



Ingraining **Succession Planning** in Higher Education IT

Part of the CIO Leadership Series

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Additional Resources for IT Leaders

*2014 Report on Senior Executive
Succession Planning and Talent
Development*

David F. Larcker and Scott Saslow
Institute of Executive
Development and Stanford
University, 2014

<https://www.gsb.stanford.edu/sites/gsb/files/publication-pdf/cgri-survey-2014-senior-executive-succession.pdf>

*2014 Study of the Higher
Education Chief Information
Officer Roles and Responsibilities*

Wayne Brown, Ph.D.
Center for Higher Education Chief
Information Officer Studies, Inc.
www.chechs.org

CIO Succession Planning

Jerome P. DeSanto and Robyn L.
Dickinson
Inside Higher Ed, April 2014

<https://www.insidehighered.com/advice/2014/04/11/essay-urges-colleges-consider-succession-planning-cios>

*Information Technology in Higher
Education: 2014 Survey of Chief
Information Officers*

Leadership Board for CIO's, 2014
http://lbcio.org/wp-content/uploads/2011/01/LBCIO_2014_Survey_Final.pdf

*Technology in Higher Education:
Defining the Strategic Leader*

EDUCAUSE in partnership with
JISC, March 2015
<http://net.educause.edu/ir/library/pdf/pub9019.pdf>

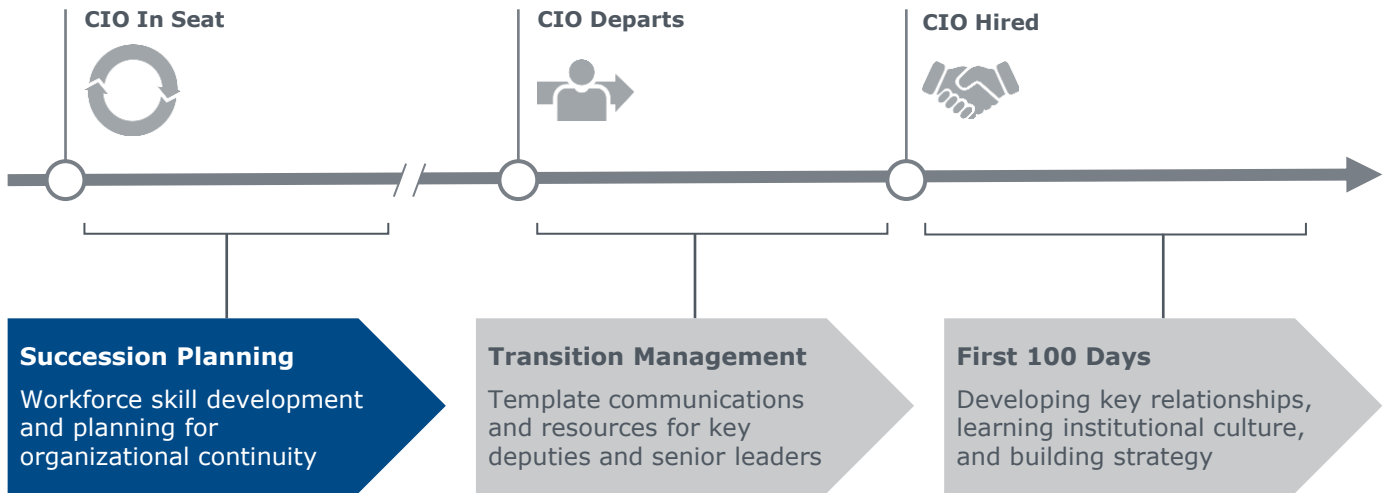
*Why Succession Planning Is
Critical to CIO Advancement*
Deloitte CIO Journal, October
2012

<http://deloitte.wsj.com/cio/2012/10/15/why-succession-planning-is-critical-to-cio-career-growth/>

The CIO Pipeline

Brian D. Voss
EDUCAUSE, April 2014
<http://www.educause.edu/blogs/bdvoss/cio-pipeline-part-1-strategist-vs-plumber-revisited>

IT Forum CIO Leadership Series



Resources:

- *Whitepaper*
- *Implementation Aids*

Resources:

- *Supervisor Guidance for Outgoing and Incoming CIOs*

Resources:

- *Whitepaper*
- *Implementation Aids*

Additional IT Leadership Resources



Additional IT leadership resources, covering succession planning, transition management, and first 100 days can be found on the IT Forum's CIO Leadership Resources website.

To learn more, visit:
eab.com/itf/cioleadership

Road Map for Discussion

1 The Importance of Succession Planning

2 Identifying Knowledge and Skill Gaps

3 Developing the Next Generation of IT Leaders

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An Aging Group of Leaders

The general aging of the IT workforce, and especially CIOs, has increased the need for succession planning with higher education IT. Over 40 percent of CIOs are over 55 years old, and 47 percent of CIOs plan to retire within the next 10 years.

Beyond retirement, CIOs may also leave to take other positions. In 2014, approximately 35 percent of higher education CIOs held a CIO position in their previous job, the majority of which likely came from inside the industry, and 18 percent of CIOs held the same role two positions ago.

This high rate of turnover within the CIO role, along with the aging IT workforce in general, warrants succession planning for smooth staffing transitions throughout IT.

Getting Ready for a New Generation of IT Leaders

Three-Quarters of Current CIOs Over 45 Years Old



43%

of CIOs were older than 55 years old in 2014

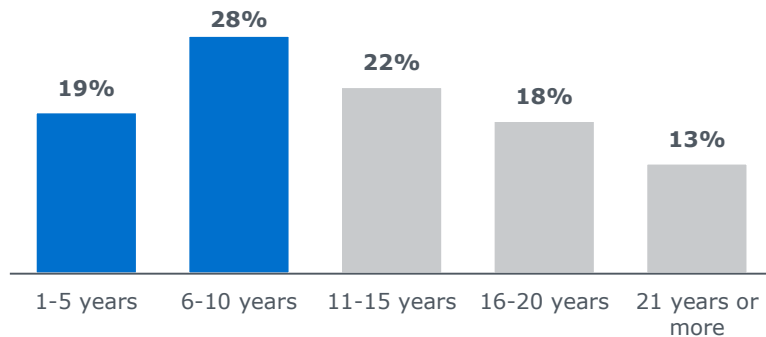


34%

of CIOs were 46 to 55 years old in 2014

One-Fifth of CIOs to Retire Within Five Years; Almost Half in Ten Years

When Do You Plan to Retire from the CIO Position?



Graying of the IT Workforce

“As an institution, we have a more senior workforce. Approaching a third of university employees are eligible for retirement right now, and IT is even higher. Close to 40 percent of IT staff are currently eligible for retirement.”

*Alex Henson, CIO
Virginia Commonwealth University*

Source: “Information Technology in Higher Education 2014 Survey of Chief Information Officers Executive Summary,” Leadership Board for CIOs (2014); Wayne Brown, “2014 Study of the Higher Education Chief Information Officer Roles and Effectiveness,” Center for Higher Education Chief Information Officer Studies, Inc. (2014); EAB interviews and analysis.

Succession Planning Important in Theory...

Although across industries senior executives generally agree that succession planning is important, few actually have formal succession planning mechanisms in place.

This holds true within IT as well. Approximately 79 percent of the 1,400 CIOs polled by Robert Half Technology in 2012 report they have not identified a potential replacement for the CIO role.

The reason for the lack of succession planning, according to the *2014 Report on Senior Executive Succession Planning and Talent Development*, "tends to be cultural: the majority of companies do not have honest and open discussions about executive performance, not do they allocate sufficient time to the process of identifying and grooming successors." This lack of open culture about succession planning may cause wide disinterest in the topic, as leaders may fear that if they bring up the topic, others may determine he or she plans to leave the institution. Leaders may also fear that they will lose their top staff if they aspire to a currently filled position or even lose their own positions if a potential successor is deemed to be more promising.

...But Rare in Practice

Succession Planning on CIOs' Radars

Over 50 Percent of CIOs Consider Succession Planning a Moderate or High Priority



And Almost All CIOs Interested in Succession Planning

85 Percent of CIOs Maintain a Moderate or High Interest in Succession Planning



But Few Actually Acting on the Interest

Fears and Other Priorities Holding CIOs Back



"What if my planned successors decide they're ready for a move before their supervisors are?"



"I barely have the time to accomplish my own responsibilities, how can I take this on too?"



"What if my boss thinks my mentee would perform better as a CIO than I'm doing now?"



"Why would I need a succession plan if I don't plan on leaving here any time soon?"

Source: "Information Technology in Higher Education 2014 Survey of Chief Information Officers Executive Summary," Leadership Board for CIOs (2014); Ann Bednarz, "CIO Succession: Promote from within vs. Hire an Outsider," Network World (2012); David Larcker and Scott Saslow, "2014 Report on Senior Executive Succession Planning and Talent Development," Institute of Executive Development and Stanford University (2014); EAB interviews and analysis.

A Necessity for Organizational Continuity

Succession planning is applicable to any unit in the institution, but is particularly helpful to IT departments because of constant change within the field.

First, IT's role may change more than any other office on campus, yet some IT position descriptions were written years ago, and fail to match actual staff responsibilities. Outdated responsibilities hinder leaders from deciding who can best fill vacant positions.

Second, like in any unit, people may come and go at any moment. CIOs generally have a lower average length of tenure before leaving the position than other executive officers. Joanna Young, CIO at Michigan State University, says "You need to be thinking about succession planning the first day you walk on the job, not the point you will be walking on." By this point, it's too late to provide a potential successor the necessary knowledge for organizational continuity.

Adaptability and Flexibility Key to Success

Annual Position Description Reviews Keep Responsibilities Up-to-Date



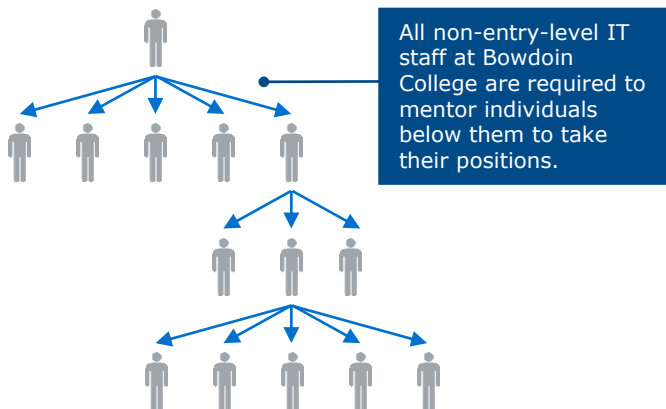
An Ever-Evolving Role

"Unlike other executive positions, the precise definition of what a CIO does is still a moving target. Yes, the CIO is responsible for overall technology strategy, execution, budget, etc., but that's not all of it. In today's rapidly changing technology landscape, many CIOs are expected to be the technology prognosticators, somehow magically peering into their crystal balls to predict the technology future. On the other end of that spectrum, many CIOs are still viewed as the chief 'techie' guy, the one everybody looks toward when somebody's presentation isn't working at the board meeting.

The truth, of course, is somewhere in the middle of those two extremes."

*Frank Petersmark, CIO Advocate
X by 2*

Paying It Downward



Source: Frank Petersmark, "Who's Next? CIO Succession Planning," Insurance Thought Leadership (2014); EAB insights and analysis.

The Power of a Deep Bench

Succession plans should be at least three-deep in terms of individuals identified and should consider multiple time horizons. As part of its business continuity plan, Georgetown University’s IT department maintains succession plans for the absence of all IT staff – lead replacement, deputy replacement, and alternate replacement.

Interviewees also note that there should be a degree of intentionality involved in succession planning, but plans must be flexible enough to allow for unforeseen circumstances or changes in institutional goals. EAB recommends CIOs name an immediate successor for unplanned, immediate absences; at least one groomed successor for future transitions, whether temporary or permanent; and “wild card” options. These wild cards help promote diversity in succession planning thinking and encourage the idea that leadership is more important than technical knowledge for CIOs.

Obtaining Flexibility through Multiple Succession Plans

Multiple Categories of Successors Support Optimal Leadership Continuity



Immediate

- Can step into the role in case of unexpected vacancy; primarily focused on operations rather than strategy



Groomed

- Deliberately being trained in developing both tactical and strategic capabilities



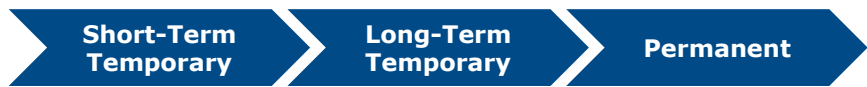
Wild Card

- Demonstrates excellent potential for leadership, but lacks experience

Where to Find Wild Cards:

Wild cards can be found anywhere on campus – they do not have to be from within IT. Potential areas to find wild cards may be within faculty (e.g., the business school) or process-based administrative areas.

Multiple Planned Time Horizons Enable Adaptability to Different Situations



“Band-Aid”

- For cases in which the staff member is absent for less than two weeks (planned or unexpectedly).
- Allows for seamless continuity for operational tasks

“Sling”

- For cases in which the staff member is absent for more than two weeks (planned or unexpectedly).
- Allows for progression on strategic issues

“Transplant”

- For cases in which the staff member will not return to the team or organization.
- Allows for smooth transitions during staffing changes

Take Advantage of Otherwise Unfortunate Situations:

When one interviewee had to take a three month break for medical treatment, his mentee had a trial run of the CIO role – with full decision making authority – during the CIO’s absence.

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Avoiding Failure Points

Many CIOs use succession planning not only to identify potential successors and leaders, but also for risk reduction.

At Virginia Commonwealth University, the CIO requires that all managers submit employee evaluations to him. These evaluations help the CIO identify, along with potential future leaders and skill proficiencies, potential technology failure points due to loss of staff.

Ideally, information from such reports would be collected in one database to enable easy tracking and identification upon unplanned absences or losses. Such a technical responsibility matrix helps IT leaders easily identify the potential failure points and what technologies existing or new staff need to understand.



Technical Responsibility Matrix

- Systems to consider when building a technical responsibility matrix
- Page 21

Technical Skills Reviews Identify At-Risk Knowledge

Directors Submit Employee Evaluations to CIO for Collective Review



Contains:

- Technical skills inventory
- Risk of employee leaving
- Non-technical skill assessment
- Employee's career aspirations
- Alignment of position to IT and institutional strategic goals



Informs:

- Technical responsibility matrix
- Technical responsibility matrix
- Employee skills matrix
- Employee skills matrix
- Position evaluation

Technical Responsibility Matrix Helps Identify Potential Knowledge Gaps

Systems	Primary Knowledge Owners	Secondary Knowledge Owners	Risk for Gap
Banner <i>SIS</i>	<ul style="list-style-type: none"> • Alyse Chun • Latoya Ruocco 	<ul style="list-style-type: none"> • Priya Jani • David Smith 	• Low Risk
Canvas <i>LMS</i>	<ul style="list-style-type: none"> • Chris Pedroza • Hank Georges 	<ul style="list-style-type: none"> • Anderson Leer • Julie Blythe 	• Low Risk
Salesforce <i>CRM</i>	<ul style="list-style-type: none"> • Juan Delecruz • Justine Pulido 	<ul style="list-style-type: none"> • Anderson Leer 	• Medium Risk
Lightboard <i>Lecture Capture</i>	<ul style="list-style-type: none"> • Martin Lankman 	<ul style="list-style-type: none"> • None 	• High Risk

Estimate staff members' potential time to departure to identify single points of failure and where gaps can unexpectedly occur


Source: EAB interviews and analysis.

Building a Stronger Workforce

Succession planning requires leaders to understand the current skills base of employees. Typically, supervisors gather this information formally (in performance reviews) or informally (in discussions with employees) but do not compile it across the department. Leaders who desire a comprehensive view of the skills base should develop a matrix of employees, current skills, and potential development areas.

The employee skills matrix should not just assess employees on the skills needed for their current position, but also general skills needed for advancement within the department (e.g., leadership, oral communication skills). This provides the IT leaders with a snapshot of current IT capabilities as well as future potential.

Such an extensive view of employee capabilities across the organization enables CIOs and other IT leaders to better match employee skills to current requirements.

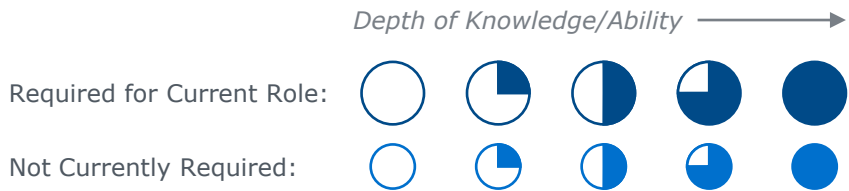


Employee Skill Matrix

- Skills to consider when building an employee skills matrix
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Core Skills Reviews Inform Development, Realignment

Employee Skills Matrix Identifies Development Areas

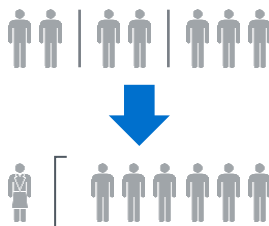


Employee/ Role	Project Management	Leadership	Customer Service	Presentation
Sue Donner <i>Dir. of Networking</i>	◐	◑	○	◑
Ted Hilton <i>Dir. of Project Management Office</i>	●	◑	◑	◐
Canji Wu <i>Technical Support Specialist</i>	○	○	◑	◐

Matrix Also Identifies Potential Organizational Changes; Staff Redeployment



Realign to Create New Teams for Future Strategies

Seven Distributed Identity Management Staff to One Team



Realign to Get Most out of Current Skillsets

Information Security Staff Roles Adjusted to Play to Individual Strengths

-  Best writer takes on new role overseeing policy development and outreach; best technical staff focus on intrusion and detection
-  CISO focuses on strategic plan for information security awareness

Source: EAB interviews and analysis.

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Core Competencies

Although success in campus IT director roles requires many skills, most of them fall into the following five categories: technical, business, higher education, interpersonal, and leadership.

Interviewees note that the technical capabilities are the easiest for aspiring IT leaders to learn; much harder are budgeting and strategic thinking, with which rising CIOs may have minimal experience. Most difficult is organizational leadership – making the right hiring and firing decisions, motivating teams, and communicating priorities within and outside of IT.

Leadership and interpersonal skills become more important for CIOs than IT directors; counterintuitively, technology becomes less important. As CIOs have become more strategic partners within higher education leadership teams, their focus has changed from technology implementation mastery to application of technology to solve campus problems. This shift requires CIOs to understand campus issues and diplomacy to assist with change management.

Five Areas in Which IT Leaders Must Be Knowledgeable



Technical

Importance to CIOs:



Importance to IT Directors:



Business

Importance to CIOs:



Importance to IT Directors:



Higher Education

Importance to CIOs:



Importance to IT Directors:



Interpersonal

Importance to CIOs:



Importance to IT Directors:



Leadership

Importance to CIOs:



Importance to IT Directors:



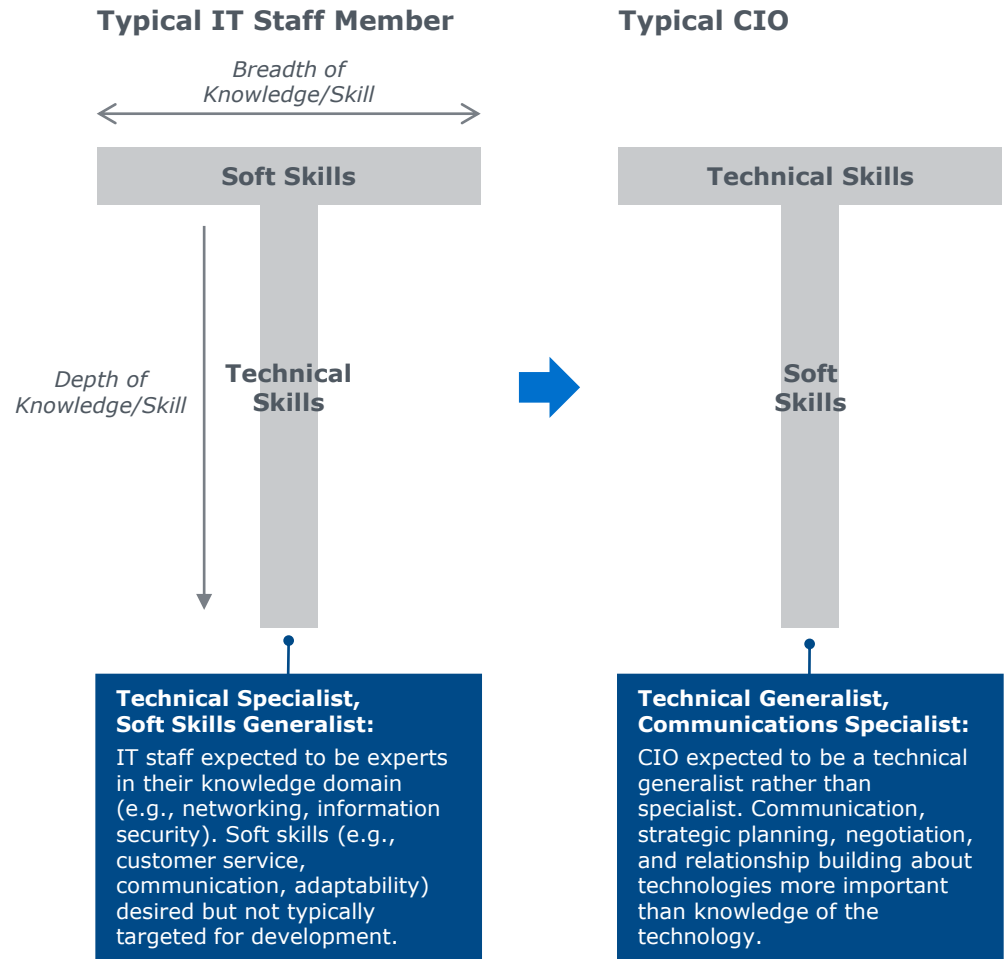
Source: EAB interviews and analysis.

From Technical Specialist to Technical Generalist

Presidential cabinet members typically take a different view of the requirements for success in the CIO role than CIOs do. While CIOs rate technical proficiency fairly low in importance for their success, other cabinet members identify this capability as most important for CIOs to possess.

This disconnect exists because CIOs rely on their team members to be the experts for technology implementation and support. CIOs must take a broader perspective on technology as they focus on innovation, governance, and institutional culture. As many CIOs would state, there is a reason their titles are Chief Information Officers and not Chief Technology Officers – technology is only one tool to achieve the institution’s, and thus the CIO’s, goals.

Inverting the T



The Technical Expert?

31% CIOs polled who rate **Technical Proficiency** as High or Very High in importance of skills needed to be a successful CIO

Source: Pam Arroway et al., "The Higher Education CIO: Portrait of Today, Landscape of Tomorrow," EDUCAUSE (2011); EAB interviews and analysis.

A New Brand of Management

As IT costs can compose between four and nine percent of institution revenues, CIOs often come under scrutiny from other campus leaders about IT costs. CIOs must not only manage that large budget and related vendors, but also promote the brand of IT on campus from an operational, boxes-and-wires, unit to a key strategic partner.

When choosing mentees, CIOs demonstrate an increased desire for business acumen than years past. In the 2014 Survey of Chief Information Officers by the Leadership Board for CIOs, 63 percent of CIOs reported that business knowledge was a part of their selection criteria for mentees, up from 53 percent in 2013.

Wayne Brown, VP for Information Technology at Excelsior College, notes, "As CIOs, we have the view of entire the institution. ERP and collective systems cover all business processes from trying to recruit students, to graduation, to career services and alumni. No other executive but the president has the view CIOs have." This unique perspective enables the CIO to act as a business process engineer across campus.

Core Business Areas Aspiring CIOs Must Master



Marketing and Brand Management

Expectations

- Move perception of IT from a cost center to a critical, strategic partner

Development Opportunities

- Draft a section of an IT annual report
- Compose an email announcement concerning a recent IT department achievement



Budgeting and Financial Management

Expectations

- Keep current systems running while enabling proactive work and innovation

Development Opportunities

- Develop and oversee budget for a new IT project
- Review previous year's budget and identify opportunities for improvement next year



Negotiation and Vendor Management

Expectations

- Develop relationships with vendors to achieve optimal balance of service and cost

Development Opportunities

- Conduct a market analysis for a new technology
- Oversee negotiations with vendor for price and services
- Attend vendor focus groups to communicate institutional needs and perspectives



Business Process Reengineer

Expectations

- Identify potentially inefficient operations for automation and behavioral changes

Development Opportunities

- Attend leadership meetings of different units and provide advice on their strategic plans
- Hold focus groups for technology users to determine gaps between current processes and more efficient processes
- Lead project focused on changing existing business processes

Source: EAB insights and analysis.

Taking an Ethnographic Lens on Higher Ed

As discussed before, the CIO role is less about leading technology than helping to apply technology to the campus environment to solve problems. Although all current higher education IT staff already work in the industry, and over three-quarters of CIOs came from higher education, IT maintains a reputation of being siloed off from the rest of the institution and not understanding other campus members' needs.

To understand the intricacies of a campus, aspiring IT leaders must become involved in different campus activities, from attending administration meetings to teaching or taking courses with students.

To elevate the higher education knowledge of his IT staff, the CIO at Virginia Commonwealth University invites department directors to present at division-wide meetings. Recent speakers include the Associate Vice President of Facilities Management, who presented about the university's master planning efforts, and the Assistant Vice President of Public Safety, who spoke about campus law enforcement. These discussions better connect IT staff's work to institutional goals.

Learning the Higher Education Culture and Environment

No Better Way to Learn about the Institution than to View It from a Stakeholder's Perspective

Administration



- Meet with administrators informally (e.g., over coffee)
- Attend campus leadership meetings

Faculty



- Teach courses
- Attend Faculty Senate meetings

Student



- Take courses and participate in group projects
- Attend IT student focus group meetings

Potential Meetings Include:

- Presidential Cabinet Meetings
- Financial Management Committee Meetings
- Strategic Planning Committee Meetings

Higher Education Good-to-Knows for Aspiring IT Leaders

Academics

- Admissions processes
- Academic programs offered
- Faculty roles and incentives
- Online and distance education trends

Finance

- Higher education finances (e.g., budget model, funding mechanisms)
- Sources of institutional revenue
- Past and predicted trends in funding

Institutional Strategy

- Institutional strategic goals
- How the institution measures success
- Incentives for campus leaders

Departmental Strategy

- Enrollment goals and performance
- Advancement goals and performance
- HR goals and performance

Source: Wayne Brown, "2014 Study of the Higher Education Chief Information Officer Roles and Effectiveness," Center for Higher Education Chief Information Officer Studies, Inc. (2014); EAB interviews and analysis.

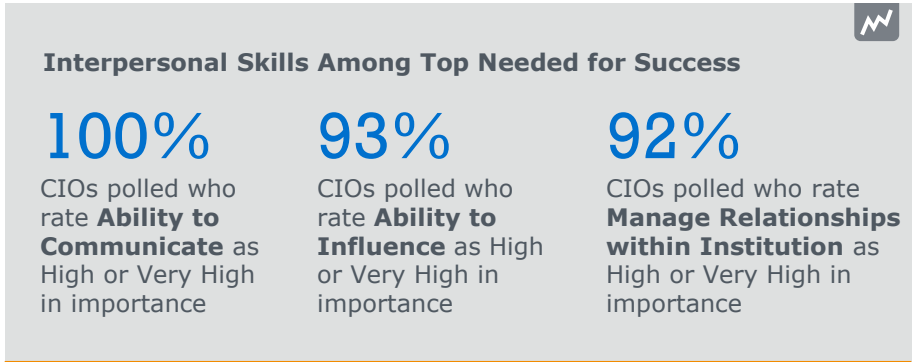
Communication is Key

CIOs typically rate strong interpersonal and communication goals as the most important skills required for success in IT leadership. In prior years, some CIOs measured their effectiveness by how “behind-the-scenes” IT was. Now, IT is visibly involved in many institutional strategic priorities, such as business intelligence and student success.

To drive change management, CIOs must be effective in persuasion, empathy, diplomacy, and more. Current CIOs recommend that aspiring CIOs develop these skills by emerging from the IT department and becoming a visible presence across campus – attending and presenting at meetings or even leading campus committees.

This visibility is integral to help build credibility and campus members confidence in current and future IT leadership. Participation in campus activities provides opportunities for relationship building and general campus member engagement with IT.

Social Skills a Must-Have for Change Management



Taking the CIO’s Spot at the Podium and Table



Aspiring IT leaders **make presentations** at meetings in place of the CIO to increase public speaking skills and become familiar with answering stakeholder questions



Aspiring IT leaders **lead committee meetings** that the CIO typically attends to learn how to manage high-level conversations and think strategically

Building Relationships Increases Visibility, Helps Ensure Continuity

Important Relationships for IT Leaders

- Provost
- Associate Provosts
- Chief Business Officer
- Faculty Senate Leaders
- Director of Institutional Research
- University Librarian

Visibility Critical to Others’ Confidence

“You have to give the individual visibility. If they’re hidden behind the scenes, when the time comes when they’re able to assume the responsibility, people may say that’s a behind-the-scenes person, they can’t do the public ceremonial or coordinating aspect of that job at a much higher level, so you have to expose them to those kinds of things.”

*Jerry DeSanto, EVP
John Carroll University*

Source: Pam Arroway et al., “The Higher Education CIO: Portrait of Today, Landscape of Tomorrow,” EDUCAUSE (2011); EAB interviews and analysis.

From Follower to Leader, Operations to Strategy

Potentially more than any other skill required for success in senior IT roles, leadership is best learned through practical experience and on-the-job training.

Development opportunities exist both internally and externally. Within an IT staff member's institution, oversight of or shadowing a project provides experiences to requirements and challenges outside of staff members' typical responsibilities.

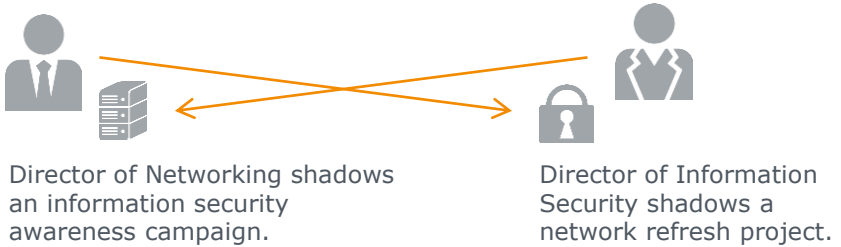
CIO absences provide an opportunity for aspiring leaders to experience the CIO role. Extended periods of CIO leave supply IT directors long-term exposure. Wayne Brown, the Vice President of Information Technology at Excelsior College, also provides day-long acting CIO experiences whenever he is absent, rotating the opportunity among five IT directors who aspire to become CIOs.

Mitch Davis, CIO at Bowdoin College, identifies external learning opportunities for his team through relationships with peers and external organizations. Directors act as consultants to other organizations, and bring back valuable experience and knowledge.

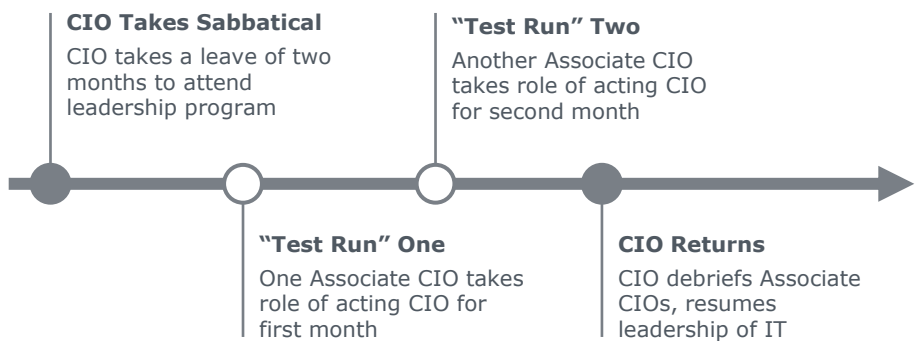
Leading in Unfamiliar Territories

Internal:

Cross-Training Develops Project Management of an Unfamiliar Topic, Breadth of Knowledge



CIO's Long-Term Absence Offers Opportunity for Acting CIO Roles



External:

Consulting Opportunities Develop Leadership and Communication Skills



Source: EAB insights and analysis.

Road Map for Discussion

- 1 The Importance of Succession Planning
- 2 Identifying Knowledge and Skill Gaps
- 3 Developing the Next Generation of IT Leaders
- 4 Appendix

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Technical Responsibility Matrix

Implementation Guidance

Items to Include in a Technical Responsibility Matrix

Choose your institution's technologies from the below guidelines as well as any other relevant technologies supported by IT on your campus.

Level of Institution Importance	Failures May Result In	Example Technologies
Mission Critical	Wide-spread business stoppage and risk of external reputational loss	<ul style="list-style-type: none"> • ERP • SIS • LMS • HRIS • Data Center • Wireless Internet • Emergency Notification
Essential	Risk of revenue loss, negative stakeholder satisfaction, and compliance violation	<ul style="list-style-type: none"> • CRM • Institutional website • Email/Calendar • Degree Planning • Reporting and Analytics Tools • Virtual Desktop Infrastructure
Supporting	Moderate loss of stakeholder productivity and satisfaction	<ul style="list-style-type: none"> • Document Management • Lecture Capture • Social Media



Technical Responsibility Matrix

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Source: "Application Criticality," IT Business Value Blog, TechNet (2009); EAB interviews and analysis.

Employee Skills Matrix

Implementation Guidance

Soft Skills to Include in an Employee Skills Matrix

Choose from the below skills depending on what you consider important for your organization's success.



Technical

- Emerging Technology Awareness
- Mainstream Technology Awareness



Business Acumen

- Brand Management and Marketing
- Budgeting and Financial Management
- Business Process Reengineering
- Change Management
- Customer Service
- Negotiation
- Project Management
- Vendor Management



Higher Education

- Higher Education Organization
- Pedagogical Theory
- Trends in Higher Education



Interpersonal

- Credibility among Executive Administration
- Credibility among Peers
- Cultural Awareness
- Diplomacy
- Presentation and Oral Communication Skills
- Relationship Building
- Translation of Technical Ideas to Layperson Level
- Written Communication Skills



Leadership

- Accountability
- Adaptability
- Charisma
- Crisis Management
- Critical Thinking
- Expectation Setting and Management
- Foresight
- Innovative Thinking
- Persuasion
- Strategic Thinking
- Talent Identification and Development
- Team Building



Employee Skills Matrix

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Source: "Technology in Higher Education: Defining the Strategic Leader," EDUCAUSE in partnership with Jisc (2015); EAB interviews and analysis.



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