



UNIVERSITY
OF
CALIFORNIA

Investing in Our People: Building and Sustaining a UC Culture of Talent and Succession Management

2019 UC-Coro Systemwide Leadership Collaborative
Northern California Cohort

2019 UC-Coro Northern California Cohort

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Executive summary

The University of California (UC) is one of the world's preeminent higher education institutions. To stay competitive and adapt to change, UC needs to attract and retain a talented and diverse workforce. UC faces a number of challenges on this front, stemming from social and demographic changes, California's economic landscape, and the responsibilities and limitations of a public institution.

Recent UC employee engagement survey results highlight room for improvement in employee retention and development, with responses indicating low satisfaction with career development opportunities and planning for management succession. Addressing these challenges through a strategic, integrated approach to talent and succession management was a key element of the 2015 Systemwide Human Resources Strategic Plan. Since then UC has taken a number of steps to realize that vision.

First, the UC Human Resources Leadership Collaborative drafted a 2018 position paper that delineated the business case for talent and succession management. In addition, UC licensed the Talent and Succession Planning Toolkit (the Toolkit), developed by human resources expert Doris Sims Spies of Talent Benchstrength Solutions. The Toolkit provides a common set of tools and procedures available to all UC locations.

Today, UC is poised for a large-scale rollout of a talent and succession management strategy. Systemwide Human Resources recognizes that organizational structures and needs differ widely both across and within UC's many locations, and that talent and succession management programs will need to be tailored accordingly. With that in mind, the Northern California Cohort of the 2019 UC-Coro Systemwide Leadership Collaborative was charged with providing guidance on the broad implementation of talent and succession management practices that seek to:

- Match individuals' skills and experience to organizational needs to meet future business needs and identify potential career opportunities;
- Retain employees, utilizing individualized growth and development opportunities; and
- Develop a strong, diverse pool of internal applicants for key positions.

Approach

The Cohort developed and executed an eight-month project to assess UC's climate and readiness to implement a talent and succession management program and to prepare a "Quick Start Guide" to support managers and leaders at all levels who are interested in initiating a talent and succession management process.

The Cohort's assessment gathered information from more than 100 senior leaders across the UC system as well as 25 mid-level managers. A literature review of talent and succession management best practices in academia supplemented the interview data. The Cohort also

reviewed the Toolkit documents and, as a demonstration exercise, adapted several of them to the hypothesized needs and conditions of a particular campus, UCSF. In addition, the Cohort gathered case study information on new talent and succession management programs at the division level at two locations, UC Davis and UC Santa Cruz.

Findings

While many core ingredients for successful talent and succession management in higher education are similar to those in industry, some challenges are particular to the public university environment including a lack of alignment with institutional plans, difficulty sustaining planning processes through changes in top management, an open search culture, and distinct workforce goals and employment policies.

The survey and interviews of senior leaders revealed broad support for talent and succession management and were also key motivators for the pilots. UC leaders are excited by the potential to offer more development opportunities to their staff, increase retention, sustain performance and more openly discuss career pathways and job opportunities. To realize this potential, they noted a number of challenges that need to be addressed, most notably the time, training and planning required for implementation as well as broader organizational constraints such as culture, organizational structures and incentives.

UC leadership is viewed as critical to sponsoring and promoting talent and succession management, with human resources departments serving as key partners, repositories of best practices and facilitators.

Quick Start Guide

The Cohort developed the Quick Start Guide (an 11-inch by 17-inch document) as a concise, practical summary of the core elements of talent and succession management, customized for the UC audience, with links to the relevant components of the Toolkit. To inform the Quick Start Guide, the Cohort drew on findings from senior leader and mid-level manager surveys and interviews, the literature review, the content of the Toolkit, and UCOP documents on talent and succession management.

The Cohort recommends five key actions to begin to enact a talent and succession management process across UC:

1. **Encourage senior leadership to sponsor and champion talent and succession management** by adopting strategies tailored to each location's needs.
2. **Use the framework outlined in the Cohort-developed Quick Start Guide** to initiate talent and succession management processes.

3. **Customize Toolkit materials and methods** to align with the goals, priorities, policies and practices of the particular UC location, and leverage it to support the implementation of talent and succession management initiatives.
4. **Invest in talent development programs**, establish and publicize objective criteria for participation and communicate expectations.
5. **Build and sustain a culture** of inclusion, diversity and systemwide mobility to retain, further develop and fully benefit from UC's world-leading talent.

1 Introduction

The University of California (UC) is one of the world's preeminent and most extensive higher education institutions, a leader in research, health care, education, extension learning and public service. UC is the fourth-largest employer in California, and its annual all-funds budget of \$36.5 billion would put it on the Fortune 100 list of the nation's largest companies.

To stay competitive and adapt to change, UC needs to attract and retain a talented and diverse workforce.

UC faces a number of challenges on this front, stemming from social and demographic changes, California's economic landscape, and the responsibilities and limitations of a public institution. These challenges include California's high cost of living, competition for talent from private sector employers, a highly educated workforce that is eager for opportunity and advancement, the wave of Baby Boomer retirements, and the high cost of executive search firms.

Recent UC employee engagement survey results¹ highlight room for improvement in employee retention and development, with responses indicating low satisfaction on several dimensions, including career development opportunities and planning for management succession.

Addressing these challenges through a strategic, integrated approach to talent and succession management was a key element of the 2015 Systemwide Human Resources Strategic Plan (University of California Systemwide Human Resources, 2015). Since then UC has taken several steps to realize that vision. First, the UC Human Resources Leadership Collaborative drafted a position paper in 2018 that delineated the business case for talent and succession management (University of California Systemwide Human Resources and the University of California Human Resources Leadership Collaborative, 2018). In addition, UC licensed a toolkit (see box below) to support the implementation of talent and succession management programs.

¹ See: <https://www.ucop.edu/staff-assembly/resources/2017-staff-engagement-survey-results.html>

Briefly, talent and succession management seeks to:

- Match individuals' skills and experience to organizational needs to meet future business needs and identify potential career opportunities;
- Retain employees, utilizing individualized growth and development opportunities; and
- Develop a strong, diverse pool of internal applicants for key positions.

Today, UC is poised for a large-scale rollout of a talent and succession management strategy. Systemwide Human Resources recognizes that organizational structures and needs differ widely both across and within UC's many locations, and that talent and succession management programs will need to be tailored accordingly. With that in mind, the Northern California Cohort of the 2019 UC-Coro Systemwide Leadership Collaborative was charged with providing guidance on the broad implementation of talent and succession management practices.

THE TOOLKIT

To support the implementation of talent and succession management initiatives, UC Systemwide Human Resources licensed the Talent and Succession Planning Toolkit (the Toolkit), developed by human resources expert Doris Sims Spies of Talent Benchstrength Solutions.

The Toolkit consists of a facilitator's guide, training materials and a series of forms, all designed to support the meetings, conversations and documentation that are essential to talent and succession management processes.

The Toolkit provides a common set of tools and procedures available to all UC locations. It has the potential to serve as a foundation for common approaches to talent and succession management deployed across the system, facilitating cross-location sharing of best practices and lessons learned, enabling a culture of cross-unit and cross-location talent migration, and minimizing risk. At the same time, the Toolkit components can be customized to fit the priorities and needs of different UC locations.

1.1 Cohort project and approach

In response to the sponsors' charge, the Cohort developed and executed an eight-month project to:

1. **Assess UC's climate and readiness** to implement a talent and succession management program.
2. Based on the findings of the assessment, **prepare a "Quick Start Guide"** to support managers and leaders at all levels who are interested in initiating a talent and succession management process.

The assessment portion of the project included six components.

- A literature review of talent and succession management best practices in academia
- An electronic survey of UC senior leaders
- Interviews with UC senior leaders
- A review of the Toolkit documents and preparation of an example adaptation for UCSF
- Documentation of recently launched talent and succession management pilot programs within divisions at UC Davis and UC Santa Cruz
- A survey of mid-level managers at UCOP and UC Berkeley

These assessment components are briefly described below. Appendix 1 provides additional detail.

1.1.1 Literature review

The Cohort conducted a literature review organized around two questions:

- Talent and succession management practices are more established in the private sector than academia; which differences between those two contexts are relevant to implementing talent and succession management at UC?
- Integrated talent and succession management practices require both organizational and cultural changes; what are the likely barriers to such change, and what strategies to mitigate resistance have been documented?

1.1.2 Survey of senior leaders

The Cohort developed an online survey and emailed it to 553 leaders at the UC campuses, medical centers, Berkeley Lab, UC ANR and UCOP. The survey asked respondents about their knowledge of existing talent and succession management programs; their interest in supporting such programs; related obstacles; and whether they would be available for a follow-up interview. The Cohort received 76 completed responses from leaders representing 14 UC locations.

1.1.3 Interviews with senior leaders

Cohort members conducted one-on-one or small-group interviews with 51 senior leaders (16 of whom also completed the online survey), representing 13 UC locations. Key themes were identified in the responses qualitatively as well as quantitatively through a word cloud analysis.

1.1.4 Adaptation of the Toolkit for use by a campus (UCSF)

To investigate what customization of the Toolkit for a specific UC location might entail, the Cohort members from UCSF evaluated and prepared a draft guide for adapting the Toolkit, plus an example adaptation of five of the Toolkit components. The guide and the example adaptations are provided in Appendix 3, and the adaptation process is described in section 2.4.

1.1.5 Documentation of pilot talent and succession management programs

The Cohort documented pilot talent and succession management programs at the unit level at UC Davis and UC Santa Cruz. These cases illustrate the processes involved in developing talent and succession management programs at the unit level, provide examples of programs that target site-specific needs, highlight useful tools and resources, and demonstrate potential challenges.

1.1.6 Mid-level manager survey and interviews

The Cohort sought input from mid-level managers at two locations, UCOP and UC Berkeley. A total of 25 mid-level managers responded to questions about barriers to talent and succession management practices, details on successful efforts, their vision for an effective talent and succession management program, and suggestions for what to include in the Quick Start Guide.

1.2 Report structure

The Cohort's findings and deliverables are presented in the next three sections of the report: Findings, Quick Start Guide and Recommendations.

The Findings section begins with a summary that integrates the key themes from the six components of the Cohort's assessment work. A detailed discussion of the information gathered through each study component follows.

The Quick Start Guide section explains how findings from the assessment work were translated into the content and design priorities that guided the development of the concise

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guide to starting and sustaining a talent and succession management program. The Quick Start Guide is included in Appendix 2 and is available on the Cohort project website.²

The Recommendations section presents the Cohort's five lessons for implementing talent and succession management at UC, drawing on the findings from the assessment and the Quick Start Guide work.

Appendix 1 contains additional documentation of the Cohort's assessment methodology, Appendix 3 presents the Toolkit customization example, and Appendix 4 provides brief descriptions of example talent and succession management programs at several UC locations.

² See: <https://uccoronc2019project.ucop.edu/>

2 Findings

This section begins with a summary that integrates the Cohort's findings from the six components of the assessment: the literature review, the survey of UC senior leaders, the interviews with UC senior leaders, the review and adaptation of the Toolkit documents, the documentation of recently launched pilot talent and succession management programs at UC Davis and UC Santa Cruz, and the survey and interviews of mid-level managers at UCOP and UC Berkeley.

The summary of findings is followed by a discussion of the information collected in each component of the assessment.

2.1 Summary of findings

Talent and succession management is already happening, but efforts are largely ad hoc and informal.

Talent and succession management practices vary across and within UC locations and take a variety of forms — as part of a manager's responsibility for career development of staff, as planning for an anticipated retirement, as part of the academic culture of promoting internal faculty to fill chair or assistant dean positions, and more. The pilot programs at UC Davis and UC Santa Cruz provide examples of new efforts applied at the unit and division level; additional examples of talent and succession management programs across UC are provided in Appendix 4.

Leaders and managers generally recognize the importance of talent and succession management, but there is an opportunity to develop a clearer shared understanding and to make the business case more effectively.

Although general awareness of the value of talent and succession management was high (for instance, 83% of senior leaders surveyed indicated that they were interested in supporting such programs), few articulated a comprehensive understanding of its multiple dimensions, particularly the aspect of talent reviews and developing pools of talent. Some focused on the potential for developing successors for senior leadership positions, and some on opportunities for staff development. Since staff development resonated strongly with UC leaders as a

benefit — even more so than the ability to fill positions more readily — emphasizing this aspect may help gain broad buy-in across the university. Few leaders spoke to the comprehensive "business case" for talent and succession management — its potential to strengthen UC by helping to efficiently attract, develop and retain talent to meet changing organizational needs. There appears to be an opportunity to make this business case more strongly as part of the overall effort to communicate the value of talent and succession management.

Talent and succession management presents a risk and an opportunity for diversity, equity and inclusion.

Attracting a diverse workforce is a key goal for UC. If implemented strategically, a comprehensive talent and succession management process can help identify and grow a broad pool of diverse employees. However, the literature review, senior leader interviews, mid-level manager survey and Toolkit review all raised concerns about the risk that talent and succession management programs and tools could work against diversity goals if not implemented with attention to attracting and retaining diverse staff as well as implicit bias and related problems. The assessment work pointed to a number of steps that UC can take to avoid such pitfalls and make talent and succession management a key tool in supporting a culture of diversity and inclusion. These steps include: implementing talent and succession management programs with the guidance of a facilitator trained in diversity, equity and inclusion; designing talent evaluation standards and processes, including the 9-box tool (see Appendix 3), to be as objective and transparent as possible; and, where possible, organizing talent development programs around pools of talented individuals rather than grooming individual successors.

Talent and succession management is a major investment.

Interviews with senior leaders and mid-level managers consistently highlighted the amount of time and resources required to develop, execute, and maintain a talent and succession management process, as well as the time and resources required for staff development. Much of the feedback also noted that UC needs to improve its underlying infrastructure, particularly around human resources systems, support and policies, which are precursors to a successful program. The literature review noted that academia often faces the challenge of maintaining continuity in such programs during changes in leadership, so it will be important for UC to develop early on the systems and culture to maintain its investment and track its outcomes. In particular, one of the pilot programs noted that clear communication of results and follow-up actions are critical to demonstrating the value of the time invested. Despite the challenges, most UC leaders and those running pilot programs remained interested in supporting the development of a talent and succession management process.

UC's culture and organizational structure present a variety of challenges.

Several unique characteristics of UC will need to be taken into consideration when implementing talent and succession management. Firstly, UC has a culture of open searches

and values new ideas from individuals outside of the university system. It will be important to balance a process that grows diverse internal talent while still preserving UC's values and policies around wide searches. Additionally, interviewees raised concerns that some UC managers prefer to hold on to their top talent rather than lose them to another unit, hindering their employees' growth.

UC's organizational structure also poses a challenge due to different standards and promotion requirements for different types of staff, ranging from academic and research staff, to health care professionals and union-represented staff. Some roles are narrowly defined, limiting flexibility for someone to develop additional skills on-the-job to prepare them for a new role. Additionally, some roles have more clear progression pathways, while staff with certain skillsets may need help identifying possible next career steps.

Talent and succession management should be tailored to local conditions.

The cultural barriers and human resource needs mentioned above, combined with the different policies, practices and employment types at different UC campuses, reveal a need for UC campuses to tailor their programs to local conditions. The guide should be a UC-specific organization call to action, building on employees' well-documented commitment to the UC mission. It should be aligned with UC priorities and policies — from high-level objectives, such as increasing diversity, to operational constraints such as labor contracts. The processes described should feel like they reflect the UC context. These aspects were noted in the Toolkit© adaptation exercise and mid-level manager interviews and taken into account in developing the Quick Start Guide.

2.2 Literature review

The academic community broadly recognizes the need for talent and succession management in higher education in order to ensure a sustained pipeline of future leaders (Barden, 2009; Betts et al., 2009; Leubsdorf, 2006; Lovett, 2017; Luna, 2012; Pitre Davis, n.d.). There is also broad acknowledgement that its formalized practice in academia at an institutional level, as well as research and writing on it, is less common (Clunies, 2004; Luna, 2012).

Many core ingredients for successful talent and succession management in higher education are similar to those in industry: the participation and support of leadership, a thorough assessment of current and future workforce and leadership needs, and a data-driven planning process (Clunies, 2004). This review highlights some challenges that are particular to the public university environment, along with some recommendations suggested in the literature to address them. Its overall intent is to contextualize the internal research conducted by the Cohort within the broader framework for talent and succession management in higher education, in order to identify barriers that should be addressed and strategies for successful implementation.

2.2.1 Common challenges for talent and succession management in public higher education

Lack of alignment with institutional plans: Where they do exist, succession planning models are often poorly aligned with institutional strategic plans and are viewed as “standalone; informal and unstructured in approach; not driven by policy, vision, or strategy; not fully participated in or supported by top-level administration; and implemented without academic faculty input or through shared-governance processes” (Luna, 2012). It is important to seek intentional alignment between institutional strategic planning and talent and succession management practices.

Open search culture: Open searches for external candidates are often perceived as critical to the health of academic institutions as “one of the only ways that our traditional colleges and universities can achieve an influx of new ideas and approaches” (Barden, 2009). Therefore, there may be considerable resistance to efforts that reinforce promoting from within. When an individual is groomed as a successor for a particular position, the practice has the potential to be seen as unfair and contradictory to the open search culture. At the same time, Barden notes that failing to grow internal talent can lead to “disenfranchising worthy internal candidates.” Many searches for higher-level positions also engage with faculty governance committees and people beyond university employees, including advisory boards, alumni, students and other stakeholders, further emphasizing the value of external perspectives to the hiring process and the need for shared buy-in for implementing talent and succession management practices (Barden, 2009; Lovett, 2017; Luna, 2012; Pitre Davis, n.d.; The Hanover Research Council, 2010).

Attention to workforce goals and employment policies: Careful attention must be paid to personnel policies and goals. For instance, higher education's “open employment practices, including compliance with equal opportunity regulations and procedures,” means there may be less flexibility in recruiting and hiring compared to the corporate sector (Luna, 2012). In addition, diversity objectives must be maintained and supported (Betts et al., 2009; Pitre Davis, n.d.) and attention paid to the hiring and promotion constraints of the public sector (Betts, 2009; Luna, 2012). Some authors also recommend legal review to avoid potential conflict with negotiated labor agreements (Wilkerson, 2007). In addition, some approaches adopted in industry, such as a focus on top performers for development (identified, for example, through the use of a selection tool like the 9-box method), may not be appropriate in some contexts given the egalitarian nature of higher education (Barden, 2009). It has been noted that it may have the potential to stratify employees and reinforce existing inequities, diminish teamwork and motivation, and result in destructive internal competition (Pfeffer, 2001). It may be more effective instead to first develop, and then select, potential successors (Betts et al., 2009; Pitre Davis, n.d.).

Difficulty sustaining planning processes through changes in top management: The top levels of academic leadership (chancellor, provost) typically turn over fairly frequently. Care must be taken to sustain succession management practices through such changes (Schall,

1997). As Wilkerson (2007) points out, “one of the biggest challenges in the public sector is sustaining innovation and programs in the face of changing administrations, politics and priorities.”

2.2.2 Potential remedies

Use talent pools and objective metrics: To help facilitate the identification of a viable potential successor pool (rather than individuals to be groomed) (Betts et al., 2009), objective metrics are recommended (Clunies, 2004; Ratanjee and Green, 2018). Such metrics could include threshold criteria such as scores, certificates or appraisals. Some authors recommend that participation in development activities be voluntary, take place outside of work time, and not become a criterion for promotion (Wilkerson, 2007). An effective performance review process is essential, as is the availability of information to analyze potential program participants and future leaders (Clunies, 2004), along with senior and line management participation and buy-in (Martin and Schmidt, 2010). The expectations of and communications with potential successors and their peers should be clear.

Develop a culture of internal mobility: The relatively flat organizational structure of most academic units supports the importance of cross-unit mobility to providing opportunities for skill development. Stahl et al. (2007, 2012) point to the importance of line management involvement, and aligning the interests of managers with the long-term goals of the organization as a whole so that they are willing to support internal staff mobility (Martin and Schmidt, 2010). A culture of internal mobility should be established and supported in order to enable the development of employees. For example, a campus could sponsor an internal career fair where career opportunities are broadly advertised and employees are encouraged to investigate their options for professional growth. It is important that such pathways for employee development be established (Pitre Davis, n.d.), and that managers be adequately prepared with sufficient resources to facilitate succession planning practices. The institution should also be prepared to deliver on additional resources that are needed to carry out the process (Clunies, 2004).

Assess progress regularly: Finally, regular assessment with annual reporting is recommended for visibility and accountability, to document successes, and to ensure effectiveness (Clunies, 2004). To ensure continuity once resources have been invested, it is essential to retain responsible staff, designate champions in each unit, ensure buy-in of external constituencies to make the practice more difficult to discontinue, support successor candidates who embrace the practice, and work through leadership transitions to ensure awareness of the practice and continued resources for it (Schall, 1997).

2.3 Survey and interviews of senior leaders

The survey and interviews yielded information on a number of themes: 1) defining talent and succession management; 2) benefits to implementation, 3) organizational requirements, 4) responsibilities and 5) challenges. These findings, supported by the word cloud analysis, are

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discussed below. In addition, the Cohort conducted an initial assessment of UC's readiness to adopt a comprehensive talent and succession management process.

When interpreting these findings, it is important to note that they are based on information provided from a non-representative subset of UC senior leaders, unevenly distributed across UC locations.

The affiliations and job roles of the survey respondents and interviewees are displayed in Figure 1.

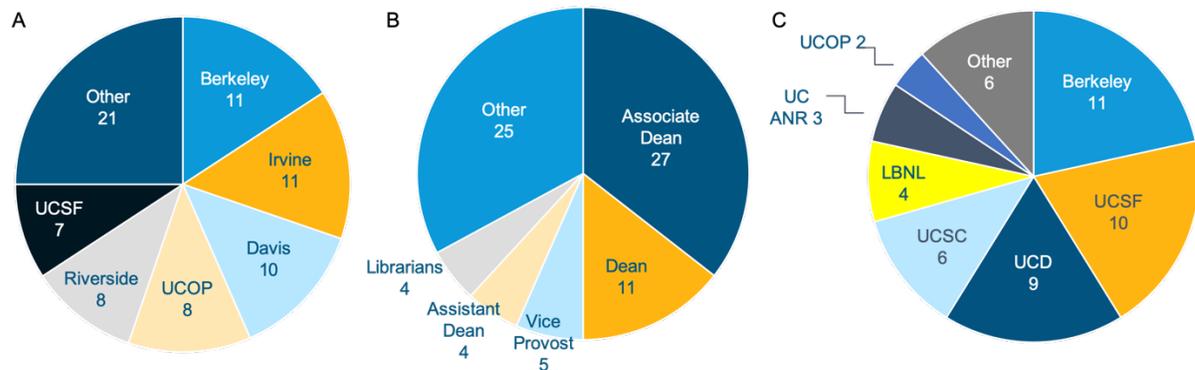


Figure 1. a) Affiliations of survey respondents. b) Job roles of survey respondents. c) Affiliations of interviewees.

2.3.1 Definition



Figure and Table 2. Top words used in connection with **defining** talent and succession management. In the word cloud (above), words mentioned in interview notes more frequently appear larger, and those

less frequently mentioned appear smaller. The table below lists the number of times each top-mentioned word was captured in interview notes.

Word	Frequency
development	20
skills	17
opportunities	16
people	15
jobs	13
leadership	13
succession	13
positions	12
career	10
staff	10
planning	9
organization	8
identifying	8
talent	8
developing	7
roles	7
knowledge	6
growth	6
plan	6
grow	6

When discussing talent and succession management, interviewees were more likely to talk about identifying vacancy risks and developing individual staff, and less likely to mention talent reviews, in which staff are regularly and proactively engaged in discussions about their skills and career aspirations. In addition, some interviewees either believed that talent and succession management was about developing a specific employee towards a particular position (rather than building talent pools), or they themselves had a broader view but thought their colleagues had a narrower mindset. These aspects of talent and succession management may be underappreciated by UC leaders and may reflect inconsistent practices across campuses and the broader UC system. They may also represent opportunities for focusing on creating position descriptions that describe broad skills and position functions, particularly for leadership roles, rather than focusing on highly specialized functions that only a small number of individuals can fill.

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When discussing the benefits of talent and succession management, interviewees most frequently highlighted staff development, particularly in the contexts of increased morale and skill building. Less frequently, interviewees raised the benefits of increased retention and sustained performance, with reduced need for interim resources or learning curves associated with external hires. The more frequent references to “human” aspects may suggest that UC leaders are less familiar with the “business case,” or could indicate that framing the benefits in a people-oriented manner is more likely to resonate with UC leaders.

Transparency and related concepts were also raised as an important benefit. Some leaders pointed to the opportunity to talk more openly about how to prepare for future positions and confront the stigma of highlighting career opportunities outside one’s own unit or UC location. A few interviewees also mentioned benefits stemming from developing pools of talent, such as increased knowledge across UC locations and stronger networks that enable more effective systemwide leaders.

2.3.3 Requirements



Figure and Table 1. Top words used in connection with the **requirements** for implementing talent and succession management. In the word cloud (above), words mentioned in interview notes more frequently appear larger, and those less frequently mentioned appear smaller. The table below lists the number of times each top-mentioned word was captured in interview notes.

Word	Frequency
people	25
leadership	16
succession	15
management	14
need	11
human resources	10
development	10
planning	10
organization	8
managers	8
training	8
support	8
talent	8
system	8
opportunities	6
intentional	6
leaders	6

Interviewees mentioned many organizational requirements, including:

- Time and access to expertise to implement talent and succession management
- Time and resources for staff training and development to prepare for new roles
- Buy-in and commitment from leaders to champion the process and managers to execute it
- Organizational roles and structures that allow for succession planning (e.g., deputy roles)
- Accountability mechanisms, which may include evaluation of talent and succession management participation in annual performance reviews
- Mechanisms for tracking individual career trajectories across the UC and changes in turnover, internal vs. external hires, and diversity
- Change management resources to support a shift to a culture that values strategic, long-term planning associated with human capital and encourages staff to pursue UC career opportunities outside their current unit or location
- HR departments that are equipped to provide best practices, help with talent reviews, etc.

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Word	Frequency
time	24
positions	21
people	19
staff	15
organization	14
succession	13
planning	12
talent	12
managers	8
training	8
academic	8
culture	8
doesn't	8
process	8
development	7
employees	7
resources	7
don't	7
jobs	7
plans	7

Time and resources: Many leaders expressed concern about the investment of their own time that would be required to develop and implement a successful talent and succession management program. Several raised the challenges of insufficient time and resources available for staff to develop new skills through formal education, on-the-job training, and coaching.

Equity and diversity: Some UC leaders raised concerns that succession planning could conflict with the organization's commitment to workforce diversity. Others expressed that, without open competition, there is the potential for discrimination against other viable candidates. These leaders tended to view succession planning in terms of developing a staff member to take on a specific role rather than developing pools of talent. Some also raised concerns about favoritism or implicit bias in developing a single potential successor for a role.

Culture: Establishing a culture that enables and promotes talent and succession management will require organizational change that is reflected through strategic planning and encompasses clear communication, transparency and commitment to ongoing reflection and

improvement. Some UC leaders noted that human capital needs are often not articulated in strategic plans. Several interviewees saw the UC culture of looking to the outside for innovative skills and ideas as in conflict with succession planning. Managers may also hesitate to develop their “replacement,” or fear their best people will leave their unit if developed or made aware of career opportunities further afield. Some interviewees also pointed to structural impediments to sharing information about talent across campuses. Others noted that they feel limited in their ability to talk openly with staff about planned separations (such as retirement) due to human resources confidentiality policies.

Internal candidate stigma: Some leaders noted that Internal candidates applying for a new role may be perceived to have “baggage” that would prevent them from taking the organization in a new direction. Some may also be viewed in the context of their previous responsibilities, successes and failures, making it difficult for them to compete against external candidates with a “clean slate.”

Leadership commitment: Interviewees reported a perception that leadership is often focused on short-term rather than long-term strategic priorities that may outlast their tenure at an organization. The current system often rewards those who solve or mitigate the issue of the day rather than those challenges, like succession planning, that span multiple leaders’ tenures.

Structure: Organizational structures may not provide clear, upward paths for succession (e.g., manager to deputy to department head), in particular for employees with specialized skill sets. Some position descriptions are overly specialized and may unnecessarily limit the number of qualified successors or, due to the narrow set of job responsibilities, may restrict the incumbent’s ability to develop towards their next role. Lack of integration between faculty and administration development paths is another issue. Generally, faculty stay at the institution for all or most of their careers. If their preference is to remain in a faculty role rather than move into administration, then the value of engaging in succession planning may not be clear.

2.3.6 UC readiness to adopt talent and succession management

Based on the survey and interview responses, the Cohort evaluated the readiness of UC to implement a comprehensive talent and succession management program against a six-level scale.

- *Level 0:* No knowledge of talent and succession management activities; no interest in supporting such programs.
- *Level 1:* No knowledge of talent and succession management activities; willing to support such programs.
- *Level 2:* Knowledge of some talent and succession management activities in other divisions or units/departments, but not one’s own; willing to support such programs; mention of daunting obstacles.

2 Findings

- *Level 3:* Knowledge of some talent and succession management activities in one's own division/unit/department; willing to support such programs; mention of obstacles but no show stoppers.
- *Level 4:* Knowledge of and experience with talent and succession management activities under one's own management; currently supporting elements of a talent and succession management program but not a robust program; an obstacle has to be overcome before fully ready.
- *Level 5:* Knowledge of and experience with talent and succession management activities under one's own management; currently supporting elements of a talent and succession management program but not a robust program; no obstacles to overcome; ready now.

Steps up the readiness scale are based on three factors: increased knowledge of talent and succession management practices; experience running or sponsoring a talent and succession management program; and a reduction in the degree of obstacles to talent and succession management.

Based on the information provided by the senior leaders, UC's readiness to adopt a comprehensive talent and succession management program appears to fall in the range of levels 1 and 3, with variation both across locations and within locations.

Generally, the senior leaders reported at least a basic understanding of talent and succession management and most (83 percent) expressed an interest in supporting it, including with an investment of resources — the minimum requirement for level 1. A smaller number knew of talent and succession management activities at their location or in their immediate unit or division (the criteria for levels 2 and 3). Another variable among the respondents was the perceived degree of obstacles — the more serious the perceived obstacles to talent and succession management, the lower the readiness rating.

2.4 Adaptation of the Toolkit for use by a campus (UCSF)

The goal of the adaptation exercise was to identify which elements of the Toolkit documents are likely to require adjustment for the particular priorities, policies and processes at a given location, informed by the Cohort's research and findings in other areas of the assessment.

The five adapted components of the Toolkit are presented in Appendix 3.

Based on the Cohort's review, the first step in customizing the collection of Toolkit documents to a given location should be a conversation with leadership to clarify sponsorship and responsibility for talent and succession management, and to initiate the formation of a work group to customize the Toolkit, facilitator guides and training materials. The Cohort recommends that the work group membership consist of:

- a trained facilitator
- representatives or designees from the following offices and stakeholder groups:

- chief human resources officer
- labor and employee relations
- location counsel
- risk management
- affirmative action and/or Office for the Prevention of Harassment and Discrimination
- academic senate
- staff assembly or other staff representative

The Cohort prepared a draft guide for using the Toolkit and the Quick Start Guide to support the implementation of a talent and succession management program.

The Cohort's review yielded the following recommendations for customizing the Toolkit.

Acknowledge and address implicit bias: A number of the Cohort's edits address ways to minimize implicit bias so as to implement an equitable process that fosters diversity and inclusive excellence. For example, a manager might choose to advance a candidate using subjective criteria such as experiences or traits they have in common or otherwise find familiar. The manager might overlook a better qualified candidate due to a perception that they might not "fit in." The use of objective criteria in making promotion and advancement decisions can mitigate this (Ratanjee and Green, 2018). Examples of changes recommended to the documents to address this issue include: removing the employee photo requirement from the Talent Profile form; seeking multiple sources for the information collected through the Leadership Ability and Aspiration Talent Review Meeting Preparation Form; and specifying in all Toolkit documents that the processes described should be conducted only with the support of a facilitator with training in diversity, equity and inclusion.

Tailor the Toolkit to local resources and branding: Identify local resources — reference materials, as well as who to contact for help — and incorporate them into all Toolkit documents. Change the logo and branding to match the UC system or specific location, as appropriate. Change existing wording about "the company" to match the location.

Address issues of confidentiality and records retention: The Toolkit directs managers to hold confidential the information provided by employees on multiple forms. A legal review is needed to clarify the confidentiality policies and laws (e.g., California open access and public disclosure laws) that apply to this information. In addition, a records retention policy should be adopted and clearly communicated where appropriate in the Toolkit. The Cohort identified several potential confidentiality issues in the Talent Review–Succession Meeting Preparation Checklist and the Employee Career Discussion Sheet.

Use objective talent criteria: The Cohort's literature review of talent and succession management in academia indicated that the 9-box tool (a core element of the process outlined in the Talent Review–Succession Meeting Preparation Checklist) should be used with caution, in part because of the concerns about implicit bias mentioned above. Instead, UC should seek to identify areas of need and develop pools of talent, where feasible. More work

is needed to identify objective criteria to determine which employees qualify for the talent pools, what is expected of employees in such pools (for example, participation in development opportunities), and how applications from these employees for internal openings will be handled, given the expectation of open searches.

2.5 Documentation of pilot talent and succession management programs

The documentation of pilot programs at two UC locations informed the Cohort's recommendations as well as the design of the Quick Start Guide in several ways, in particular details of the time, resources, and institutional and facilitator support that talent and succession management efforts require.

2.5.1 UC Davis Finance, Operations and Administration Division

At UC Davis, several units within the Finance, Operations and Administration Division initiated pilot talent and succession management programs in summer 2019. The programs emerged in response to expressed interest from division managers and staff members in support of enhanced career opportunities and greater workforce diversity. The Cohort collected documentation on programs in two units, the Supply Chain Management and Facilities Management.

The "Aspire" program³ in the Supply Chain Management unit provides employees the opportunity for guided career exploration through shadowing, coaching, and formalized training opportunities. The program helps participants to "build the bridge" between their current position and their desired future position. An initial cohort of 5-6 members is expected to launch in January 2020.

The "Future Leaders Program"⁴ in the Facilities Management unit is a two-year program that focuses on developing technical skills, understanding organizational structures and dynamics, and enhancing leadership skills. The program combines on-the-job training, coursework and ongoing mentorship, with a focus on six skill areas: finances/budget, strategic planning, organizational development, risk management, relationship development and communication skills. Employees can self-nominate or be nominated by supervisors. Participants receive individualized mentorship and frequent feedback to assess progress and development. The program is overseen by the Facilities Management senior management team and is designed to identify, cultivate and transition future leaders into critical leadership roles as they become available.

While these programs are still in the early stages of planning and implementation, the initial steps have already provided important learnings.

³ See: https://supplychain.ucdavis.edu/sites/g/files/dgvnsk2181/files/files/page/elt_aspire.pdf

⁴ See: <https://ucdavis.box.com/s/g78tq53n8m73c4mkl364vv55jbzu51ft>

In addition, the units where implementation is planned report broad enthusiasm for talent and succession management and recognize the need for processes to identify and develop future leaders. Monitoring of these pilots to determine if they are meeting the stated program goals is ongoing and provides a valuable opportunity to assess strategies for creating site-specific talent and succession management programs.

The following lessons are based on discussions among Cohort members, managers and staff in the Finance, Operations and Administration Division, and UC Davis Talent Management and Development.

Opportunity to expand professional and leadership development opportunities: While staff have access to (and are encouraged to take) online and in-person professional development courses, there is a desire for additional opportunities for on-the-job training and mentorship to build the skills and experience that employees need in order to be qualified for future leadership roles. Job shadowing and job sharing opportunities can be particularly valuable but also require collaboration across multiple units. While such programs take an investment of time and resources, they are critical for providing participants the diverse range of skills necessary for future leadership positions within the unit and institution.

Manager training and collaboration with HR to support success: Another learning from the pilots is that manager training and close coordination with human resources partners are important for the success of the talent and succession management program and help to ensure that program implementation is equitable and inclusive. In recognition of that need, UC Davis Talent Management and Development conducted a 1.5-day training in November 2019 with Doris Sims Spies of Talent Benchstrength Solutions to learn about implementation of the Toolkit. This training will better position UC Davis to more fully implement succession planning across a variety of units.

2.5.2 UC Santa Cruz Division of University Relations

The UC Santa Cruz Division of University Relations launched a talent and succession management pilot in early 2019. It emerged after division leadership, concerned about high turnover in some key positions, created a talent and succession management task force, which reached out to Staff Human Resources in February with questions about tools and training. Serendipitously, Staff Human Resources Learning & Development Manager Adrienne Harrell had just attended a talent and succession management workshop conducted by Doris Sims Spies. After several conversations and a presentation by Harrell to University Relations leadership, the pilot was launched in April.

The pilot began with a three-hour workshop led by Harrell, covering the Toolkit as well as additional material on conducting career conversations with staff and developing Talent Profiles for use in talent review meetings. In early May, the vice chancellor for university relations sent out a division-wide communication explaining the launch of talent review and succession planning efforts and introducing the concept of career conversations that supervisors would start having with their team members

2 Findings

Beginning in June of 2019, Harrell and Learning and Development colleague Michael Stephens met with each unit lead in University Relations to discuss the information collected in the Talent Profiles, with a focus on identifying strengths, gap and development areas, possible successors, and employees at high or medium risk of leaving the organization. Harrell and Stephens worked with each unit lead to identify specific professional development opportunities to prepare employees for movement. As of July 29, 2019, 84 employees in University Relations were reviewed and mapped following the methods in the Toolkit. The mapping results were presented to division leadership in October; as of this writing, the program is ongoing.

The following reflections were provided by Learning & Development Manager Adrienne Harrell and the members of the talent and succession management task force.

The value of talent and succession management to employees, and leadership's commitment to the process, must be communicated effectively: The investment of time in the talent review process is significant. Clear communication of results and follow-up actions are critical to demonstrating how this process is worth the time invested. In follow-up communications with staff and employees throughout the organization, it is important to use language that frames the talent review process and resulting actions and investments as decisions made by the leadership team. Information appropriate to share with staff includes:

- Overall talent review results and feedback
- High-level results of vacancy risk and succession plan data
- Themes and trends that emerged from the talent discussions
- Development recommendations
- Action plans and next steps for specific individuals and/or the unit

Consistency in communications supports employee understanding and buy-in: As leaders, managers and supervisors meet with their teams, it is important to communicate the results of the talent review process in a consistent manner in every conversation. Every follow-up conversation should cover: strengths, development areas and ideas, and specific development actions that are planned. For instance:

"Here's what we, the leadership team, thought about your strengths..."

"These are some of the ideas we have for developing you..."

"These are the actions we have agreed to..."

The follow-up conversation should tie back to the earlier career discussion. Organizational context that may influence the talent review process should also be presented in a consistent way.

Avoid discussing 9-box ratings with employees: It is not recommended to tell employees where they landed on the 9-box tool. The rating is meant to reflect a point-in-time

assessment and is subject to change, but employees can understandably fixate on their rating, especially if they are considering a job change.

Implementation is an ongoing commitment: Talent and succession management is a process that requires ongoing attention and resources. Key follow-up steps include:

- Follow up with each employee regarding strengths, development areas, and proposed development actions; establish a development timeline.
- Compile, analyze and chart talent and succession management data over time, looking for returns on the time and resources invested in the process.
- Review and update successor lists or charts regularly. Establish a process for developing successor lists for newly created positions.
- Reach consensus within the leadership team about the allocation of professional development resources.
- Schedule brief “development action” update sessions; look to integrate these actions into existing processes.

Monitor progress on talent review development actions throughout the year: The following are some potential ways to integrate ongoing monitoring of progress into existing activities:

- Incorporate topic into regular staff meetings as well as larger meetings (e.g., retreats).
- Report on talent review and development progress in meetings of the talent management task force.
- Compile and monitor a list of training needs so that the division and Learning & Development can work to leverage the resources needed.
- Continue informal conversations with employees.

2.6 Mid-level manager survey and interviews

The mid-level managers provided an additional perspective on how talent and succession management is being practiced informally, and on needs for training and institutional support. Input from the mid-level managers affirmed many of the findings from the senior leader survey and interviews, especially concerning likely challenges. Responses from the mid-level managers also directly informed the development of the Quick Start Guide.

Some informal talent and succession management is already happening: The mid-level managers were generally aware of talent and succession management as a concept, and many were practicing it in an informal or ad hoc way (as there is not a formal UC process yet in place for them to follow). Some of these efforts support general development and training, some focus in particular on supporting staff advancement, and they use a variety of formats including professional development programs, internships, fellowships, special projects and knowledge sharing roundtable. Some managers have already identified successors for their

own roles. Some are using the concepts of stretch assignments and coaching as a way to develop employees they view as high-performing or high-potential. Another approach is creating overlapping roles so team members are aware of one another's work.

Need for institutional support in training, resources and policies: The managers were not aware of any formal programs within the UC system that train leaders specifically on talent and succession management. They identified a need for support in navigating conversations with employees around career paths and career development opportunities, which present a number of risks. Like the senior leaders interviewed by the Cohort, the managers pointed to a number of aspects of UC culture that can work against talent and succession management, including managers "holding on to" talented staff, the open/external search culture, the lack of a culture of cross-unit or cross-location talent development, and the structural issue of there being no clear career development pipeline in many skill areas. Some managers also pointed to morale as an issue, especially for the retention of newer staff: newer staff are not "handcuffed" by their investment in the UC pension and working at UC can be challenging, political and short on recognition for good work. Last, the managers noted that human resources policies on promotions, equity increases, and related issues can be barriers to talent and succession management; how these policies are intended to work together must be addressed and clearly communicated to managers and staff.

Challenges of time, resources, change management and diversity: Like the senior leaders, the mid-level managers identified adequate time (bandwidth) and resources as likely challenges in implementing talent and succession management at UC: can it be effective and meaningful without being cumbersome and taxing for managers? They stressed that it would represent a substantial organizational change, with the associated needs for new systems, support structures, clear communication and a long-term organizational commitment. The managers cited increasing the diversity in high-level leadership positions as a challenge that talent and succession management faces (and may be able to address).

Input to the Quick Start Guide: The mid-level managers were asked specifically to provide suggestions for the design of the Quick Start Guide. The Cohort incorporated the following suggestions from the managers into the guide:

- Clearly state the case for talent and succession management: what can it deliver, how does it support the UC mission?
- Make it an easy-to-follow checklist.
- Provide references or pointers to resources and tools.
- Make the document something that is useful to managers, while also useful for explaining to employees what talent and succession management is; that is, it should also be a communication and outreach tool.
- Highlight likely barriers.
- Make it specific to the UC context — it should be more than something people can find by themselves via Google.

- Clarify that employee professional development is a major component of talent and succession management — it's less about "grooming" a successor than about providing opportunities for growth.
- Emphasize that talent and succession management is a long-term commitment; the organization must establish and sustain systems to support that ongoing commitment.

3 Quick Start Guide

The Quick Start Guide⁵ is a concise, practical summary of the core elements of talent and succession management, customized for the UC audience, with links to the relevant components of the Toolkit.

Based on the Cohort's assessment research and with specific input from the mid-level manager survey and interviews, the Quick Start Guide embeds the recommendations and practices for effective talent and succession management programs in public higher educational settings, including action-oriented activities that:

- Ensure connections to campus leadership and broad stakeholder groups as part of strategic planning efforts.
- Address diversity practices early in the process and in consultation with human resources, legal counsel, and diversity, equity and inclusion personnel.
- Include programs and strategies that contribute to institutional culture change including internal mobility, manager training, and commitment of time and resources to support talent and succession management efforts.
- Track outcomes related specifically to these activities while continuing to evaluate, maintain, and improve talent and succession management processes and programs.

Along with these considerations, the following content and design priorities guided the development of the Quick Start Guide:

- *High-level checklist:* The guide should cover all of the key steps in the implementation of a talent and succession management process, from initiation to follow-through and evaluation.
- *Outreach tool:* The guide should help to communicate the nature and value of talent and succession management to all employees. It should make clear why the process is

⁵ See Appendix 2 and <https://uccoronc2019project.ucop.edu>

important, how it can support the development of a diverse workforce, how it can benefit individual staff, and how it supports the UC mission. It should address key points of potential confusion about talent and succession management, such as how it differs from the performance management process.

- *Guide to resources and support:* The guide should point to the elements of the Toolkit and should also make clear that the talent and succession management process must be supported by a trained facilitator and that coordination with human resources departments and appropriate legal review are essential.
- *Highlight potential pitfalls:* Talent and succession management presents some organizational risks that need to be addressed. These include the potential for exacerbating bias issues and potential human resources or legal missteps. In addition, as talent and succession management represents a substantial investment of time, resources should be identified in advance and processes should be in place to document the outcomes and report on successes, to ensure that the effort is delivering a valuable return.
- *Customized to UC:* The guide should be a UC-specific organization call to action, building on employees' well-documented commitment to the UC mission. It should be aligned with UC priorities and policies — from high-level objectives, such as increasing diversity, to operational constraints such as labor contracts. The processes described should feel like they reflect the UC context.

For the form of the guide, the Cohort decided on a professionally designed, 11-inch by 17-inch "placemat" layout that would enable the guide to be used online and also printed for trainings, meetings, postings and desk reference. The PDF version posted on the website meets electronic accessibility standards.

The guide begins with a top-level guidance that emerged as a consistent theme in the Cohort's research: Talent and succession management must be supported by a facilitator trained in diversity, equity and inclusion. The guide then presents information in three sections:

- *Main panel:* Three steps to talent and succession management — assess, communicate, measure. This section presents the core actionable content.
- *Right column:* The case for talent and succession management. This column presents the organizational call to action, summarizes the high-level benefits of talent and succession management, clarifies that the process involves employees at all levels, and introduces the Toolkit.
- *Call-out box:* Key considerations. This box presents a series of concise recommendations for the process as a whole that emerged from the Cohort's research and the mid-level manager interviews.

4 Recommendations

The Cohort recommends five key actions to begin to enact a talent and succession management process across the UC:

Encourage senior leadership to sponsor and champion talent and succession management by adopting strategies tailored to each location's needs. The Cohort's research affirmed that a successful talent and succession management program requires top-level support and involvement at all critical stages of development and implementation. Each location should identify executive leaders who are willing to champion talent and succession management. The commitment from leaders should include:

- Sponsorship of a formal plan and integrated strategic approach to talent and succession management that aligns with their organization's long-term goals and priorities and clarifies roles and responsibilities. Leadership, managers, HR and diversity, equity and inclusion officers should partner in the development of these approaches.
- Clear and frequent communication on the importance and value of the program to the organization.
- Resources to support program implementation including time, access to trained facilitators, manager training and mechanisms and funding for staff development.

Use the framework outlined in the Cohort-developed Quick Start Guide to initiate talent and succession management processes. The Quick Start Guide was developed by the 2019 UC-Coro Northern California Cohort to assist managers and leaders at all levels who are interested in initiating talent and succession management at their location. It provides a concise, practical summary of the core elements of talent and succession management, customized for the UC audience, with links to the relevant components of the Toolkit©. Use it to help assess future talent needs, communicate a vision and available tools, and measure progress.

Customize Toolkit materials and methods to align with goals, priorities, policies and practices of the particular UC location, and leverage it to support the implementation of talent and succession management initiatives. The Talent and Succession Planning Toolkit, developed by human resources expert Doris Sims Spies and licensed by UC Systemwide

Human Resources for UC employee use, provides a common set of tools and procedures available to all UC locations. It has the potential to serve as a foundation for common approaches to talent and succession management deployed across UC, facilitating cross-location sharing of best practices and lessons learned, enabling a culture of cross-unit and cross-location talent migration, and minimizing risk. In partnership with groups including human resources, diversity, equity and inclusion, legal, risk management and faculty senate representatives, and with the support of a trained facilitator, Toolkit materials and training guides should be tailored to:

- Meet the unique characteristics of UC as a public higher-education institution;
- Align with local and systemwide personnel policies and practices;
- Align with the goals and priorities of the particular location; and
- Reflect local branding and identify location-specific resources.

Based on the project findings, the Cohort recommends caution in determining whether and how to use the g-box (displayed in Appendix 3C2).

Invest in talent development programs, establish and publicize objective criteria for participation and communicate expectations. During the Cohort's interviews, UC leaders emphasized the opportunity for staff development as a key benefit of talent and succession management, while recognizing the need to provide time and resources for staff training and development to prepare for new roles. These opportunities could include mentoring, job sharing, shadowing, project work and leadership opportunities, and they should be openly advertised when possible. For example, a campus could sponsor an internal career fair where career opportunities are broadly advertised and employees are encouraged to investigate their options for professional growth.

Locations should also establish objective criteria for participation in talent development programs to increase transparency and help minimize implicit bias. In addition, employees should be told what the expectations are if they participate in these programs, including how applications for internal openings will be handled, given policies regarding open searches.

Finally, organizational structures and position descriptions should be reviewed to assess whether they provide development opportunities and pathways for succession. For instance, deputy positions can help prepare someone for a leadership role. Position descriptions that are written more broadly may allow the incumbent opportunity for on-the-job development towards their next role and also widen the pool of potential successors.

Build and sustain a culture of inclusion, diversity and systemwide mobility to retain, further develop and fully benefit from UC's world-leading talent. UC location leadership, in collaboration with Systemwide Talent Management, should employ effective change management practices to support a culture that places greater value on long-term planning associated with human capital and encourages faculty and staff to pursue UC career opportunities within and outside of their current unit or location. Specific actions include:

4 Recommendations

- Incorporate talent and succession management as a topic in regular staff meetings and larger strategic meetings;
- Publicize opportunities broadly to increase transparency, promote inclusion and heighten awareness of career pathways across the UC;
- Incorporate talent and succession management participation into manager assessments and recognize those who invest in talent and succession management;
- Develop talent pools, rather than “heir-apparent” successors, where possible, and create mechanisms for cross-departmental and cross-institutional sharing of talent pools;
- Emphasize position descriptions that describe broad skills and job functions rather than highly specialized positions that will have a limited number of qualified candidates; and
- Highlight quick wins, staff mobility examples and achievement of individual career goals.

To sustain progress long-term, UC locations should:

- Designate champions in each unit and ensure buy-in of external constituencies to make practices more difficult to discontinue;
- Proactively maintain diversity and inclusion principles and goals;
- Review and update talent pools and successor lists regularly;
- Assess progress periodically for visibility and accountability, to document successes, and to ensure effectiveness, including tracking such information and changes in metrics (pre- and post-implementation of talent and succession management efforts) as:
 - Individual career trajectories across UC;
 - Staff retention and employee engagement;
 - Internal vs. external hires;
 - Diversity statistics;
 - Number and diversity of qualified internal applicants for positions;
 - Time to fill vacancies; and
 - Training opportunities created or utilized by staff;
- Solicit feedback broadly and improve programs; and
- Regularly and openly report on talent and succession management progress.

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Appendices

Appendix 1. Assessment approach

This appendix details the methods used for the six components of the Cohort's assessment:

- Survey of senior leaders
- Interviews with UC senior leaders
- Literature review
- Review of the Toolkit documents
- Documentation of recently launched talent and succession management programs within divisions at UC Davis and UC Santa Cruz
- Survey of mid-level managers at UCOP and UC Berkeley

Survey of senior leaders

The Cohort developed an online survey and emailed it to 553 leaders at the UC campuses, medical centers, UC ANR, and UCOP. The survey distribution list was extracted from the UCOP Corporate Personnel System and consisted of the UC Senior Management Group as well as others in senior administrative positions, as identified by job title. Those identified by job title included deans, associate deans, assistant deans, directors of research groups, vice provosts, associate vice provosts, department chairs, associate vice chancellors, assistant vice chancellors, and equivalent positions in medical schools. The list was supplemented with senior leaders from Berkeley Lab.

The survey requested name, job title and work location information, along with responses to the questions below, with space provided for elaboration:

- Succession planning is a good business practice as it protects the company and creates internal career path options and development actions for employees. Nevertheless, it is rare to find a systematic program of succession planning proactively implemented at the UC. Do you know of such programs or closely aligned programs operating at your location?
- Without senior management support, it is difficult to implement a systematic program of succession planning. Would you be interested in providing such support, both encouragement and resources?
- What obstacles do you foresee that would give you hesitation to champion a systematic succession planning program at your campus, even if effective tools and trainers were already available?
- Would you or a member of your team be willing to be interviewed for more in-depth insights on this topic? If so, please list those individuals.

Nine recipients of the survey excluded themselves for various reasons, such as having left the university, reducing the number of potential respondents to 544. The Cohort received 76 completed responses, a response rate of 14 percent.

Affiliations of the respondents were as follows:

Location	# responses
UC ANR	1
Berkeley Lab	1
UC Berkeley	11
UC Davis	10
UC Irvine	11
UCLA	3
UC Merced	3
UCOP	8
UC Press	1
UC Riverside	8
UC San Diego	3
UC San Francisco	7
UC Santa Barbara	5
UC Santa Cruz	4

Cohort members followed up individually with respondents who offered to be interviewed. The Cohort tabulated the survey data and summed the responses to the yes–no questions. Qualitative responses supplemented the thematic analysis of the interviews (below).

Interviews with senior leaders

Cohort members conducted one-on-one or small-group interviews with 51 senior leaders (16 of whom also completed the online survey).

An initial set of 19 senior leader interviews was conducted without an interview template; the Cohort members asked open-ended questions about the status of talent and succession management at each leader's location.

The remaining 32 interviews followed a standard format — presentation of brief background information about talent and succession management and the Cohort project, and then a set of eight questions:

- What is your knowledge of and experience implementing a talent and succession management process?
- What is your definition of succession planning?
- Who should be responsible for implementing a talent and succession management process?
- What succession planning activities exist at your location (or in your department/area)?
- What challenges hinder or prevent your implementation of a talent and succession management process at your location (or in your department/area)?
- What benefits would such a program provide to your location / department / area?
- What organizational requirements or resources need to exist or be available to enable you to successfully implement a talent and succession management process at your location / department / area?
- Is there anything else you would like to share on this topic?

The leaders interviewed had the following affiliations:

Location	# responses
UC ANR	3
Berkeley Lab	4
UC Berkeley	11
UC Davis	9
UC Irvine	1
UCLA	1
UC Merced	1
UCOP	2
UC Press	1
UC Riverside	1
UC San Diego	1
UC San Francisco	10
UC Santa Barbara	0
UC Santa Cruz	6

Word cloud analysis: To identify key themes in the interviews, the Cohort conducted a word cloud analysis on the text of the notes taken by the interviewer. Each response was condensed to focus on words with meaning in the context of talent and succession management. The condensed response text was then aggregated and fed into Wordclouds.com, an open-source word cloud software program that counts the number of times each word appears in the responses and generates a world cloud image. Words that are

mentioned more often appear larger than those mentioned less. The word clouds include all substantive words that were mentioned more than once.

Literature review

An initial review of the literature and other available resources early in the UC-Coro Northern California Cohort project indicated that talent and succession management practices appear to be significantly less established in academia and the public sector compared to the private sector. Since one of the Cohort's charges was to advise on adopting a talent and succession management Toolkit used primarily in the private sector to the public university context, the Cohort sought to identify through a comprehensive literature review the ways in which the higher education and public contexts might differ from that of the private sector.

The Cohort had also learned as part of its UC-Coro training and during the 2019 People Management Conference at UCLA that effective change management requires the early identification and mitigation of barriers to change. Since integrated talent and succession management practices require both organizational and cultural changes, it is important to identify barriers to those changes up front in order to mitigate possible resistance. Overall, the literature review was used to help inform the development of a Quick Start Guide, to develop a site-specific adaptation of the Toolkit, and to formulate change management recommendations to accompany successful implementation of integrated talent and succession management practices at UC.

Adaptation of the Toolkit© for use by a campus (UCSF)

To investigate what customization of the Toolkit for a specific UC location might entail, the Cohort members from UCSF evaluated and prepared a draft guide for adaptation of the Toolkit plus sample adaptation of five components of the Toolkit: the Talent Review–Succession Meeting Preparation Checklist; the Employee Career Discussion Sheet; the Leadership Ability and Aspiration Talent Review Meeting Preparation Form; the Talent Review Meeting Scribe Notes Outline; and the Talent Profile. These documents are provided in Appendix 3.

Documentation of pilot talent and succession management programs

The Cohort documented pilot talent and succession management programs at the unit level at UC Davis and UC Santa Cruz. These cases illustrate the processes involved in developing talent and succession management programs at the unit level, provide examples of programs that target site-specific needs, highlight useful tools and resources, and demonstrate potential challenges. Details of these cases are presented in the Findings section of the main report.

Mid-level manager survey and interviews

The Cohort sought input from mid-level managers at two locations, UCOP and UC Berkeley. A total of 25 mid-level managers responded to questions about barriers to talent and succession management practices, details on successful efforts, their vision for an effective talent and succession management program, and suggestions for what to include in the Quick Start Guide. Out of these 25 managers, 17 from UCOP provided information via an electronic questionnaire, and 8 managers from UC Berkeley participated in one-on-one interviews with a Cohort member, of which half provided feedback on a draft of the Quick Start Guide.

The managers were asked the following questions:

- How do you define succession planning and what does it mean to you?
- Have you considered a succession planning program with your department or team?
 - If yes, what have you done or has your department done, what worked well, and what is the current status?
 - If no, what are the reasons / factors? Could it be lack of information on how to start?
- What could be existing or potential barriers when implementing a succession planning program?
- What type of information would be helpful to you in thinking about succession planning for your department or team? For example, if introducing and implementing a quick start guide, what should be included?
- What would an effective succession planning program look like to you?
- Would you be willing to review and provide feedback once we have a draft of a quick start guide? Likely in early to mid-September?
- Would you like to provide any other comments or feedback you think might be important?

Appendix 2. Quick Start Guide

Full-sized version is available at: uccoronc2019project.ucop.edu

Talent and Succession Management at the University of California

A Quick Start Guide: Three Steps You and Your Team Can Take



1 ASSESS

Identify your future talent needs

Assess your team's current state and set a strategic vision.

- What's on the horizon? How is the organization changing? How is technology changing?
- What's going away?
- What capabilities are likely to be required?

Identify upcoming position changes and needs (including for your own position).

- Which positions are critically important?
- What are your likely personnel changes?
- Incorporate diversity goals.

Identify key knowledge and skills your team has now, and will need in the future.

- Think broadly, including skills such as:
- Developing partnerships
 - Leading diverse teams
 - Implementing new programs
 - Navigating conflict

Work with HR, stakeholders and other experts to prioritize critical and difficult-to-fill roles.

- Share information with HR and other managers about employees whose skills and experience may align with roles in other departments or UC locations.

Resources in the toolkit:

- Talent Culture Questionnaire
- Leadership Position Needs Assessment

2 COMMUNICATE

Share vision and tools

Identify or build talent development programs and strategies, including:

- Internships
- Mentoring, informational interviews, job shadowing, mobility fairs
- Leadership opportunities

Train managers to prepare for talent and succession management conversations.

- Dedicate time for staff self-assessments to focus on strengths, interests and areas of opportunity.

Meet with staff to understand career goals and skills needed for future roles.

- Design and implement individualized development plans to build skills for key positions.

Explain how talent and succession management differs from performance.

- Performance management looks back at the employee's recent work and sets near-term goals.

Talent and succession management looks to the future, with a focus on organizational needs and long-term employee development.

Resources in the Toolkit:

- Employee Career Discussion Sheet
- Talent Review-Succession Meeting Preparation Checklist
- Ability and Aspiration Form

3 MEASURE

Track and analyze progress

Develop and track metrics, such as:

- Staff retention and employee engagement
- Number and diversity of qualified internal applicants for key positions
- Time to fill vacancies
- Diversity of leadership
- Training opportunities created or utilized by staff

Metrics may vary and should be aligned with department and university objectives.

Track results: report successes and opportunities for improvement

- Highlight quick wins, staff mobility and achievement of individual career goals
- Recognize managers who invest in talent and succession management.
- Reinforce best practices for building a diverse workforce.

Resources in the Toolkit:

- Succession Plan Form

IMPLEMENTATION RECOMMENDATIONS

- ✓ Engage trained talent and succession management leaders to lead implementation across the department or organization.
- ✓ Coordinate with HR diversity, equity and inclusion and legal offices to ensure compliance with laws and policies.
- ✓ Identify champions and sponsors at all levels.
- ✓ Plan sufficient time and organizational resources for implementation.
- ✓ Communicate clear goals and values.
- ✓ Support cross-departmental and cross-institutional talent development.
- ✓ Continuously assess processes to reduce biases.

To fulfill its teaching, research and public service mission in the coming years, UC needs to attract, develop and retain top talent at all levels.

Talent and succession management can:

- Match individuals' skills and experience to organizational needs to meet future business needs and identify potential career opportunities.
- Retain employees, utilizing individualized growth and development opportunities.
- Develop a strong, diverse pool of internal applicants for key positions.

Everyone has a role

Senior leaders

- Develop and communicate strategic vision.
- Provide institutional support.

Hiring managers

- Assess skill needs
- Identify critical positions.
- Provide opportunities for growth and development.

All employees

- Engage in this process.
- Take responsibility for career growth.
- Provide feedback.



Tools to Help

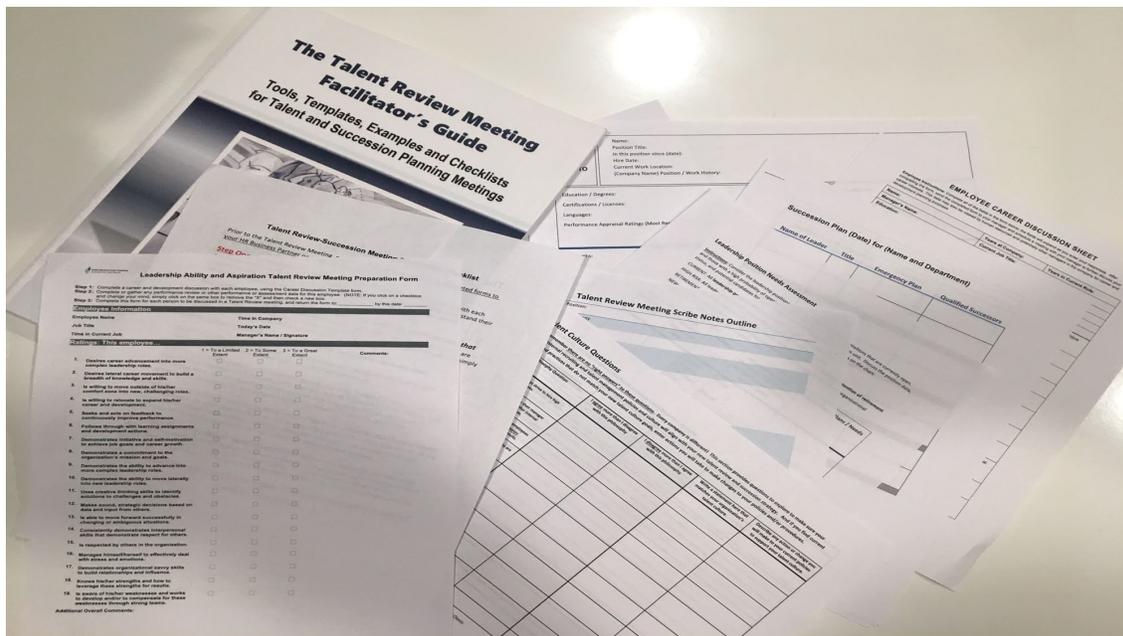
UC has licensed a toolkit to support talent and succession management programs. This icon points you to specific resources in the toolkit, which are available here: <https://uccoronc2019project.ucop.edu/>

Appendix 3. Example customization of Toolkit documents for UCSF

This Appendix includes eight elements of the Toolkit. Five (Appendices 3C, 3D, 3E, 3F and 3G) reflect draft customizations to a particular UC location (UCSF) suggested by the Cohort, as described in section 2.4 of the report. The remaining three elements are presented in their original form, without modifications. Following the eight elements is a draft two-page outline for using the Quick Start Guide (Appendix 2) and the Toolkit to support the implementation of a talent and succession management program.

The Cohort recommends that each UC location review and consider modifications to all Toolkit elements early in the process of planning a talent and succession management program.

The Cohort stresses that the documents in this Appendix are drafts for illustration purposes; considerations and a proposed process for formally adapting the Toolkit to a given location are presented in the main report, section 2.4. In addition, the Toolkit© includes a PowerPoint presentation entitled, “The 30-Minute Guide to Talent and Succession Management,” and “The Talent Review Meeting Facilitator’s Guide” is available for purchase (see image below).



Collection of Toolkit documents that UC has licensed for employee use. Also pictured is the facilitator’s guide, available for purchase.

Appendix 3A. Original Leadership Position Needs Assessment

Leadership Position Needs Assessment

Instructions: Consider the leadership positions that report to you. Identify any positions that are currently open, and those with a high probability of opening in the next 12 months in your business unit. Discuss the position data, status, and potential candidates for each. List all of the following position categories on the chart:

CURRENT: All leadership positions that are currently vacant in your organization

HIGH RISK: All leaders who are viewed as a high vacancy risk in the coming year

RETIREMENT: Any leadership position currently filled by an incumbent who has declared intention of retirement

NEW: Any new / future leadership positions you might create in the coming year to address organizational growth, or to lead new initiatives, new customers, etc.

Position Title and Incumbent Leader	Date Position is Expected to Open	Category	Potential Candidates (Designate both internal and external candidates as applicable)	Status / Action Plans / Needs
		<input type="checkbox"/> Current <input type="checkbox"/> High Risk <input type="checkbox"/> Retirement <input type="checkbox"/> New	Internal: External:	
		<input type="checkbox"/> Current <input type="checkbox"/> High Risk <input type="checkbox"/> Retirement <input type="checkbox"/> New	Internal: External:	
		<input type="checkbox"/> Current <input type="checkbox"/> High Risk <input type="checkbox"/> Retirement <input type="checkbox"/> New	Internal: External:	
		<input type="checkbox"/> Current <input type="checkbox"/> High Risk <input type="checkbox"/> Retirement <input type="checkbox"/> New	Internal: External:	
		<input type="checkbox"/> Current <input type="checkbox"/> High Risk <input type="checkbox"/> Retirement <input type="checkbox"/> New	Internal: External:	
		<input type="checkbox"/> Current <input type="checkbox"/> High Risk <input type="checkbox"/> Retirement <input type="checkbox"/> New	Internal: External:	

Appendix 3B. Original Talent Culture Questionnaire

Talent Culture Questions

First, remember there are no "right answers" to these questions. Every company is different! This section provides questions to explore to make sure your current internal recruiting and talent management policies and culture will align with your new talent review and succession strategy. And if you find current policies and practices that do not match your new talent culture goals, enter actions you will take to make changes to your policies and/or procedures.

Philosophy Question	I agree more than I disagree with this philosophy	I disagree more than I agree with this philosophy	Write a statement here that matches your organization's talent culture.	Describe any action or change you will make to your current policies to support your talent culture.
1. We should always strive to hire high potential employees.				
2. Employees must notify their manager before applying for another internal position in our organization.				
3. Business results achieved by employees are valued more than the behaviors employees use to achieve the results.				
4. We should tell employees when they are identified as a high potential.				
5. If a manager would like to hire a current employee, he/she should contact the manager of that employee first, and not contact the employee directly.				
6. Even if a successor has been identified for a position that becomes vacant, we should still post the job internally.				
7. Successors and high potentials should have priority over other employees for open positions.				
8. Managers should be primarily responsible for developing high potentials and successors.				
9. Employees should be required to stay in a position at least one year before moving into a new role in the company.				

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Talent Culture Questions

First, remember there are no “right answers” to these questions. Every company is different! This section provides questions to explore to make sure your current internal recruiting and talent management policies and culture will align with your new talent review and succession strategy. And if you find current policies and practices that do not match your new talent culture goals, enter actions you will take to make changes to your policies and/or procedures.

Philosophy Question	I agree more than I disagree with this philosophy	I disagree more than I agree with this philosophy	Write a statement here that matches your organization's talent culture.	Describe any action or change you will make to your current policies to support your talent culture.
10. Employees must have at least one year tenure before being considered as a high potential or successor.				
11. We should have some positions that are designated “developmental roles” for high potentials.				
12. We should identify key experts in the organization and have a retention program for them; it is important to have a technical career path for employees.				
13. The company “owns” the talent; individual managers do not “own” the talent in their teams.				
14. When a manager is unsuccessful as a leader of others but is successful and needed as an individual contributor, we will move him/her into this role.				
15. We should use 360 feedback only for developmental purposes and not for assessment or other HR decision-making purposes.				
16. Everyone has the ability to be a high potential employee.				
17. Everyone has the desire to be a high potential employee.				

Talent Culture Questions

First, remember there are no “right answers” to these questions. Every company is different! This section provides questions to explore to make sure your current internal recruiting and talent management policies and culture will align with your new talent review and succession strategy. And if you find current policies and practices that do not match your new talent culture goals, enter actions you will take to make changes to your policies and/or procedures.

Philosophy Question	I agree more than I disagree with this philosophy	I disagree more than I agree with this philosophy	Write a statement here that matches your organization's talent culture.	Describe any action or change you will make to your current policies to support your talent culture.
18. In our talent review meetings, we should discuss all leaders in our organization, not just those who are identified as high potential.				
19. All employees should be aware of our talent and succession management strategy.				
20. Performance appraisals are an accurate way to measure results and to provide feedback.				
21. We should reward employees for moving into lateral positions in the organization.				
22. We should reward employees for relocating in the organization.				
23. Our merit increase and/or bonus compensation structure is based on both past performance and future potential.				
24. The bonus structure for our managers should include accountability and rewards for managers who identify successors and develop their employees.				
25. The budget / cost of developing high potential employees should be prioritized because developing top talent is a corporate priority.				
26. We should take active steps to increase the diversity of our leadership team through the Talent Review-Succession processes.				

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Appendix 3C1: Recommended modifications to the Talent Review–Succession Meeting Preparation Checklist

Cohort recommendations are indicated in footnotes. For comparison, the original document is presented on the following pages.

[Add UCSF Branding]

UCSF Talent Review-Succession Meeting Preparation Checklist For UCSF Managers

Prior to the Talent Review Meeting, complete these actions, and submit completed forms to your campus identified resource¹ at least one week² before the meeting:

Step One: Ask employees to complete a **Career Discussion Form** and then meet with each employee to discuss the employee's responses to each question, so you fully understand their responses.³ It is important to consider an employee's career interests as you work with your campus identified resource to identify possible development actions for your employees, and as we form succession plans for the _____⁴. It is important to use objective criteria.

IMPORTANT! The Career Discussion form is the only form described here that you will discuss with the employee! All succession plans, development plans, etc. are subject to change during the Talent Review Meeting discussions, so at this point you are simply gathering information about the employee's career interests.

AFTER the Career Discussion with each employee, complete the following steps:

Step Two: Complete the first page of the **Abilities and Aspirations** form for each employee. **Do not share with others without a need to know, but do not set an expectation of complete confidentiality, as UC is subject to disclosure and access-to-information laws.**⁵

Step Three: Complete or update one **Succession Plan** form to identify **Qualified and Future-Gap Successors** for your own position, as well as your **Emergency Plan** when you are out of the office. **IMPORTANT:** Discuss your succession plan ideas with your own manager to ensure alignment on these decisions prior to your scheduled Talent Review meeting.

1If you have questions about these forms or processes, contact Human Resources.

¹ Senior leaders overseeing Human Resources and Diversity and Outreach should be consulted to determine where the talent and succession management effort fits within HR and Affirmative Action unit priorities. They may be in the best position to identify resources that can be engaged to facilitate this effort. Ideally a designated resource who is trained and informed about diversity, equity and inclusion and unconscious bias will facilitate talent review meetings and apply best practices to ensure transparency.

² The local resource should determine how much time is needed before the meeting.

³ There should be a feedback loop for information shared only with OP.

⁴ Insert name of department, division, unit, etc. as applicable.

⁵ We recommend that this step be optional

Appendix 3C2. Original Talent Review–Succession Meeting Preparation Checklist

The modified version is shown on the previous pages, for comparison.

Talent Review-Succession Meeting Preparation Checklist

Prior to the Talent Review Meeting, complete these actions, and submit completed forms to your HR Business Partner one week before the meeting:

Step One: Ask employees to complete a **Career Discussion Form** and meet with each employee to discuss the employee's responses to each question, so you fully understand their responses. It is important to factor in an employee's career interests as we identify development actions for employees, and as we form succession plans.

IMPORTANT! The Career Discussion form is the only form described here that you will discuss with the employee! All succession plans, development plans, etc. are subject to change during the Talent Review Meeting discussions, so at this point you are simply gathering information about the employee's career interests.

AFTER the Career Discussion with each employee, complete the following steps:

Step Two: Complete the first page of the **Abilities and Aspirations** form for each employee. **Do not share or discuss this form with the employee.**

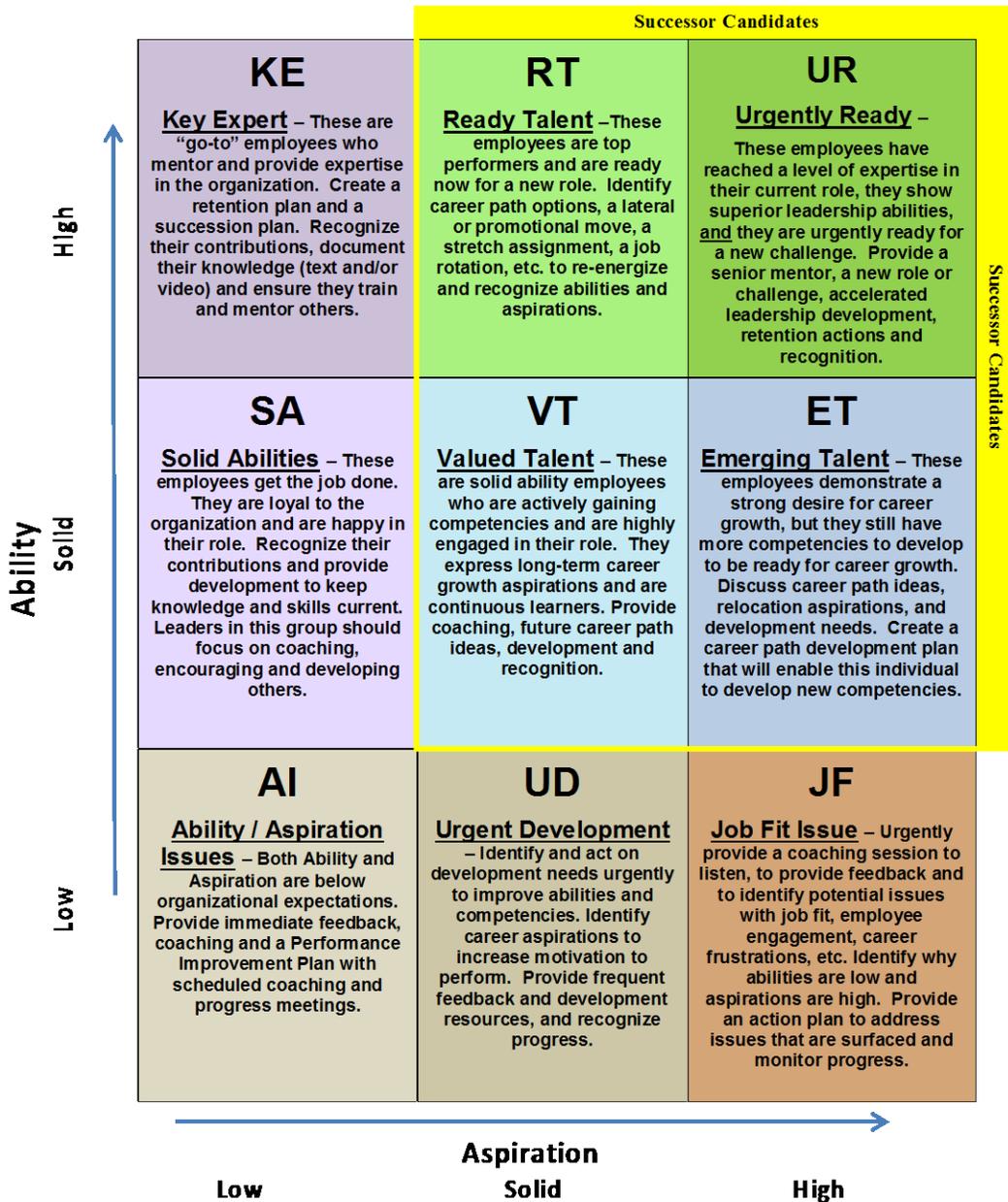
Step Three: If you would like to nominate the employee for the Mission Federal Leadership High Potential Development Program, complete the second / back page of the **Abilities and Aspiration** form. Do not discuss your nomination with employees. If you do not want to nominate the employee for this program, do not complete the second / back page.

Step Four: Complete or update one **Succession Plan** form to identify **Qualified and Future-Gap Successors** for your own position, as well as your **Emergency Plan** when you are out of the office. **IMPORTANT:** Discuss your succession plan ideas with your own manager to ensure alignment on these decisions prior to your scheduled Talent Review meeting.

Step Five: Review the **Talent Benchstrength® Guide** on the next page; consider which definition most closely matches the current career stage and development needs for each employee and be ready to discuss this in the Talent Review meeting. There is no need to submit this as a document to Human Resources, but simply to be prepared to discuss this in the Talent Review meeting.

If you have questions about these forms or processes, contact Human Resources.

The Talent Benchstrength® Guide



Appendix 3D. Recommended modifications to the Employee Career Discussion Sheet

Cohort recommendations are presented as tracked changes (in red) with explanations in footnotes.

[ADD UCSF BRANDING]

UCSF EMPLOYEE CAREER DISCUSSION SHEET¹

Employee Instructions: Complete all of the fields in the form below; the fields will expand as you enter your responses. After completing the form, send the completed form to your manager² and schedule a meeting with your manager to further discuss your career interests. This data may also be viewed by human resources and potentially other managers in the company for career and development planning purposes.³

Name:	Years at Company:	Years in Current Role:
Manager's Name:	Current Job Title:	
Education:		
Certifications / Special Skills:		
Past Five Job Titles:		
Languages:		
<p>(eSuggestion for additional question): In your current role, have you had the opportunity for informal or formal professional development,⁴ further education, or expanded job experiences?</p> <p>(eSuggestion for additional question): If not, are you interested in such opportunities? What opportunities for professional development would you like to have participated in, that you could not, and why?</p>		
<p>If yes, what such opportunities did you engage in Since since we last had a career discussion (if applicable)?, what formal education, job experiences, and professional development have you completed and applied on the job?</p>		
What do you enjoy most about your job?		
What do you enjoy least about your job?		
Do you feel you are still learning and being challenged in your current role?		
Is there anything you have done in past jobs that you enjoyed that you would like to do again?		

¹ We recommend translating this form into the languages needed by the population; and we recommend flexibility to modify form based on employee/staff/faculty population.

² There should be transparency about what group will be reviewing these forms and what criteria they will be using for evaluation.

³ Some questions in the form, which we have highlighted in yellow, ask for information that an employee may not wish to share with their manager, but may be willing to share with human resources or via a platform that aggregates information, for organizational use but separates personally identifiable information from responses. We recommend making responses optional, or allowing employees to set permissions on the sharing of information. Consider engaging with IT to develop systems that support this level of privacy; and consider whether UC Path may be an appropriate platform for storing this data.

⁴ If resources are not available to make such opportunities available to all, consider using the performance management process to identify high performers and focus resources on them.

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<p>Do you want to pursue (or continue to pursue) other leadership positions (managing people⁵), or do you prefer to pursue a <u>specialized or technical-key expert individual contributor role⁶</u>?</p>			
<p>What do you see as your top three strengths that you bring to <u>our company/UCSF</u>?</p>			
<p>What would you like to learn more about <u>at UCSF in our company and/or within our industry</u>?</p>			
<p>What other potential positions and/or functional areas <u>in our company at UCSF</u> are of interest to you? Are you open to lateral career moves that make sense for your overall career path development?</p>			
<p>To move into this/these roles, would you like UCSF to assist you in identifying the what qualifications, skills and /or knowledge would you would needed for to obtain such a role at UCSF?</p>			
<p>What can we do <u>as a company at UCSF</u> to continue to retain you here and to help you continue to grow?</p>			
Relocation Preferences:	<input type="checkbox"/> Can relocate anywhere	<input type="checkbox"/> Can relocate with these restrictions:	<input type="checkbox"/> Can't relocate at this time

DRAFT

⁵ Depending on the population (PSS, MSP, SMG), use terminology from Career Tracks or other department-specific language to clarify which positions are being referred to here.

⁶ Define what is meant by an individual contributor role.

⁷ Here, link the employee to the local resource for talent and succession management, who can provide additional information and career planning advice.

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Appendix 3E. Recommended modifications to the Leadership Ability and Aspiration Talent Review Meeting Preparation Form

Cohort recommendations are presented as tracked changes (in red) with explanations in footnotes.



[Add campus branding]

Leadership Ability and Aspiration Talent Review Meeting Preparation Form¹²

Step 1: Complete a career and development discussion with each employee, using the Career Discussion Template form.
Step 2: Complete or gather any performance review or other performance or assessment data for this employee. (NOTE: If you click on a checkbox and change your mind, simply click on the same box to remove the "X" and then check a new box.
Step 3: Complete this form for each person to be discussed in a Talent Review meeting, with your campus identified resource as the meeting facilitator, and return the form to: _____ by this date: _____.

Employee Information			
Employee Name	<input type="text"/>	Time in Company	<input type="text"/>
Job Title	<input type="text"/>	Today's Date	<input type="text"/>
Time in Current Job	<input type="text"/>	Manager's Name / Signature	<input type="text"/>

Ratings: This employee...				
	1 = To a Limited Extent	2 = To Some Extent	3 = To a Great Extent	Comments:
1. Desires career advancement into more complex leadership roles.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
2. Desires lateral career movement to build a breadth of knowledge and skills.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
3. Is willing to move outside of his/her comfort zone into new, challenging roles.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
4. Is willing to relocate to expand his/her career and development.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
5. Seeks and acts on feedback to continuously improve performance.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
6. Follows through with learning assignments and development actions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
7. Demonstrates initiative and self-motivation to achieve job goals and career growth.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
8. Demonstrates a commitment to the organization's mission and goals.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
9. Demonstrates the ability to advance into more complex leadership roles. ¹	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
10. Demonstrates the ability to move laterally into new leadership roles. ⁴	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

¹ General comment: Consider adjusting questions to tailor the form to the employee's current level in the organization.

² Potential concerns: Is it acceptable to have one source (the manager completing this form) providing all feedback about an employee's prospects? How can biases that filter into the responses be addressed? Can the campus identified resource or manager gather input from other sources to yield a broader assessment? Or, could the facilitator be on point to push back on assessments that appear to reveal biases?

³ The employee may not have had this opportunity.

⁴ The employee may not have had this opportunity.

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11. Uses creative thinking skills to identify solutions to challenges and obstacles.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Makes sound, strategic decisions based on data and input from others.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Is able to move forward successfully in changing or ambiguous situations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Consistently demonstrates interpersonal skills that demonstrate respect for others.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Is respected by others in the organization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Manages himself/herself to effectively deal with stress and emotions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Demonstrates organizational savvy skills to build relationships and influence.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Knows his/her strengths and how to leverage these strengths for results.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19. Is aware of his/her weaknesses and works to develop and/or to compensate for these weaknesses through strong teams.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Additional Overall Comments: <input type="text"/>				
				
© Doris Sims Spies 2015				

Appendix 3F. Recommended modifications to the Talent Profile form

Cohort recommendations are presented as tracked changes (in red) with explanations in footnotes.

<p>Talent Profile</p> <p>PHOTO</p>	Name: Position Title: In this position since (date): Hire Date: Current Work Location: (Company Name) Position / Work History:													
	Education / Degrees: Certifications / Licenses: Languages: Performance Appraisal Ratings (Most Recent Two Years):	Special Skills:												
Strengths:	Development Areas:													
<table border="1"> <tr> <th style="width: 30px;">9-Box</th> <th style="width: 30px;">Chart</th> <th style="width: 30px;"></th> </tr> <tr> <td style="width: 30px;"> </td> <td style="width: 30px;"> </td> <td style="width: 30px;"> </td> </tr> <tr> <td style="width: 30px;"> </td> <td style="width: 30px;"> </td> <td style="width: 30px;"> </td> </tr> <tr> <td style="width: 30px;"> </td> <td style="width: 30px;"> </td> <td style="width: 30px;"> </td> </tr> </table>	9-Box	Chart											Vacancy Risk: Impact Level: Retention Plan:	Succession Plan Emergency Successor(s): Qualified Successor(s): Future Successors(s) Potential Short Term Career Path: Potential Long Term Career Path: Qualified Successor To: Future Successor To:
9-Box	Chart													
Development Actions:														

Recommend not including a photo in this form and consider replacing 9-box with skill specific objective criteria to determine qualifications.

Appendix 3G. Recommended modifications to the Talent Review Scribe Notes Outline

Cohort recommendations are presented as tracked changes (in green) with explanations in footnotes.

Talent Review Meeting Scribe Notes Outline

Name - Current Position:	
Length of Time in Company	
Length of Time in Position	
Vacancy Risk	
Impact of Loss	
Strengths ¹	
Development Areas - <u>Gaps</u>	
Short Term Career Path Ideas	
Long Term Career Path Ideas (1-3 Years)	
Identified as a Qualified Successor to _____? If so, so what position(s)?	
Identified as a Future-Gap Successor to _____? If so, to what positions(?)	
Development Actions:	
Successor Candidates to this position:	
Talent Benchstrength 9-Box Guide Placement	

DRAFT

¹ Consider linking to objective criteria and determining ability based on skills needed rather than use of the 9-Box

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Appendix 3H. Original Succession Plan Form

	A	B	C	D	E	F	G	H	I
1	Succession Plan (Date) for (Name and Department)								
2									
3									
4	Name of Leader	Title	Emergency Plan	Qualified Successors	Development to Strengthen Readiness in Qualified Successor	Relocation Required?	Future Successor(s)	Gaps / Development Needs	Relocation Required?
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									

DRAFT

Appendix 3l. Draft guide for using the Quick Start Guide and the Toolkit to support the implementation of a talent and succession management program

How to use the **Quick Start Guide** and Customize the Toolkit©*

1. Use the Quick Start Guide to **assess your team's current and future talent needs** and set goals for strategic planning

Resources in the Talent and Succession Management Toolkit:

- a. Use *Toolkit Talent Culture Questionnaire* to begin the assessment process to get direction from leadership on strategic goals for use by/with a trained Facilitator
- b. Use *Leadership Toolkit Position Needs Assessment*
- c. Use *Toolkit Talent Benchstrength Guide* (suggested without the 9-box) to assess qualifications of current workforce based on objective criteria (this document does not yet exist and should be developed by location work group)

2. Use the Quick Start Guide to **communicate** with employees
 - Identify or develop talent development programs and strategies
 - Job exchange/ shadowing
 - Interdisciplinary project offerings
 - Cross-training
 - Mentorship opportunities
 - Offer training to managers to prepare for talent and succession management conversations (use *Toolkit training materials* customized by location work group)
 - Utilize a trained facilitator to meet with staff to understand career goals and skills needed for future roles
 - Ensure staff understand how talent and succession management differs from performance management
3. Develop processes to reward, recognize and incentivize the managers who are implementing succession planning strategies and the facilitators who are engaged in job exchange, shadowing, cross-training and sharing of information

Measure: Track results, report successes and opportunities for improvement:

- Highlight quick wins, staff mobility and achievement of individual career goals
- Recognize managers who invest in talent and succession management
- Reinforce best practices for building a diverse workforce

4. UC CORO cohort members may serve as advisors and help managers with Toolkit customization for locations that are ready.
 - a. To customize Toolkit, Facilitator's Guide and Training Materials: Campus/location should consider forming a work group to discuss Toolkit documents, facilitators guide and training materials with location CHRO, Directors of HR/LER, trained facilitator, location counsel, Affirmative Action/Office for the Prevention of

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Harassment and Discrimination and faculty senate representation to annotate/customize documents for uniform use at location.

- i. Managers can use customized *Talent Review-Succession Meeting Preparation Checklist* (Toolkit) to guide steps for employee engagement
 1. Employees to complete customized *Career Discussion Sheets* (Toolkit)
 2. **AFTER the Career Discussion with each employee, managers should work with an HR trained facilitator to complete the first page of the customized Toolkit *Abilities and Aspirations* form and *Talent Profile* form for each employee.**
 3. HR and Manager can discuss what resources may be available to provide to employee for development
 - ii. Unit/Dept. Leadership Call to Action
 1. Hold supervisors accountable for employee development
 - a. Incorporate succession planning and talent development in manager performance evaluations and/or survey employees to see if they are having discussions about development and reward those managers that are meeting their talent development goals
5. Review the **Talent Benchstrength® Guide** (consider substitution of 9-box for other location approved objective criteria); consider which definition most closely matches the current career stage and development needs for each employee and be ready to discuss this in the Talent Review meeting. There is no need to submit this document to Human Resources, but be prepared to discuss this in the Talent Review meeting. Documentation must be kept and may be produced pursuant to CA law.
 6. Complete or update one *Succession Plan* form to identify Qualified and Future-Gap Successors for your own position, as well as your Emergency Plan when you are out of the office. **IMPORTANT:** Discuss your succession plan ideas with your own manager to ensure alignment on these decisions prior to a Talent Review meeting. Consider waiting to complete a *Succession Plan* form until after a pool of employees have begun development to potentially fill a future gap. A manger can then use objective criteria to complete or update a *Succession Plan* form based on outcomes from development programs and related measures.

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Appendix 4. Additional examples of talent and succession management efforts at UC locations

Through discussions with senior leaders and managers across the UC system, the Cohort collected a number of examples of talent and succession management programs in various stages of development. This Appendix provides brief descriptions of those programs. Note that this list is not a full accounting of all such programs at UC locations — the list represents only those programs mentioned by the leaders and managers interviewed by the Cohort.

UC ANR

Through recent strategic planning efforts, UC ANR has identified two key talent development and retention challenges. They are:

- Identifying and developing academic personnel who are willing and qualified to take on one of the 40+ County Director positions in the organization; and
- Recruiting and retaining entry- and mid-level positions throughout the organization.

Institutional effort and spending on talent development and retention in recent years have focused on addressing these issues. Two ongoing talent and succession management programs are:

1. County Director Institute: In 2018, UC ANR launched a County Director Institute that recruits high-potential academics into a cohort for training and development for County Director roles. It is a combination of succession management (in that participants are in some cases being prepared to fill specific vacancies) and leadership training. Part of the challenge for these roles is not just identifying qualified/promising people, but illustrating what is interesting/exciting about the role, which carries a significant administrative load.
2. Development of "workforce plans" for large statewide programs. This effort is creating clear pathways for advancement for entry- and mid-level staff, and organizational structures that are consistent across counties. The theory is to shift to a more consistent approach — e.g. for the ratio of supervisors to staff, and for position descriptions — and make it clear that opportunities for advancement do exist.

UCOP

An organization within UCOP has developed and implemented a succession planning model. This organization utilizes a twofold method. One method is to develop staff to support interim positions because these individuals do not want to assume permanent leadership roles but are willing to act until a permanent replacement is found. The other element is developing staff for permanent leadership roles.

Berkeley Lab

Over the last two to three years, Berkeley Lab's director developed and implemented a stewardship initiative that includes the use of a more holistic model for succession planning. This has led to an annual set of conversations in which the laboratory director and deputy directors for science and operations identify successors for their roles, their division directors, and key staff positions. The lab director participates in a discussion of these potential successors, their development plans, critical skills, and degree of readiness for their next role.

UC Berkeley

UC Berkeley has a training and development program called "Grow"⁶ which offers classes to grow employees' career, community, engagement, skills, and resources. Berkeley also has the Faculty Leadership Academy⁷ that is designed for tenured Berkeley faculty who are interested in developing skills and knowledge for leadership on the Berkeley campus. Some divisions have their internal professional development programs. The campus recently announced a new performance management program called "Achieve Together", which will replace the current annual review for non-represented staff. This new program will focus on the professional development of employees and managers through a series of regular check-in conversations and performance-driven goals.

UC Davis

UC Davis has initiated several leadership development programs:⁸

- The Administrative Officers of the Future program supports the university's commitment to develop and retain a distinguished and diverse staff and is intended to increase participants sense of community and commitment to UC Davis.
- The Leadership Challenge Development Program identifies the five best practices by leaders who get extraordinary things done in organizations. Individuals who increase the frequency of these five leadership practices have been proven to have higher credibility and higher performing teams. Leadership is learnable and individuals who experience The Leadership Challenge increase their leadership effectiveness.
- The Group Mentoring Program offers inclusive professional development activities that promotes a culture of leading by example and support.
- The Administrative Assistance Academy program is for employees interested in advancing within our healthcare environment and transitioning into an administrative assistant role or improving their current administrative skill set.

UC Irvine

⁶ See: <https://hr.berkeley.edu/grow>

⁷ See: <https://evcp.berkeley.edu/programs-resources/faculty-leadership-academy>

⁸ See: <https://hr.ucdavis.edu/departments/learning-dev/dev-programs/>

In 2016, UC Irvine began the Provost's Leadership Academy⁹ (PLA) geared towards faculty at UC Irvine who show promise as future leaders in positions including department chair, research center director, associate deans, deans, and vice provosts. Academia is in the midst of significant change with respect to funding, accountability and perceived relevance. One motivation for the PLA is to help educate future leaders who are knowledgeable about the changing external environment and are equipped to meet the challenges. The program comprises a one-day workshop followed by six two-hour sessions between December and May. Monthly sessions include activities led by leadership development professionals as well as time for subgroups to coordinate work on one of several campus projects. Each group provides a set of recommendations to the provost in May. Faculty participants are selected from a pool of nominations from deans, school equity advisors, and department chairs. Criteria for nomination are faculty who have leadership potential, are positive role models and have demonstrated or supported an activity to advance inclusive excellence at UCI. The program has been in place for three years, and is now taking a break to ensure there is a continued pool of people who are strongly interested.

UCLA

At UCLA, all the new deans and vice chancellors are required to participate in a Senior Administrative Leadership On-boarding Program that was designed and launched recently. In addition, the vice chancellor for administration has championed the development and implementation of new programs as well as continued long-standing programs. Examples include an 18-month repeating program "Leadership 20xx" for developing new leaders, a one-year Professional Development Program (PDP), and the Management Skills Assessment Program (MSAP).

UC San Francisco

At UCSF, a website¹⁰ for learning and development has been developed and implemented to assist managers in organizational needs and talent and succession planning management. The website shows gaps in terms of looking at organizational needs and in terms of talent and succession planning and management.

UC Santa Cruz

(See the description of programs in the Division of University Relations in the main report).

⁹ See: <https://provost.uci.edu/initiatives/provosts-leadership-academy/>

¹⁰ See: <https://learning.ucsf.edu/>