2017

Succession planning relating to the Millennial generation in private four-year universities

Stephen Anthony Gilbert

Pepperdine University

Graduate School of Education and Psychology

SUCCESSION PLANNING RELATING TO THE MILLENNIAL GENERATION IN PRIVATE FOUR-YEAR UNIVERSITIES

A dissertation presented in partial satisfaction
of the requirements for the degree of
Doctor of Education in Organizational Leadership

by

Stephen Anthony Gilbert

May, 2017

June Schmieder-Ramirez, Ph.D. – Dissertation Chairperson

This dissertation, written by

Stephen Gilbert

under the guidance of a Faculty Committee and approved by its members, has been submitted to and accepted by the Graduate Faculty in partial fulfillment of the requirements for the degree of

DOCTOR OF EDUCATION

Doctoral Committee:

June Schmieder-Ramirez, Ph.D., Chairperson

Latrissa Neiworth, Ed.D.

Christie Cooper, Ed.D.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

DEDICATION

This dissertation is dedicated to my wife, Nicole, who has been invaluable with her love and support as I progressed through my doctorate program. I also would like to dedicate my dissertation to my children, Logan, John, Madeline, and Lorelei. I hope that my doctoral journey is inspiration in knowing that they can accomplish whatever they set their mind to accomplishing. And finally, I dedicate my dissertation to my mother, Sylvia, who was the one who built my foundation to become the person that I am today.

ACKNOWLEDGEMENTS

To my dissertation chair, Dr. June Schmieder-Ramirez – thank you from the bottom of my heart for your guidance through out the doctoral program. Your guidance has been something that I am truly grateful. In addition, I would like to thank my committee members Latrissa Neiworth and Christie Cooper, who have provided valued feedback and assistance through out my dissertation journey.

I would like to thank the participants of my study. Without your graciousness and availability in taking the time to do these interviews, I would not have the results and conclusions that made my dissertation what it is.

I also would like to thank Pao Lo, Joel Bigley, Bob Benson, and Lyall Swim who were some of the core peers from my cohort. Your insights and feedback have helped me grow as a person.

Finally, I would like to thank Christie Dailo for her continued amazing dedication to the EDOL program and students. You are an invaluable resource to which I am grateful.

VITA

Stephen Anthony Gilbert

EDUCATION

Doctorate of Education in Organizational Leadership, Doctoral Candidate
Pepperdine University, Graduate School of Education and Psychology
Los Angeles, CA

Masters of Business Administration
University of La Verne, College of Business and Public Management
La Verne, CA

Bachelor of Arts in Business Administration
University of Washington, Foster School of Business
Seattle, WA

NASA
Lean Six Sigma Green Belt Certification

PROFESSIONAL EXPERIENCE

2015 to Present
Buyer III
University of Southern California
Los Angeles, CA

2008 to 2015
Subcontracts Manager III
Jet Propulsion Laboratory/NASA
Pasadena, CA

2005 to 2007
Buyer
University of California, Santa Barbara
Santa Barbara, CA

2002 to 2005
Executive Assistant Manager
Walgreens Co.
Seattle, WA and Goleta, CA

ABSTRACT

The workplace is in a transition with age demographics (Mann, 2006). The baby boomers, once a large and dominating force in the workplace are now in their initial years of a decade's move into retirement. And with such a large demographic change, there is a vacuum that is created and then filled. Many industry analysts have deemed this transition as the Great Shift Change. In the workplace, vacancies are being created en mass at the managerial and executive levels. Due to the recession of 2008-2012, the baby boomers remained in the marketplace for an extended period of time, some say to rebound with their depleted retirements. As the economy made its way back to normalcy, an intersection of market forces hit. This collision of market forces is the emergence of an economy out of recession and an age demographic beginning an advanced pace of retirements that analysts say will last up to 20 years. Due to a high turnover of the baby boomer generation with the millennial generation in the market, succession planning is key to maintain productivity and smooth the transition in demographics while providing services to increasing student populations. This dissertation will utilize case studies to analyze this market event and see how private higher education institutions located in Los Angeles, California are handling succession planning in an aggressive employment demographic change.

Keywords: Succession planning, higher education

Chapter 1: The Problem

Background

Higher education institutions are on the cusp of unprecedented growth in California. The state of California is facing a forecasted deficit of one million college-educated workers by 2025 (Bohn, 2014). The United States is to have a shortfall of 11 million college graduate workers by 2025 (Gates, 2015). To counter this forecast, universities have been taking steps to meet the demand. And following unprecedented growth in the student populations of universities, there has been a respective growth in faculty and staff within the university. This growth enables the university to handle increased needs of facilities, maintaining a desired student faculty ratio, and overall day-to-day operations of the university. For example, the University of Southern California's (USC) student freshmen enrollment has grown from 2,972 in 2010 to 3,098 in 2015, growth of 4.2% over a five-year period (University of Southern California, n.d.). The University of California system has seen a one-year, 5% growth in their applications (Rivera, 2015) as well as a 5% growth in the student populations from 2012-2013 (University of California Office of the President, 2013). Based on all of this information, it can be surmised that higher educational institutions are in a position for healthy growth. However, there is one underlying factor that can cause major growing pains.

The baby boom generation makes up 38% of the current workforce in the United States (Catalyst.org, 2015). And the *baby boomers* are now in positions in their life where they are in retirement age. Retirement age in the United States is generally accepted as beginning at age 65 (Social Security Administration, n.d., para 1). Baby boomers were born between 1946 and 1964 (Talgan, 2009). As of 2014, roughly 17% of them were declared to be retired (Casseleman, 2014). From now on, approximately 10,000 baby boomers will retire every day, based on a Pew Research study (Cohn & Taylor, 2010).

In terms of the work force in higher education, as of 2004, 29% of workers in higher education were faculty (Doyle, 2008). These figures are leading towards a major crossroads within higher education. Large growth in student populations occurred at the same time that a similarly large exodus of leaders left the field of education. This significant shift in numbers going in opposite directions for student and faculty populations has created a need for strong, effective planning.

Succession planning is defined as a process designed by academic and business organizations to cultivate, recognize, and evaluate the organization personnel, with the desire to ready those employees for roles in leadership within the organization (W. Rothwell, 2010). Succession planning has many benefits to offset a large transition or unexpected events causing a major change in leadership (Chandler, 2015). In this study, leadership in higher education consists of individuals in a managerial position or senior faculty with a leading/mentoring role at the university. But even with succession planning being a component for transition of the baby boomers into retirement, a *Harvard Business Review* study indicated that only 20% of responding HR executives report satisfaction in their executive succession planning (Chandler, 2015).

With conflicting information in the workplace, there is a need to identify succession planning occurring in the workplace and to see that experiences have been learned concerning this topic. The basis of the study will be a qualitative case study based research focusing on private higher education institutions in the Los Angeles, California vicinity. Identifying the data that supports or detracts succession planning in this population will enable organizations to learn from this study and apply their own measures with their organizations based on the research obtained.

The study will begin with an introduction of the topic and an initial overview and structure outline. This will be followed by research of the current literature to identify trends or themes and potentially any gaps in the literature. An outline of the proposed research will then be identified, followed by the outcome of that research. Finally, recommendations will be identified at the end of the study along with any other recommendations for further research.

Statement of the Problem

Higher education institutions across the nation are experiencing the same trend that the rest of the country is facing, which is the retirement of the *baby boomer generation* in ever increasing numbers. This means that there will be openings in all levels of an organization for individuals to grow and expand in their careers. But the problem arises when individuals retire, the workforce is attempting to replace that loss as quickly as possible. As this occurs, organizations can face severe knowledge loss and experience in the organization. Therefore, there is a need to identify how succession plans are implemented, if any, and how successful they have been to date.

This dissertation examines whether succession-planning efforts in higher education institutions in the Los Angeles vicinity are a phenomenon consistent with current literature regarding succession-planning trends identified elsewhere in the nation. Three private higher education institutions in the Los Angeles vicinity were chosen as the location for this study because of the similarity of the function of private universities as opposed to public, proximity to the researcher's residence, and varying sizes of the stated private universities to provide a cross sample for the Los Angeles vicinity.

Purpose of the Study

The purpose of the study is to identify how private higher education institutions approach succession planning. All participants interviewed by the researcher are in a position of importance in their respective higher education institution who have decision making importance concerning succession planning. Approached as a qualitative study, the research is more defined as case study based. The researcher approached the study in this manner because the variety of responses in an interview format might provide more valuable data than one utilizing a series of survey questions and answers. Individual responses of the participants in their own unique environment might provide more in-depth knowledge of succession planning. A quantitative approach would not provide desired results due to the small scope of participants in private higher education institutions. For a quantitative approach utilizing surveys to have a nominal degree of validity, a large number of participants would be required. Although there are a large number of private universities in the Los Angeles County area, it is anticipated that specific insights would not be gained as would be done through one-on-one interviews. Interviews were conducted with academic staff in leadership positions with knowledge of succession planning efforts within their organization. The sample of private universities included two suburban four-year liberal arts colleges and one rural four-year colleges. To provide additional data concerning the existing or lack or existing succession planning policies and strategies, a review of accreditation documents was performed for each institution.

This study attempts to identify common themes in the participants' interviews through coding of the stated interviews. Once the interviews were coded, the researcher will examine the common themes to see if they were consistent with existing themes of succession planning found in the current literature. These themes and commonalities will identify potential strategies for other higher education institutions to apply to their own succession planning initiatives.

Significance of the Study

The current environment within the private universities being studied by the researcher is currently moving toward the initial transition of baby boomers retiring in large numbers. A large turnover is occurring in the organizations due to these retirements, leading to an increased rate of employee hiring and promotions to cover for this loss in the workforce. This study examines how succession planning is implemented during this transition. A large number of higher education institutions do not have a succession plan (Bowen, 2008). Therefore, a succession plan will be vital to implement for those who do not have anything in place.

In terms of practice, the importance of this study is to identify elements of succession planning efforts in higher education that can be utilized at other institutions. Maintaining a long-term succession plan to account for estimated loss in the senior workforce in an organization will help stem the loss of experience and knowledge loss. The interview of individuals from three private universities in the Los Angeles area provides a cross sample from a large Division I university to a small liberal arts school. Results from the research in this study provide data that can be utilized by other universities for insight into succession planning. And, the political, geographic, and historical perspective of each institution will help better identify application of the research to the community of higher education

Research Questions

This dissertation is based on experiences of individuals at various private higher education institutions in the Los Angeles, California vicinity. The questions listed below required a study in a *real life* situation that provided a unique research approach on succession planning in academic settings (Yin, 2009). Each of the individuals had some level of seniority in the organization and they had some insight into their institution's experiences or lack thereof with succession planning. This study aims to provide insight into succession planning with the following research questions being the basis for the research. As baby boomers retire in increasing numbers, there are potentially key insights in the study to expand on the topic:

- What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to human resource executives?
- According to the literature of the past 10 years, what are successful criteria for having a successful HR succession plan?

Research Hypothesis

The researcher hypothesized that succession-planning efforts in higher education institutions are difficult to implement with fluctuations in the movement of millennials in their respective positions/careers and the baby boomers' retirements from higher education institutions at an accelerated pace.

Research Rationale

Saba CMO Emily He notes that individuals in the *millennial generation* will likely hold about a dozen different jobs by the time they hit their 30's (Fallon, 2014). The researcher had some insight into this phenomenon based on his personal experiences and changes in both jobs and varying careers in retail, government, and education. Millennials have been noted to have a lack of loyalty to organizations, focusing their career's based on their interest and not the interest of the organization or institution (Fallon, 2014). This aspect of millennials' approach to work needs to be considered with the fact that baby boomers are retiring at a pace of 4 million each year (Cohn & Taylor, 2010). The Public Policy Institute of California (PPIC) stated the State of California will need 1 million new college graduates to fill expected needs in the economy by 2025 (Bohn, 2014). The need for new graduates mentioned in the article suggests that the potential increase of the number of students attending college will also cause a resulting need for an increase in faculty and staff.

As the increase in the student populations expand growth in higher education, the resulting needs for more faculty and staff will increase the need for experienced personnel (Bureau of Labor Statistics [BLS], n.d., para 2). As the millennials move from one career to another, management in higher education will have a difficult time identifying and retaining experienced employees to move into management as the baby boomers continue to retire. Because of these circumstances, succession-planning efforts would be difficult to implement and maintain.

Theoretical Framework

The theoretical framework of this study is qualitative in nature and based in both phenomenology and case studies. Case study approach is one where the researcher develops an in-depth analysis of a case (Creswell, 2014). Additionally, researchers utilize a variety of data collection procedures over a period of time in the case study approach (Yin, 2009). And, phenomenology is a design of inquiry to describe lived experiences of individuals in a particular phenomenon (Creswell, 2014). The researcher collected unique case studies of three individuals at private universities within the Los Angeles, California vicinity over the span of a one-month time frame. And, all the questions will surround the phenomenon of succession planning in private universities. The question in the study was open-ended to allow the interviewees to provide their lived experiences in both a social and historical perspective (Creswell, 2014).

The researcher is approaching this study from Vygotsky's social constructivist theory in that the researcher is seeking an understanding of the world in which he lives and work (Creswell, 2014). Specifically, theorist Lev Vygotsky developed social constructivism, which is also referred to as interpretivism (Crotty, 1998). Vygotsky stated that culture plays an important role in how people view or perceive the world, communicate, and understand reality (Vygotsky, 1978). The goal of the research is to rely as much as possible on the participants' views of the situation being studied. And, based upon the data the researcher will (a) construct meanings as he engages the case studies he is interpreting, (b) make sense of the case studies based upon historical and social perspectives, and (c) generate meaning from the research collected (Crotty, 1998).

Key Assumptions

It was assumed that the individuals participating in this study performed in an honest manner and meet the requirements of this study. The researcher assumed that the participants were also willing subjects of the study. This assumption was satisfied through the issuance to and signature from participants of a consent form. Additionally, another assumption was that the questions asked of the participants in the study would provide insight into resolution of the research questions identified in this study. Another key assumption was that the participants in the study were employed in a higher education institution that implemented succession planning to help fill anticipated gaps in positions within their institutions. To satisfy this, participants were in positions of authority that had direct decision making authority on succession planning. And, based upon the literature that I read, it was assumed that the findings in this study would be unique to private universities from that of private for-profit businesses.

Limitations of the Study

One limitation of this study is that the researcher did not have direct access to senior managers or faculty of the various private higher education institutions in the Los Angeles County vicinity. The researcher' previous employment was centered in the aerospace industry. Therefore, the researcher's direct connections with officials in higher education was very limited. To mitigate this, the researcher contacted private higher education institutions where he either had attended or that his acquaintances had attended or been employed. Also, the researcher implemented the use of social media through avenues such as LinkedIn to initiate and obtain participants for the study. Based on this two-pronged approach, the researcher anticipated obtaining the sufficient number of participants.

There is the possibility of participants providing inaccurate feedback in the interviews so that information is not seen as negative toward the individual's higher education institution. The participants were in positions where answers to questions in this study could provide the appearance of a negative image of the institution. This was mitigated through the use of consent form and the emphasis that schools will be anonymous and that descriptive data used to differentiate the schools in the study would not give away the identity of the institution. Also, the participants' confidentiality was maintained before, during, and after the research was performed. The descriptive data of the institution was only as detailed as to differentiate one institution from another. Additionally, the researcher explained the interview process and emphasized the confidentiality of the interview with the test subjects so that no information could be directly linked toward a specific university or individual.

The study's results or findings could be found as generalized to higher education in general because the sample size was small. To minimize this effect, the pool of candidate schools was limited to private higher education institutions granting 4-year degrees and higher that located within the Los Angeles County vicinity. The results of the study were identified as applicable to findings from private universities in the Los Angeles County area. Participants of the study were from private universities that ranged in size from Division I, II, and III schools. This enabled the results to be reflective of private universities of various sizes.

Delimitations of the Study

The delimitation of this study was that at the time of the interviews, the participants were employees of private universities in Los Angeles County, California, lived within commuting distance of Los Angeles, California, and were in a position at a level in their institution that would hold a degree of knowledge or insight into succession planning policies.

Key Definitions

Throughout this dissertation several terms were used and their definitions based upon the literature researched are applied as follows:

- Baby boomers: people "born between 1946 and 1964" (Talgan, 2009, p.5).
- Case study: a means of research that looks at the current phenomenon in a real world situation (Yin, 2009). Several sources are obtained for gathering data in case studies such as focus groups, document review, and interviews.
- Generation: "entire body of individuals born and living at about the same time" (Generation, 2015).
- Demographic: "a segment of population having shared characteristics" (Demographic, 2015).
- Generation X: people born between the baby boomers and Generation Y, "ends with the birth year 1977" (Talgan, 2009, p.5).
- Generation Y (Gen-Y)/millennial: people "born between 1978 and 2000" (Talgan, 2009, p.5).
- Institution of higher education: a school that is post-secondary in nature that confers degrees in one of more of the following categories: associate, bachelor, master, and doctorate.
- NVivo coding: "Codes being taken directly from what the participant himself says and is placed in quotation marks" (Saldana, 2009, p. 3).

- Phenomenology: The study of a phenomenon with a group of participants who have experienced that phenomenon; this group is “a heterogeneous group… that may vary in size from 3 to 4 individuals to 10 to 15” (Creswell, 2007, p. 78).
- Private university: a higher education institution that is non-profit and not owned and/or managed at the city, state, or federal level.
- Qualitative research: “an approach for exploring and understanding the meaning individuals or groups ascribe to a social or human problem.” (Creswell, 2014, p. 4).
- Researcher: Stephen Gilbert
- Succession planning: an intentional process designed by business and academic organizations to recognize, cultivate and evaluate personnel, with the desire to prepare employees for leadership roles within the organization (W. Rothwell, 2010).
- Successful succession plan: A succession plan deemed to be working successfully by the participants of this study.

Chapter Summary

The millennial generation is an age group that is expected to become roughly 75% of the workforce by the year 2025. In conjunction with that demographic change, there is a corresponding increased exodus of the baby boomers out of the workforce and into retirement.

The researcher structured the interview questions based upon a previous published dissertation *Succession planning and Knowledge Transfer in Higher Education* by Connie Grossman (2014), which focused on Midwestern higher educational institutions. Interview questions that the researcher used in this study helped to determine if a phenomenon existed in the research data, and the researcher utilized NVivo 10 coding software to assist in locating and determining what common themes existed in the participants’ interview transcripts.

This study is of significance for the private higher education institutions being studied and other institutions in higher education that have succession-planning efforts underway or in planning stages. How succession-planning is effective with the emerging millennial generation will provide information that can be utilized in higher education institutions as the *great shift change* takes an ever increase number of baby boomers out of the workforce.

Chapter 2: Literature Review

This chapter provides a comprehensive review of the literature pertaining to the following: succession planning, leadership in higher education, and age generations in the workplace. First, the origins, evolution, and influences of succession planning will be reviewed. Barriers to succession planning will be discussed along with a comparison of succession planning between higher education and business. Second, the researcher will examine leadership in higher education along with the recruitment and retention of millennials. Third, a review of the major age generations in the workplace will be examined. Finally, a look at case studies will be presented as a research platform.

The research of the literature was performed through database searches as well as periodical (magazines, newspapers, etc.) searches. Specific databases used included World Cat, Google Scholar, ProQuest, and EBSCO for scholarly literature related to succession planning and the age generations. A more generalized Google search was the main method of reviewing literature for popular culture relating to millennials, baby boomers, and the other age generations. The researcher reviewed a total of 110 resources by using the Pepperdine Library system as a result of these searches, which took place from September–November, 2015.

Significance of the Topic

The upcoming workforce transition from the baby boomers and the emergence of the millennials as the dominant force in the workplace has become known in industry as the *Great Shift Change*. By the year 2025, more than 75% of the workplace will consist of millennials as the primary labor force (Schawbel, 2013). And there are currently 10,000 baby boomers retiring on a daily basis (Fisher, 2015). With this knowledge, education administrators will need to acknowledge and identify this emerging statistic so that universities and higher education in general is able to conform to the change and adopt this change in a proactive manner. In Chapter

1, the researcher suggested that there may be unique findings from succession planning between higher education and business. There will be a great need for business and higher education to have a proactive plan in place to accommodate the potential rapid rise of millennials and the similarly rapid departure of the baby boomers.

Succession Planning in Higher Education

According to research conducted, the first scholar to document and identify the need for succession planning was Henry Fayol (1841-1925; W. Rothwell, 2001). Fayol was a mine company manager with more than 30 years of experience who led his company to becoming a leading French steel and iron producer (Teambuilding Solutions, 2012). Some of Fayol's publications in 1916 identified theories of management (Fayol, 1916/1930). That writing has become some of the base of current succession planning (W. Rothwell, 2010). In Fayol's writing, he stated that an organization would need to identify and then invest in training and development of a successor to an organization (Fayol, 1916/1930); yet, succession planning has been in existence for hundreds of years. The Tudor royal family in England practiced succession planning through a search of an heir to mitigate any inter- or intra- family disputes with succession to the crown (Barten, 2015).

Succession planning is "a deliberate and systematic effort by an organization to ensure leadership continuity in key positions, retain and develop intellectual and knowledge capital for the future, and encourage individual advancement" (W. Rothwell, 2001, p. 29). Typically geared toward continuity of leadership at the executive level, succession planning today now incorporates continuity of leadership at all levels of the organization (Cooke, 1995). The intent of succession planning is to find "promising candidates early and to actively cultivate their development" (W. Rothwell, 2001, p. 8). As noted in Figure 1 below, succession planning is the overarching process of identifying positions and needs in an organization, assessing the employees in the organization for future competency, developing a succession plan, then monitoring that plan as you develop your employees (Hayes, 2013). This is a continual process so that there is a continual supply and development of employees for future leader positions.

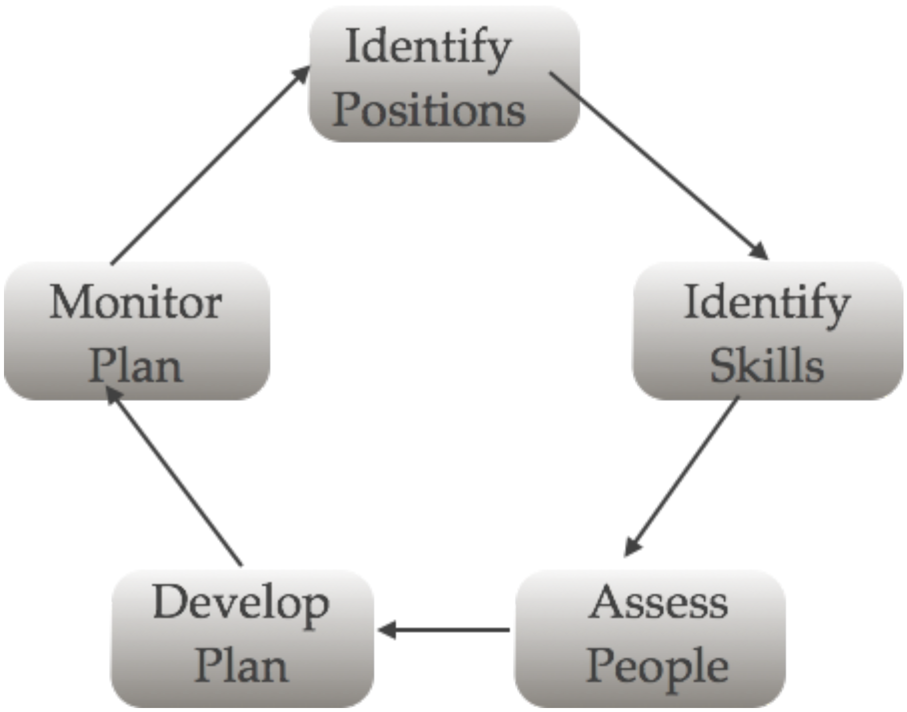

Figure 1. Succession planning process. Adapted from "Some Succession Planning Aids," by J. Hayes. Copyright 2013 by Michigan Tax & Accounting Professionals.

Rioux and Bernthal (1999) stated that succession planning has been practiced at all levels of larger organizations from executive levels down many levels below executive leadership. W. H. Rothwell (2010) also stated that succession planning is "best understood as any effort designed to ensure the continued effective performance of an organization, division, department, or work group by providing for the development, replacement, and strategic application of key people over time" (p. 6). In 2001, W. Rothwell asserted, "In fact, inadequate succession plans are a common cause of small business failure as founding entrepreneurs fade from the scene, leaving no one to continue their legacy" (p. xxi).

Historically, the modern view of succession planning has its beginning in the 1950's and 1960's as focus was centered on CEO succession (Zaich, 1986). Chapman evaluated executive development programs in 1954 and found six commonalities: the organization plan, performance appraisal, established replacement tables, development of high potentials, job rotation, and training programs (as cited in Mahler & Graines, 1983). Companies were found to be more financially stable during executive transitions by Trow in 1961 and showed a correlation between company profitability and succession planning (as cited in Zaich, 1986).

In the 1990's to current day, the research evolved more from senior executive leadership to expanded use in government, higher education, health care, and non-profit organizations to help at all levels of the organization (Rothwell & Kazanas, 2003). Downsizing of the middle management structure in industry has decreased the numbers of experienced managers (Basham & Mathur, 2010). As mentioned later in the literature review, the increasing retirements of baby boomers is having a large impact on organizations. Therefore, any succession planning tools/processes should be transparent showing forecasted openings, preparing a qualified talent pool and retaining/sustaining the emerging leaders with mentoring and support (Peters, 2011).

W. Rothwell (2010) stated that there are obstacles surrounding succession planning. And these obstacles vary among businesses and industries. The business environment and higher education have cultural differences surrounding their succession planning techniques. In periods of economic recession, organizations might look at succession planning to help decrease costs with transition of leadership (Rosse & Levin, 2003).

Evolution of Succession Planning

Variations of succession planning found in the literature include replacement planning and talent management. Both are variations of succession planning with a specified narrow focus compared to succession planning. Succession planning is sometimes mistakenly referred to as replacement planning. Replacement planning is rapidly replacing a position that has been recently vacated. The position is not guaranteed but a temporary one (W. Rothwell, 2010). This is different from succession planning, which is a strategic tool/plan to generate a pool of candidates within the existing organization to replace vacated positions at a future date. The current state of shifting workforce dynamics shows the need to clarify both processes of planning. For example, while Drucker (1999) found that the current organization climate is changing and affirms the need for succession planning, others have written about the uneven implementation of such planning. Jusko (2005) wrote that while "two thirds of CEOs said they were likely to step down from their positions in the next 10 years" (p.20), approximately 39 % of CEO's stepping down "said they have a likely successor in mind, with 45% having identified no successor at all" (p.20). It is important that CEO's, and others in business, understand the importance of using a strategy of replacement that is more attuned to succession planning.

Talent management is the process of identifying and forecasting employment needs and the best way to meet those needs (Michaels, Handfield-Jones, & Axelrod, 2001). The process is meant to coincide with an organization's long term strategy to ensure smooth transitions between employees arriving and leaving (Michaels et. al, 2001). A joint study by IBM's Institute for Business Value and the Human Capital Institute found that the larger an organization is, the better equipped they are for planning for future needs of the organization.

The researcher found that several higher education institutions have talent management organizations to assist with the forecasting of future needs with employment of both staff and faculty. Two such institutions are the University of Southern California and the University of La Verne. The two institutions vary in size of faculty and staff, yet both have talent management departments. Therefore, talent management is being seen in this instance as a need for future solvency. The talent management departments are within their human resource departments, yet with talent management being a forecast for anticipated need, succession planning is the actual process to develop talent within the organization for the future needs.

The key elements of succession planning are (a) strategy development, (b) recruitment, and (c) coaching and mentoring (Barten, 2015). W. Rothwell (2001) wrote, "The continued survival of the organization depends on having the right people in the right places at the right time," (p. 8). In strategy development, the organization identifies what specific roles have a direct impact to operations should those positions not be filled by an individual. Several succession plans incorporate communication to the rest of the organization as part of the plan to keep organization continuity (Barten, 2015).

Recruitment is the next step in succession planning. The organization will locate either internally or externally for the right individual for the current or future vacancy. Recruitment is typically performed by the organization's human resources department. The goal for succession planning and recruitment is to minimize any down time with a position vacancy (Barten, 2015).

And third, the organization coaches and mentors internal employees within the organization to fill future position vacancies. Internal mentoring helps minimize organizational knowledge loss and smooth transitions (Barten, 2015). Ensuring a succession plan is in place at the organization is vital because "one of the most important things leaders do is to prepare for their own succession" (George, 2004, p. 187).

External Influences on Succession Planning

Many historical events can have an impact on an organization's succession plan, and there are a multitude of factors that can have an impact on an organization's effectiveness, such as environmental changes, changes in technology, societal changes, economic changes, demographic changes, and political environment changes. But because external influences are sometimes difficult to predict with an organization, in the opinion of the researcher there should be some type of contingency to recognize those factors.

Social changes. Certain societal changes have the ability to impact significantly how an organization might react and change. For example, on September 11, 2001, Cantor Fitzgerald occupied the 101st to 105th floors of One World Trade Center. When terrorists flew planes into the building, 658 of the 960 employees lost their lives (Roche, 2011). Although this example is extreme, it demonstrates the need to have a succession plan in place, if only for unforeseen events. Another larger and longer term event that has created a large impact on society has been the Industrial Revolution. The Industrial Revolution began in the United States early in the 19th century and evolved the nation from a focus on agriculture toward a focus on industry and manufacturing. Most well known in this transition, of course, the steam engine provided more power to machinery enabling society to make things and transport items/people in a quicker more efficient manner (History.com, 2009).

Changes in technology. Technology has always been an event changing element in an organization. The Information Age largely began in the late 20th century when organizations became computerized. A key technology change was the introduction of the Apple iPhone in 2007. The iPhone was a new product that used finger touch technology in a personal mobile phone. Previously, mobile phones were generally telephones without the cords anchoring them to the wall. With the introduction of the iPhone, not only did the individual have access to a mobile phone but they now had access to a mini computer in their hand. This new phone essentially created the new market of smartphones that were interactive and contained deep functionality. Text messages were now much easier to transmit and the phone became more of a workplace tool that could minimalize the needs for paper or concrete items (L. Grossman, 2007). An employee now possessed the ability to have mobile and remote access to the workplace through emails and internet access on a small device that can fit in your hand. With this handheld device, the employee was no longer confined to the footprint of their office space and possessed the ability to complete work functions in any location that contained a broadband signal or other connection to the internet.

Environmental changes. Environmental instances can have a great impact on an organization and a succession plan would be able to dictate a line of succession should individuals not be able to return to the organization. The San Francisco earthquake in 1906 destroyed over 80% of the city. Entire businesses in the San Francisco area were completely destroyed by fire, destruction, and loss of life (Archives.gov, n.d.). Environment changes are items that cannot be predicted but must be taken into consideration when developing the succession plan.

Economic changes. Economic changes also have a large impact on succession planning. The recent recession (2007-2009) saw large decreases in sales volumes from companies, lower home values that affected families, affected business enlarge. This was a combination of subprime mortgages defaulting and then the subsequent failure of financial institutions that held the now defaulted subprime mortgages. This lead to the collapse of the investment firm Lehman Brothers and Washington Mutual Bank. And as result of this crisis, the economy faced limited equity for investment along with the cycle of countless mortgage foreclosures, which had a spiral of lower the economic output ("Financial Crisis," n.d.). Not only can this lead to lowering productivity of an organization, it can lead to layoffs as shown in the bankruptcy of Washington Mutual where 3,400 employees in the corporate office were laid off (Pyrne, 2009). So, a succession plan would be beneficial to identify steps to take in economic situations.

Demographic changes. According to the research conducted, the main demographic change that appears to be impacting organizations is the increased retirements of the baby boomer generation and being replaced by the millennials entering the workforce. Another demographic change that can affect a succession plan is the change of ethnic composition of an area. An example of this is that California's ethnic composition over the last several decades has included a much higher percentage of Hispanics. As of 2010, the state of California now has a *minority majority*, meaning that the U.S. majority White, non Hispanic population is not a majority population in California (Panzar, 2015). In 2010, non-Hispanic whites were 40% of the population while Hispanics were 37.6% of the population. There was an increase of the Hispanic population from 2000 to 2010 of 28% that dramatically increased the Hispanic population of California (MacDonald, 2012). Along with the changes in demographics came changes in languages spoken. So, fluency in a particular language, or the ability of being bi-lingual to communicate with your employees might become an aspect that is sought in a succession plan.

Political changes. Finally, political changes can have a dramatic impact on how a succession plan is maintained. President Obama succeeded President Bush, who in turn succeeded President Clinton as president of the United States. Therefore, the Republicans and Democrats have been alternating leadership in the White House every eight years. And during these tenures, there have been changes in the composition in the U. S. Senate and House of Representatives. There have been periods where the Democrats held majorities as well as Republicans holding the majority. And with each party holding power, there is a change in the political environment. On average, the Republican Party has the aim of limiting government and the Democratic Party wants to use government as a centralization of services for the population of America. Republicans want lower taxes and Democrats want to have a tax system that is incremental proportional to various incomes in society (Green, 2012).

As varying political parties seek to alter taxes that can affect income and revenue of an organization, this can, in turn, impact the number of employees working at a company. Conversely, with lower taxes and limited government there is the potential of layoffs and reductions of employment in non-profit companies and government agencies that rely on government budgets to operate (Green, 2012). So, even political changes must be given consideration when looking at succession plans.

Employee Expectations of Succession Planning

The main internal influencers on succession planning stem from employee expectations and the organization's priorities. A competitive advantage tends to be the goal of human resource departments, while they also acknowledge changing demographics such as retiring baby boomers (Rothwell, 2010). There is the need to maintain a skilled workforce along with companies' focus to recruit new talent and increase their talent pool for the future survival of the organization (Zeiss, 2005).

Employee expectations of succession planning can lead to either the success or failure of the effort. In one study performed by Bocci (2014) at Towers Watson, there is information that employee and employer expectations towards succession planning are similar but different. Globally, both employee and employer value base pay, career advancement, and relationships with manager as top priorities, but from there a difference emerges. Where the company wants to focus on employee development, challenging employees, and bonus/profit participation, the employees seek out lower stress, workplace safety, and convenient work location. Also, a lack of growth opportunities is one of the reasons behind employee turnover in an organization (Zeiss, 2005). There will be a need to balance both financial and nonfinancial aspects of the succession plan (Bocci, 2014).

So, when employers look at developing their succession plans they need to keep in mind the need for clear communication between employer and employee so that the succession plans can be altered to meet both employee and employer expectations. Not doing so could lead to difficulties with implementation of a successful succession plan. It is important to match the needs of the organization with the needs of the employee (Fulmer, 2002). Succession planning will likely evolve into an everyday business function as opposed to previous practices where it was an annual event to review plans (Fulmer, 2002); therefore, better employer/employee communication needs to be considered in any new business model.

Organizational priorities will have to be given attention for the success of succession planning. Ensuring that the CEO makes succession planning a priority will help avoid a leadership crisis at a later date (Cascio, 2011). Boyle (2009) stated that the average employment term of a CEO is six years. This is short term management by one person; therefore, consideration of any executive level candidate must be centered around a corporate strategy (Dutra & Griesedieck, 2010). This strategy also will be important for hiring at lower levels. Dutra and Griesedieck (2010) described the practice of *candidate benchmarking* to evaluate successful candidates for lower as well as higher level jobs. Individuals will be benchmarked against each other so that an evaluation can be performed. Benchmarking will be performed among internal candidates as well as among external candidates in the general marketplace. Internal candidates may be measured against the question of whether they are progressing in their work as expected. Cascio (2011) reported on general characteristics identified in a CEO magazine survey as important for all candidates: strategic thinking, execution, decision making, technical competence, and team work. Therefore, organizations should incorporate these criteria into succession plans. This also relates to line development because these same individuals are needed in line positions to be able to develop and grow with the company (Cascio, 2011).

The Great Shift Change

As baby boomers retire in larger and larger numbers, the void created from their vacancy and sudden replacement by the younger generations is known in the work industry as the Great Shift Change (Sixel, 2014). Casselman (2014) wrote, "Roughly 17 percent of Baby Boomers now report that they are retired, up from 10 percent in 2010" (para 1). As a sample of the pending shortcomings, Sixel (2014) stated that in the oil and gas industry alone "a five-year forecast that shows a shortage of 300,000 to 500,000 workers worldwide in eight critical areas including geosciences, petroleum engineering and plant management" (para. 7). This level of job vacancies is a result of the increasing retirements of baby boomers. Sixel continued, "Between 40 percent and 80 percent of those in the technical and engineering positions could leave in the next five years as they near retirement age" (para. 11). This equates to 30% of the oil and gas industry's utility workers within five years (Anderson, 2014).

The Great Shift change has only accelerated now because "the recession is helping by delaying the retirement of Baby Boomers" (The Texas Workforce Commission, 2014, p. 18). Schlossberg (2015) commented, "By 2030, 70 percent of the 77.3 million members of the Baby Boomer Generation (1946-1964) will be at or near retirement age" (para. 1). So, with the delay of retirements of baby boomers there is an inflated percentage of them working that would not otherwise be in the workforce should there have been ideal circumstances in the economy. The Texas Workforce Commission (2014) has commented that "Gary McPherson, director of human resources and enterprise staffing at Lockheed Martin Missile and Fire Control operations in Dallas, notes about 40% of his industry's workers are older than 50," (p. 19). And now, "every month, more than a quarter-million Americans turn 65" (Casselman, 2014, para 1).

The age of 65 is typically associated with retirement age in industry as per definition of *working age* being 16 to 65 by the World Bank (Casselman, 2014). Fry (2015) reported that

"Gen Xers were born during a period when Americans were having fewer children than later decades" (Generation X para.). This means that the workforce of Gen Xers is smaller in proportion to the baby boomers and millennials. Therefore, millennials are moving into positions of seniority at an advanced pace (Hudson, 2014). Proof of this can be seen by Lockheed Martin's efforts in their workplace. To stem this loss of jobs, Lockheed Martin "brings in college engineering majors for internships, starting freshman year, and pairs them with older mentors" (The Texas Workforce Commission, 2014, p. 20). This effort is to tide the knowledge loss of the baby boomers and transfer it to the millennial generation.

Casselman (2014) stated, "In 2003, 82 percent of boomers were part of the labor force; a decade later, that number has declined to 66 percent, and it will only continue to fall" (para. 5).

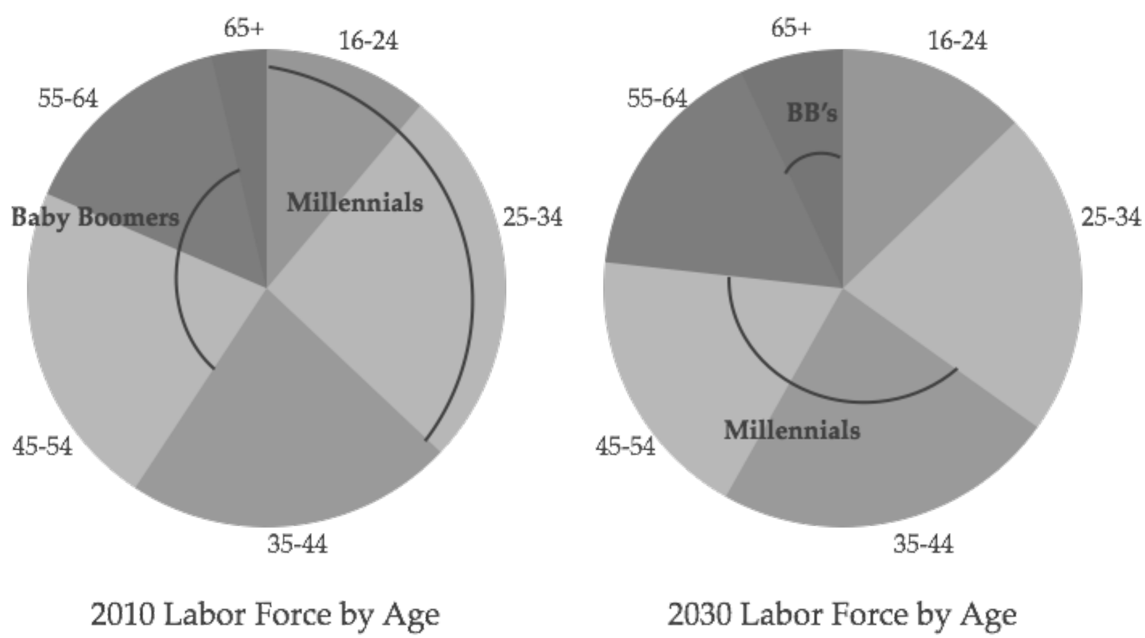

Figure 2. Changing demographics. Adapted from "Forensic Laboratory 2030: Workplace Activities," by A. Denmark & S. Hackman. Copyright 2013 by Advantage Business Media.

This decline of participation in the labor force by baby boomers means that the void needs to be offset by millennials entering the workforce. Figure 2 shows the greatest indicator of the changing demographic trend. According to the figure, in the year 2030 baby boomer will account for a very small percentage of the workforce, where today they comprise a large portion of the existing labor force (Denmark & Hackman, 2013).

Where the baby boomers today comprise 40 % of the labor force, the millennials will comprise 40 % of the labor force in 2030 (Denmark & Hackman, 2013). The continued retirements of the baby boomers will continue at this higher output for the next 10 years (Varney, 2015). And the U.S. Bureau of Labor Statistics states that, by 2016, millennials will consist of 36% of the U.S. workforce; and in 2025 millennials will comprise 75% of the workforce (Varney, 2015).

Great Generation

Individuals born before World War II are commonly referred to as the Great Generation or the Silent Generation (Fry, 2015). Specifically, this generation refers to those born between 1925 and 1945 (Williams, 2015). This generation endured significant events in U. S. history, which were not experienced by any of the other current generations. The Dust Bowl of the 1930’s wiped out large amounts of farmland leading to starvation for many people (Williams, 2015). This single event lasted through much of the 1930’s, ending in 1939. The second major event that took place during the midst of the generation was the outbreak of World War II, which occurred in the mid 1930’s and ended in 1945. The third major event in the early portion of the Silent Generation was the Great Depression that occurred in the United States in the 1930’s (Howe, 2014a). With all of these events happening concurrently over time, this generation developed great perseverance to keep moving forward in tough times (Pumphrey, 2015). Due to these turbulent times, fewer children were born in this time period because of financial uncertainty and wartime. In the job market, the Silent Generation’s focus was obtaining a good financial footing, typically asking about pensions in job interviews (Howe, 2014a). And a common theme seen in the Great Generation is one of humbleness (Pumphrey, 2015).

In the workplace, the Silent Generation had a lower percentage of formal education than other generations. Only 12% of the Great Generation had a bachelor's degree. Comparatively with the other recent generations, the Great Generation had the lowest percentages of individuals with a higher education degree. With the culmination of World War II and the following economic improvement in the United States, over 78% of the labor market in this generation was fully employed between the ages of 18 – 33 (Patten & Fry, 2015). In today's job market, the youngest of the Great Generation (born in 1945) would be 70 years of age. Therefore, based upon the previously stated metric of 65 being the assumed retirement age, relatively few individuals from this age generation remain in the workforce.

Baby Boomers

Baby boomers are the generation born after the Great Generation. Theirs consisted of people born between 1946 and 1964 (Fry, 2015). This age demographic equates to all individuals between the ages of 51 and 69. The common reference to baby boomers is that as the Great Generation returned from war and settled back to normal life, there was a significant increase, or *boom*, in the birthrate in the United States (Howe, 2014b). Up until recently, this generation was the largest age demographic in the U.S. population. As of 2012, the baby boomer population accounted for 25% of the total population in the U.S. (Pollard & Scommengna, 2014). Only in 2015 did the millennials surpass the baby boomer population. Millennials are now estimated at 75.3 million, compared to the estimated 74.9 million baby boomers. At its peak, the baby boomers consisted of 74.9 million of the general population. The preceding generation, Generation X, had a much smaller population of approximately 65 million (Fry, 2015). Due to this large block of individuals in the baby boomers and Gen Xers, this similarly constituted a significant block of the labor force (Patten & Fry, 2015).

Events occurring during the baby boomer's lifetime have been less stressful than those that occurred during the Great Generation. The 1950's saw an economic boom for the United States, which lead to greater prosperity and wealth for the population on average. Two major conflicts during this period included the Korean War and the Vietnam War. Additionally, in part because of the Vietnam War there were protests and the emergence of the *hippies* or *counter culture* in America (Novak, 2007). Several baby boomers recount "giant new edifices of their childhood – Marshall Plan and NATO, Social Security and AFL-CIO, Interstates and Apollo missions, Selective Service and CIA, loyalty oaths and schools painted in army-surplus green, the 'new industrial state' and the 'military industrial complex'" (Howe & Strauss, 2000, p. 103). Another important social change that occurred during this generation, which followed the Great Generation, was that the female population began to enter the workforce in much larger numbers (Novak, 2007).

In the labor force, the baby boomers comprised a dominant percentage of employees. With the populations of baby boomers at 74.9 million and the Gen X'ers at approximately 65.8 million, you can infer that boomers made up a larger portion of the workforce. As employees, baby boomers were typically optimistic, driven, and team oriented (Novak, 2007). Baby boomers have tended to separate both personal and professional lives, which is exhibited through formal attire at work. They are used to the 9-5 work shift with their 5-day workweek (Schawbel, 2012). They tend not to adapt well to changing dynamics in the workplace (Giang, 2013). As shown in a recent publication by Mandy Dorn (2013), who performed an Ernst & Young survey of the various generations in the workforce, the following statistics were identified with the baby boomers:

- Members of the boomer generation scored high in being a productive part of organizations (69%), "hardworking" (73%, the highest), a "team player" (56%), and nurturing and essential for others' development (55%). While members of the boomer generation were strong performers in most areas, they were not viewed as the "best" generation in areas such as being adaptable (10%) and collaborative (20%). (Dorn, 2013, para. 21)
- Boomer managers received the lowest scores of all three generations in being "best" at "diversity" (12%), "flexibility" (21%) and "inclusive" leadership (16%) skills. However, boomers edged out Gen X as the "best" generation to "manage in challenging times" (48% vs. 44%). Boomers' second highest rating was for displaying "leadership," trailing Gen X slightly for their proficiency in displaying these skills (44% vs. 49% Gen X). (Dorn, 2013, para. 22)

Generation X

Fry (2015) stated that the Generation X population was born between 1965 and 1980. This corresponds with individuals that are between the ages of 35 and 50: "Gen Xers were born during a period when Americans were having fewer children than later decades" (Fry, 2015, para 6). The total population of Generation X is approximately 63.7 million and anticipated to peak at 65.8 million by 2018 due to migration patterns into the United States (Fry, 2015). Of the three main age generations (Baby Boomers, Generation X, Millennials), this age generation is the smallest in size. The term *latch key kids* generated during this age generation because of the need of both parents entering the workforce (Novak, 2007). Generation X'ers were raised when divorce rates increased and social institutions that once were areas of protection of children were beginning to fall apart and breaking down (Howe, 2014c). Tending to be more focused on themselves and family, Generation X'ers are typically associated on average as cautious, skeptical, unimpressed with authority, and self-reliant (Novak, 2007). So, this generation tends to focus more time toward family than career, which has led to many not being fully employed and being seen as a do-it-yourself (DIY) employee (Howe, 2014c). Generation X has been commonly referred to term as the *baby bust* generation because of very low fertility rates in the late 1970's (Howe, 2014c). A common notation about Gen X'ers is that they are the smaller demographic between the larger baby boomer and millennial (Taylor & Gao, 2014). Novak (2007) wrote that Gen X'ers were "raised in the transition phase of written based knowledge to digital knowledge archives; most remember being in school without computers and then after the introduction of computers in middle school or high school" (para. 5). Also, being identified as individualistic, Gen X'ers tend to be very entrepreneurial (Novak, 2007).

As mentioned previously, Generation X was well within the transition to the electronic age of personal computers, tablets, and social media. The fall of communism in the Soviet Union and the fall of the Berlin Wall were significant events during Gen X'ers period. Apartheid also saw its demise in South Africa. Positive events like Live Aid were held to help with poverty in Africa. MTV was also a social-media transforming medium where Gen X'ers could move from listening to the radio to watching their favorite musician on television performing their songs in videos (Shamma, 2011). Two drastic changes in the marketplace had an impact on Generation X: Black Monday in 1987 and the Clinton era economic boom of the mid 1990's (Howe, 2014c).

In the workplace environment, Generation X has its own view of workplace standards. Generation X employees "view the boss as an expert—someone whose hard-earned experience and skill demand consideration and deference. Access to authority is limited and must be earned" (Asghar, 2014, p. x). The average Gen X'er will see about seven different career changes in the career (Novak, 2007). Gen X'ers in the corporate world tend to be focused on items of success like the "corner office" and the highest salary. A structured and linear work environment is also sought by Gen X'ers in the corporate world (Asghar, 2014). Being the DIY employee, flexibility is the most sought after benefit to a Generation X employee (Dorn, 2013). Strengths and weaknesses found by Dorn (2013) in her Ernst and Young survey, Gen X'ers tended to reflect the following:

- Members of Gen X lead the pack when it comes to positive perceptions of both the characteristics and management skills of each generation. Members of Gen X were cited as "best" among the generations in seven out of 11 attributes, including being a "revenue generator" (58%) as well as possessing traits of "adaptability" (49%), "problem-solving" (57%) and "collaboration" (53%). However, members of Gen X lag behind Boomers in being perceived as "best" at displaying executive presence (28% vs. 66%) and being cost effective (34% vs. 59%). (para. 17)
- In evaluating Gen X managers, seven in 10 respondents said they are best equipped to manage teams effectively overall (70%), compared to boomers (25%) and Gen Y (5%). (para. 18)

With that said though, Generation X employees are finding themselves being skipped over on promotions to the millennials because of the millennial technical competency ("Winning," 2013).

Generation Y/ Millennials

Generation Y, referred to as millennials, is the age demographic born between 1981 – 1997 and are ages 18 to 34. This last workplace demographic accounts for the individual who is first employed, new to the labor force up to the mid-career employee. Millennials are now the largest age generation in the United States at 75.3 Million. And the maximum population of millennials is forecasted to approach 81.1 million by 2036, including migration trends (Fry, 2015). Being offspring from the Gen Xers who focused more on family than career, millennials are nurtured by their parents and are focused and optimistic (Novak, 2007). Family values, structure, and protection were provided to millennials. The number of millennials in families considered “low or lower-middle” class is currently around 49% (Howe, 2014c). A common phrase linked to millennials is *trophy kids* because of their receipt of an award regardless of poor or excellent performance. And, because of the consistent awards, millennials find little value in being awarded (Main, 2013). In contrast to the Great Generation having the least percentage of individuals with a higher education degree, millennials are the highest educated of all the age generations with 21% of men and 27% of women holding a bachelor’s degree (Patten & Howe, 2015). It’s also worth note that in this generation a higher percentage of women hold bachelor degrees than men, a first occurrence in any of the age generations.

Events like 9/11, the Iraq War, and the Afghanistan War have impacted the millennials consciousness (Howe, 2014c). The earliest millennials had just graduated high school when 9/11 occurred, so many of this generation have only known of America at war. With a continuous state of war in America in the last decade and a half, millennials are very patriotic (Howe & Strauss, 2000). The Global Financial Crisis of 2007-2008 left an equally large impact on this generation and now they commonality with the Depression Era children where frugality, hard work, and relationships take a large role in their mindset (Liu, 2014). With all these events mentioned, Millennials tend to marry later in life to make sure that they have financial security first (Patten & Howe, 2015).

In the workplace, millennials are a different breed of employee than previous generations. Millennials are technically savvy having grown up in the age where social media has emerged to the forefront of society (Novak, 2007). Also, with tablets, smartphones, and personal computers commonplace, the Millennials find access to information integral in the workplace (Howe, 2014). Team-oriented and banding together are traits of millennials because of being taught in schools with a cooperative learning style in place during their educations. Working in an open environment, not restricted to a single workplace, is something that a millennial seeks, which is opposite of the Gen X'ers looking for their corner office (Klass & Lindenberger, 2015). Walking into a superior's office and speaking casually is something that millennials are comfortable doing (Asghar, 2014). The motivating factors for millennials are not necessarily the title and pay, but more of the quality of work presented to them (Asghar, 2014). Millennials expect their managers to be mentors as they experienced growing up as a child (Schawbel, 2012). They see instant responses as important because of their experience of immediate responses in social media they experienced outside of work (Schawbel, 2012). When assigned a project, a millennial will provide a draft of work that can then be collaborated against or modified by management (Asghar, 2014). This is important to them because of the cooperative learning environment they were raised. The standard 9-5 schedule in the office that was sought by Gen X'ers is not what a millennial seeks. They want the freedom to work where and when they want as long as deliverables and deadlines are met on time. So, from this attitude there is an increase in remote working (telecommuting) or working in open spaces in the office setting that is not tied to a particular location (Schawbel, 2012). Other attributes, per the Ernst & Young survey done by Dorn (2013), include:

- Members of Gen Y scored high marks for being "enthusiastic" (68% agree) but had lower scores for being perceived as a "team player" (45%), "hardworking" (39%) and "a productive part of my organization" (58%). They also scored highest in three out of four negative traits, such as being perceived as "entitled" (68%). Yet it's interesting to note that members of every generation view their own generation as entitled to a degree, including 60% Gen Y, 49% Gen X and 27% boomers. Looking at strengths, members of Gen Y were viewed as the "best" at being "tech savvy" (78%) and social media opportunists who leverage social media beyond marketing (70%). They also outscored boomers for being the "best" at "collaboration" (27% vs. 20%), "adaptability" (41% vs. 10%) and being "entrepreneurial" (29% vs. 15%). (Dorn, 2013, para 19)

- Gen Y managers (69%) just surpassed Gen X (68%) managers in displaying "diversity" managerial skills, or the ability to build culturally competent teams and to not discriminate based on race, gender, sexual orientation, age, physical abilities, etc. While Gen Y managers earned the fewest mentions for being the "best" at displaying eight out of 11 management skills, they outpaced boomer managers (33% vs. 16%) in their ability to be the best "inclusive" leaders, or involving a diverse set of people in providing opportunities, developing strategies and making decisions. (para 20)

Leadership in Universities

Leadership in universities generally is a tiered approach similar to that of a business. And like that of a business there are various departments and organizations that comprise a university. Although private and state run universities vary somewhat in their structure, they are typically more alike than different. The researcher analyzed multiple university organizational charts in his research. In explaining the typical organizational structure, the researcher used three organizational charts as reference points: University of California Los Angeles (UCLA), California State University – San Bernardino (CSUSB), and Ohio University (OU). Figure 3 is a generic organizational structure of Ohio University:

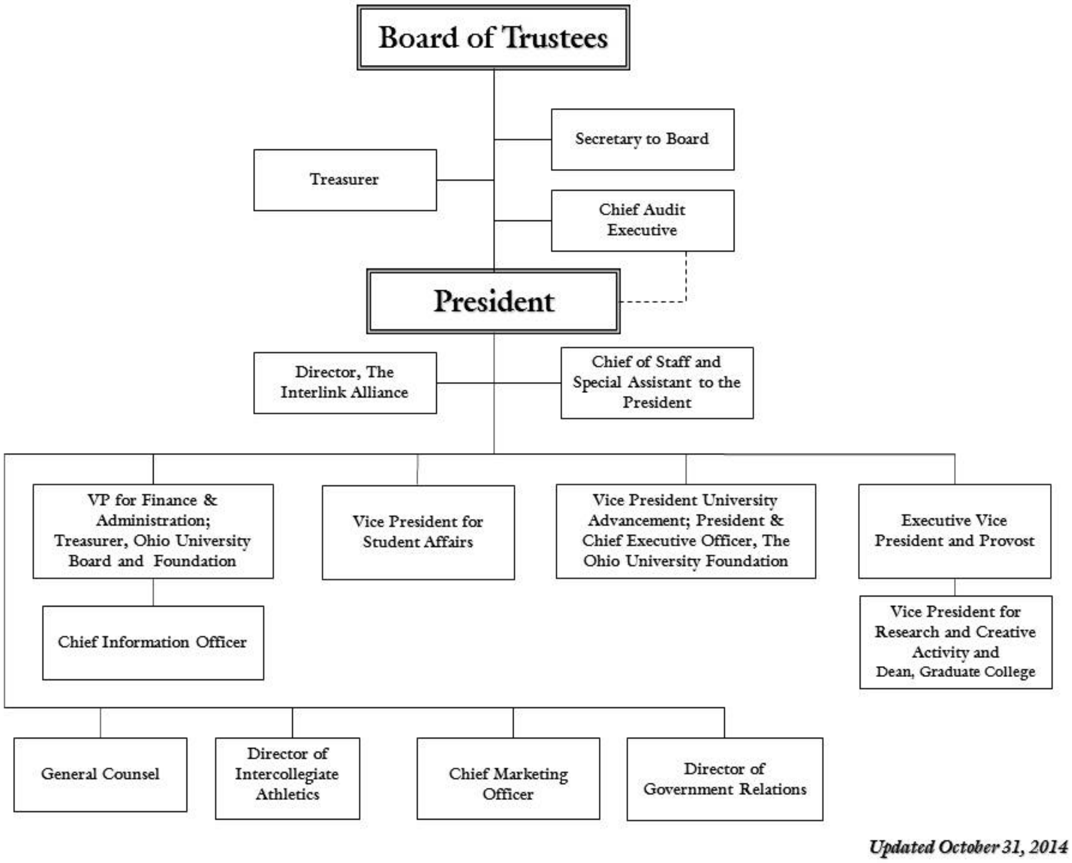

Figure 3. Ohio University organizational structure (Ohio University, 2015)

At the top of the leadership, there is one of two bodies that oversees the university. In state run schools like UCLA and CSUSB, the oversight body is the State of California (CSUSB, 2015; UCLA, 2015). Private universities are typically headed by their board of trustees (Ohio University, 2015). This entity can also be called the board of regents. This entity controls and manages the affairs of the university similar to that of a board of directors in the business community.

Day to day operations of the university are delegated by the board of regents to the president of the university. This role is similar to that of a Chief Executive Officer in business settings. The president resides over all schools and departments within the university (Lombardi, Craig, Capaldi, & Gater, 2002).

The second level of the leadership in a university is composed of two primary entities that are the operations and academia areas of the universities. Individual school leads are typically referred to a deans and their experience is usually from a faculty perspective (Lombardi et al., 2002). Deans will run entire schools like the business school, humanities school, engineering school and so on (CSUSB, 2015). Business operations for the university are led by vice presidents and these areas comprise of units such as office of general counsel, finance, information technology, procurement, human resources, and facilities (UCLA, 2015).

At the third layer of a university leadership, you begin to get more specified and departmental in nature. On the academia side of management, after deans you get vice deans who manage specific programs within a school (Lombardi et al., 2002). For example, the business school of a university is generally run by the dean. And below that layer you have specific programs and departments such as accounting, statistics, human resources; these programs are differentiated by core subject. Each of these programs will usually be run by a vice-dean. Within business operations, the hierarchy goes down from vice president to managers and directors of specific departments (Lombardi et al., 2002). For example, a vice president of finance would have a manager/director of accounts payable and accounts receivable.

These three levels of organizational structure are typical of universities. The further you get below these levels of organizational structure it becomes more tailored to the specific university. And these three layers are common for universities. Every university will have various configurations and titles, but these are generally the three layers that are the leadership layers of management that exist at most universities.

Generation Y Recruitment and Retention in Universities

As mentioned earlier in this literature review, it is noted that the millennial generation will comprise roughly 40 % of the workforce by 2030, which equates roughly to the same composition of todays baby boomer's workforce. The oldest of the millennials are approaching their mid-30's and have been in the workforce for over a decade. Some of these millennials have already entered the managerial ranks in the workforce, but as the baby boomers continue to retire there will be a large vacuum as they exit the workforce. In higher education, the replacement of baby boomers with millennials is just as much of a concern as with private industry. As leadership in universities identify with that, there is a correspondingly increase in the recruitment of millennials in higher education. Based upon the literature the researcher found, many of the recruiting techniques to get millennials to join an organization are also similar techniques to retain that millennial employee.

Not only will leadership in higher education need to recruit millennials for positions vacated by the baby boomers, but they will also need to retain the millennials within the university so that there is a continuity in the workforce and not a loss of tacit knowledge of workplace operations. Therefore, universities are also looking at ways to foster retention of millennials in the workplace.

When recruiting for a millennial candidate, an organization needs to make sure that the candidate is a good fit with the company's culture (Coons, 2015). Some individuals avoid companies that do not align with their beliefs and values (Goudreau, 2013), so an organization needs to be upfront about career progression for their employees when recruiting millennials (Coons, 2015). A recent study emphasized the importance of this disclosure; the Glassdoor study suggested that the second most important thing to millennials when choosing to work with a company is if it is the right culture fit for the individual (as cited in Coon, 2015). And in conjunction with the company and individual being a fit, the millennial candidate seeks transparency from an organization to help comfort them in knowing the company is a good fit for themselves (Gilbert, 2011).

An article by Slavin (2015) stated the need to look at the individualism of millennial employees because millennials have been accustomed to individualized experiences as they have grown up. Again, this can be utilized for both the retention and recruitment of millennials into an organization. This generation is unique in relation to previous generations because of its long term exposure from childhood to social media and experiences that have been centered on the individual. Social media has interactions with society but from the confines of an individual space. So, in the workforce millennials' retention will need to focus on specific and customized *needs based attention* (Slavin, 2015). As part of this customized experience, millennials will need career progression and career tracking to see that there are opportunities for growth at an organization (Jenkins, 2015).

Millennials also desire to be part of the team and be involved with leadership opportunities (Slavin, 2015). This is a key aspect as millennials could be more willing to accept leadership roles sooner than previous generations did before them. Two-thirds of millennials in a recent study indicated that they expect to be in a managerial position by 2024 (WorkplaceTrends, 2014). Denman (2014) believed that by 2015, 27% of all managerial positions would be occupied by millennial employees. Goudreau (2013) suggested that millennials also do not expect to wait three to five years for a promotion; millennials seek upward movement quickly. Millennials also want to be involved with new product launches or involvement with new programs, but as they want to gain more responsibility, millennials also want and need to be mentored so that they do not feel as if they are lost in the company and feel neglected (Levin-

Epstein, 2013). Mentoring should be viewed as a relationship between the older employee and the millennial along with the transfer of skill sets so that the mentorship seems less rigid and structured (Coy, 2013). As stated previously, this tool to retain millennials is also one that can be used to recruit into the workplace.

Other ways that can meet the needs of attention of millennials is to create young professional employee groups that focus mentoring and fostering leadership in Millennials (Jenkins, 2015). Osman (2015) has written that the workplace needs to have a culture of collaboration and innovation. Google is an example of a company that has offered millennials personalized, individual projects to help foster their innovation and feel more engaged with the company (Goudreau, 2013).

Another unique retention tool with millennials is the promotion and prioritization of community service as part of the workplace. Millennials prioritize help to individuals in need over that of a high paid salary (Goudreau, 2013). Slavin (2015) stated that millennials want companies to be aligned with the mission to help make the world a better place. This can be through charity work or other means where the employee finds value in giving back to society. Cass (2014) wrote, "Twenty percent of adults under 30 volunteered in 2013, up from 14 percent in 1989, according to census data analyzed by the Corporation for National and Community Service" (para. 10). According to the 2013 Millennial Impact Report, "73 percent of Millennials volunteered for a nonprofit organization" (as cited in Zeiger, 2013, para. 2). Although volunteering for community service has increased, millennials do not seek increased involvement with political activism, labor union service, and church attendance (Cass, 2014).

Flexibility is a key component to retention of millennials through benefits that maximize work/life experiences. Flexible work schedules and the ability to work remotely are attributes seen more with millennials than previous age generations (Slavin, 2015). Goudreau (2013) stated, “A 2012 study of the generation by Griffith Insurance Education Foundation discovered that millennials will sacrifice pay for increased vacation time and the ability to work outside the office” (para. 7). They do not like the cubicle environment and seek to work from home as much as possible (Levin-Epstein, 2013). A study by millennial branding states that 45 % of millennials seek flexibility in the workplace over higher pay (Jenkins, 2015). A PWC survey (pwc.com, 2015) also stated that millennials put work/life balance over pay as a priority in employment. Osman (2015) wrote that “employers need to offer flexible workspaces that allow people to move, change positions and work in different areas throughout the day” (para. 7).

Comparison of Succession Planning Between Higher Education and Business

The main difference you see between higher education and business on average is that one is a for-profit organization focused on revenue and the other is a non-profit entity focused on education, so the variances in succession planning differences are based upon this dynamic. At the same time succession planning can be viewed as individual development and can then be relatable to any organizational structure of job function (Rothman, 2010).

Higher education historically adopts corporate processes more slowly than private industry (Clunies, 2007); however, Carey, Ogden, and Roland (2000) indicated that many functions of higher education are also shown in private industry. Where corporations have boards and top level management, higher education also has trustees, vice presidents and vice chancellors. These are similar positions in each organization just titled differently with slightly different responsibilities. The president of a university is the public figure head who helps with exposure in the media and to the alumni. Yet a CEO has the same function, just that instead of a university it is a company and instead of alumni it is stock holders (Carey et al., 2000). Both CEOs and presidents are responsible as figure heads to the media and community.

These similarities continue as Carey et al. (2000) noted where in education internal candidates are ranked for president or vice chancellor and are compared to potential candidates outside the organization. The same is true with corporations where internal candidates are reviewed for leadership positions and compared to similar candidates outside in the marketplace. Directors in corporations are paid in stock to keep their loyalty whereas in education, leadership is required to make a commitment to the university (Carey et al., 2000). Although not the same in terms of financial impact to the employee, there is the similarity where they are required to make a commitment to their respective organization.

Although there are a lot of similarities between corporations and higher education, there are some differences noted. Principles and concepts taught in higher education are not always acted upon within their own hierarchy (Lampton, 2010). Both Lampton (2010) and Clunies (2007) are other researchers who have identified the need for management to buy into succession planning. Clunies (2007) also stated that job rotation must be maintained for employee's future success. From the researcher's viewpoint in higher education, job rotation is typically done through movement to other positions in the university. Long, Cooper, Faught, & Street (2013) stated that universities have a stronger advantage to hiring internally versus externally, but if the wrong candidate is chosen then there is the potential for the process to fail and hinder the university. In Long et al.'s research, they concluded that the succession planning principles taught at universities are not necessarily acted upon in practice within talent management practices with respect to their own faculty and staff.

Succession management plans are critical at this point in time with universities because of a sense of inexperienced leaders in education within the foreseeable future due to turnover and retirements (Scott-Skillman, 2007). A difference between higher education and private industry is that in higher education the skill set required for management positions is geared more toward academic skills (Abdullah et. al, 2009). The focus on course evaluations and curriculum development are areas of skill that are unique to higher education that you would not see in private industry or in public institutions (Abdullah et al., 2009). Coxhead (2007) stated that higher education administration typically has duties in various organizations within and outside of the university as well as with faculty organizations. Collins (2005) stated that higher education has different priorities than private industry. Private industry will have the goal of making a profit for the products they make or services they provide. But, higher education focuses more on performance in relation to their mission statement and university academic goals. Richards (2009) noted:

> Academic institutions, more so than corporations, place greater emphasis on cohesiveness, dialogue, and the search for mutually beneficial solutions as evidenced through long processes and diverse committees to ensure no perspective has been omitted prior to making decisions related to curriculum, college policies, or student fairness. (p. 39)

Therefore, the focus of universities tends to be more on societal needs and improvement as opposed to that of making a profit.

At the same time, universities also rely heavily on funding from a variety of sources such as their alumni network, tuition, room and board, private research funding, as well as federal research funding. Faculty research and publication is a main differentiator from private industry in the respect that they both perform research, publish that research, and then teach on that research gained to their student population (Fish, 2007). Universities rely heavily on tuition as a primary source of income and as student populations grow the corresponding need to increases in staff and faculty have also grown (Kiley, 2012). Kiley (2012) also stated that several universities look at tuition as a key way to grow revenue and income for the school. A majority of universities are receiving less funding in 2014 than before the recession that began in 2008 (Mitchell, Palacios, & Leachman, 2014). And as a result, tuition has increased by 28 % on average since 2008 (Mitchell et al., 2014).

Barriers to Succession Planning

Barriers to succession planning come from many areas and points of view even though it has "emerged as a significant strategy for sustaining organizational health" (Paradise, 2010, para. 1). Internally, it can be commonly referred to as there being a lack of time to create and maintain an active succession plan (Mizrahi, 2014). Focus can tend to be on immediate needs rather than future needs. And immediate needs can be monetarily related where there is not sufficient funding to create a succession plan (Paradise, 2010). There is also the fear of change where leadership does not want to face the fact that eventually change will take place in the organization (Mizrahi, 2014). This fear can inhibit the transparency needed for effective succession planning in an organization.

Paradise (2010) noted in a survey performed by the Association for Talent Development (ASTD) that over 55 % of companies surveyed on succession planning in 2010 did not have a succession plan in place; yet, from this study there was the apparent need to develop future leaders as 74 % of the respondents identified with a need for business continuity and 87 % identified a needs to prepare for the future. So, although there was a lack of succession plans in place from the survey respondents, there was a definitive need to have some type of plan in place for future events in the business.

Belkin (2012) provided several reasons why barriers exist with succession planning. One reason involves the idea that leaders need to be held accountable for identifying potential new leaders in the workforce. If this is not performed, then you will run out of candidates to follow up and lead the organization. Belkin also asserted the need for a culture of transparency in the organization so that all individuals are aware of the process. Transparency not only includes showing the employees of the organization the desire for the succession plan but also identifying the interests and knowledge of all employees and how to best develop them so that although you do not place the person into management, the individual can be developed into a senior line person with expert knowledge in their field. Belkin believed that makes targeted development of all employees something that cultivates the entire atmosphere in the organization. It shows that the management is not just looking to find replacements for top leaders, but they have interest in developing all personnel to maximize their effectiveness.

Folkers (2008) performed a study of succession planning in the Nebraska state government and was able to identify perceived barriers by government employees as to why succession planning did not work. In the study, Folkers found that there was a lack of funding and insufficient staff to perform the work for succession planning. Also, the line personnel saw individuals selected into the succession planning as favoritism, resulting in a negative attitude among coworkers. As Belkin (2012) has stated, there is a need for transparency. And this barrier with the Nebraska government was indicative of a lack of transparency for the line to show such apprehension to individuals sought for succession planning. Folkers said that a lack of managerial support and lack of vision can lead to a lack of confidence in the techniques they did have in place. Again, these identified metrics can be resolved through transparency and a buy-in/support from leadership.

Ackerman and Wolverton (2006) conducted a survey from 1990 to 2000 of leaders in higher education and noted that only four percent had received leadership training for their roles. This is also shown in lack of training from faculty to staff administrator (Barden, 2008). A lack of training as noted leads to organizations being hampered with ineffective managers and friction in the workplace due to that lack of leadership and management.

Luzebetak (2010) identified in her study that a key barrier to succession planning is a negative perception toward the culture of succession planning. She also indicated that location can be a factor in retaining personnel. Pennington, Williams, and Karvonen (2006) wrote that organizations in rural areas that are limited in

> cultural, social and recreational services… geographic limitations may also be problematic in recruiting and retaining faculty who may not be attracted to life in small towns, where housing is in short supply and where their political and cultural values often differ from the local citizens. (p. 642)

Therefore, location can be a limiting to succession plans if there is limited workforce population where the company or educational institution is located.

Case Study Methodology

C. S. Grossman (2014) stated that case study research is common among higher education institutions. To corroborate this, a ProQuest search of past dissertations surrounding succession planning was conducted. The researcher found that many studies linked to higher education used the case study approach. Various topics were explored from instructional design to succession planning to differences in culture among cohorts in a higher education setting. Performing a World Cat search using the keywords “higher education” and “succession planning” yielded 224 studies going back to 2010. Of those studies, 49 were completed in 2014. In several of these studies, the case study approach was taken as it identified a unique period of time and situation that was being studied. Many of the studies examined community colleges, but few examined 4-year private universities. By focusing research on succession planning from the context of private higher education universities, additional knowledge could be added to the existing body of work surrounding this issue.

For a case study, Yin (2009) identified a five step process. First, analyze to see if the case study approach matches the research questions being proposed. Second, the researcher needs to identify specific cases. Third, the data collection process takes place. which can consist of interviews, observations, and document. Fourth, the researcher performs an analysis of the data collected. For this study, the researcher analyzed the data collected to identify themes to gain a greater understanding of the study's complexity. And finally, an interpretation of the study is performed, providing lessons learned from each case for future applicability.

Creswell (2014) has written that case study research "involves the study of case within a real-life, contemporary context or setting" (p. 97). That background and context of this study is the coming retirements of baby boomers that will continue for the immediate future and cause a significant change in the workplace composition. The research also views multiple cases over a specific period of time as Creswell further suggested. Stake (1995) also referred to multiple case study as a collective case study where a concern or event is chosen for multiple different sites.

This study focuses on three private universities within the Los Angeles County vicinity. Each of the universities is of varying size: small, medium, and large, making each individual case selected unique. Creswell (2014) stated that different cases are selected to show different perspectives on the issue being researched and that no more than four to five cases should be considered in a particular study (Creswell, 2014). The problem in gathering too many cases is creating a sense of generalizability, which dilutes the effectiveness of the particular study and creates a more generalized conclusion rather than specific conclusions (Glesne & Pershkin, 1992).

This study utilized the case study approach based upon social constructivism theory in the sense of how people interact and work together. Social constructivism theory and case study research are both based in psychology and are used to examine individuals in a particular time

(Creswell, 2014). Over the previous 30 years, case study research has gained in popularity with the examination of an event or setting (C. S. Grossman, 2014).

Summary

From the literature reviewed, it is clear that there is a change occurring in workplace demographics—one that needs to be attended to by higher education so that operations run smoothly and do not face significant unexpected change. As reviewed in the literature, there are a variety of age generations in the workplace. The largest generation in the work place is currently the baby boomers. As they retire en mass over the coming decades, they will be replaced largely by the coming millennial generation. Due to the Great Shift Change, many of the millennials coming into the workforce will likely advance more quickly than had been the pattern the last several decades in order to accommodate the loss of the baby boomers to retirement. With this change in demographics there needs to be a mechanism in place to meet this situation.

Succession planning has been a methodology to meet the needs of executive level positions in the business world and has evolved to a methodology to make sure that all needs of the workforce are met. Variations of succession planning in place at some higher education universities include talent management, which is the forecasting needs of staffing positions and managing existing talent to meet the forecasted needs. Another is replacement planning which is the immediate and temporary replacement of position while a more temporary employee is sought for that position.

The review of the literature relating to higher education leadership revealed that there is a need for succession planning in place as there is a high percentage and aging management structure in higher education. Although succession planning methodology has been in place for several decades, still few people employ this as a way to meet the needs of transition in the workplace. This will be met through the active employment and retention of millennials into the management structure, who need to be developed now to anticipate the coming losses to retirement by baby boomers. There are costs associated with talent and consulting firms to find replacement for high ranking positions at the university.

Succession planning can offset the need and expense of this process by developing existing employees to meet the needs of the management structure in higher education institutions. Through a review of the literature, the researcher identified a need to understand how succession planning is being handled in the higher education setting and what potential lessons can be learned by institutions that want to begin their own succession plans. Expanding the body of knowledge in this area can help higher education institutions with their future succession planning strategies. Specifically, this study will examine unique cases within the Los Angeles vicinity to see if there are any trends, differences, similarities being taken by local private higher education universities to see what lessons and/or new knowledge can be gleaned. By using a multiple case study approach, it is hoped that the results will better define if succession planning and knowledge transfer methodology/strategies are being applied in the higher education settings examined.

Chapter 3: Methodology and Procedures

Overview

The purpose of this chapter is to provide the methodology that the researcher used in the performance of this study. Multiple steps will be outlined in the chapter. First, the researcher will describe the foundation of the study through the research design, nature of the study, followed by an explanation of the purpose. Next, the researcher will provide insight into the area being studied as detailed through a description of the participants, detail of the sources of data, and the data collection strategy. The research questions will be outlined and justified through human subject considerations. Acquisition of IRB approval will be explained. As mentioned in Chapter 1, this dissertation is a qualitative case study that captures relevant data and information on the main topic as it stands in private universities in the Los Angeles County vicinity.

The focus of this study has been to examine succession-planning efforts among private higher education universities in the Los Angeles vicinity and to find any potential common themes that might prove beneficial to other institutions across the country.

Research Approach and Design

The researcher's approach for this study is qualitative in order to gain a greater understanding of succession planning practices at private universities in the Los Angeles County vicinity. This study is also based on case studies so that each participant could offer a unique experience at their university that would be rich in detail and separate from the other participant's experiences. Questions in the interview began with "how" and "describe" in order to lead the participant to answer the interview questions in a situational perspective (Creswell, 2014). A qualitative approach provides a unique opportunity to obtain an in-depth perspective from each participant in the study. Each of the cases is confined within a specific period of time focusing on one individual at one university (Yin, 2009, 2012). In the researcher's view, had a quantitative study been performed with use of surveys, the data would not be as rich, as it is from obtaining case study and qualitative data.

The focus of this qualitative study is to examine the phenomenon of succession planning efforts among private higher education universities in the Los Angeles County vicinity. Results of this study were with those found by the researcher in the current literature. Succession planning efforts implemented among universities might provide a proactive measure in reacting to the ever-increasing baby boomer retirements and consequent loss of experience in the workplace. The researcher's aim was to identify potential themes that could help minimize the transition of the baby boomers out of the workplace and blend the millennials into the workplace in a planned manner rather than an unplanned reactionary effort. This study is not a part of any organizational effort. The researcher maintained the anonymity of all participants in the study. This not only guaranteed participants' privacy but also allowed all test subjects to offer more in-depth and detailed information because they would not be identifiable or subject to any potential negative reactions by the university they represent and their personal information would remain confidential to the researcher.

Purpose

The purpose of this study is to identify common themes and approaches in succession planning that are successful with private higher education universities in the Los Angeles County vicinity. Identifying these themes and approaches utilizing actual data from senior university administrators may provide insights for other universities regarding ways to implement their succession plans in the face of the current exodus and retirements of baby boomers and identify potential approaches to accelerate the assimilation of the millennials into both the workplace and into managerial roles within their respective universities.

Research Questions

The research questions consist of the following:

1. What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to human resource executives?
2. According to the literature of the past 10 years, what are successful criteria for having a successful HR succession plan?

Subjects

A convenience sample of HR leadership in private universities in the Los Angeles, California vicinity was used in this study. The advantages of this type of sampling are the availability and the quickness with which data can be gathered. Several criteria were utilized for determining the subjects in the study. First, the individuals had to work in a private university within the Los Angeles County vicinity. Second, the individuals had to be in a position within that university where they would have a direct role in succession planning at that university. And third, the university must have succession planning efforts in practice. With the criteria in place, the data sources were developed from three private universities in the Los Angeles County vicinity known to the researcher. The data obtained from each participant was unique to that particular university. Therefore, one participant from each university was selected. The data was then obtained through interview questions that are provided in this chapter. The questions were determined by having a base set of questions utilized from Dr. Connie Grossman's dissertation along with supplemental questions to help identify millennials in the participant's workplace in regard to succession planning.

Upon completion of the interviews, the data has been compiled, analyzed, and summarized. The results will be displayed in Chapter 4 of this study. The data obtained has led to the determination of common themes that could be useful for other universities in implementing their succession plans.

The participants' locations in the study are from private higher education universities in the Los Angeles County vicinity. Three universities known to the researcher were selected based on their current use of a succession plan. The participants in the study are in an administrative position that has direct impact on that universities succession plan.

The subjects' participation in this study was voluntary and should the participants decline, the researcher will potentially need to identify another administrator within that university or possibly select another university with an administrator who is willing to participate in the study.

Age, gender, ethnicity or other potential discriminatory factors are not utilized in this study. Participants in the study are from the following universities in the Los Angeles County vicinity: one from a private Division I higher education university, one from a private Division II higher education university, and one from a private Division III higher education university. Interviews were the primary method for obtaining the data from the participants. The researcher obtained consent from each of the three participants in the study. No other communication with the participants has occurred and the researcher followed up scheduling an interview only after receiving Pepperdine University IRB approval for this study.

Consent Procedures

Pepperdine University's IRB approval was secured on the interview questions before the participants were interviewed. The participants were provided the interview questions in advance of the interview so that accurate and detailed answers could be provided in the interviews, maximizing use of the interview time. Participants were briefed on the interview process, the approximate length of the interview, and the necessary IRB consent letter. A copy of the Informed Consent Letter is filed in Appendix D of this study. Participants' answers to the interview questions were as brief or detailed as the participant desired. The questions did not surprise the participants, as they were provided the questions in advance of the interview. No follow up questions occurred in the interview as they would have required additional IRB review and approval. Therefore, the interview was limited to only those questions approved from the Pepperdine University IRB.

Risks of participation are minimal in this study. The participants provided answers to interview questions in a relaxed atmosphere that related to succession planning. One of the items that the researcher told the participants was that the potential benefits of involvement by the participants will be the knowledge that they will be providing valuable research that will hopefully be able to provide results that will lead to a new understanding and insights into succession planning. There was no deception in the study as all questions asked were intended to identify experiences and situations around succession planning. No questions in the interviews were created to misguide or deceive the participant. Doing so would pose questions to the validity of this study.

Instrumentation

During the researcher's literature review, it was discovered that Connie Grossman completed a similar study for her dissertation at Northcentral University in Prescott Valley, Arizona. In her study, the questions were vetted through their university's IRB. And I found that the questions complemented my proposed research questions. Therefore, the researcher used a selection of those questions in an attempt to replicate the study that he saw as pertinent to answering the research questions proposed in the study. The researcher obtained permission from Dr. Grossman after corresponding with her via email, and that permission is filed as Exhibit D to this study.

The following questions were asked to identify demographic and qualifying data of the participant:

- What is your administrative role at your university?
- What is you highest level of education?
- How long have you been at your current place of employment?
- How does your role interact with your university's succession plan?

The following questions pulled from Dr. Grossman's 2014 dissertation (C. S. Grossman, 2014) with her permission were asked pertaining to succession planning at the participant's university:

- "Is leadership replacement important to your university at this time" (p. 185)?
- "How does the university identify future gaps in academic leadership" (p. 185)?
- "What efforts are utilized to attract outside talent for key academic administrative/leadership positions" (p. 185)?
- "Are there instances when new leadership worked well or did not work out? If so, were they internal or external candidates" (p. 185)?
- "Describe or provide the formalized or non-formalized academic leadership strategies at the university that guide the succession process for academic leadership positions" (p. 185).
- "Who at the university is involved with discussing/reviewing/determining the succession plan strategies and philosophies (ex: President, HR, Faculty, Board of Trustees, etc.)" (p. 185)?

- "What are guiding philosophies supporting the university's succession planning strategies" (p. 185)?
- "What is driving succession planning at the university" (p. 185)?
- "How does top academic leadership at the university explicitly promote and execute leadership succession planning policies" (p. 185)?
- "How is the academic leadership succession plan communicated to the university staff, faculty, and administration" (p. 185)?
- "How does the promotion of academic leaders from within the university reflect accepted policies/philosophy/culture at the university" (p. 185)?
- "Describe how the university culture encourages the practice of recruiting, grooming, and retaining of academic leadership talent" (p. 185)?
- "How are current university academic leaders active in mentoring potential subordinates to transfer organizational knowledge and maintain cultural memory" (p. 185)?
- "How have leadership succession planning practices at the university aligned with and supported the university's mission, vision, values, and commitment to high performance" (p. 185)?
- "What barriers have been identified in the universities academic leadership succession plan" (p. 185)?

Other interview questions that were asked by the researcher were deemed pertinent to the study's research questions:

- How have retirements affected your university's succession plan?
- How are millennials being viewed in the succession plan for the university?

- Related to the university's succession plan, do you have any other pertinent information that is important for this interview?

Data Collection Strategy

In his strategy for data collection the researcher tried to be as respectful of the participants' time as possible. Each of the participants were in a level of position where time is valuable. The researcher conducted interviews in a time and location outside of business hours. Participants were interviewed in person and the interview was recorded to complement the notes that the researcher took during the interview. The interview questions were provided in advance so the participants had adequate time to formulate an accurate and detailed answer to each of the questions. Asking the questions for the first time in the interview would have caused delay as the researcher would have to think and reflect to develop an answer. And, this could significantly extend the duration of the interview. The researcher anticipated each interview to run between 30 minutes and one hour due to the number of questions being asked and the potential length of participant answer to each interview question.

Data Analysis

Once all the data was collected from the subjects, the researcher transcribed the data so that he was able to gain a complete written version of the interview content. Transcription was performed after each interview, but before the next schedule interview, so that complete and accurate content was placed into the document. Next, the researcher provided a copy of the transcribed interview to the test subject to ensure that the content was accurate and valid. Any direct reference to the test subjects name or place of business was removed to ensure confidentiality. The researcher used NVivo software to code the interviews, identifying common themes and phrases. The coding was initially done through coding of each question so that the questions were easily compared against each other. Then there was further coding of common themes that emerged from the research. Then all the common coded themes were counted so that the high frequency codes provided insight on possible common themes. Finally, upon completion of this study, all data that was collected from the test subject—including but not limited to tape recordings, paper transcriptions, electronic media captured onto a computer and then transferred to a USB drive—will be compiled and locked in a secured compartment at the researcher's residence for a period of three years. Once the three-year period has ended, the researcher will then have the material destroyed by the appropriate means necessary via a document destruction service. At no point in time will anyone other the researcher have access to the information.

Validity and Reliability

To ensure validity of the interview instruments, the researcher used the interview instruments of another completed dissertation found during the literature review of this study. Proper permission was obtained in order to utilize this instrument. The researcher's aim was to try and replicate the interview and review the outcomes from participants in private higher education universities in the Los Angeles County vicinity.

To go a step further to validate the interview instruments, the researcher used a review panel to confirm acceptability of the interview instruments. This panel will consist of professors knowledgeable in the field of succession planning. The first panel member is a professor at Pepperdine University, faculty chair of the Organizational Leadership program, who obtained her Ph.D. from Stanford University. The second member is an adjunct professor at Pepperdine University as well as an instructor at Portland State University, who obtained her Ed.D. from Pepperdine University. And the third member is a business consultant with expertise in succession planning, who obtained her Ed.D. from Pepperdine University. With the background of the individuals, each member was qualified to review and validate the interview instrument.

To ensure the validity and accuracy of the study the researcher performed the following:

- Maintained written notes of each interview.
- Used a recording device to capture the interviews in their entirety.
- Replayed the interviews and typed and recreated transcripts of each interview verbatim.
- Compared the recorded interview with that of the transcription to confirm accuracy.
- Confirmed the accuracy and validity of the transcription by having the participant review and approve the transcription.

Figure 4 identifies the flow of the data collection, analysis, and results:

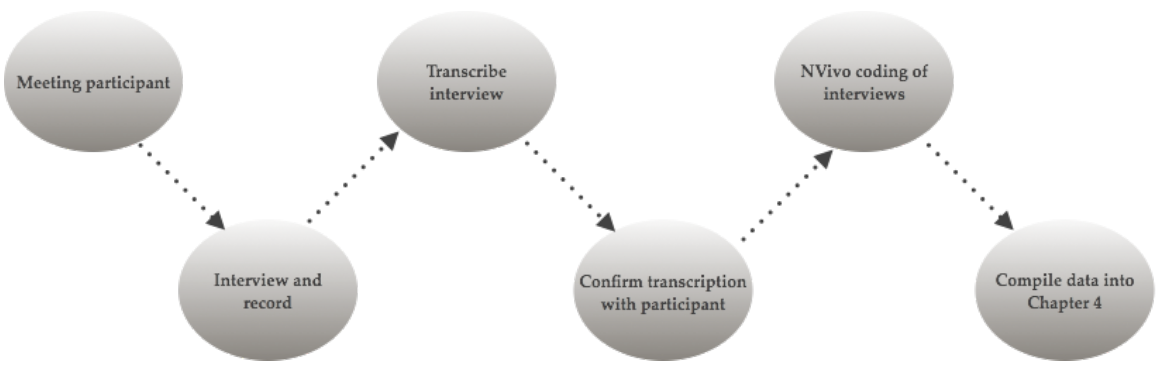

Figure 4. Data collection workflow.

Issues Related to the Researcher

A clear understanding of the data collected by the researcher will be maintained and his work has ensured that analysis of that data is reliable and verifiable. The researcher is a senior level buyer at his university and he is interested in how senior administration views succession planning and how administrators are planning to fill future senior level positions as baby boomer retirements increase. There are no conflicts of interest with the researcher performing this study as none of the participants work with or for him.

Role of the Researcher

The role of the researcher in this study has been to gather information accurately and determine reasonable outcomes based on the information obtained from the research.

Statement of the Researcher Bias

The researcher has a limited bias towards the study. Being an employee with a large research university, the researcher has an inherent interest in the outcome of the study with regards to long-term career interests. To mitigate these concerns, the researcher did not interview any senior administrators within his department that will have a direct managerial oversight to either himself or his direct report management. There is selection bias in this study because the researcher was limiting the study to private four-year universities in the Los Angeles, California vicinity. This bias was intended so that there are definitive results shown from that stated category of school. And from these results, it is possible for these insights to be applied to other private four-year universities who have not implemented succession planning. The researcher did not include community colleges or public universities in the sample size because the scope of the study would be too broad to arrive at conclusive result. From a selection of studies that the researcher reviewed, there was a defined focus on a category of school with several focusing on community colleges.

IRB Approval/Human subject considerations

The researcher submitted this proposal to the Pepperdine University Institutional Review Board (IRB) for approval. Per the Pepperdine University (2015) IRB website, "It is the policy of Pepperdine University that all research involving human participants must be conducted in accordance with accepted ethical, federal, and professional standards for research and that all such research must be approved by one of the university's Institutional Review Boards (IRBs)" (p. 1). In addition to the submission of the proposal per the IRB guidelines, the researcher included his certification of completion of Protecting Human Research Participants. This certification is an online course provided by the National Institute of Health (NIH), Office of Extramural Research. Evidence of this certification is provided as Appendix B in this study. Additionally, IRB approval will be attached to this study as Appendix C and a copy of the IRB approved letter of consent attached as Appendix D of the study.

The Pepperdine Universities IRB board has approved the proposal outlined in this study. Each participant completed the consent form before any further action was taken with regards to the interview. A part of the consent form contained the acknowledgement that participation in the study is voluntary, data collected from the subject will be confidential, and the subject will be provided confidentiality in the reporting of the research unless they provide authorization to use their names. All of the participants in this study were volunteers interviewed out of their own free will.

Table for Data Analysis

Table 1 offers an overview of how the research questions in this study are linked to the interview questions that will be asked of each of the participants. Also defined in the table is the testing and evaluation method that will be used once the participant's data is collected.

Table 1

Data Analysis

Research Question	Face to face survey questions (Interview questions)	How will this be tested/evaluated
What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to Human Resource executives?	What is your administrative role at your university?	Qualitative analysis through nVivo coding and interpretation
	What is your highest level of education?	
	How long have you been at your current place of employment?	

(continued)

Research Question	Face to face survey questions (Interview questions)	How will this be tested/evaluated
What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to Human Resource executives?	How does your role interact with your university's succession plan?	Qualitative analysis through nVivo coding and interpretation
	"Is leadership replacement important to your university at this time" (C. S. Grossman, 2014, p. 185)?	
	"Are there instances when new leadership worked well or did not work out? If so, were they internal or external candidates" (C. S. Grossman, 2014, p. 185)?	
	How have retirements affected your university's succession plan?	
	How are Millennial's being viewed in the succession plan for the university?	
	Related to the university's succession plan, do you have any other pertinent information that is important for this interview?	
	How does your role interact with your university's succession plan?	
	"How does the university identify future gaps in academic leadership" (C. S. Grossman, 2014, p. 185)?	
	"What efforts are utilized to attract outside talent for key academic administrative/leadership positions" (C. S. Grossman, 2014, p. 185)?	
	"Are there instances when new leadership worked well or did not work out? If so, were they internal or external candidates" (C. S. Grossman, 2014, p. 185)?	

(continued)

Research Question	Face to face survey questions (Interview questions)	How will this be tested/evaluated
What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to Human Resource executives?	"Describe or provide the formalized or non-formalized academic leadership strategies at the university that guide the succession process for academic leadership positions" (C. S. Grossman, 2014, p. 185).	Qualitative analysis through nVivo coding and interpretation
	"Who at the university is involved with discussing/reviewing/determining the succession plan strategies and philosophies (ex: President, HR, Faculty, Board of Trustees, etc.)" (C. S. Grossman, 2014, p. 185)?	
	"What are guiding philosophies supporting the university's succession planning strategies" (C. S. Grossman, 2014, p. 185)?	
	"What is the driving succession planning at the university" (C. S. Grossman, 2014, p. 185)?	
	"How does the academic leadership at the university explicitly promote and execute leadership succession planning policies" (C. S. Grossman, 2014, p. 185)?	
	"How is the academic leadership succession plan communicated to the university staff, faculty, and administration" (C. S. Grossman, 2014, p. 185)?	
	"How does the promotion of academic leaders from within the university reflect accepted policies/philosophies/culture at the university" (C. S. Grossman, 2014, p. 185)?	
	"Describe how the university culture encourages the practice of recruiting, grooming, and retaining of academic leadership talent" (C. S. Grossman, 2014, p. 185)?	

(continued)

Research Question	Face to face survey questions (Interview questions)	How will this be tested/evaluated
What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to Human Resource executives?	"How are the current university academic leaders active in mentoring potential subordinates to transfer organizational knowledge and maintain cultural memory" (C. S. Grossman, 2014, p. 185)?	Qualitative analysis through nVivo coding and interpretation
	"How have leadership succession planning practices at the university aligned with and supported the university's mission, vision, values, and commitment to high performance" (C. S. Grossman, 2014, p. 185)?	
According to the literature of the past 10 years, what are successful criteria for having a successful HR succession plan?	Previous research will be analyzed in the Literature Review relating to barriers.	This research question will be analyzed through research found in the Literature review.
	What barriers have been identified in the universities academic leadership succession plan?	Qualitative analysis through NVivo coding and interpretation

Summary

The methods chapter of this study describes the details of the researcher's approach towards this phenomenological case study. Through the use of the case study approach, the researcher developed an understanding of experiences of senior administrators at private universities in the Los Angeles, California vicinity. The interview questions were adapted from a similar approach performed by Connie Grossman in her dissertation *Succession Planning and Knowledge Transfer in Higher Education* (2014) to discover common themes around succession planning in private universities to answer the stated research questions. The researcher obtained permission to use Dr. Grossman's questions. Finally, the chapter describes the process the researcher used to identify participants, perform the interviews, transcribe and confirm the data, code the data, and protect the test subjects.

Chapter 4: Results

Overview

The purpose of this qualitative case study is to identify how private higher education institutions approach succession planning with any insights into how these private higher education institutions relayed succession planning to the millennial generation. The research took place to answer to the following research questions:

1. What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to Human Resource executives?

2. According to the literature of the past 10 years, what are successful criteria for having a successful HR succession plan?

As will be elaborated later in this chapter, research question 1was answered via the participant interviews. Universities need to look at 2nd and 3rd tier management to help fill the coming gaps in leadership from the pending retirements faced at their university. Doing so would enable continuity of their university mission. Providing incentives for mid-level management succession planning practices can drive inter-departmental movement of talent. This makes the university stronger and able to react quicker in times where leadership position openings occur. Obstacles to succession planning are actions such as poaching from other universities. This makes it difficult to maintain developed talent at the university. Long tenure of existing university employees is another obstacle because the developed talent waiting for upward movement could leave because opportunities presented elsewhere. And fear of change was another obstacle because if there was not buy-in of the succession plan, it would be difficult to maintain and implement across the university.

Research question 2 was successfully answered from the information gathered in the literature review. In a summary of the results, the successful criteria are (a) providing sufficient time for development of the succession plan, (b) having a plan in place and relaying that plan to the university can provide positive results in terms of development and retention of the university employees, and (c) executive leadership along with lower level management maintain positive ownership of the plan to enable the successful implementation of the succession planning practices across the university.

Results in this chapter came from three individuals at their respective universities based in the Los Angeles vicinity. Each individual was in a position of authority surrounding their universities' succession planning approach/policies. The length of the interviews averaged approximately 30 minutes. Each participant was provided both the interview questions and the letter of consent in advance so they were able to prepare for the interview. Interview questions asked are filed as Appendix A and the letter of consent is filed as Appendix E in this study. To relay the similarities and differences of each participant, the researcher identified each participant as a generic title of Participant A, Participant B, and Participant C.

Multiple common themes were identified throughout each of the interviews. The researcher identified the themes as keywords or phrases that appeared frequently in all the participant responses and in multiple areas of the participant' response to questions asked in the interviews. Some of the differences were unique in that it made them stand out as potential recommendations for universities to apply as will be mentioned in Chapter 5. The results of the interviews were unique in that although each were from a different size of school and focus based on their mission/vision, they all had very similar experiences with succession planning and how they approached succession planning in their institutions.

Demographic Summary

Demographic information gathered among the participants revealed commonalities in their roles at their respective universities. Each individual was a senior member of their human resources department. Participant A held the title of vice president of human resources. Participant B was titled chief human resources officer (CHRO). And Participant C was also titled CHRO, with a formal title of associate vice president of human resources. All three participants' highest level of education was a masters degree in business administration (MBA). Tenure of each participant at their respective university varied as follows: Participant A: 1 year, Participant B: 20 years, and Participant C: 12 years. All three participants had a key role in the implementation of their succession planning at their university. Each of the participants was the head of their respective human resource department and would be the individual in charge of making sure that succession planning efforts were put into place and managed successfully. In each of the interviews, the participants stated they would ultimately report to their university presidents regarding current progress and future initiatives. Their roles are central in working with their university president, governing board (Regents, etc.) in relation to the hiring and succession planning practices for presidents and provost level positions. And the participants would be a lead and coordinator among the department heads of the various schools in their university towards maintaining succession planning efforts in second, third, and fourth tier management at their respective schools. Being in the executive position they are in at their university in human resources, they each have an integral role in the development, maintenance, and execution of their respective succession plans.

The data collected were obtained via in-person participant interviews by the researcher. A recording device was utilized to capture the content of the participant interviews. These interviews were completed over the timespan of one month between the months of November 2016 to December 2016. Upon transcribing all the interviews, the researcher utilized NVivo coding software to analyze the data to find common keywords and repeating themes. The themes identified through the coding of the transcribed interviews are noted below in this chapter.

Theme: Culture

Culture was mentioned in 15 unique instances among the three interviews. Participant B cited multiple times about their unique culture and that the element of culture had more of an impact on the success of their university than did the focus on succession planning. Participant B stated the following items related to their culture:

"Individuals must understand our university's unique role and our values."

"Individuals who come to our university from the outside who are not used to our unique culture find it difficult to last long term at our university."

"The culture of our university is one where it is difficult to find talent in California."

The uniqueness of this university and its culture is what drives not only the succession planning aspects of their hiring but also is a dominant item of priority in their succession planning. Participant B stated several times that the specific culture of their university was not meant for any individual, so if you were not accustomed to their style, mission, vision, goals of the university, you would find a difficult time working there. Participant B also mentioned that their university has frequent presentations that discuss the similarities and differences of the various age generations within the university. Due to the self identified uniqueness in their university, Participant B relayed that many of their staff and faculty hires come from their university alumni as they are both accepting and knowledgeable of the unique culture.

Participant A stated that culture did have an impact on their succession planning. Their culture was evolved from their mission and vision, so that if you as a job seeker did not value the mission/vision of the university, you would have difficulty working there. Several of the responses from Participant A were similar to Participant B in that their universities had a specific culture and focus on mission and vision that not all individuals would be able to identify and work at the institution. Participant B also stated that many of the new graduates seek to remain at the university and try to fill employment vacancies at their institution. Participant B said, “We’ve got to start developing people below leadership level who are diverse that give us opportunity to have people ready when the positions open up,” further explaining this is because their university’s culture in the past had limited the diversity of their hires and promotions. Their current efforts of updating their succession planning practices were to incorporate more diversity into their leadership ranks. This was so that more ideas could come into their institution’s culture to expand and diversify the current ideas and culture.

Participant C maintained that their focus on academia and their specific fields of study lead to a culture that is difficult to attract any individual. This participant stated repeatedly that their university sought individual contributors who were on the “bleeding edge” of their discipline be it as faculty or staff. A couple of items that the participant stated were:

> “Our president has to be at an academic level so they would have tenure coming in as president. That can be a challenge because of the focus of our universities curriculum.”
>
> “The new employees’ success will be reflected on their acceptance of the universities culture.”

"Other times the university culture is good at promoting individuals based on the acceptance from the culture."

This focus on Participant C's discipline and focus as a university meant that only individuals who had expertise in specific areas of academia as faculty and staff would be able to acclimatize and mesh into the university quickly. Also, Participant C stated that this culture also had a limiting effect on their ability to attract enough individuals to fill open positions. So, this resulted in their recruiting currently employed individuals at other universities. The active recruiting of current employees of other universities and institutions was referred to as poaching by the other participants in this study as they had experienced their faculty and staff hired away by other universities practicing the same methods.

The culture also is a driving factor for all three of the institutions' succession planning practices. Alignment of the succession planning practices with their universities mission and vision were key to maintaining the institutions identity. Participant A stated, individuals were "promoted/move up based on their alignment with the mission/vision/values." And Participants B and C reflected similar statements in that their succession planning effort adhered to their mission and vision because that specific mission/vision was the core of the university and the "mission/vision is the heart of the values of our university" as reflected by Participant B.

Theme: Informal

The common response from all the participants is that succession planning is very informal at their institutions. This was identified 10 separate times through out the interviews. And the reasoning for the informality was based upon several factors at their institutions.

Participant A stated, "It's more not formalized and I think that academic leadership is better than the non-academic so that there are associated deans and their assistants that are below that kinda step up into those roles." An issue that predominated the discussion was that the senior level management at this institution had been in place for a long period of time. Participant A stated, "part of the issue is that most of our senior (management) have been in those roles for decades." So, in the view of the Participant A, any discussion of replacement planning or succession planning practices were not performed because of the longevity of the management in their roles. There was also a response by the community to the participant that the succession planning practices be informal due to this longevity. Continuous updating and maintenance of a formal succession plan would be required as multiple iterance of 2nd tier leadership would retire or leave the university while the senior leadership would remain in place.

Participant B mentioned that most aspects of their succession planning practices were informal. The informality ranged from the communication to employees: "We have an online database… where employees can update their profiles." This comment from the participant was followed by the explanation where management would not necessarily need a formal plan in place because it could assess an up to date employee inventory of individuals who would have the necessary tools to move into roles across the campus. And though the university for participant B has a robust development program, their mentorship program is more of an information process. Every individual who enters into a mentorship does "receive a booklet of best practices and ideas" for developing their own mentorship. But there is not a formalized mentorship program within the campus. Participant B's senior level management considers succession planning important but performed informally. Participant B stated, "All high level leadership is involved in programs so that they build relationships with other campus leaders… there is a focus to promote succession planning." So, although they have practices in place revolving around succession planning to ensure smooth transitions, they do not have a formalized plan.

Participant C also stated the informality of their processes. As well as participant B, this participant's institution also has an informal mentorship program. The program as well as succession planning practices are based by department. The role of HR is to be the initiator and enabler of succession planning practices at the university. They also do not have a formalized succession plan in process at the university to employ succession planning practices. And because the succession planning process is delegated to the departments, one department head could "make succession planning one of their top priorities where another (department head) would not be working on succession planning at all." Due to this, Participant C has admitted very mixed results for their university on the whole. Pertaining to their position of president, the participant stated that they always hire an external candidate for this role because the specificity of their mission and vision require that an individual who is able to take a role of president must have not only robust leadership and administration qualifications but also a heavy experience in the sciences so that the individual could be a tenured professor at the university. Therefore, there has been an intentional lack of a succession plan for their president role. Participant C did state, "we plan to have something more formal this time next year." The participant stated the need to have a more formal process due to pending staff retirements within the university.

Theme: Cross Training/Moving Around University

Moving around the university to gain experience was highly recommended by each of the participants. Not only did this provide more experience of a variety of positions within the university but it also enables the employee to move up within the university quicker.

Participant A stated that among the junior and senior leadership, "the people that we have in place now have moved through the university. So, that model worked well." The participant also relayed that the high performers were encouraged to move within other departments while waiting for opportunities for advance. Their aim was to make retention a focus and convey moving around the university as an option to employees.

Participant B stated, “because of the size of our university we focus on employees getting experience around the university. We call this the career lattice, not ladder.” Also, “The focus is to have the employee move around and gain experience from several departments.” And, “The positive of this is that many of our employees are also cross trained in several departments across our school.” From discussion with Participant B, this practice was conveyed to all employees and reiterated to employees at the university. At the new employee orientation of the participant’s university there is a direct communication of cross training and moving around the university to help move up and gain experience. The participant stated that many of their senior and 2nd tier leadership at the university tend to remain for very long periods of time: “It’s not uncommon for individuals to remain at our university for 40 or 50 years.” This was a direct acknowledgement by the Participant B that leadership tends to remain in place for long periods. And, to ensure that an employee had the best chance of moving up in their organization that they should gain experience from multiple departments so that they would have the best opportunity to move into a leadership role when a vacancy occurred. Participant B also mentioned that “conflict between departments is minimal” from their experience. Due to the cross training of multiple employees at their university, a particular department would have employees with working experience of policies and practices of other departments that they would interact. Doing so, helped them know the process and have a set of expectations coming into the cross department communication.

Participant C stated, “Because of the size of our university, sometime you need to wait for opportunities to move up.” This participant’s response was more limited to this area; however, Participant C did state that many individuals did move to other departments, making lateral moves, so that they had a fuller experience profile in their resume when competing for leadership roles at the university.

Theme: Training

Participant A stated, “There aren’t a lot of people in their 40’s who are ready to step into that next role when most of those leaders step into those roles they are in now when they were in their late 40’s to early 50’s. So, there’s not a group ready to move into those roles. The current model produced great leaders, but that model didn’t produce a second tier.” So, although there is a good base of employees and a good senior level management structure, this university suffers from a lack of experience middle management. One of the items leading to this experience gap is in employee poaching. Participant A also stated, “our people tend to get poached from other universities.” This university does not offer salaries that are competitive among their peers and as the participant stated, “we are often a target of headhunters and other recruiting organizations.” And, “as people go onto other organizations” the individuals then “poach a little bit and will bring their friends with them” to their new organization. This poach removes the mid-career employees from their ranks, there by draining the experience needed to fill in vacancies in their second and third tier management levels at their institution. With regards to the institutions entry level hires, specifics were not discussed. But, there was an effort to directly communicate to high performers at the institution that they wanted to keep for eventual movement into management level positions. Participant A stated that they would communicate the following to their high performers, “we want to keep you, we want to help you grow in the organization.” But again, the participant acknowledged that their employee pay structure was below that of peer institutions, so a retention issue was dominant during the interview.

Participant B’s discussion reflected that the university had a very rich and robust training program in place. The participant stated:

> We have a formal leadership program for the university. It is focused on one school at a time. About 15 people are selected per year and the program is treated as a cohort style training. High performers are identified for the program. Throughout the year the individuals in the program will meet our senior leadership (president, VP, provost, etc.) and they will meet and discuss the future at the university.

These efforts were put into place so that the high performers would receive training and be able to make key contacts within other departments so that they could move up within the institution. Additional items training offered by the participant's university is a Fellowship program. Participant B stated:

> We also have a fellowship program that identifies one staff person per year. This fellow will receive highly customized training, receive executive coaching, meet other school's department heads, attend national conferences, and attend formal events across campus. This fellow will work on a capstone project that is beneficial to the university. This project will be unveiled and presented at a national leadership conference.

From the interview, it was communicated that this fellow would be able to make a significant impact at their institution with this program and that the fellowship program typically led to a management role within the university. With regards to management, Participant B stated, "We have training that focuses on supervisors. Their training provides them tools/skills to help keep/retain employees, help with employee assessments, establish relationship techniques as supervisor to employee. Also, there is constant training provided to keep the supervisors moving forward." Participant B viewed the entire organization as utilizing succession planning practices in all levels and at all times so that all employees would receive the best resources possible. And a result of that practice was being able to retain employees that would be able to move into 2nd and 3rd tier management positions. A large emphasis was also placed on moving within different departments at the university so an appreciation would be gained from employees working in other departments. The participant viewed this as making the employee a more developed and fully rounded employee

Participant C stated that they identify high performing contributors and "Its by training the high potential people, giving them the skills, and having them ready and up to date when the opportunities arise."

Theme: Recruiting

Participant A stated their university is "a very attractive place to work. The university is really one of the top, nationally viewed as one of the key players in our niche of higher ed." Also, the participant stated, "we do tend to get very good people. We get a lot of new hires that are at the younger age and younger career stages." They have an issue with recruiting faculty for roles as they do not offer a tenure at their institution. This is also another factor of their issues revolving around retention of employees and the easy poaching of these individuals to other organizations who offer tenured professor positions. As previously stated, the participant expressed that their pay scales for positions at the university are below average, so although they do attract very good people at entry level positions, they tend to have difficulty retaining these individuals as they become more of a mid-career employee than an entry level hire.

Participant B reflected on recruiting and said, "We post positions nationally in Chronicle, look at sister schools for potential talent, look at growing talent in-house. Many of our employees are alumni. Individuals must understand our universities unique role and our values." There was an emphasis that their alumni and sister schools were key resources utilized for hiring individuals at their institution. Participant B reiterated their unique culture and how it affected recruiting efforts because the individual would need to have an understanding of the culture and values of the institution to have a successful term of employment. Because of this stress on their culture, mission, and vision the participant admitted that it limited the candidate pool for external hires. To make the university more attractive to millennials they "offer telecommuting and flex work schedules." This measure is intended to attract talent that lives farther distances from their location. The specific location of the institution has high housing costs. So, if a position were to open aimed toward millennials it would be difficult to attract them to the school due to high housing costs. The telecommuting and flex work schedules allow the employees to work from home and come into the office during hours where traffic on the roads is minimal. The participant also stated that there is an emphasis to promote from within. So, recruiting efforts would be in place only if they were unable to fill from within their employee ranks for the position.

Participant C was the only institution of the three that emphasized aggressive recruiting strategies. The practice was recruiting existing high performers at other institutions, which was referred to as poaching by another of the participants: "We need the top person in a specific area, we go and recruit that person, bring them into our university and do a good job on-boarding them. And having a continued follow up to retain the individual." Also, "In our recruiting efforts, we are going out and pulling individuals out of their current jobs rather than wait and have someone come to us. We are going out, finding them, and pulling them here." Poaching itself was not directly stated as the tactic. It was referred to as aggressive recruiting of current high performing employees at other institutions. Participant C also stated, "we are a federal contractor, so we also make sure we adhere to affirmative action." From this statement the participant's organization does have efforts in place to make sure that their workforce is as diversified as possible, which is also reflected in their recruiting efforts.

Theme: Retirements

Retirements was something acknowledged by the participants as an increasing and immediate concern to their institutions. As mentioned previously in the literature review, approximately 10,000 baby boomers are retiring daily in the workplace (Cohn & Taylor, 2010). Participant B identified that "by 2020 it is expected that millennials will make up over 50% of the workforce." Based on this information it is underlying the importance that the coming retirements at the institutions be addressed.

Participant A stated, "Pending retirements have increased the sense of urgency. We haven't really had any retirements when I was there that drove it. But there are planned in the next 3-5 year window. And it will be pretty significant. That is why the effort right now is to find out who is in the number 2 and 3 seats in these various roles." These retirements are expected to accelerate, which is driving this university to make more robust succession planning efforts to enable movement into 2nd and 3rd tier management positions. This will help mitigate any gaps in department performance at the participant's university.

Participant B stated:

> It is easier for us than other universities because of our employees long tenure at our school. But, that is also why we promote the career lattice because the long tenure also means that upward movement in one department is difficult. The positive of this is that many of our employees are also cross trained in several departments across our school.
>
> This strengthens the bonds between departments and makes the university stronger.

That participant noted that several employees have worked at the institution for 40 years or more. There was a case that Participant B mentioned where an individual in a leadership role was in their position "for five years, which is a relatively short tenure at our university."

Participant C stated:

> It's forced the discussion of succession planning more than before. In our recruiting efforts, we are going out and pulling individuals out of their current jobs rather than wait and have someone come to us. We are going out, finding them, and pulling them here. But, it has caused the conversation to take place with succession planning.

Also, Participant C stated "the increased aging of our workforce and the forecasted retirements on the staff side" is increasing their focus on succession planning. Retirements were more of a concern to the participant with in the university staff than with academic roles. Many of the academic professors were long term employees and turnover was very limited. Participant C said, "we are very limited in how many faculty we can have. And the various fields in academia at our school will change based on the importance it has now and the future in the workplace and academia." There is a science based focus at the institution and the participant stated that unless there is movement in industry related to scientific fields of study that there are minimal vacancies within the academic departments.

Theme: Communication

Communication was also a key theme identified in the interviews. The communication efforts varied by participant and varied levels of emphasis was placed towards succession planning with the workforce. As stated previously, Participant A's university made the efforts to tell high performing talent of their value and their desire to keep them part of the organization and to provide training. Moving around between departments was also communicated as stated by the Participant A. Communication to the community was seen by this participant as vital to keeping morale of the employees. This institution looked to hire from within first because as Participant A stated, "When you go outside a lot it tends to send the message that we really don't want to use internals. And, so if you are an internal person you kind of go 'so, what am I supposed to do?'" Pertaining to barriers within succession planning efforts, communication played a role, Participant A stated:

> I think retention. We're not a tenure based university, so that always got people a little bit nervous because its tough to attract somebody in an academic environment who's in a tenured situation to a situation that is not. So, the academic folks will often cite the need to talk about academic retention and things like that. Part of the problem is our attractiveness to other people. So, our people tend to get poached from other universities. We need to be able to retain them. From a financial standpoint, we are not a high paying university. Financially, they can do better in other places. And we are often the target of headhunters and other recruiting organizations.

The participant noted that they did communicate to the hire performing talent at the institution of their value to the university; yet, the participant also acknowledged that the lack of benefits, mostly in terms of pay, was a reason why individuals were getting poached and/or leaving the university. With this knowledge, efforts were still made to communicate to the talent at the university that they were valued.

Participant B stated, "We have also found that individual contributors who excel at their positions, but do not have management training or experience, tend to suffer and do poorly in management roles after promoted." There was an acknowledgement that the university had the responsibility that high performers were trained and provided resources to move into leadership roles at the institution. The participant also stated that development through cross training and moving between departments was heavily stated to talent at the school: "We say this because upward movement in a department is difficult because of the long tenure of career staff." Some of the barriers the institution met in terms of communicating the culture to the outside community in terms of recruiting was difficult: "The culture of our university is one where it is difficult to find talent in California. Not all individuals identify with the culture of our university. Also, individuals who apply to our university from outside the state have a shock at the cost of living in the Los Angeles vicinity." So, the participant's organization places extra emphasis in their communication to potential hires about the culture of the university. Participant B mentioned that, "another barrier is that if a manager is not vested in succession planning then it affects their department or work group." To prevent this the participant's department made the extra effort to make sure there was buy-in of the succession planning efforts across the institution and that the managers they spoke with understood the reason for the emphasis on succession planning at the university.

And Participant C stated, "Its just people being afraid and not knowing what succession planning is and finding the immediate need for it." To mitigate this the participant has had the role of making sure departments were aware of the positive attributes of succession planning. And the background of the need to have this due to the forecasted increase in future retirements at the university. "We have been fortunate in that employees seek out opportunities at our university. But, it is now a harder market for our university," was mentioned by Participant B as an item where barriers to recruiting were occurring to hiring talent at the university. Many of the competing universities to the participant's institution were increasing the statistics in performance and increasing their rankings as educational institutions. So, Participant B's university was making efforts to better communicate the mission and vision of the school to better attract new talent to the university.

Theme: Millennials

The millennial generation was looked at by the participants in a serious note as they are the upcoming age generation in the workforce. The approach and methods in succession planning with the was unique and closely identified with their mission, vision, and culture.

Participant A stated:

> I think millennials are…we are pretty successful with that. We have a lot of students who graduate who want to stay there. So, we have been successful in that regard in bringing in new people. And what I was doing when I was there with the valued people process is really trying to build a more formalized approach to say "we want to keep you, we want to help you grow in the organization." But, they are so far from those leadership roles that it will be several years before they would be ready. But there was definitely more interest in the high potentials and to let them know that they had a future there. And that everybody really wanted to see them succeed in that model.

The identification of high performing millennials was pursued at the institution, but this institution maintained the difficulty in retention. The salaries offered were below the average among the same universities. And the result they viewed was a turnover of talent after a few years at the institution.

Participant B stated:

> By 2020 it is expected that millennials will make up over 50% of the workforce. So, we look at the benefits to attract them to our university. We offer telecommuting and flex work schedules to help appeal to millennials. Also, we provide presentations on campus about generational differences. These presentations are to help show all age generations that each group has unique differences but also similarities on campus.

The approach taken by this university was more aggressive than the other two universities. There was specific action specified by the participant in attracting millennial talent. And from this point, the millennial talent would then be groomed within the programs mentioned previously via the universities leadership development, mentorships, and other programs.

Participant C stated:

> They are looked at favorably. With some of the focus at our university, the specific specialization does not focus on age but rather the skill the individual brings. In the staff area, its making sure its keeping them interested and keeping them retained at the university so that they can move up in the organization. Because of the size of our university, sometime you need to wait for opportunities to move up.

With this specific institution, their focus at that university is geared towards the sciences. So, in recruiting faculty there is less of a view of a specific age generation. There is more of a focus on finding the leaders in industry to fill various department faculty roles. Regarding staff, the participant stated a common theme in recruiting.

In addition, millennials were found to like to remain at their institution. Participant A stated, "We have a lot of students who graduate who want to stay there." Participant B noted that, "Many of our employees are alumni." "We also hire alum's from our university because they have an understanding of our culture." The common theme among the millennial retention into talent at the university employment stemmed from a pre-existing knowledge of the culture of their institution.

Summary

The results from the interviews of three human resources executives among private universities in the Los Angeles vicinity reflected unique viewpoints and practices from each university. Several themes emerged from the research to answering the research question of identifying incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to human resource executives. Some of the common themes to emerge from the interviews are as follows: (a) culture of the institution is the driving motivator in maintaining and progressing in succession planning; (b) strategies and policies toward knowledge transfer and succession planning on the whole are performed in an informal manner as opposed to a formalized stated policy. Although this is true, there is the awareness of the need to make a more formalized policy for moving forward; (c) cross training of talent across multiple departments as well as working in multiple departments within a university provide more robust and developed employees to fill future management vacancies; (d) communication of the planning policies is directly conveyed to talent so that they area aware of positions in the university for advancement; (e) retirements are having a significant impact to each institution and are a main driving force in their succession planning efforts; (f) efforts are in place to recruit, groom, and retain talent; and (g) the millennial generation is key in moving forward the future of the university and that specific measured need to be taken to attract, groom, and retain talent from the millennial generation.

In addition to the common themes identified, there were several common keywords and phrases identified through out the interviews. This was identified via the NVivo coding process. First, all interviews responses were coded together so that each question could be cross referenced via the NVivo software. Next as keywords and themes emerged they would also be coded. Common themes that were identified were repeated themes easily identifiable (culture) as well as commonly referenced in the Literature Review (informal, culture). These helped drive the evaluation of the research data. The common keywords/phrases are shown in Table 2.

Table 2

Keywords and Phrase Frequency

Common words/phrases	Frequency mentioned in interviews
Culture	15
Attracting Outside Talent	10

(continued)

Common words/phrases	Frequency mentioned in interviews
Informal	9
Millennial	7
Communication	6
Retirements	6
Moving around university	5

The study has expanded the knowledge of the researcher and via Vygotsky's social constructivists theory in the researchers seeking an understanding of the world in which the researcher lives and works (Creswell, 2014). As mentioned previously, culture is a dominant theme that intertwines succession planning to each institution. Each case provides insight to the uniqueness of each institution and how their culture dictates how they arrive at solutions to their talent needs. As will be expanded upon in Chapter 5, upon reviewing each case in each university, there are common themes within succession planning, but the approach and solutions needed to meet the demands of each institution cannot be a *cookie-cutter* approach or a *one size fits all* approach to meeting the needs of the institution.

Succession planning at the universities was viewed in holistic form so that employee talent can be groomed, retained, and promoted into key mid management positions. The identification that mid-career leadership roles will be the dominant positions to fill in the near term among the universities was key to future success. A high level of turnover among management was identified and acknowledge among all universities in the study. Multiple pending retirements in each university is a major factor driving the planning at each institution so that the institutions are in a position of being proactive rather than reactive in filling these identified future vacancies. As discussed in Chapter 5, the results of this study reinforce knowledge found in the existing literature and also identifies new knowledge that would provide insights to private universities in their creation or maintenance of their existing succession planning policies and procedures. This new knowledge is identified in recommendations outlined in Chapter 5 as well as provided insight into future research possibilities that would provide additional insight towards succession planning among higher education institutions.

Chapter 5: Conclusions and Recommendations

The purpose of this qualitative case-study is to identify how private higher education institutions approach succession planning with any insights into how these private higher education institutions relayed succession planning to the millennial generation. From the interviews of three human resources executives at their representative university, the researcher was able to obtain an in-depth knowledge of common practices of succession planning practices and unique findings that would be beneficial to all universities that currently have succession plans in place and those that do not. As a conclusion of this study, this chapter will identify the themes discovered in this research, the implications of this study, recommendations for potential future research, and the overall conclusion of the study.

Summary of Findings

This researcher was able to identify succession planning practices and efforts among three human resource executives among private four year universities in the Los Angeles, California vicinity. The experiences and comments obtained from these participants contributed important insight to the problems involved in maintaining experienced management in higher education and will provide new ideas to the literature surrounding succession planning practices within higher education.

A main finding from this research is that succession planning practices are informal in the three institutions represented in this study. In both this study and results of studies found in the literature review, there is a trend toward a lack of a formal succession plan. Also, there was a heavy use of informal solutions when discussing development programs like mentorships and other training. This finding was also noticed in Dr. Grossman's dissertation via her results indicating that the universities in her study contained informal succession planning practices (C. S. Grossman, 2014).

There is an active acknowledgement of pending retirements and the need to account for that shift in having fewer experienced workers. Active steps are being taken by the universities involved in this study to address the pending retirements. In terms of unique findings, one university was more proactive in their recruitment, grooming, and retention of employees than others. This university made a concerted effort to explain the culture as a differentiator and how it is a key item in retention of employees. Concerted efforts to identify high performers and to have a formal leadership program, fellowship, and a mentorship program to develop employees were key concerns for future operations.

Another key finding in the research is that cross training and moving across departments in the university are key to moving up in the university system, especially in terms of universities with low turnover of leadership. This was common among each of the universities in the study and was also a finding in Grossman's (2014) dissertation research as well as Richards (2009) dissertation findings. Upward movement was slow because employees and management tended to remain with the university long term and into retirement. One university stated that they frequently had employees with 40 and 50 years of employment at their university. So, to keep both new hires and middle management, cross training was emphasized.

Millennials are viewed as a key employment demographic emerging in the market place. From a faculty perspective, millennials are not as important as the need to replace experienced professors with other experienced professors. In addition, the tenure of professors is typically long and therefore the need to focus recruiting efforts on professors is not emphasized as it is in the hiring for university staff positions. But in other important areas of university management, many senior level executives are pending retirement, hastening the need to have plans in place to have second and third tier management positions identified for filling so that there is a smooth transition as these retirements occur. And as result, the need to identify and groom millennials to fill leadership gaps is needed.

Relationship to the Literature Review

The research performed in this study provided some common themes as mentioned in Chapter 4, which are culture, informality, cross training/moving around the university, training, recruiting, retirements, communications, and millennials. Many of the responses by the participants provided re-enforcement to the information gathered in the literature review. The following addressing the common themes and how they tie into the literature review.

Succession planning, as noted in the literature review, is typically geared toward continuity of leadership at the executive level; succession planning today now incorporates continuity of leadership at all levels of the organization (Cooke, 1995). This did tie into the research conducted with the three participants. All three mentioned that succession planning was viewed as a practice to make sure that business continuity continued. As participant B stated, “we are consistently analyzing who is currently in place in positions, identifying high performers that best represent our culture, diversity, and community.” This is one reference, but it was conveyed in each of the interviews that succession planning was much more than just something aimed at the executive level positions at their university.

Culture. Culture was heavily mentioned by all the participants in the study. Each of the participants stated at one point or another that employees’ success stemmed from their ability to work and incorporate themselves successfully into the university culture. When recruiting for a millennial candidate, the organization needs to make sure that the candidate is a good fit with the company’s culture (Coons, 2015). Whether it was participant C’s culture geared toward scientific advancement or the unique culture of participants A and B with regard to their mission and vision, culture was an important factor stressed. If new hires came to the university and were not comfortable with the culture, participant B stated that the employee typically left the university quickly. The literature also identifies that an employee's attitude toward the culture of the university underscored the success of that employee (Belkin, 2012).

Informal. Although the original concept of succession planning was identified as having a documented plan for replacement of executive leadership, all of the participants reflected that their university maintained a more informal succession planning approach. This was also common in the results from other dissertations that this researcher identified in the literature review. Informality in the process was indeed common place where a formalized succession plan is more the uncommon. Formalized succession plans were not found to be in the research performed by Grossman (2014). Also, research performed by Richards (2009) indicated that formalized succession plans were not common place, but there were many informal practices in place to address the theme of succession planning with the universities in her findings.

Cross training/Moving around the university. A couple of the participants relayed to the researcher that due to the size of their university, they emphasized to employees that working in many departments across their university would be more beneficial than trying to progress their career in one department on campus. Millennials also want to be involved with new product launches or involvement with new programs (Levin-Epstein, 2013). Participants A and B noted that they did emphasize the need for individuals to move around the university in order for the employee to move up in their career. Doing so corroborates the literature where not only does the university benefit from the employee moving around the university but it also helps the individual, especially millennials with new experiences and new challenges. Job rotation is something that helps future success of the employee (Clunies, 2007). This is reflected in the literature that the workplace needs to have a culture of collaboration and innovation (Osman, 2015). With employees moving around the university, they are creating a richer set of skills as well as a better identification of the various departments and their practices. This allows for better collaboration specified by participant B.

Training. The universities in this study provided training to all their employees; however, the way they implemented the training was emphasized differently. Both participants A and C did mention that they provided training but did not going into specifics as much as participant B. The offerings provided by participant B's school ranged from mentorships to fellowships, focused managerial training, and a formalized leadership program. These offerings compliment what the literature provides in that millennials need customized offerings in the workplace (Jenkins, 2015). As a result of many of these programs by participant B's university, specifically the fellowship and formalized leadership program, the individual involved would move into leadership roles across the campus. And, as the literature also mentions, millennials desire to move into leadership roles (Slavin, 2015) and to be provided training and mentoring so that they do not feel neglected by the university (Levin-Epstein, 2013). This leadership and mentorship programs offered by the university help keep the employees engaged in the university and also foster innovation within the university (Goudreau, 2013).

Recruiting. Participant C was the only individual who stated that her university participated in aggressive recruiting of existing employees at other universities. This was referred to as poaching by another one of the participants. The poaching by this university was done to be able to obtain the individuals who were leading individuals in their field. Being a leading scientific university was also a key attribute identified by the participant. And millennials would identify well with this as the literature states that the workplace needs to have a culture of collaboration and innovation (Osman, 2015). Participant A's university actually suffered from poaching of their employees to other universities. But, even so, the recruiting efforts by this university were aimed at the individuals who identified well with their school and identified with their culture. The university did not have a problem recruiting with millennials because their Participant B relied on existing alumni and recent graduates for filling open positions at their university. Although this university was open to all participants it again relayed that their culture was a priority for them and would limit the number of applicants to open positions. Also, participant B noted that they implemented new employment benefits to directly entice millennials to work at their university. They implemented flexible work schedules and telecommuting to help maximize their work/life balance. As noted in the literature, flexible work schedules and the ability to work remotely are attributes seen more with millennials than previous age generations (Slavin, 2015). One item to note is that the literature on this topic has stated that a retention tool with millennials is the promotion and prioritization of community service as part of the workplace (Goudreau, 2013). None of the participants identified this as an employment benefit or offering that encouraged millennials to work at their institution.

Retirements. Both the literature and the participants studied stated that the coming retirements were of concern. All participants in the study were aware of the imminent retirements of many of their senior level executives. All three participants noted that the senior executives from the participants are in their 60's and their pending retirements enforced the need of the participants to address succession planning practices in their institution. The reviewed literature has emphasized that baby boomer retirements would continue at an accelerated pace for the better part of a decade (Varney, 2015). Participant B stated that half of the workplace will comprise of millennials by 2020. This is supported to a degree in the literature indicating that 70% of the Baby Boomers will be retired by 2030 (Schlossberg, 2015). And with the accepted retirement age of 65 (Casselman, 2014), there are still many baby boomers who will be coming into retirement age. As of 2017, baby boomers born 1952 and earlier will have met the age 65 criteria for retirement. With the accepted baby boomer generation being born from 1946-

1964, there are many more retirements to come from this age generation. This only places greater emphasis on succession planning for higher education.

Communication. Relaying succession planning practices and/or policies to the employees of the university was carried out differently by each participant's university. Two of the participants noted that they would actively look for high performing employees and begin to cultivate those individuals to be able to excel further at the university; they would also provide these individuals with resources to help develop their skills further. Participant A stated that they find high performers and directly communicate to them their importance to the university and the desire to keep them as employees at the university. This is complimented in the literature where it states that millennials will need career progression and career tracking to see that there are opportunities for growth at an organization (Jenkins, 2015). This is linked to the fact that the participants directly interact with their employees and do provide guidance towards their careers. Participant B communicated frequently to all employees and would be proactive in measure surrounding succession planning. Her university made it known immediately upon hire of the importance of the culture and the need to move around departments in the university to gain experience and move up in the organization. This is important because a lack of growth opportunities is one of the reasons behind employee turnover in an organization (Zeiss, 2005). Also, an organization needs to be upfront about the career progression when recruiting millennials (Coons, 2015). Communication efforts by participant C were similar to both participant A and B in that she would identify high performers and look to cultivate those employees.

Millennials. The millennial generation is one that is quickly becoming a greater influence as noted in the literature review as well as by the participants of the study. In specific relation to succession planning, the participants acknowledged a need to include the millennial generation within the future of the school. As participant B noted “by 2020 it is expected that millennials will make up over 50% of the workforce.” This participant’s university made the advance decision to make sure that they would make efforts to recruit and retain as mentioned previously through efforts like telecommuting. The literature also suggested that millennials want the freedom to work where and when they want as long as deliverables and deadlines are met on time (Schawbel, 2012). Participant A made the distinction that many of the millennial graduates look to find employment at their university. This tied into the culture that these individuals were comfortable with as mentioned previously. The millennials identification of the university’s culture is also reinforced from the literature that states the organization needs to make sure that the candidate is a good fit with the company’s culture (Coons, 2015). There was also the acknowledgement by participant C of the need to keep the millennials interested in the work to retain them at the university. This reinforces the literature review findings that motivating factors for millennials are not necessarily the title and pay, but more of the quality of work presented to them (Asghar, 2014). From a faculty perspective, the length of tenure for professors at all the participant’s universities made efforts directed at millennials more of a lower priority. The faculty were viewed more from a *results perspective* and the professor’s importance in their related field of study at participant C’s university. So, efforts towards millennials are much more centered towards staff positions because of the knowledge that millennials seek upward movement quickly (Goudreau, 2013).

Recommendations and Implications

The research questions that this researcher proposed were answered and confirmed through both the literature and the participant interviews. Research question question 1 was “What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to human resource executives?" This question was by and large answered from the interviews of the participants. As stated in Chapter 4, Participant A provided insight that their university was looking at 2nd and 3rd tier management to help fill the coming gaps in leadership from the pending retirements faced at their university. Doing so would enable continuity of their university mission. The participant also mentioned poaching as an obstacle to having a successful succession plan in place. Participant B stated incentives for mid-level management succession planning practices drove their emphasis of inter-departmental movement of talent. In the participant's opinion this made the university stronger and able to react quicker in times where leadership position openings occurred. And Participant B stated obstacles related to long tenure as an obstacle to their succession planning, which also drove their practice of emphasizing inter-departmental training. Participant C provided obstacles to succession planning practices as management acceptance of these plans and fear of change by university staff. Incentives stated by the participant were similar to participant A where the practices in place would help fill the coming leadership gaps coming from pending retirements.

Research question 2 was also successfully answered. The question was "According to the literature of the past 10 years, what are successful criteria for having a successful HR succession plan?" The barriers outlined in the literature review provide insights into what successful measures would be for successful succession planning practices. First, would be providing sufficient time for development of the succession plan. This was evident in the participant interviews as well because each of the participants provided feedback that time was a factor in their planning practices, primarily due to several pending leadership retirements in the immediate future. Second, as the literature review indicated, over 55 % of companies do not have succession planning in place (Paradise, 2010). So, merely having the plan in place is a positive in meeting future leadership needs. Third, employee and leadership ownership of the succession planning practices were needed to be successful. This was reinforced from feedback of participant C that stated it was very important to their university or their succession planning would not be beneficial. Participant B also reinforced the criteria by stating that a lack of leadership's ownership of the succession plan would trickle down through the university. Therefore, making the effort useless.

Upon reviewing research obtained from the three case studies of senior HR executives in private 4-year universities in the Los Angeles, California vicinity, there are some recommendation that the researcher feels would benefit other higher education institutions with regard to succession planning. The purpose of the study was to identify themes and approaches towards succession planning by these executives and these are the following recommendations:

Recommendation 1: Maintain a set of best practices for implementing good succession plan practices. From both the literature and the case studies in the research, most universities do not have a formalized succession plan, but there are many efforts that are made in the spirit of succession planning. Those efforts need not necessarily become formalized, but they should be captured so that there is wider access to all departments and management at the university. Also, this set of best practices will capture knowledge of management and employees that are near retirement. This will provide greater knowledge management and retention. So, as senior leaders leave the organization, past skills and experiences are not lost.

Recommendation 2: Train millennials to assume 2nd and 3rd tier management positions in the university. From this study and the literature, there needs to be proactive measures taken to have a fully developed pool of talent that can move into 2nd and 3rd tier management positions in the university. As senior executives retire, they can be backfilled, yet that creates a trickle down vacuum in positions in management. Millennials need to be in a position to step into these middle management positions. There should be a pool of candidates as opposed to specified individuals to go into certain roles because should a particular management spot not open for a long period of time you risk having employees leave to go elsewhere in order to move up in their career. Having this person as part of a greater pool allows the individual to move to an open management position in the university, not just the department.

Recommendation 3: Develop a formal leadership training program for all levels of management at the university. One university had a formalized leadership development program, but it was aimed at senior managers to prepare to enter executive leadership. A formal leadership program for all levels of management is needed so that high performers at all levels in the university are identified and provided resources to be able to move into the future management openings.

Recommendation 4: Make university policy stating the need for employees to move among departments in campus for development. All of the participants stated informally that individuals should move between departments and groups in the university to move up career wise. There needs to be stated policy emphasizing this and the rationale behind it so that all levels of management help communicate the policy to their employees but also make it so that employees are aware of this if it is not communicated by their immediate management. This researcher feels that if this policy is implemented at a school there will be greater encouragement by management as well as better retention of employees as they will remain at the university. This will also make staff more robust in their skillset, making them a greater asset to the university.

Recommendation 5: Create a rich work/life balance at the university for flexible work options available to employees such as flex hours, telecommuting, and other such benefits. The literature and the participants of this study have identified that flexible work options such as telecommuting are benefits that attract millennials to an organization. Millennials want to have a good home life in addition to their career. The researchers personal experience provides additional justification to this recommendation. At the Jet Propulsion Laboratory (JPL) in Pasadena, CA, a federally funded research and development center, there are core hours as well as an alternate 9/80 work schedule implemented for the entire laboratory. The 9/80 schedule is a two-week work schedule consisting of nine 9-hour work days resulting in every other Friday off for employees. This does complement universities because JPL is managed by the California Institute of Technology (CalTech). JPL made the policy decision to implement the 9/80 schedule lab-wide so that it minimized any schedule conflicts. The only exceptions were made to essential job functions such as the flight center monitoring mission spacecraft, facility maintenance, and security for the laboratory. JPL is a campus atmosphere that is heavily influenced by CalTech. Therefore, it is reasonable that a university could make the business decision to implement an alternative work schedule for its entire university—with possible exceptions for less essential personnel required for functions such as security.

These recommendations are based upon the common themes that emerged from the research obtained in the study, and this study was able to address the research questions posed. Research question one was *What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to Human Resource executives?*

The feedback of the participants provide insight to this question. Incentives to have a succession plan, in the cases of the participants it was succession planning practices, were that each institution was able to address the needs of the pending increase in retirements among their management. Having measures in place only help continue smooth operations in the organization and provide a higher level of knowledge management retention so that future managers have the tools of the past for making decisions in the future. Barriers presented from the data of the participants is that some succession planning is still a new process to their institution. Although steps have been taken, many are not ingrained within the university. And with a high number of senior executives coming to retire, there is the potential for an overreaction to develop in trying to fill the coming vacancy. Instead, if steps were more ingrained in the culture then future vacancies would be filled quickly minimizing operational downtime. Of the three participants, participant B's university appeared to be the most proactive in addressing the coming shortfalls of the coming shift change between the baby boomers and increase in the millennials in the workplace.

Research question two was *According to the literature of the past 10 years, what are successful criteria for having a successful HR succession plan?* This question was answered in the literature. The primary answer to this question is that the succession planning practices, if successful, will address to the need for culture continuity. Culture was addressed both in the literature and emphasized by the participants in the study. The success of any efforts would rely on being able to maintain the culture and the cultural identity of the institution. Addressing the needs of the various age generations through reinforcement of the culture is key to maintaining and retaining the employees within the academic institution.

Finally, the data obtained from this study was important in that it did offer reinforcement of the existing literature. There was not necessarily new insight gained that was not already present in the current literature; however, from the view point of the current atmosphere it appears that not all universities have come to full grips with the pending crisis in baby boomer retirements. Of the three universities only one provided distinct responses that can be viewed as proactive in the workplace and not reactive. The two other universities did acknowledge the coming retirements and a need to address the coming change, but the other two participants did not have steps already ingrained in the university to address the change. Steps being taken were either only just being implemented or future steps were being laid out now to address the coming increase in retirements. If this is representative of the larger community of higher education, then it should be noted that efforts need to be made now for the coming retirements and drastic change in age generations or the universities impacted will have a very reactionary process that could present a very tumultuous future if not addressed.

Limitations

Being a phenomological case study based research effort, there are some limitations to the results and the applicability to other universities. First, all universities in the study were located in the Los Angeles vicinity. Although this provides a richness in results for a specific location, there are not enough participants in the study to make a more generalized conclusion. Although this is true, the researcher believes that the location specificity is ideal because of the numerous higher educational institutions in the Southern California metropolitan region. More specificity in actual lived experiences of the participants provided better insight into succession planning efforts than would be applying a more generalized approach and resulting findings. With multiple public and private universities in the Los Angeles vicinity, this cross section of private universities is a positive indicator in the researcher's view. The results might not be as applicable to other region, but the researcher believes that although the region is confined to that of Southern California, the impact is actually much larger. For instance, the population of the Greater Los Angeles Area, also known as the Los Angeles-Long Beach, CA Combined Statistical area, is approximately 18.7 million (U.S. Census Bureau, 2016). This population would qualify as the 5th largest state in the United States if it were its own state (Worldatlas, 2016). So, the results of this study would have a greater impact because of the location in a high density population center.

Next, the institutions researched were private four year universities. The results would be limited to how a private institution manages their finances, faculty, and staff. Results could differ from that of a publicly funded university because of the various budget constraints as well as statutes in place that would limit how a public university could function within the parameters of their own succession plan. This was mitigated because the private four year universities did vary in size. Each university was a part of a different Division within the national university system. One school was a Division I university, one was a Division II university, and one was a Division III university. Having private universities in different sizes also provided a unique richness in data so that the researcher was able to examine how a small, medium, and large university would utilize succession planning within their organization.

Recommendations for Future Studies

This researcher took the results of the study and analyzed it with the Literature Review to see if there were any gaps or new conclusions drawn from the research itself. The researcher recommends looking at poaching among universities and looking at value compared to growing talent in-house. Poaching was both used as a tool by one university in the study and another was trying to retain its faculty and staff from poaching. Future research examining succession planning to prevent poaching could provide some unique insight to better retain university employees for long term growth and stability.

Another potential future study could examine how public universities in the Los Angeles vicinity respond to the same research applied in this study, essentially replicating this study in the publicly funded universities. That would add an additional layer of research that could magnify the richness of total data among private and public universities in how succession planning is applied to the millennial generation.

Next, possible research could be performed identifying the differences between informal and formal succession plans among universities. This researcher's conclusion is that informal succession planning was the most common use of this tool. Finding universities with formal succession plans in place and noting how their results differ from that of the universities in this study could provide new insight into the benefits or not of having a formal succession plan in place.

An additional area of research that could be explored would be to further define the differences in succession planning related to millennials among that of faculty and staff. Millennials are quickly becoming the dominant generational workforce among the multiple age generations. Examining differences in succession planning approaches between that of faculty and staff could provide some insight into how to further cultivate and define a universities succession plan.

Finally, another potential future research topic could pertain to the effective use of universities culture in recruiting and retaining employees. Each of the universities frequently cited their culture as important to their university's identity. A look at how succession planning affects culture could provide some useful data in relation to the recruitment and retention of millennial employees.

Conclusion

Universities are in a position where they have significant populations of employees who are from the baby boomer generation that will be retiring in the immediate future. Succession planning and the millennial generation are coming to a crossroads to where this age generation will need to be looked upon as the entity assuming many new roles in university leadership. This will need to be identified and addressed at all institutions, as the literature review and this study have indicated aging leadership in the higher education system is widespread, and avoiding significant gaps in leadership need to be addressed as soon as possible. As the baby boomers retire in large numbers, there is a need to take steps now to address performers in the workplace so that they can be groomed and steps taken to retain them for movement into leadership roles as they openings present themselves. The goal of this researcher's qualitative case study was to answer the following questions: (a) What are the incentives and obstacles to having a successful succession plan for mid-level management in private four year universities within the Los Angeles, CA vicinity according to Human Resource executives and (b) according to the literature of the past 10 years, what are successful criteria for having a successful HR succession plan?

The hypothesis of the researcher that succession planning efforts would be difficult to implement due to millennials movement in their careers and pending baby boomer retirements were justified to a degree in the data obtained in this study from both the literature and the results of the participants interviews. Baby boomer retirements do have universities in a position where they must address the coming change of leadership aggressively or they risk negatively impacting their culture as well as continuity of operations.

Findings of the study were common to those found in the literature and were expected to an extent. These findings were as follows:

- Succession planning is an informal process among universities in the study and in the literature.
- There is a high acknowledgement of increasing retirements of senior executives and baby boomers in the workplace.
- Cross training among departments and moving to other departments in an effort to advance an individuals career is required to move up the hierarchy in a university. This

was referred to as the career lattice because there was no straight line up in a university. It was more of a zig-zag pattern to move up the organization.

- Millennials are seen as a key demographic to assume leadership roles within higher education as baby boomer retirements continue.

Recommendations were presented based upon the common themes identified from the case study interviews with the HR executives at four year private universities in the Los Angeles, California vicinity. These participants provided unique perspectives of their organization. And the recommendations of this study are based to reinforce findings so that other higher education institutions can apply these approaches to meet the coming need to address retirements of leadership in their respective university.

As Baby Boomer retirements continue, insights will be needed for institutions to help further develop and galvanize their efforts for succession planning practices to fill leadership roles. The findings of this study reinforce past studies in way to address the coming need for leadership replacement and succession planning. The following quotes provide a good summation of the researcher's study: Participant B, "We consider that succession planning begins on day one for our employees." And from participant C, "Succession planning needs to be a simple process that managers can understand and be engaged in." These two quotes help galvanize both this study and previous research in that succession planning needs to be proactive measures performed by universities that can be easily conveyed to all members of that institution.

REFERENCES

Abdullah, H. S., Hassim, A. A., & Chik, R. (2009). Knowledge sharing in a knowledge intensive organization: identifying enablers. *International Journal of Business and Management 4*(4): 115

Ackerman, R., & Wolverton, M. (January 1, 2006). Cultivating possibilities for prospective department chair professional development and why it matters. *Planning for Higher Education, 34*(4), 14-23.

Anderson, J. (2014). Staffing the great shift change: Energy career forum now live. Retrieved from http://breakingenergy.com/2014/07/01/staffing-the-great-shift-change-energy-career-forum-now-live/

Archives.gov (2015). San Francisco earthquake, 1906. Retrieved from: https://www.archives.gov/legislative/features/sf/

Asghar, R. (2014, January 14). Gen X is from Mars, Gen Y is from Venus: A primer on how to motivate a millennial. *Forbes.* Retrieved from http://www.forbes.com/sites/robasghar/2014/01/14/

Barden, D. M. (2008). The internal-candidate syndrome: All the parties involved in an open, national search are vulnerable when the applicant pool includes an insider. *Chronicle of Higher Education, 54*(35), 2-3.

Barten, L. (2015). Succession planning for organizations. Retrieved from http://smallbusiness.chron.com/succession-planning-organizations-4590.html

Basham, M., & Mathur, R. (2010). Dynamic leadership development in community college administration: Theories, applications, and implications. *New Directions for Community Colleges, 149(1),* 25-32.

Belkin, G. (2012). Five steps for effective succession planning. Retrieved from http://www.peoplefluent.com/blog/five-steps-effective-succession-planning

Bocci, G. (2014). Leadership succession planning: A current and major challenge for organizations. Retrieved from https://www.towerswatson.com/en/Insights/IC-Types/Ad-hoc-Point-of-View/2014/03/leadership-succession-planning

Bohn, S. (2014). California's need for skilled workers. Retrieved from http://www.ppic.org/main/publication_quick.asp?i=1112

Bowen, W. (2008, March 28). The successful succession: How to manage the process of picking a president [Electronic version]. *The Chronicle of Higher Education.* Retrieved from www.chronicle.com

Boyle, M. (2009). The art of CEO succession. *BusinessWeek*. Retrieved from https://www.bloomberg.com/news/articles/2009-04-29/the-art-of-ceo-succession

Bureau of Labor Statistics (BLS). (n.d.). Postsecondary education administrators. Retrieved from http://www.bls.gov/ooh/management/ postsecondary-education-administrators.htm#tab-6

California State University, San Bernardino. (2015). Organizational chart. Retrieved from http://www.csusb.edu/documents/university_organization_chart.pdf

Carey, D. C., Ogden, D., & Roland, J. A. (2000). *CEO succession.* New York, NY: Oxford University Press.

Cascio, W. (2011). Leadership succession: How to avoid a crisis. Retrieved from http://iveybusinessjournal.com/publication/leadership-succession-how-to-avoid-a-crisis/

Cass, C. (2014, December 29). Millennials are volunteering more than past generations and haven't even peaked yet. *Huffington Post.* Retrieved from http://www.huffingtonpost.com/2014/12/29/ millennials-volunteering_n_6390446.html

Casselman, B. (2014). What baby boomers' retirement means for the U.S. economy. Retrieved from http://fivethirtyeight.com/features/what-baby-boomers-retirement-means-for-the-u-s-economy/

Catalyst.org (2015). Generations in the workplace in the United States and Canada. Retrieved from http://www.catalyst.org/knowledge/generations-workplace-united-states-canada

Chandler, J. (2015). Why is succession planning taboo? Retrieved from https://www.councilofnonprofits.org/thought-leadership/why-succession-planning-taboo

Clunies, J. P. (2007). Benchmarking succession planning and executive development in higher education: Is the academy ready now to employ these Corporate Paradigms? *Academic Leadership The Online Journal*. Retrieved from http://www.academicleadership.org/emprical_research/Benchmarking_Succession_Planning_Executive_Development_in_Higher_Education.shtml

Cohn, D., & Taylor, P. (2010). Baby boomers approach 65 – Glumly. Retrieved from http://www.pewsocialtrends.org/2010/12/20/baby-boomers-approach-65-glumly/

Collins, J. (2005). *Good to great and the social sectors: Why business thinking is not the answer: A monograph to accompany Good to great: why some companies make the leap—and other don't.* Boulder, CO: J. Collins.

Conflict management. (2015). In Businessdictionary.com Retrieved from http://www.businessdictionary.com/definition/conflict-management.html

Cooke, R. (1995). Succession planning. *Credit Union Management*, *18*(10), 27-28.

Coons, D. (2015). Revamp your current millennial retention practices. Retrieved from http://www.insurancejournal.com/magazines/features/2015/04/20/364397.htm

Coxhead, P. (2007). University of Birmingham academic manager job description computer science. Retrieved from http://www.cs.bham.ac.uk/~pxc/pers/jobspec.html

Coy, C. (2013). A starter guide to millennial retention. Retrieved from https://www.cornerstoneondemand.com/blog/starter-guide-millennial-retention#.VlE7W7TFugQ

Creswell, J. W. (2007). *Qualitative inquiry and research design: Choosing among five approaches.* Thousand Oaks, CA: Sage.

Creswell, J. W. (2014). *Research design: Qualitative, quantitative, and mixed methods approaches*. Thousand Oaks, CA: SAGE

Crotty, M. (1998). *The foundations of social research: Meaning and perspective in the research process*. London, UK: Sage

Demographic. (2015). In Dictionary online version. Retrieved from http://dictionary.reference.com/browse/ demographic?&o=100074&s=t

Denman, T. (2014). Top 10 workforce trends for 2015. Retrieved from http://risnews.edgl.com/retail-news/Top-10-Workforce-Trends-for-201596588

Denmark, A., & Hackman, S. (2013). Forensic laboratory 2030: Workplace activities. Retrieved from http://www.forensicmag.com/articles/2013/04/forensic-laboratory-2030-workplace-activities

Dorn, M. (2013). Younger managers rise in the ranks: Survey quantifies management shift and reveals challenges, preferred workplace perks, and perceived generational strengths and weaknesses. Retrieved from http://www.multivu.com/mnr/63068-ernst-and-young-llp-research-younger-managers-rise-in-the-ranks

Doyle, R. (2008). The Baby Boomers as faculty: What will they leave behind? Retrieved from http://www.changemag.org/Archives/Back%20Issues/November-December%202008/abstract-playing-the-numbers.html

Drucker, P.F. (2001). *Management challenges for the 21st century*. New York, NY: Collins Business.

Dutra, A., & Griesedieck, J. (2010). Planning for your next CEO, it's high time for boards to get succession planning right. Retrieved from http://www.mckinsey.com/insights/leading_in_the_21st_century/planning_for_your_next_ceo

Fallon, N. (2014). Solving the mystery of Gen Y job hoppers. Retrieved from http://www.businessnewsdaily.com/7012-millennial-job-hopping.html

Fayol, H. (1930). *Industrial and general administration* (J.A. Coubrough, Trans.). London, UK: Pitman & Sons. (Original work published 1916)

Financial crisis, full timeline. (2015). Retrieved from https://www.stlouisfed.org/financial-crisis/full-timeline

Fish, S. (2007). Shared governance: Democracy is not an educational idea. *Change: The Magazine of Higher Learning, 39*(2), 8-13.

Fisher, A. (2015, February 18). Baby boomers slowly growing more comfortable with retirement. *Fortune.* Retrieved from http://fortune.com/2015/02/18/baby-boomers-retirement/

Folkers, D. (2008). *Succession planning and management in Nebraska state government: Perceptions, experiences, and barriers*. (Doctoral dissertation). Retrieved from http://pqdtopen.proquest.com/doc/304334456.html?FMT=AI

Fry, R. (2015). This year, millennials will overtake baby boomers. Retrieved from http://www.pewresearch.org/fact-tank/2015/01/16/

Fulmer, R. (2002). Choose tomorrow's leaders today. *Graziadio Business Review*. Retrieved from http://gbr.pepperdine.edu/2010/08/choose-tomorrows-leaders-today/

Gates, B. (2015). Help wanted: 11 million college grads. Retrieved from http://www.gatesnotes.com/Education/11-Million-College-Grads

Generation. (2015). In Dictionary online version. Retrieved from http://dictionary.reference.com/browse/demographic?&o=100074&s=t

George, B. (2004). *Authentic leadership: Rediscovering the Secrets to Creating Lasting Value.* Hoboken, NJ: Jossey-Bass.

Giang, V. (2013). Here are the strengths and weaknesses of millennials, GenX, and boomers. Retrieved from http://www.businessinsider.com/how-millennials-gen-x-and-boomers-shape-the-workplace-2013-9

Gilbert, J. (2011). The millennials: A new generation of employees, a new set of engagement policies. Retrieved from http://iveybusinessjournal.com/publication/the-millennials-a-new-generation-of-employees-a-new-set-of-engagement-policies/

Glesne, C., & Perskin, A. (1992). *Becoming qualitative researchers: An introduction*. White Plains, NY: Longman.

Goudreau, J. (2013, March 7). 7 Surprising ways to motivate millennial workers. *Forbes.* Retrieved on 11/21/2015 from http://www.forbes.com/sites/

Green, M. (2012). Nine big differences between Republicans and Democrats. Retrieved from http://ww2.kqed.org/lowdown/2012/11/06/the-10-biggest-differences-between-republicans-and-democrats/

Grossman, C. S. (2014). *Succession planning and knowledge transfer in higher education*. (Doctoral dissertation). Retrieved from http://search.proquest.com.lib.pepperdine.edu/dissertations/docview/1508408503/87278E4865C04BAAPQ/1?accountid=13159

Grossman, L. (2007, January). The Apple of your ear. *Time.* Retrieved from http://content.time.com/time/magazine/article/0,9171,1576854,00.html

Hayes, J. (2013). Some succession planning aids. Retrieved from http://memberleap.com/~iaam/succession_planning_aids.php

History.com (2009). Industrial Revolution. Retrieved from http://www.history.com/topics/industrial-revolution

Howe, N. (2014a). The Silent Generation, “The Lucky Few.” *Forbes.* Retrieved from http://www.forbes.com/sites/neilhowe/2014/08/13/the-silent-generation-the-lucky-few-part-3-of-7/

Howe, N. (2014b). Generation X: Once extreme, now exhausted. *Forbes.* Retrieved from http://www.forbes.com/sites/neilhowe/2014/08/27/generation-x-once-xtreme-now-exhausted-part-5-of-7/

Howe, N. (2014c). The millennial generation, “Keep Calm and Carry On.” *Forbes.* Retrieved from http://www.forbes.com/sites/neilhowe/2014/09/04/the-millennial-generation-keep-calm-and-carry-on-part-6-of-7/

Howe, N., & Strauss, W. (2000). *Millennials rising: The next great generation*. New York, NY: Vintage Books.

Hudson. (2014). All change in the workforce: The Great Generational Shift. Retrieved from http://au.hudson.com/latest-thinking-articles/postid/95/all-change-in-the-workforce-the-great-generational-shift

Jenkins, R. (2015). 6 millennial retention strategies to adopt in 2015. Retrieved from http://hrcloud.com/6-millennial-retention-strategies-to-adopt-in-2015/

Jusko, J. (2005). Unplanned future. *Industry Week*, *254*(3), 20. Retrieved from http://web.a.ebscohost.com.lib.pepperdine.edu/ehost/pdfviewer/pdfviewer?sid=5e45a531-45c0-477f-8780-e2e680ca29d0%40sessionmgr4006&vid=1&hid=4112

Kiley, K. (2012). The cost of values. Retrieved from https://www.insidehighered.com/news/2012/10/08/changes-funding-sources-shifting-public-university-admissions

Klass, T., & Lindenberger, J. (2015). Characteristics of millennials in the workplace. Retrieved from http://www.businessknowhow.com/manage/millenials.htm

Lampton, J. (2010). Management educators can bring awareness to the need to plan for succession. *Journal of Instructional Pedagogies, 5.* Retrieved from http://www.aabri.com/manuscripts/10551.pdf

Levin-Epstein, A. (2013). Millennial retention: 5 ways to keep young talent. Retrieved from http://www.cbsnews.com/news/millennial-retention-5-ways-to-keep-young-talent/

Liu, A. (2014). Millennials have been permanently scarred by the financial crisis. Retrieved from http://motherboard.vice.com/blog/millennials-have-been-permanently-scarred-by-the-financial-crisis

Lombardi, J., Craig, D., Capaldi, E., & Gater, D. (2002). University organization, governance, and competitiveness. Retrieved from http://mup.asu.edu/UniversityOrganization.pdf

Long, J., Cooper, J., Faught, S., & Street, J. (2013). The need to practice what we teach: Succession management in higher education. *American Journal of Management, 13*(2), 73-78. Retrieved from http://www.na-businesspress.com/AJM/LongJ_Web13_2_.pdf

Luzebetak, A. (2010). Community college succession planning: Preparing the next generation of women for leadership roles. (Doctoral dissertation). Retrieved from http://search.proquest.com.lib.pepperdine.edu/dissertations/docview/375502451/B8152491466D4BFAPQ/1?accountid=13159

MacDonald, H. (2012). California's demographic revolution. Retrieved from http://www.city-journal.org/2012/22_1_california-demographics.html

Mahler, W. R., & Graines, F. (1983). *Succession planning in leading companies*. Midland Park, NJ: Mahler.

Main, D. (2013). Who are the Millennials? Retrieved from http://www.livescience.com/38061-millennials-generation-y.html

Mann, J. (2006). Generations in the workplace. Retrieved from https://www.acui.org/publications/bulletin/article.aspx?issue=398&id=888

Michaels, E., Handfield-Jones, H., & Axelrod, B. (2001). *The war for talent*. Boston, MA: Harvard Business School Press.

Mitchell, M., Palacios, V., & Leachman, M. (2014). States are still funding higher education below pre-recession levels. Retrieved from http://www.cbpp.org/research/states-are-still-funding-higher-education-below-pre-recession-levels

Mizrahi, A. (2014). Succession planning, overcoming barriers. Retrieved from http://www.domoremission.com/succession-planning-overcoming-barriers/

Novak, J. (2007). The six living generations in America. Retrieved from http://www.marketingteacher.com/the-six-living-generations-in-america/

Ohio University (OU). (2015). Organization structure chart. Retrieved from https://www.ohio.edu/president/office/upload/Ohio-University-Organizational-Structure-2.jpg

Osman, M. (2015). How the workplace affects millennial recruitment and retention. Retrieved from http://www.bizjournals.com/bizjournals/how-to/human-resources/2015/09/how-the-workplace-affects-millennial-recruitment.html?page=all

Panzar, J. (2015, July 8). It's official: Latinos now outnumber Whites in California. *The Los Angeles Times.* Retrieved from http://www.latimes.com/local/california/la-me-census-latinos-20150708-story.html

Paradise, A. (2010). Many barriers inhibit success of succession planning. Retrieved from https://www.td.org/Publications/Magazines/TD/TD-Archive/2010/06/Many-Barriers-Inhibit-Success-of-Succession-Planning

Patten, E. & Fry, R. (2015). How millennials today compare with their grandparents 50 years ago. Retrieved from http://www.pewresearch.org/fact-tank/2015/03/19/how-millennials-compare-with-their-grandparents/

Pennington, K., Williams, M., & Karvonen, M. (2006). Challenges facing rural community colleges: Issues and problems today and over the past 30 years. *Community College Journal of Research & Practice*, *30*(8), 641-655. doi:10.1080/10668920600746086

Pepperdine University. (2015). Institutional Review Board. Retrieved from http://community.pepperdine.edu/irb/ on 7/12/2015

Peters, A. (2011). (Un)planned failure: Unsuccessful succession planning in an urban district. *Journal of School Leadership, 21(*1), 64-86.

Pollard, K., & Scommegna, P. (2014). Just how many baby boomers are there? Retrieved from http://www.prb.org/Publications/Articles/2002/JustHowManyBabyBoomersAreThere.aspx

Pumphrey, C. (2015). How the Greatest Generation works. Retrieved from http://people.howstuffworks.com/culture-traditions/generation-gaps/greatest-generation1.htm

Pwc.com (2015). Millennials at work: Reshaping the workplace. Retrieved from https://www.pwc.com/gx/en/managing-tomorrows-people/future-of-work/assets/reshaping-the-workplace.pdf

Pyrne, E. (2009, January 12). WaMu to layoff 3,400 in Seattle; Bank to empty most of its leased space downtown. *The Seattle Times.* Retrieved from http://www.seattletimes.com/business/wamu-to-lay-off-3400-in-seattle-bank-to-empty-most-of-its-leased-space-downtown/

Richards, C. L. (2009). *A new paradigm: Strategies for succession planning in higher education.* (Doctoral dissertation). Retrieved from http://search.proquest.com.lib.pepperdine.edu/docview/305164828

Rioux, S. M., & Bernthal, P. (1999). Succession management practices. Retrieved from http://www.ddiworld.com/pdf/CPGN50.pdf

Rivera, C. (2015, May 30). UC system reports record number of applications for fall 2015 semester. *Los Angeles Times*. Retrieved from http://www.latimes.com/

Roche, J. (2011). The amazing and heartbreaking story of the CEO who lived and rebuilt his firm after 9/11: Howard Lutnick. Retrieved from: http://www.businessinsider.com/cantor-fitzgerald-9-11-story-howard-lutnick-2011-9

Rosse, J. G., & Levin, R. A. (2003). *The Jossey-Bass academic administrator's guide to hiring* (1st ed.). San Francisco, CA: Jossey-Bass.

Rothwell, W. (2001). *Effective succession planning*. New York, NY: American Management Association.

Rothwell, W. (2010) *Effective succession planning: Ensuring leadership continuity and building talent from within* (4th ed.). New York, NY: American Management Association.

Rothwell, W. J. (2010). *Effective succession planning: Ensuring leadership continuity and building talent from within*. Retrieved from http://ebookcentral.proquest.com.lib.pepperdine.edu/lib/pepperdine/reader.action?docID=4002869

Rothwell, W. J., & Kazanas, H. C. (2003). *The strategic development of talent*. Amherst, MA: HRD Press.

Saldana, J. (2009). *The coding manual for qualitative researchers*. London, UK: Sage.

Schawbel, D. (2012, March 29). Millennials vs. baby boomers: Who would you rather hire? *Business Time.* Retrieved from http://business.time.com/2012/03/29/

Schawbel, D. (2013). Why you can't ignore millennials. *Forbes.* Retrieved from http://www.forbes.com/sites/danschawbel/2013/09/04s/

Schlossberg, M. (2015). Retiring boomers spark workforce shift. Retrieved from http://www.healthcareitnews.com/news/baby-boomers-leave-hit-workplace-changing

Scott-Skillman, T. (2007) Succession planning-a must for colleges and universities! *iJournal.* Retrieved from http://www.ijournal.us/issue_15/ij_15_00_TOCframe.html

Shamma, T. (2011). What's the defining moment of your generation? Retrieved from http://www.npr.org/2011/11/02/141930849/whats-the-defining-moment-of-your-generation

Sixel, L. (2014, May 7). Poaching workers becomes business strategy for oil and gas as boomers retire [Blog post]. Retrieved from http://fuelfix.com/blog/2014/05/07/poaching-workers-becomes-business-strategy-for-oil-and-gas-as-boomers-retire/#11107101=0

Slavin, A. (2015). 4 Ways to increase retention rates among millennial employees. Retrieved from http://www.inc.com/amanda-slavin/4-ways-to-increase-retention-rates-among-millennial-employees.html

Social Security Administration. (n.d.). Social Security Administration retirement age calculator. Retrieved from http://www.ssa.gov/planners/retire/ ageincrease.html

Stake, R. (1995). *The art of case study research.* Thousand Oaks, CA: Sage.

Talgan, B. (2009). *Not everyone gets a trophy: How to manage Generation Y.* San Francisco, CA: Jossey-Bass.

Taylor. P., & Gao, G. (2014). Generation X: America's neglected "middle child." Retrieved from http://www.pewresearch.org/fact-tank/2014/06/05/generation-x-americas-neglected-middle-child/

Teambuilding Solutions. (2012). Fayol's theory of management. Retrieved from http://www.teambuildingsolutions.co.uk/Default.aspx?pagename=Henri-fayol-Teambuilding-Solutions

The Texas Workforce Commission. (2014). Working Texas style. Retrieved from http://www.lmci.state.tx.us/shared/workingtexasstyle/

University of California Los Angeles. (2015). Administrative organization. Retrieved from http://www.aim.ucla.edu/CampusProfile/Administration/chancellor.pdf

University of California Office of the President. (2013). Statistical summary of students and staff. Retrieved from http://legacy-its.ucop.edu/uwnews/stat/statsum/ fall2013/ statsumm2013.pdf

University of Southern California. (n.d.). Freshman Profile and Admission Information, Retrieved from http://about.usc.edu/files/2011/07/FreshmanProfile2010-1.pdf

University of Southern California. (2015). Facts and figures. Retrieved from http://about.usc.edu/facts/

U.S. Census Bureau. (2016). *Annual estimates of the resident population: April 1, 2010 to July 1, 2015 combined statistical area*. Retrieved from https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?src=bkmk

Varney, M. (2015). Navigating the generational workforce shift with software defined Operations. Retrieved from http://blog.bitstew.com/generational-workforce-shift-with-software-defined-operations

Vygotsky, L. (1978). *Mind in society*. London, UK: Harvard University Press.

Williams, Y. (2015). The silent generation: Definition, characteristics and facts. Retrieved from http://study.com/academy/lesson/the-silent-generation-definition-characteristics-facts.html

Winning the generation game. (September 28, 2013). *The Economist.405.* 8855. Retrieved from http://www.economist.com/news/business/21586831-businesses-are-worrying-about-how-manage-different-age-groups-widely-different

Worldatlas. (2016). U.S. States Ranked by Population. Retrieved from http://www.worldatlas.com/articles/us-states-by-population.html on December 28, 2016.

WorkplaceTrends. (2014). *The 2015 millennial majority workforce study.* Retrieved from https://workplacetrends.com/the-2015-millennial-majority-workforce-study/

Yin, R. K. (2009). *Case study research: Design and methods* (4th ed.). Thousand Oaks, CA: Sage.

Yin, R. K. (2012). *Applications of case study research* (3rd ed.). Thousand Oaks, CA: Sage.

Zaich, L. L. (1986). *Executive succession planning in select financial institute* (Unpublished doctoral dissertation). Pepperdine University, Malibu, CA.

Zeiger, H. (2013). Millennials: The next civic generation. Retrieved from http://www.philanthropydaily.com/millennials-the-next-civic-generation/

Zeiss, T. (2005). *Get 'em while they're hot: How to attract, develop and retain peak performers in the coming labor shortage*. Nashville, TN: Nelson Business.

APPENDIX A

Interview Questions

The following questions will be asked to identify demographic and qualifying data of the participant:

- What is your administrative role at your university?
- What is you highest level of education?
- How long have you been at your current place of employment?
- How does your role interact with your university's succession plan?

The following questions, pulled from Dr. Grossman's dissertation with her permission, will be asked pertaining to succession planning at the participant's university:

- "Is leadership replacement important to your university at this time"?
- "How does the university identify future gaps in academic leadership"?
- "What efforts are utilized to attract outside talent for key academic administrative/leadership positions"?
- "Are there instances when new leadership worked well or did not work out? If so, were they internal or external candidates"?
- "Describe or provide the formalized or non-formalized academic leadership strategies at the university that guide the succession process for academic leadership positions".
- "Who at the university is involved with discussing/reviewing/determining the succession plan strategies and philosophies (ex: President, HR, Faculty, Board of Trustees, etc.)"?
- "What are guiding philosophies supporting the university's succession planning strategies"?

- “What is driving succession planning at the university”?
- “How does top academic leadership at the university explicitly promote and execute leadership succession planning policies”?
- “How is the academic leadership succession plan communicated to the university staff, faculty, and administration”?
- “How does the promotion of academic leaders from within the university reflect accepted policies/philosophy/culture at the university”?
- “Describe how the university culture encourages the practice of recruiting, grooming, and retaining of academic leadership talent”?
- “How are current university academic leaders active in mentoring potential subordinates to transfer organizational knowledge and maintain cultural memory”?
- “How have leadership succession planning practices at the university aligned with and supported the university’s mission, vision, values, and commitment to high performance”?
- “What barriers have been identified in the universities academic leadership succession plan”?

Other interview questions that will be asked by the researcher that are deemed pertinent to the study’s research questions:

- How have retirements affected your university’s succession plan?
- How are Millennials being viewed in the succession plan for the university?
- Related to the university’s succession plan, do you have any other pertinent information that is important for this interview?

APPENDIX B

Certification For Protection of Human Subjects

COLLABORATIVE INSTITUTIONAL TRAINING INITIATIVE (CITI PROGRAM)

COURSEWORK REQUIREMENTS REPORT*

* NOTE: Scores on this Requirements Report reflect quiz completions at the time all requirements for the course were met. See list below for details. See separate Transcript Report for more recent quiz scores, including those on optional (supplemental) course elements.

- **Name:** Stephen Gilbert (ID:
- **Email:**
- **Institution Affiliation:** Pepperdine University (ID: 1729)
- **Institution Unit:** Organizational Leadership

- **Curriculum Group:** Graduate & Professional Schools HSR
- **Course Learner Group:** Graduate & Professional Schools Human Subjects Training (INACTIVE)
- **Stage:** Stage 2 - Refresher Course
- **Description:** Choose this group to satisfy CITI training requirements for Investigators and staff involved primarily in Social/Behavioral Research with human subjects.

- **Report ID:** 18192117
- **Completion Date:** 02/01/2016
- **Expiration Date:** 01/31/2019
- **Minimum Passing:** 80
- **Reported Score*:** 95

REQUIRED AND ELECTIVE MODULES ONLY	DATE COMPLETED	SCORE
SBE Refresher 1 – Instructions (ID: 943)	02/01/16	No Quiz
SBE Refresher 1 – History and Ethical Principles (ID: 936)	02/01/16	2/2 (100%)
SBE Refresher 1 – Federal Regulations for Protecting Research Subjects (ID: 937)	02/01/16	2/2 (100%)
SBE Refresher 1 – Informed Consent (ID: 938)	02/01/16	2/2 (100%)
SBE Refresher 1 – Defining Research with Human Subjects (ID: 15029)	02/01/16	2/2 (100%)
SBE Refresher 1 – Privacy and Confidentiality (ID: 15035)	02/01/16	2/2 (100%)
SBE Refresher 1 – Assessing Risk (ID: 15034)	02/01/16	2/2 (100%)
SBE Refresher 1 – Research with Prisoners (ID: 939)	02/01/16	2/2 (100%)
SBE Refresher 1 – Research with Children (ID: 15036)	02/01/16	2/2 (100%)
SBE Refresher 1 – Research in Educational Settings (ID: 940)	02/01/16	2/2 (100%)
SBE Refresher 1 – International Research (ID: 15028)	02/01/16	1/2 (50%)

For this Report to be valid, the learner identified above must have had a valid affiliation with the CITI Program subscribing institution identified above or have been a paid Independent Learner.

CITI Program
Email: citisupport@miami.edu
Phone: 305-243-7970
Web: https://www.citiprogram.org

APPENDIX C

IRB Approval

PEPPERDINE

Pepperdine University
24255 Pacific Coast Highway
Malibu, CA 90263
TEL: 310-506-4000

NOTICE OF APPROVAL FOR HUMAN RESEARCH

Date: September 29, 2016

Protocol Investigator Name: Stephen Gilbert

Protocol #: 16-07-333

Project Title: SUCCESSION PLANNING RELATING TO THE MILLENNIAL GENERATION IN PRIVATE FOUR-YEAR UNIVERSITIES

School: Graduate School of Education and Psychology

Dear Stephen Gilbert:

Thank you for submitting your application for exempt review to Pepperdine University's Institutional Review Board (IRB). We appreciate the work you have done on your proposal. The IRB has reviewed your submitted IRB application and all ancillary materials. Upon review, the IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations 45 CFR 46.101 that govern the protections of human subjects.

Your research must be conducted according to the proposal that was submitted to the IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For any proposed changes in your research protocol, please submit an amendment to the IRB. Since your study falls under exemption, there is no requirement for continuing IRB review of your project. Please be aware that changes to your protocol may prevent the research from qualifying for exemption from 45 CFR 46.101 and require submission of a new IRB application or other materials to the IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite the best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the IRB as soon as possible. We will ask for a complete written explanation of the event and your written response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the IRB and documenting the adverse event can be found in the *Pepperdine University Protection of Human Participants in Research: Policies and Procedures Manual* at community.pepperdine.edu/irb.

Please refer to the protocol number denoted above in all communication or correspondence related to your application and this approval. Should you have additional questions or require clarification of the contents of this letter, please contact the IRB Office. On behalf of the IRB, I wish you success in this scholarly pursuit.

Sincerely,

Judy Ho, Ph.D., IRB Chair

cc: Dr. Lee Kats, Vice Provost for Research and Strategic Initiatives

APPENDIX D

Dr. Grossman Consent for Instrumentation Questions

9/7/2015 Pepperdine University Mail - Your dissertation on Succession Planning

PEPPERDINE **Stephen Gilbert <>**

Your dissertation on Succession Planning

3 messages

Stephen Gilbert <> Mon, Sep 7, 2015 at 10:59 AM
To: cgrossma@cscc.edu

Good afternoon Dr. Grossman,

My name is Stephen Gilbert and I am a Doctoral Student at Pepperdine University. I am in the dissertation phase of my studies in Organizational Leadership. I found your dissertation "Succession Planning and Knowledge Transfer in Higher Education" online when I was reviewing literature on succession planning.

I found your research questions very complementary to the research I wanted to perform in my dissertation. My dissertation will focus on succession planning in private universities here in the Los Angeles County area. I would like to obtain your permission to use your interview questions in my study pertaining to the Los Angeles area.

Please let me know your thoughts.

Thank you in advance,
Stephen Gilbert

Connie Grossman <cgrossma@cscc.edu> Mon, Sep 7, 2015 at 11:21 AM
To: Stephen Gilbert <>

Hello. Yes. I am granting permission with a citation. Best of luck in your endeavors. Connie.

Sent from my iPhone
[Quoted text hidden]

Stephen Gilbert <> Mon, Sep 7, 2015 at 3:08 PM
To: Connie Grossman <cgrossma@cscc.edu>

Thank you very much Connie!

Steve Gilbert
[Quoted text hidden]

https://mail.google.com/mail/u/1/?ui=2&ik=445a30a806&view=pt&search=inbox&th=14fa8f6c1b908387&siml=14fa8f6c1b908387&siml=14fa90b290e9f650&siml… 1/1

APPENDIX E

Letter of Consent

PEPPERDINE UNIVERSITY

INFORMED CONSENT FOR PARTICIPATION IN RESEARCH ACTIVITIES

SUCCESSION PLANNING RELATING TO THE MILLENNIAL GENERATION IN PRIVATE FOUR-YEAR UNIVERSITIES

You are invited to participate in a research study conducted by Stephen A. Gilbert, MBA (advisor: Dr. June Schmieder-Ramirez) at Pepperdine University, because you are an individual involved in succession planning at a private four-year university in the Los Angeles, CA vicinity. Your participation is voluntary. You should read the information below, and ask questions about anything that you do not understand, before deciding whether to participate. Please take as much time as you need to read the consent form. You may also decide to discuss participation with your family or friends. If you decide to participate, you will be asked to sign this form. You will also be given a copy of this form for you records.

PURPOSE OF THE STUDY

The purpose of the study is to identify how private four-year universities in the Los Angeles, CA vicinity approach succession planning and their approach toward to the Millennial Generation (those employees born after 1980) with succession planning.

STUDY PROCEDURES

If you volunteer to participate in this study, you will be asked to meet with the investigator, Stephen Gilbert, and have a discussion/interview related to succession planning. Some of the questions will pertain to your universities approach to succession planning. Also, some questions will be identifying questions to confirm that you meet the criteria of the study. And some questions will focus toward the Millennial Generation with relation to succession planning.

The meeting you will have with Stephen Gilbert will last between 30 minutes to 1 hour based upon the depth and length of the answers to the study's questions. The location and time of the study will be one of mutual agreement between yourself and the investigator.

POTENTIAL RISKS AND DISCOMFORTS

All questions asked will not pose any risk or discomfort to you. The meeting will be one of a mutual agreement to location and time so you are comfortable in the discussion. Once the discussion/interview is complete, the investigator will transcribe the interview. The investigator will then submit the transcription to you for review and approval before moving forward with his study. The results of the interview will not be incorporated into the study until your approval is obtained.

POTENTIAL BENEFITS TO PARTICIPANTS AND/OR TO SOCIETY

While there are no direct benefits to the study participants, there are several anticipated benefits to society which include:
- Insight into how succession planning is approached by private universities in Los Angeles, CA.
- Lessons learned from your experiences will help other potential organizations reading the study to plan and anticipate future situations regarding succession planning.
- The political, geographic, and historical perspective of your institution will help better identify application of this research to the community of higher education.

CONFIDENTIALITY

I will keep your records for this study confidential as far as permitted by law. In my reporting of findings in my research, both yourself and your university will remain anonymous. However, if I am required to do so by law, I may be required to disclose information collected about you. Examples of the types of issues that would require me to break confidentiality are if you tell me about instances of child abuse and elder abuse. Pepperdine's University's Human Subjects Protection Program (HSPP) may also access the data collected. The HSPP occasionally reviews and monitors research studies to protect the rights and welfare of research subjects.

The data will be stored on a password protected computer in the principal investigators place of residence. The data will be stored for three years after the study has been completed and then destroyed. Any identifiable information obtained in connection with this study will remain confidential. Your responses will be coded with a pseudonym and transcript data will be maintained separately. The audio-tapes or digital voice recordings will be destroyed once they have been transcribed.

PARTICIPATION AND WITHDRAWAL

Your participation is voluntary. Your refusal to participate will involve no penalty or loss of benefits to which you are otherwise entitled. You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights or remedies because of your participation in this research study.

ALTERNATIVES TO FULL PARTICIPATION

The alternative to participation in the study is not participating or completing only the items which you feel comfortable.

EMERGENCY CARE AND COMPENSATION FOR INJURY

If you are injured as a direct result of research procedures you will receive medical treatment; however, you or your insurance will be responsible for the cost. Pepperdine University does not provide any monetary compensation for injury.

INVESTIGATOR'S CONTACT INFORMATION

I understand that the investigator is willing to answer any inquiries I may have concerning the research herein described. I understand that I may contact Dr. June Schmieder-Ramirez (phone: xxx-xxxx, email: email) if I have any other questions or concerns about this research.

RIGHTS OF RESEARCH PARTICIPANT – IRB CONTACT INFORMATION

If you have questions, concerns or complaints about your rights as a research participant or research in general please contact Dr. Judy Ho, Chairperson of the Graduate & Professional Schools Institutional Review Board at Pepperdine University 6100 Center Drive Suite 500 Los Angeles, CA 90045, phone or email.

SIGNATURE OF RESEARCH PARTICIPANT

I have read the information provided above. I have been given a chance to ask questions. My questions have been answered to my satisfaction and I agree to participate in this study. I have been given a copy of this form.

AUDIO/VIDEO/PHOTOGRAPHS

□ *I agree to be audio-recorded*

□ *I do not want to be audio-recorded*

____

Name of Participant

____ ____________________

Signature of Participant Date

SIGNATURE OF INVESTIGATOR

I have explained the research to the participants and answered all of his/her questions. In my judgment the participants are knowingly, willingly and intelligently agreeing to participate in this study. They have the legal capacity to give informed consent to participate in this research study and all of the various components. They also have been informed participation is voluntarily and that they may discontinue their participation in the study at any time, for any reason.

____

Name of Person Obtaining Consent

____ ____________________

Signature of Person Obtaining Consent Date