org/learn-about-quality/decision-making-tools/overview/overview.html>

<http://managementhelp.org/personalproductivity/problem-solving.htm>

5.5.2 MENTORING/PREPARATION FOR LEADERSHIP

The value of a mentor has been mentioned earlier in this report. Increasingly the use of coaches is occurring in the university sector. Although these can be expensive the return may be significant. Other preparation for leadership can include:

- Attendance at committee meetings
- Participation in assessment panels
- Budget meetings and forecasting
- Supervisory responsibilities
- Coordination of a conference or seminar series
- Speaking at a conference.

These opportunities expose the academic to the responsibilities of leadership positions and smooth the transition for acting or permanent arrangements. The following references are examples of mentoring programs, which have been developed within the higher education sector:

<http://www.deakin.edu.au/itl/assets/resources/pd/tl-modules/scholarly/acad-ment-hbook.pdf>

http://www.uws.edu.au/organisational_development/od/course_listing/mentoring_program

http://business.curtin.edu.au/schools/cgsb/current_students/building_your_career/academic_mentoring_program.cfm

<http://www.northwestern.edu/advising-center/academic-support/amp.html>

5.5.3 INVESTMENT IN STAFF CAPABILITIES

Investment in staff capabilities is necessary to ensuring the success of individual leaders and is fundamental for successful workforce and succession planning. Without financial and cultural commitment to staff capability development, potential leaders cannot be retained and the pool of talent for leadership positions will be depleted. Although funding is competitive both across the sector and internally within universities, and there can be rapid shifts in income due to changing student preferences and rates of successful research grants, leaders need to build into their budget allocations strategic reserves to support investment in staff development. This can be difficult when jobs are “at risk”, however, failure to do so will have other consequences that could affect the quality of staff that can be both recruited and retained. This then has flow-on effects to the quality of research generated as well as the quality of undergraduate education programs and the capacity to attract post graduate students.

5.6 STRUCTURE AND JOB DESIGN

It is important to periodically review the organisational structure of the college/faculty to ensure it is supporting the delivery of core business and the desired culture. Reviews can be stressful for all staff and do result in change but change provides the opportunity for better practices to be implemented and renewal of teaching and research priorities. Low-level reviews can be completed during the business planning period however major reviews should be built into a regular cycle that becomes accepted as normal practice. It is crucial that the structure is appropriate for the complexity of the higher education context and supports academic autonomy and flexibility, which are highly valued by academics.

Job design can have significant impact upon job satisfaction and morale. Hackman and Oldham (1975: 162) identified five dimensions of job design that should be in place to maximise satisfaction and morale:

- **Skill variety** – the degree to which a job necessitates the use of different skills
- **Task identity** – opportunities for academics to do an entire piece of work. They need to be able to do a task or project from start to finish
- **Task significance** – degree to which the job makes an impact on lives or work of people

- **Autonomy** – the degree to which the job provides freedom
- **Job feedback** – the degree to which objective, direct and timely information about performance is given to employees.

As previously discussed, development and support for career progression are seen by academics as not being done particularly well. Both FGD participants and survey respondents reported that career development and careers pathways were important elements of leadership succession planning. More importantly, there are a diverse range of career paths, and recognition that not all academics wish to pursue the same career path should be acknowledged and catered for. Career development, and discussions around the individual’s career aspirations, needs to occur as part of the performance management discussions. These are important discussions at any level and can have a defining impact on the individual and the choices they make. Such conversations should include the following:

- **self-assessment** – investigating who you are using tools such as values card sort, analysing lifestyle and priorities, skills inventory and career line
- **where are you?** – the current context
- **future directions** – Where do you want to go/career goals and options?
- **how will you get there?** – action plan which can be contained in the performance agreement covering contribution to research, education and service-networking, profile building, publishing, teaching.

Table 5.6 illustrates career management competencies and provides a useful framework to consider regarding the types of capabilities academics and their supervisors need to possess to manage careers successfully.

Table 5.6: An overview of the career management competencies by phase

COMPETENCIES	PHASE I	PHASE II	PHASE III	PHASE IV
AREA A: PERSONAL MANAGEMENT				
1. Build and maintain a positive self-concept	1.1 Build a positive self-concept while discovering its influence on yourself and others	1.2 Build a positive self-concept and understand its influence on life, learning and work	1.3 Develop abilities to maintain a positive self-concept	1.4 Improve abilities to maintain a positive self-concept
2. Interact positively and effectively with others	2.1 Develop abilities for building positive relationships in life	2.2 Develop additional abilities for building positive relationships in life	2.3 Develop abilities for building positive relationships in life and work	2.4 Improve abilities for building positive relationships in life and work

3. Change and grow throughout life	3.1 Discover that change and growth are part of life	3.2 Learn to respond to change and growth	3.3 Learn to respond to change that affects your wellbeing	3.4 Develop strategies for responding positively to life and work changes
AREA B: LEARNING AND WORK EXPLORATION				
3. Participate in lifelong learning supportive of career goals	3.1 Discover lifelong learning and its contribution to life and work	3.2 Link lifelong learning to personal career aspirations	3.3 Link lifelong learning to the career-building process	3.4 Participate in continuous learning supportive of career goals
4. Locate and effectively use career information	4.1 Understand the nature of career information	4.2 Locate and use career information	4.3 Locate and evaluate a range of career information sources	4.4 Use career information effectively in the management of your career
5. Understand the relationship between work, society and the economy	5.1 Discover how work contributes to individuals' lives	5.2 Understand how work contributes to the community	5.3 Understand how societal needs and economic conditions influence the nature and structure of work	5.4 Incorporate your understanding of changing economic, social and employment conditions into your career planning
AREA C: CAREER BUILDING				
7. Secure/create and maintain work	7.1 Explore effective ways of working	7.2 Develop qualities to seek and obtain/create work	7.3 Develop abilities to seek, obtain/create and maintain work	7.4 Improve on abilities to seek, obtain/create and maintain work
8. Make career-enhancing decisions	8.1 Explore and improve decision making	8.2 Link decision making to career building	8.3 Engage in career decision making	8.4 Incorporate realism into your career decision making
9. Maintain balanced life and work roles	9.1 Explore and understand the interrelationship of life roles	9.2 Explore and understand the interrelationship between life and work roles	9.3 Link lifestyles and life stages to career building	9.4 Incorporate life/work balance into the career-building process
10. Understand the changing nature of life and work roles	10.1 Discover the nature of gendered life and work roles	10.2 Explore non-traditional life and work options	10.3 Understand and learn to overcome stereotypes in your career building	10.4 Seek to eliminate gender bias and stereotypes in your career building
11. Understand, engage in and manage the career building process	11.1 Explore the underlying concepts of the career-building process	11.2 Understand and experience the career-building process	11.3 Take charge of your career-building process	11.4 Manage your career-building process

There needs to be a linkage between career development and the business plan (Rylatt, 1989). Without this the goals of the individual and the organization may not align. This can be ascertained as part of performance management discussions when career goals and a development program are articulated. The benefits of implementing a career development system listed here have been adapted from Anderson (2002):

- **Retention of quality staff** – career development programs give a clear message that your organisation is taking an interest in academic professional development to benefit both the individual and organization
- **Assisting staff involved in a major change process** – will help build career resilience and provides the message that your organisation is supporting academic staff through changes in the workplace
- **Dealing with unmotivated staff** – provides staff with self-help tools to clarify their preferred direction and act on it and can have a positive effect on morale
- **Being an employer of choice** – provides a platform upon which employee development can be built taking into account the academic staff member's development needs and the needs of the organization
- **Building career resilience** – this focused on individual ability to adapt their career in a changing work environment allowing them to maintain on-going employability and achieve worklife satisfaction
- **Building a more productive workforce** – this will take into account a person's intrinsic needs and sources of motivation as well as recognition of the university strategy. A career development system will help with identifying staff internal source of motivation and satisfaction.

Building career self-reliance should be a key goal of any career development program. A customised career planning workbook is one tool that can be utilized. This emphasises learning through self-initiated exploration and discovery and can assist both the supervisor and the staff member monitor progress towards career goals. An example of a workbook designed specifically for those considering moving into academic roles can be found at <https://intranet.birmingham.ac.uk/as/employability/careers/documents/public/career-planning-workbook.pdf>. Additional resources are available at: <http://www.khake.com/page94.html>. Building self-reliance can also be facilitated through electronic career support. This would enable academic staff to access career development resources and services online at a time convenient to them. This can include self-assessment tools such as Career Anchors, Myers Briggs Type Indicator, skills and interests' assessments and values. These kinds of tools can be found at <http://www.nmu.edu/acac/careerlibrary>.

5.7 CONCLUSION

As highlighted in focus groups and survey results respondents are ambivalent about the development and implementation of informal and formal succession planning strategies. Key messages were that leaders are time poor, lack resources (both human and financial) to invest in succession planning and less positive towards succession planning when the institution is not supportive of such activities. Career paths were frequently mentioned however the structural and cultural values of the university require both linear and non-linear paths and flexibility to facilitate individuals moving between them. In this final chapter we have identified a number of initiatives, some of which would alleviate these problems while other strategies are relatively inexpensive or alternatively do not require major financial investments to implement.

In terms of succession planning for particular roles, and the career trajectories that encompass those roles, leaders who were more strategically focused, and had aspirations to remain in leadership roles, were more likely to engage and be positive about this kind of planning. This suggests that Individual attitudes and aspirations need to be factored in when recruiting to particular roles, particularly leadership positions, where incumbents will have responsibility for succession planning.

Leadership roles need to be made more attractive to junior academics. Enabling research time is one aspect along with administrative support that will allow this to occur. Another facet is perceptual. Vice-chancellors and Deputy Vice-chancellors need to visibly support the next leadership layer. This would include public acknowledgement of the important work individuals in those roles carry out, including responsibility for difficult change management and staffing issues, as well as developing responses and systems to reduce largely non-productive “fire-fighting”. This is a challenge Vice-chancellors could step up to through actively mentoring, supporting and building leadership succession planning into their own management team. Without visible support and career pathways from faculty/colleges into the Office of Vice-chancellor the perception by junior staff is that leadership is not fundamentally valued and is characterized by short-term “survival” appointments.

For universities to maintain the values and culture that have been central to their mission over the last 800 years they must adapt to the corporatisation of their structures and the rapid impact of technology on all aspects of their operations (Ernst & Young, 2012). This requires investment in the next generation of leaders so that they have the capacity, resilience and maturity to influence those changes in a way that finds the best fit between the old and new ways of doing business in the 21st century. Succession planning, and strategies to effectively implement succession planning, will be crucial to this agenda.

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APPENDIX 1: DASSH FOCUS GROUP DISCUSSION QUESTIONS

Associate Deans, Sydney10 June 2011	DASSH Board Members (Deans and Pro Vice Chancellors), video conference27 June 2011	Associate Deans, Magnetic Island29 September 2011
<p>What is meant by Academic Leadership Succession Planning?</p> <p>i. How to define successful leadership succession planning?</p>	<p>What is meant by Academic Leadership Succession Planning?</p> <p>What is leadership in the academic context and what form of academic leadership is significant for PVCs and Deans?</p>	<p>What is meant by Academic Leadership Succession Planning?</p> <p>i. How to define successful leadership succession planning?</p>
<p>What is your experience of academic leadership succession and how could be improved within the ASSH sector?</p>	<p>Defining Academic Leadership Succession with ASSH sector</p> <p>What is your experience of academic leadership succession and how could it be improved within the ASSH sector?</p>	<p>Defining Associate Deans of Research's stand on the topic of Academic Leadership Succession Planning</p> <p>i. Are you personally in favour of, or against a formal succession plan for your institution?</p> <p>ii. Does your institution currently have a succession planning program?</p>
<p>Role importance in relation to Academic Leadership Succession</p> <p>Could you please spell out the importance of your current role in relation to Academic Leadership Succession?</p> <p>Could you please give us examples of leadership styles that could be effective?</p>	<p>Role importance in relation to Academic Leadership Succession</p> <p>Could you please spell out the importance of your current role in relation to Academic Leadership Succession?</p> <p>Could you please give us examples of leadership styles that could be effective?</p>	<p>Importance of formal and informal process of Leadership Succession Planning</p> <p>i. Describe your institution in regards to a formal succession plan</p> <p>ii. Could you please give examples of formal and informal leadership succession planning?</p>
<p>Factors impacting Academic Performance</p> <p>What factors do you think are individually impacting on your performance?</p> <p>Factors that are <u>Negatively</u> impacting on your performance?</p> <p>Factors that are <u>Positively</u> impacting on your performance?</p>	<p>Factors impacting Academic Performance</p> <p>What factors do you think are individually impacting on your performance?</p> <p>Factors that are <u>Negatively</u> impacting on your performance?</p> <p>Factors that are <u>Positively</u> impacting on your performance?</p>	<p>Factors to institutional decisions around Academic Succession Planning</p> <p>i. What factors contributed to your decision on having a succession plan?</p> <p>ii. What factors would be necessary to support a formal succession plan?</p>

<p>Challenges and fulfillment of your current role</p> <p>What are the challenges of the Associate Dean's role in general? In order to overcome these challenges and to effectively fulfill your current leadership role, what are/would be your needs?</p>	<p>Challenges and fulfillment of your current role</p> <p>In order to overcome these challenges and to effectively fulfill your current leadership role, what are/would be your needs?</p>	<p>Key challenges to Leadership Succession Strategy in an academic environment</p> <p>i. What are the challenges to have a robust formal academic succession strategy?</p> <p>ii. What are/would be institutional needs?</p> <p>iii. How do you ensure effective succession planning for your institution?</p>
<p>Recommendations on Succession Planning Strategy for ASSH sector</p>	<p>Succession Planning Strategy with ASSH sector</p>	<p>Recommendations on Succession Planning Strategy for ASSH sector</p>

University	Location
Australian Catholic University	Multi-state, AU
The Australian National University	Australian Capital Territory, AU
Auckland University of Technology	Auckland, NZ
Central Queensland University	Queensland, AU
Charles Sturt University	New South Wales, AU
Charles Darwin University	Northern Territory, AU
Curtin University	Western Australia, AU
Deakin University	Victoria, AU
Edith Cowan University	Western Australia, AU
The Flinders University	South Australia, AU
Griffith University	Queensland, AU
James Cook University	Queensland, AU
La Trobe University	Victoria, AU
Macquarie University	New South Wales, AU
Massey University	Wellington, NZ
Monash University	Victoria, AU
Murdoch University	Western Australia, AU
Queensland University of Technology	Queensland, AU
RMIT University	Victoria, AU
Southern Cross University	New South Wales, AU
Swinburne University of Technology	Victoria, AU
The University of Adelaide	South Australia, AU
University of Auckland	Auckland, NZ
University of Ballarat	Victoria, AU
University of Canberra	Australian Capital Territory, AU
University of Canterbury	Canterbury, NZ
The University of Melbourne	Victoria, AU
The University of New England	New South Wales, AU
The University of New South Wales	New South Wales, AU
The University of Newcastle	New South Wales, AU
The University of Notre Dame	Western Australia, AU
University of Otago	Otago, NZ
The University of Queensland	Queensland, AU
University of South Australia	South Australia, AU
University of Southern Queensland	Queensland, AU
The University of Sydney	New South Wales, AU
University of Sunshine Coast	Queensland, AU
University of Tasmania	Tasmania, AU
University of Technology, Sydney	New South Wales, AU
The University of Waikato	Waikato, NZ
The University of Western Australia	Western Australia, AU
University of Western Sydney	New South Wales, AU
University of Wollongong	New South Wales, AU
Victoria University	Victoria, AU
Victoria University of Wellington	Wellington, NZ

Number	Question	Responses
Q1	Your sex	Female Male
Q2	Your age	<36 36-45 46-55 56-65 >65
Q3	Your main disciplinary background	Creative arts Education Humanities Social Sciences Other (Specify)
Q4	Your university	[Tick box]
Q5	What is your current role? (You may select more than one response if necessary)	PVC Executive Dean Dean Associate Dean of Learning & Teaching Associate Dean of Research Head of School/Department/Centre Other (Specify)
Q6	How many years have you been in your current role?	<1 year 1-3 years 4-6 years 7-10 years >10 years
Q7	Over the course of the year, approximately what percentage of your time would spend on the following activities? Strategic related activity Day to day operational/administrative matters Your own research Teaching and managing your own courses Supervising your own HDR students Service and outreach activities Mentoring other staff	0-100% (in 10% increments)
Q8	Do you intend to apply for another higher education leadership role in the next five years?	Yes No
Q9	What leadership role do you intend to apply for in the next five years? (You may select more than one response if necessary)	PVC DVC Executive Dean Dean Assistant/Associate/Sub Dean Head of School/Department/Centre No current intention Other (Specify)
Q10	Have you ever held a leadership role outside the higher educational sector?	Yes No
Q11	If 'Yes' [to Q10] in what area(s)?	OPEN-ENDED
Q12	Briefly, what are the three most challenging aspects of your current role?	OPEN-ENDED

Q13	In your view, how do you define the term “Leadership for Succession”?	OPEN-ENDED
Q14	How would you describe your institution’s culture with regard to: Decision making Succession planning Leadership development	OPEN-ENDED
Q15	Are you personally positive about having a formal succession plan for your institution?	Extremely positive Very positive Moderately Slightly positive Not at all positive
Q16	Does your faculty/division currently have a formal succession-planning program?	Yes No
Q17	If YES [to Q16], how do you incorporate this program into your role?	OPEN-ENDED
Q18	[If Q16=Yes] What hurdles have you experienced?	OPEN-ENDED
Q19	IF NOT [to Q16], have you ever considered implementing a succession plan? Why or why not?	OPEN-ENDED
Q20	How important are the following factors to your institutional decisions around succession planning? Economy The demographic profile of the academic profession University funding model Government policy framework Your staff’s career expectation The impact of the government’s Excellence in Research (ERA) process Impact of current technology Ethnic diversity of staff in your area Changes to the disciplinary areas you are responsible for University senior management strategies Age profile of the area you are responsible for University policy on growth in PGCW University policy on flexible delivery and online courses Current university staffing policy University policy on growth in HDR Indigenous diversity of staff in your area Student demand for particular courses/programs Gender profile of staff in your area Other (please specify)	Extremely important Very important Moderately important Slightly important Not at all important Other (Specify)
Q21	Do you believe succession planning in the higher educational sector requires a different approach or strategy than those used in corporations?	Extremely different Very different Moderately different Slightly different Not at all different

Q22	What do you believe are the key elements needed for a succession plan to be implemented in the higher educational sector?	OPEN-ENDED
Q23	For your institution/faculty/division specifically, what processes, methods, strategies or cultural changes would be necessary to support a formal succession plan?	OPEN-ENDED
Q24	Would you be willing to be part of further discussions or share your institutions succession strategy tools?	Yes No
Q25	If yes [to Q24] please provide your contact details Name Email Phone	OPEN-ENDED
Q26	Is there anything else you would like to share regarding the topic of succession planning in higher education?	OPEN-ENDED