The Dissertation Committee for Leslie Anne Wright Coward Certifies that this is the approved version of the following dissertation:

A Quantitative Study: Administrative Leaders' Perceptions of Succession Planning and Management Practices Within Community Colleges

Committee:

Mark A. Gooden, Supervisor

John E. Roueche

Julian Vasquez Heilig

Johnny S. Butler

Suanne D. Roueche

Aileen Bumphus

A Quantitative Study: Administrative Leaders' Perceptions of Succession Planning and Management Practices Within Community Colleges

by

Leslie Anne Wright Coward, B.S., M.P.A.

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Dedication

Through the guidance of my parents, I recognize that education is the gateway to success.

Education brought our forefathers and mothers through and will carry us forward.

This research is dedicated to the next generation,

Linzi Alahn Wright

LeMil Bianca and Anthony Daniel Dabney

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Raveen Alexis Johnson, and

those who will follow.

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"For I know the plans I have for you," declares the LORD, "plans to prosper you and not to harm you, plans to give you hope and a future." Jeremiah 29:11

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A Quantitative Study: Administrative Leaders' Perceptions of Succession Planning and Management Practices Within Community Colleges

Leslie Anne Wright Coward, Ph.D.

The University of Texas at Austin, 2012

Supervisor: Mark A. Gooden

The purpose of this quantitative study was to examine the perceptions of senior administrative and middle manager community college leaders regarding current succession planning and management practices occurring within their institutions. Three research questions guided this study: (1) Is the four succession planning and management components structurally related, (2) Is there a difference in how senior administrative and middle manager leaders evaluate succession planning and management components, and (3) Is there a difference between size and location of institution in regards to status of succession planning and management components? A suitable succession planning and management instrument was not found; therefore, the Wright-Coward Succession Planning and Management Survey (WCSPMS) instrument was developed. An exploratory factor analysis was used to address research question one and test the structural relationship of the common succession planning and management components of the survey. A second statistical procedure, multivariate analysis of variance, was used

to analyze differences between the four dependent measures of succession planning and management and leadership level, and institutional factors. Findings from this study suggested (1) items on the WCSPMS instrument are correlated and three relatively independent succession planning and management factors are associated with the 20 underlying items, and (2) there is a statistical significant difference between leadership level in regards to perceptions of succession planning and management practices. Furthermore, this study indicated there is much work to be done by community college leaders in the area of succession planning and management.

Table of Contents

List of Tables

List of Figures

Chapter One: Introduction

Overview

Community colleges are leaders in training America's workforce and are "vital to the future of this nation. It will be the community college that will keep America working" (Kubala, 1999, p. 183). These institutions, with their unique history, require leaders that understand their missions and connections to the community. The availability and readiness of future community college leaders are at a critical stage due to the projected retirement of baby boomers. The shrinking pool of community college leaders and senior administrators will place the leadership pipeline at risk (Duree, 2007; Fulton-Calkins & Milling, 2005; Shults, 2001; Weisman and Vaughn, 2007).

According to Fulton-Calkins & Milling (2005), "700 new community college presidents and campus heads, 1800 new upper-level administrators, and 30,000 new faculty" are needed at all levels of leadership in two-year institutions" (p. 235). Weisman and Vaughn (2007) and Duree (2007) indicated that 84% of current presidents plan to retire by 2016. Following the same trend are long-term administrators and faculty who began their careers in the 1960s and 1970s. These senior administrators will retire alongside the side of many of today's college presidents (Shults, 2001; Brint & Karabel, 1989). Consequently, the ability to develop the leadership pipeline to fill the employment gap with qualified leaders is perhaps one of the greatest challenges facing community colleges. Therefore, it is vital to ensure thorough development of the next generation of leaders.

Davis (2010), Duree (2007), Gonzalez (2010), Mateso (2010), the American Association of Community Colleges (2009), King and Gomez (2008), Witt & Kiefer (2008), Rothwell (2005, 2010), and Wallin, Cameron, and Kent (2005) have all contended the best way to address the ensuing leadership crisis is to introduce succession planning and management. Community colleges have the ability to reduce the talent and skills gaps of potential administrative leaders by developing a comprehensive succession plan that entails (1) identifying employees eligible for retirement, (2) assessing current skills and determining future competencies, (3) developing and managing organizational talent, and (4) collecting data to determine plan effectiveness (Clunies, 2007; Rothwell, 2010). It is essential for community colleges to identify new leaders and to give them the opportunity to acquire and practice the skills needed to lead twenty-first century institutions (Shults, 2001).

Chapter one presents an overview of the leadership crisis and provides a description of the quantitative study that examines succession planning and management practices occurring within community colleges from the perspectives of senior administrative and middle manager leaders. The results of the study provide information vital to (1) the executive leadership in community colleges about the use succession planning and management practices occurring in community colleges and (2) community colleges with methods of integrating proven business practices into higher education leadership development programs so as to diminish the potential void in key leadership positions.

Background of the Problem

The aging population of executive and senior leaders will leave a gap in multiple levels of leadership in the community college. With nearly 90 percent of community college presidents coming from senior ranks of leadership, it is important to review the process, training, and development for future leaders. Works by Banach (1994), Cohen, Brawer, and Associates (1994), Hammer and Champy (1993), Harris (1996), McFarlin, Crittenden, and Ebbers (1999), and Vaughn (1986, 1989, 2001) have reported on the impending leadership gap and have stressed the necessity to develop the next generation of executive leadership in order to meet the unique needs of the community and students successfully. These authors, along with advocacy organizations and professional associations, such as the American Association of Community Colleges (AACC), the League for Innovation in the Community College (the League), and the American Council on Education (ACE), have all acknowledged the need for community colleges to focus on strengthening their leadership talent pool.

The anticipated retirements and ongoing loss of key executive and senior leaders are projected to have a negative impact on the leadership and success of community colleges. Shults (2001) opined, "With the retirement of these leaders, their inestimable experience and history, as well as intimate understanding of the community college mission, values, and culture, will disappear, leaving an enormous gap in the collective memory and the leadership of community colleges" (p. 2). The gap in employment will become even greater as community colleges compete to fill open positions with candidates who have the skills required to lead twenty-first century institutions.

Therefore, it is necessary to examine the development of future leaders to ensure the continued effective performance of an organization. Institutions have been advised that the best manner to address the leadership gap, due to the lack of available and qualified talent, is to develop future leaders through use of succession planning and management (King and Gomez, 2008; Rothwell, 2010; Reester, 2008; Shults, 2001).

Studies conducted by Amey (2006), Amey and van der Linden (2002), Boggs (2002, 2003), Duree (2007), King & Gomez (2008), Shults (2001), and Weisman and Vaughn (2007) expanded the research pertaining to the retirement of community college presidents. The research detailed the critical nature of the exodus of individuals in key leadership positions and the impact that exodus will have on higher education administrators exiting the workforce. Hence, the gap in leadership can no longer be treated as a trivial matter.

Indubitably, the ability to combat or favorably address the projected loss of experienced administrators will require planning. Community colleges, with their distinctive characteristics, must plan to ensure continuity of leadership. Hazarika (2009) noted: "The depth and quality of an organization's leadership are the most important determinants of the organization's future" (p. 8). Therefore, it is imperative to ensure the development of future community college leaders. The continuity and development of future community college leaders who understand the history and structure of the institution are critical to an organization's success. Hence, AACC, the League, ACE, and other community college supporters have encouraged community colleges to plan for the ensuing gap of critical positions through the use of succession planning (Gibson-

Benninger, Ratcliff, & Rhoads, 1996; Katsinas, 1996; Filan, 1999; Boggs, 2003; Miller & Pope, 2003; AACC, 2005; Amey, 2006; Wallin, 2006).

Helton and Jackson (2007) stated: "Succession planning provides leaders with a strategy to tap into institutional knowledge that would otherwise be lost due to retirement, promotion, and general attrition" (p. 336). Succession planning and management strategies help organizations to develop future leaders and to ensure that there is an available and qualified pool of talent to fill potential leadership roles. Succession planning not only addresses the loss of talent, but also provides a method of retaining and developing individuals while transferring institutional knowledge (Rothwell, 2010).

According to Grusky (1960), organizations must adapt to changing environments to meet their goals and objectives. Succession planning is a practice that many businesses have used to prevent loss of continuity in leadership as a result of untimely departures due to death and planned departures as a result of retirement (Worrell & Davidson, 1987; Axelrod, Handfield-Jones & Welsh, 2000). In spite of various business successes, succession planning and management is a practice that has been slow to transition to universities and colleges because of their complex governance structures (Wallin, Cameron & Sharples, 2005; Davis, 2010; Gonzalez, 2010; Rothwell, 2010; Witt & Kiefer, 2008). Davis (2010) and Rothwell (2010) admitted that barriers to effective succession planning in higher education have been due to the lack of knowledge about the process, to the different terms used to identify succession planning and management practices, and to the transferability of a business model to academia. In an earlier study, Barker (2006) concluded: "Leadership succession at all levels is, therefore, an

underestimated dimension in school improvement" and therefore is important to the continued growth of the organization (p. 290).

Fulmer (2002) and Wallin et al. (2005) identified some benefits that accrued to colleges and universities who adopted succession planning and management program practices to develop future leaders. The authors agreed that it is a process that must reach beyond the executive level of the organization and must become a part of the institutional culture. Studies conducted by these authors document that succession planning and management is a systematic process that identifies and develops employees, assesses current and required skills, evaluates long-term growth, and creates a pool of qualified talent. Business and family-owned corporations have noted the importance of the leader development and succession planning based on increased employee morale and investor returns (Worrell & Davidson, 1987; Sharma, Chrisman, & Chua, 2003).

There is growing attention within higher education, especially at two-year institutions, which focused on the availability of qualified talent to lead these institutions with their complex structures. In fact, community colleges are being advised to plan for the ensuing leadership gap. ACE (2010) developed a *Tool Ki*t for succession planning to assist colleges and universities with implementing succession planning in higher education. Leaders of community colleges have a unique role from which to meet the needs of the institutions and communities that they serve. Although succession planning has been recommended as a means to ensure the continuity of leadership, it is not known if colleges have taken the steps to combat the leadership gap through effective succession

planning and management practices (ACE, 2010; Davis, 2010; Duree, 2007; Rothwell, 2010; Wallin et al., 2005).

Despite an increased interest in succession planning, it is surprising that so little empirical research has been conducted on the topic as related to higher education, especially community colleges. The application of succession planning within the higher education setting still waivers in research beyond the executive level. Very few studies have focused on the use of succession planning and management in higher education. For this reason, this quantitative descriptive research study will evaluate the use of succession planning and management components as perceived by senior administrative and middle manager leaders.

Statement of the Problem

In much of the literature, the research data have indicated that the senior leaders in community colleges are eligible for retirement. The researchers of these studies predicted there would be a large exodus of key employees who could retire as early as 2011, thereby creating a crisis in community colleges (Amey & Van Der Linden, 2002; King & Gomez, 2008; Weisman & Vaughn, 2002). In response to the leadership crisis, many researchers and advocacy organizations have endorsed succession planning and management as the key for community colleges to meet their goals and objectives (AACC, 2009a; Davis, 2010, Gonzalez, 2010; King & Gomez, 2008; Rothwell, 2010; Wallin et al., 2005; Witt & Kiefer, 2008). Research has documented that succession planning is a practice that has been used to develop and train employees and prepare for

changes in human capital needs (Axelrod, Handfield-Jones, & Welsh, 2000; Worrell & Davidson, 1987). However, higher education institutions, specifically community colleges, lag behind many businesses and not-for-profit organizations in planning for the next generation of leadership through the use of succession planning and management.

Although community colleges have been slow to transition to the use of succession planning and management practices, it is becoming increasingly risky to delay planning for the ensuing leadership crisis. Therefore, community colleges must take steps to plan for changes in leadership. The push for succession planning and management in community colleges, coupled with the lack of information about current succession practices, could severely impact institutions' preparation for the ensuing leadership crisis. Community colleges and their administrators can benefit from having a plan to assist with organizational change due to the exodus of those in key leadership positions (Davis, 2010; Duree, 2007; Mateso, 2010; Wallin et al., 2005; Witt & Kiefer, 2008). Therefore, a study of succession planning and management practices within community colleges is warranted.

Purpose of the Study

The purpose of this study was threefold. First, the study was conducted to confirm that the four components of succession planning and management are structurally related. The second purpose of this study was to evaluate the status of succession planning and management components at community colleges, as perceived by senior administrative and middle manager leaders. A third purpose of this empirical

investigation was to evaluate the differences between institutional factors and succession planning and management components.

Significance of the Study

A study of senior administrative and middle manager leaders' perceptions of succession planning and management practices - defined here as communicate expectations, organization assessment and alignment, talent training and development, and process evaluation - are important for several reasons: providing a framework for administrators to develop succession planning and management programs in community colleges; enlightening community college administrators about succession planning and management practices and their applicability to higher education; and contributing to the student body of knowledge by evaluating current succession planning and management practices within community colleges.

Nature of the Study

According to Boudah (2011), a descriptive design provides a broad picture of the situation being studied. In the present study, a quantitative descriptive study design was used to evaluate the perceptions of senior administrative and middle manager leaders regarding succession planning and management components. This approach was selected as the best one from which to derive information about succession planning and management practices occurring within community colleges.

The researcher identified one dependent variable, succession planning and management, and two independent variables, leadership status and institutional factors.

The first independent variable is leadership status. Leadership status has two levels, senior administrative and middle-manager leaders. The second independent variable, institutional factors, is defined by identifying two levels, institution size and institution location.

A survey instrument was administered electronically to participants in the study. The data from the survey instrument were analyzed using multivariate analysis of variance, factor analysis, and descriptive statistics. The results of the study are presented in Chapter 4.

Research Questions

The following research questions were generated for this study.

1. To what extent are the four succession planning and management components structurally related?
2. Is there a difference in how senior administrative and middle manager leaders evaluate succession planning and management components – communicate expectations, organization assessment and alignment, talent training and development, and process evaluation at their institution?
3. Is there a difference between size and location of the institution with regards to status of succession planning and management components – communicate expectations, organization assessment and alignment, talent training and development, and process evaluation?

Dependent Variable

The dependent variable is succession planning and management. Researchers reported components of effective succession planning and management (Mateso, 2010; Rothwell, 2010; Wallin, et al., 2005; Witt & Kiefer, 2008). The components have consisted of as few as five components were identified by Gandossy and Verma (2006) and as many as ten were presented by Harrison, McKinnon and Terry (2006); however, these are not totally without some overlap and very similar connotations. For the purpose of this study, four common succession planning and management components were identified. The common components that have been identified are communicate expectations, organizational assessment and alignment, talent training and development, and process evaluation. The perceptions of senior administrative and middle manager leaders were evaluated on these four succession planning and management practices.

The researcher developed a survey instrument to evaluate succession planning and management practices occurring within community colleges and as perceived by organizational leaders. Each component of succession planning and management was defined by describing five specific tasks associated with one of the practices. By summing responses for each succession planning and management component, the researcher was able to operationalize participants' awareness regarding current succession practices. Each of these sub-components is described in Chapter 2.

Independent variables

The researcher identified two independent variables, leadership status and institutional factors. The significance of these two variables is further explained below.

Leadership status

Leadership status refers to administrators within the organization. Leadership status has two levels, senior administrative and middle manager leaders. The senior administrative level refers to individuals within the college whose position is senior/executive vice president, associate/assistant vice president, and vice president. Middle managers' job positions may include the job title of chair, dean, and director; and these individuals generally report to a senior administrator at the college.

Institutional factors

The second independent variable – institutional factors – has two levels, size and location. The size of the institution is defined as 1) small, less than 1,999 full-time equivalent (FTE); 2) medium, 2,000 to 4,999 FTE; 3) large, 5,000 to 9,999 FTE; and 4) very large, greater than 10,000 FTE student enrollment (Carnegie, "Classifications," n.d.). The first variable has four levels. The second factor, institution location, is also based on *Carnegie Classifications*. The location of the institution is dichotomous and has three levels - rural, suburban, and urban institutions.

Demographic Variables

The researcher collected professional and personal demographic information about program participants. Study participants responded to questions that pertained to highest degree earned, current position, immediate previous position, age, gender, and race/ethnicity. Participants have self-identified their current position and length of service at the institution. The collection of this information allowed the researcher to describe and obtain details about the sample. Demographic information is reported

collectively, and safeguards were taken to ensure that the self-reported information would not be associated to a specific position that may lead to the identification of a subject.

Conceptual Framework

Giambatista et al. (2005) and Kesner and Sebora (1994) advocated for additional research in succession planning in order to advance the field. These authors covered 20 years of succession research and found that theoretical frameworks and methodological approaches were fragmented. They summarized that many of the quantitative studies reviewed had some form of weakness and lacked transparency in the methodology. Most of the studies on succession planning were archival field studies and did not address issues concerning construct, internal, and external validity adequately. Giambatista et al. (2005) "found the field [of succession] to be in a mature stage…in need of substantial improvements to theory and methodology" (p. 988). The authors argued that early studies viewed succession research as disorderly, but in fact researchers were just beginning to examine the field of succession planning. Thus, according to Giambatista et al., (2005), these early studies can be classified in Reichers and Schneider's first stage-the concepts model stage. Succession research is now in the second stage of development in which theory is developed, critiqued, and evaluated. Consequently, more empirical research is needed to expand theory and methodology in the succession planning and management field.

Wallin et al. (2005) evaluated succession planning and management plans at two community colleges. These authors conducted a case study of Daytona Beach

Community College (FL) and Guilford Technical Community College (NC). They reviewed the plans and identified key elements for successful succession planning. This study used targeted leadership to determine the use of successful succession management plans. Fulmer (2001) studied five companies that had been identified by the American Productivity and Quality Center as leading practitioners in the area of succession planning and management. He concluded that succession management is a continuous annual process that requires the commitment of top executives. He also suggested that the process is a "virtuous cycle" that is linked to corporate strategy. The success of these firms was measured by performance and percentage of jobs filled internally.

Rothwell (2010) conducted the most comprehensive evaluation of successful succession planning and management practices of Fortune 500 companies. His research indentified 15 characteristics for effective succession programs. Rothwell also examined the readiness of organizations to fill key leadership positions as a result of loss in leadership, and he developed several survey instruments to evaluate organizational preparedness. Unfortunately, these surveys were not tested for reliability and validity (Mateso, 2010). Although all three studies have reconfirmed common succession planning elements and are proven practices at leading organizations, the studies have also reinforced the need for stronger methodological approaches and theoretical frameworks.

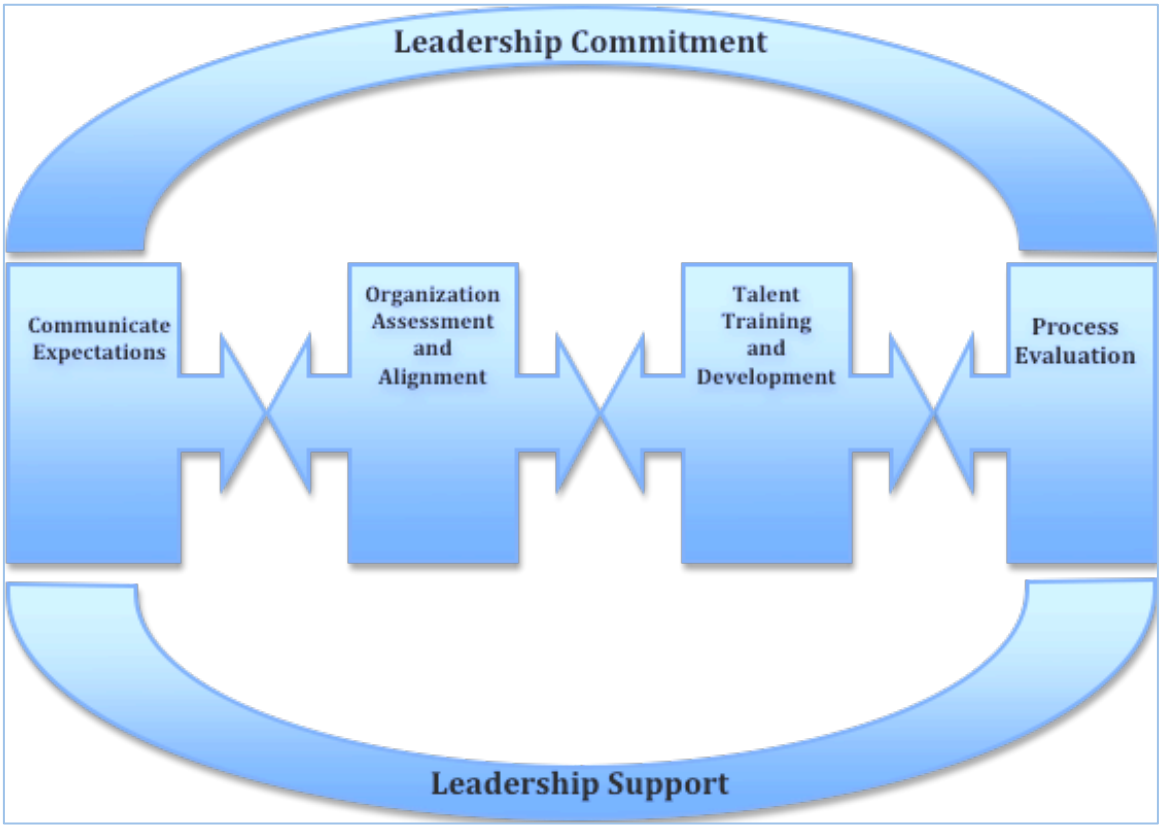
Mateso's (2010) *Conceptual Framework for Succession Planning and Management* has three major components: leadership commitment and involvement, succession planning components, and organizational strategy/culture. The second area, succession planning and management practices, has six subsections: assess the present

and the future organizational needs; establish or improve talent management procedures for key positions; establish or review succession planning charts for all leadership levels; identify and develop a pool of talents or high potentials as per the succession plan; evaluate, select, and reward the groomed candidates; and recruit new and replace outgoing leaders prudently. This study examined succession planning and management at Midwestern University. There is a limitation worth noting in this study. Items used to measure succession planning and management practices on this survey instrument overlapped different components of succession planning and management process. This overlap made it difficult for the author to test for internal consistency and reliability.

Since the researcher was not able to find a suitable theory or model, a conceptual framework was developed to guide this study. The researcher developed the *Succession Planning and Management Process Relationship Framework* (see Figure 1). The framework is built on the support and commitment of the institution's leadership. Thus, effective succession planning and management has the support of the college's board of trustees and president. This support can be expressed through the development of a formalized succession planning and management program and a pool of qualified talent that are tracked and positioned for promotion or competitive application process for leadership positions. The support and commitment of leadership is viewed as a bottom-up and top-down process that is connected to all succession planning and management components. The inner section, succession planning and management components, of this relationship model reflects a process that connects the different program components and committed leadership. The four components – communicate expectations,

organizational assessment and alignment, talent training and development, and process evaluation – can be evaluated independently by assigning these specific tasks.

Figure 1. Succession Planning and Management Process Relationship Framework



The first component – communicate expectations – reviews the actions of the college's leadership. The literature underscores the importance of the board of trustees to establish policies that guide the college (Groves, 2007). The CEO actively participates in the succession planning and management process, and communicates the importance of developing talent internally.

The second practice – organization assessment and alignment – refers to the strategic process that informs the college of the internal development and recruitment needs of the institution (Fulton-Calkins & Milling, 2005; Kesler, 2002; McDonald, 2008). The organizational assessment identifies the number of people eligible for retirement and positions that may be impacted by a leadership shortage. The organization is able to strategically identify internal positions and competencies needed for the continued growth of the institution. Organization alignment provides direction to developing talent. The integration of succession planning and the strategic goals and unit plans of the college provide a guide to how the organization will succeed at succession planning and management. Moreover, this process ensures that the necessary resources and strategic direction are there for the long-term success of the program.

Talent training and development is the third component and is dependent on the results of the organization assessment and alignment. The organization assessment reveals the training and development needs of employees. Talent training and development ensures that the organization has the qualified talent needed to fill future leadership positions. The institution's leadership may demonstrate support of the training and development of employees by creating mentor and leadership training programs, by utilizing individual employee development plans, and by identifying and/or developing a qualified pool of talent. The development of internal talent validates the importance of employees, ensures optimum utilization of human capital, and increases employee job knowledge and skills (Karaevli & Hall, 2003; Kerr & Jackofsky, 1989; Kim, 2003; Leibman, Bruer, & Maki, 1996; van Amburgh et al., 2010).

The final component is process evaluation. Process evaluation recognizes that succession planning and management is a fluid program that must be modified to meet the internal needs of the organization. The connection of succession planning to long-term strategic plans involves measurement and holds leadership and the organization accountable for the success of the program (Conger & Fulmer, 2003; Leibman et al., 1996; Ready & Conger, 2007; Rothwell, 2010; van Amburgh et al., 2010). Process evaluation also provides the leadership and organization information about the operation, strengths, and weaknesses of the succession planning and management program. In addition, it ensures that the program is accomplishing its goals.

The *Succession Planning and Management Process Relationship Framework* has incorporated four common themes that were identified in the literature to develop this model of effective succession planning and management programs (see Figure 1). This framework is a process that links all program themes and reflects the relationship between each component. Although succession practices are independent of each other, this model shows the relationship among the four common components.

Assumptions and Limitations

Assumptions

The researcher has identified senior administrative and middle manager leaders as the population for this study. However, evaluating the perceptions of these participants may not represent the observations of all community college administrative leaders.

Therefore, additional research might be needed to examine current practices. In addition, the following assumptions were considered relative to this study:

- Succession planning and management is a vital process required to develop talent internally and to prepare for the ensuing leadership shortage in community colleges.
- The participant is knowledgeable about the leadership gaps due to the retirement of baby boomers.
- The participant is knowledgeable about some form of succession planning and management, employee development, and replacement tool practice.
- The participant is knowledgeable about the size of his or her college.
- The participant's perception regarding succession planning and management elements at his or her institution will provide useful information regarding current practices.
- Participants will be forthright and open about their knowledge of the succession planning and management process.
- Responses to survey questions will be honest and accurate.

The researcher made several additional assumptions in this study that were based on the sample population of employees of AACC-member institutions and graduates of national community college leadership development programs. Leading community college advocacy organizations and two-year institutions have acknowledged that community college leadership is at a critical stage. Graduates of the Community College Leadership Program at The University of Texas at Austin are upwardly mobile, and the

doctoral program is preparing its students for senior leadership positions, as it is aware of the ensuing leadership crisis. Moreover, both administrators and graduates are familiar with succession planning and management, and understand the program elements that have been identified. In addition, senior administrative and middle manager leaders are aware of the significant role that community college leaders play within in the institution and community. It is the responsibility of leaders, and so the college's leadership is invaluable to the sustained success of the college.

Limitations

The perceptions of the survey participants might have been biased by a lack of knowledge about succession planning and management program elements. The use of electronic surveys and the timing of disseminating the survey might have prevented individuals from participating. In addition there is the limitation that this survey instrument is being used for the first time, participants self reporting information, and similarity in levels of awareness in terms of thinking for people employed in comparable positions. Furthermore, the data are limited, based on the number of administrators choosing to complete the survey and to participate in the study.

The researcher acknowledges that there is a difference between perception and reality. However, an indication of effective succession planning and management is the awareness of the institution's process at the lower levels of the organization, that is, beyond senior administrators. This is partly why this researcher examined the difference between perceptions of upper and middle manager administrators. In addition, this study is also limited regarding actual practices because the researcher did not review archival

documents or survey all employees in American community colleges. These limitations were considered and observed in the research and data analysis process.

Definition of Terms

Several terms and definitions have meaning within the context of succession planning and among human resource professionals. The following terms are operationally defined to bring clarity to this empirical investigation.

Administrative leaders or Administrative status/position/administrator: executive level positions such as senior/executive vice president, associate/assistant vice president, or vice president and includes middle managers who work at the chair, dean, or director levels.

American Association of Community Colleges (AACC): the leading advocacy agency for two-year higher education institutions. The Association represents over 1,200 associate degree-granting institutions (AACC, "Who we are," 2009).

Assessment: the use of established human resource management and employment evaluation tools.

Baby boomer: the term demographers, sociologists, and media typically use to describe individuals born between the years 1946 and 1964.

Chief executive officer (CEO): president or chancellor of a community college system. The title may vary at different institutions.

Community colleges: two-year higher education institutions that provide adult basic education, workforce training, and two-year degrees. The associate degree is the highest degree offered at this type of higher education institution.

Communicate expectations: management's role in determining the culture for succession planning and management. It also refers to how management dictates administrative and institutional support of a formalized succession planning and management program.

Effective succession planning and management program: a process that involves communicating expectations, assessing and aligning the organization, assessing and developing talent, and evaluating processes.

Emerging leaders: the next generation of employees that will assume key leadership roles in the organization.

Executive leadership: used to identify a committee with the CEO and senior vice-presidents, and vice-presidents that represent various divisions in the college.

Institution: the community college and the terms are used interchangeably throughout the study.

Institutional factors: defined by the size and location of the community college as reported to the Carnegie Foundation.

Institutional location: the location of the college, whether in the suburban or urban area of a Primary Metropolitan Statistical area serving more than 500,000 people.

Institutional size: based on full-time equivalent (FTE) student enrollment – small, less than 1,900 FTE; medium, 2,000 to 4,999 FTE; large, 5,000 to 9,999 FTE; and very large, greater than 10,000 FTE student enrollment (Carnegie, "Classifications," n.d.).

Leadership status: administrative level positions such as senior/executive vice president, associate/assistant vice president or vice president and includes middle managers who work at the chair, dean, or director level.

Leadership gap: availability and quality of future leaders.

Leadership crisis: lack of available and qualified talent as a result of the retiring workforce.

Management and development: training of internal employees to meet the leadership needs of twenty-first century community colleges.

Measurement: evaluation of succession planning and management programs.

Middle manager/middle management: persons in positions that report to senior administrators within the organization who are responsible for carrying out the vision of institution's leadership.

Mobility: movement of employees due to retirement, promotion, resignation, or termination.

Organization assessment and alignment: evaluation of current and projected staffing needs of the organization that is aligned with the vision and strategic direction of the institution.

Pipeline: internal employees available to fill open positions; internal employees who have traditionally advanced to positions from a specific department.

President/chancellor: the chief executive officer/leader of a community college system. The title may vary at different institutions.

Process evaluation: evaluating outcomes, assessing the progress of the succession planning and management program, and evaluating its effectives in developing a pool of qualified talent to fill potential leadership positions in the program.

Senior administrative leader: someone in a top-level position in the organization that is a part of the president's cabinet, senior/executive vice-president, associate/assistant vice-president and vice-president. This term will be used interchangeably with senior executives.

Senior executive: a person working in a top-level position in the organization that is part of the president's cabinet. This term will be used interchangeably with senior administrator.

Succession planning and management: a systematic process used to ensure leadership continuity, retain and develop human capital for the future, and to encourage personal growth and internal mobility in order for an organization to achieve its mission (Rothwell, 2010). For the purpose of this study, the terms succession planning, succession management, and succession planning and management program will be used interchangeably.

Talent: internal employees where the focus is on one's individual professional skills.

Summary

Many community colleges may find themselves unprepared to manage the leadership crisis. Leadership is critical to the operations and culture of the institution; thus, those in leadership positions will surely require higher skills and broader competencies. Succession planning and management is a means to help institutions prepare for future skills, to ensure continuity of leadership, to predict employee shortages, and to develop an organizational approach to address the changing workforce within community colleges. An evaluation of succession planning and management practices provides a college with an overview of institutional practices needed to address the impending leadership shortage.

Organization of Study

Chapter one introduces the focus of the study and explains why succession planning and management is an important topic that needs additional research. Chapter two introduces community college leadership and the leadership pipeline and provides a review of the literature on succession planning and management and practices. Chapter three outlines the methodology and research design of this study. Moreover, this chapter describes the population for the study, the survey instrument, and recommendations for community college practitioners. Chapter four presents the data collected for the study and a summary of statistical findings. Chapter five describes findings and results from the research. Finally, the study closes with recommendations, implications of the study, and suggestions of how the research can be expanded.

Chapter Two: Review of the Literature

Introduction

Chapter two presents a review of the literature, describing the current state of the American and educational workforces, the shortage of qualified leaders at two-year higher educational institutions, and the use of succession planning. Additionally, the current state of community college leadership and the leadership pipeline, along with demographic and position transitions of senior administrators, are described in relation to the overall employee shortfall. Moreover, the review of the literature demonstrates that the training and development of internal candidates for potential leadership positions through the strategic identification of future leaders and utilization of effective succession planning and management practices are viable approaches to meet future leadership needs. Research findings are also presented on leadership development programs and succession strategies that assist organizations in developing internal employees and determining current human resources talent and future skill and competency needs. Finally, research is discussed relative to current succession planning and management practices in community colleges.

American and Educational Workforce

Predictions about the employment gap that retiring baby boomers are going to leave in the American economy have been the critical topics of discussion for many years. Prior to the 2007 economic downturn, it was estimated that baby boomers would leave a 30-million-person employment shortfall (Lampert, 2007). Nevertheless, "[t]he

economic woes of recent years have encouraged many leaders to postpone their retirements," slowing down the exodus of employees in key leadership positions (Hassan, Dellow, & Jackson, 2010, p.181). As baby boomers continue to work, experts have emphasized that the lack of qualified individuals to fill job vacancies is going to result in a critical shortage in the American economy.

The 2010 Manpower Talent Shortage Survey revealed a notable talent shortage and that "31 percent of employers worldwide are having difficulty filling positions due to the lack of suitable talent available" (Manpower, 2010, p. 2). The survey noted, "[i]n professions that require technical professionals with college degrees, such as engineering, healthcare, and education, the magnitude of the impact is even greater" (Reester, 2008, p. 98). In the United States management and executive positions are ranked number 7 on the top 10 list of positions employers are having difficulty filling due to lack of qualified candidates.

The United States Census Bureau (USCB) has also reported this shortage of workers. The USCB (2010) reported there are 237.8 million employed civilians age 16 and over in the American workforce. Twenty-one percent (51.7 million) of civilians are employed in management, professional, and related occupations. Five percent of the management employment group work as education administrators. Although there is the prediction of a talent shortage, these numbers have remained virtually unchanged due to the influx of foreign-born workers in the United States.

Similarly, the U.S. Department of Labor [DOL] (2011) noted that foreign-born workers constituted 15.0% of the American workforce in 2010. Foreign-born workers

include legally admitted immigrants, refugees, temporary residents such as students and temporary workers and undocumented immigrants. In the for-profit business sector, this classification of workers has continued to grow, keeping pace with technological advances and globalization.

In any discussion of workforce and retirement populations, it is also important to consider the effects of globalization. Globalization has blurred the boundaries of many for-profit companies. A solution that the United States has embraced due to decreases in population growth, qualified employees, and emigrants, is having global companies and employees connected to the business world (Vance & Paik, 2006). The United States issues over 65,000 temporary work visas to businesses for workers in "specialized fields, such as scientists, engineers, or computer programming" (United States Citizenship and Immigration Service, "H-1B FY2012", 2012). A small portion of these visas are reserved for educational institutions. However, technical organizations receive the bulk of H-1B work permits.

This impact of immigrant, non-U.S. citizen employees is not very prevalent in the educational sector. The Chronicle of Higher Education (2011) reported there are 712,919 employees working in four- and two-year institutions as professors, associate professors, assistant professors, instructors, lectures and other; 2.6 million professional employees in executive, administrative, managerial employees; 319,036 in instruction and research; and 747,147 in other positions. Nonresident foreign workers comprise nearly 6% of employees working in professional positions. As shown in Table 1, minority and

foreign-born workers represent a small percentage of faculty and staff employees in public and private four- and two-year institutions.

Table 1. U.S. Faculty and Staff Demographics at Four-and Two-year Public and Private Institutions

	Total	American Indian	Asian	Black	Hispanic	White	Nonresident Foreign
Faculty	712,919	0.5	8.4	5.6	3.9	77.3	4.3
Professional	2,657,058	0.5	6.4	7.8	4.7	74.7	5.9
Non Professional	913,208	0.8	4.3	17.4	10.6	65.9	.9

As foreign and native-born populations continue to age, it is predicted that these baby boomers will leave gaps in employment. Moreover, this shortage of workers will have a critical impact on the American economy. Although baby boomers continue to work, experts have identified the lack of qualified individuals to fill job vacancies as creating a critical shortage in the American economy. Fewer employees are seeking leadership positions.

Employees' lack of genuine interest in pursuing leadership roles will further impact the shortage of workers. Rhodes, Brundrett, and Nevill (2008) noted the decrease in numbers of applicants has also undermined the supply of future leaders. The supply and quality of future leaders have also been factors in educational institutions, where individuals are ill-prepared to step into leadership roles as deans, department chairs, and even vice-presidents.

The focus on succession planning in community colleges is an extension of the same conversations heard across the American economy about the employment gap, namely that by 2017, seventy million baby boomers will retire, and only 40 million

people will be available in the workforce to replace that generation (Lampert, 2007). The American Association of Community Colleges [AACC] (2001) reported that community colleges are also at a critical juncture with their leadership. Executives and senior administrators from the 20th century are leaving the workforce and will inevitably cause a shortage in community college leadership. College presidents, senior administrators, and faculty leaders will continue to retire – a trend expected to continue as baby boomers age and the economy rebounds (Shults, 2001). With the majority of community college presidents coming from senior ranks of leadership, it is important to ensure a process of leadership development (Eddy, 2008).

As Harrison and Hargrove (2006) pointed out, the succession situation in higher education is compounded by the declining interest in employment of faculty and college administrators. In addition, there are fewer faculty members transitioning into leadership roles (Hoppe, 2003). Moreover, the availability of faculty members who are selected for leadership positions is impacted by the qualifications of faculty who oftentimes have had no prior training for leadership roles (Gmelch, 2002). If community colleges are to sustain the leadership pipeline, they must plan to identify, develop, retain, and promote pools of qualified leaders for future positions.

Historical Perspectives of Community Colleges

In their early years, at times community colleges were in a quandary about their roles in the American higher education system. However, community colleges have attempted to

> extend opportunity and to serve as an agent of educational and social selection, to promote social equality and to increase economic efficiency, to provide students with a common cultural heritage and to sort them into a specialized curriculum, to respond to the demands of subordinate groups for equal education and to answer the pressures of employers and state planners for differentiated education, and to provide a general education for citizens in a democratic society and technical training for workers in an advanced industrial economy. (Brint & Karabel, 1989, pp.9-10)

Since the first junior college opened in 1901, the community college has provided access and has sought to improve the economic, occupational, and educational capacities of its students. This American educational system did not experience growth until post-World War II. The end of the war and during the Great Depression, as well as the passage of the 1944 G.I. Bill created a large influx of new students entering into higher education. To meet the needs of war veterans, to create educational opportunities, and to expand higher education, President Harry S. Truman established the President's Commission on Higher Education, in 1947. This newly created American institution, the community college, was "central to the Commission's plans" for post-secondary education and training of men returning from the war (Brint & Karabel, 1989, p. 69).

The post-war expansion of the community college cemented its responsibility "for the democratization of higher education" (Brint & Karabel, 1989, p. 90). Community colleges provided access to individuals who would not have received post-secondary academic and occupational training. These open-door colleges provided skill-deficient

students advanced training and prepared them for advanced post-secondary work. Community colleges' curricular functions included academic transfer, vocational-technical education, continuing education, developmental education, and community service (Cohen & Brawer, 2003). Also this open-access philosophy resulted in a 78% growth in the establishment of new community colleges across America (Rippey, 1987; Cohen & Brawer, 2003).

By the 1970s, there were more than 500 public and private community colleges, and their enrollment had reached 2.2 million. According to the American Association of Community Colleges (AACC), credit and noncredit enrollment at community colleges reached 12.4 million in 2008 ("Fast Facts," 2009). Today, there are 1,173 community colleges and approximately 1,600 campuses.

Today's community college students are more ethnically, economically, educationally, and socially diverse than were community college students of the late 1940s, when colleges provided training predominantly to white males and those males returning from the war. As of 2008, community college enrollment was comprised of 60% female, of 40% male, of 35% minority, and of 39% first-generation students to attend college (AACC, 2009). A disproportionate number of community college students are from low-income households, and nearly 50% of all community college students, receive federal aid. Greater now than in the 1960s, higher educational systems must contend with the overwhelming numbers of students of all ages who are from diverse countries and cultures, who have come to college with various learning and socioeconomic problems (Roueche & Baker, 1987). As the demographics of the

institutions change, so have and will the future goals and leadership skills that have served community colleges well in the past (Sullivan, 2001). Therefore, these changes require an examination of the current and future leaders of community colleges.

Community College Leadership

In 1998, community college leaders at a national AACC conference, highlighted the ensuing leadership crisis and the lack of available qualified talent (AACC, "Leading Forward", 2011). Highlighting these two issues brought attention to the leadership gap and positioned the availability and quality of future leaders at the forefront of the discourse on the future of two-year institutions. Shults (2001) revealed the critical nature of retiring community college leaders, as well as the gap in the leadership pipeline. He noted the average age of sitting presidents and senior administrators as 57 and 52, respectively. Additionally, the American Council on Education (ACE) commissioned King and Gomez (2008) to survey the demographic characteristics, career backgrounds, roles, and duties of the leaders of American college presidents.

King and Gomez (2008) reported that 49.3% of community college presidents were over 61 years of age and thus were eligible to retire as early as 2010. These data reaffirmed the previous findings by Shults (2001) regarding the critical state of community college leadership. The authors identified another critical issue in the community college presidency--the lack of racial, ethnic, and gender diversity. King and Gomez indicated that in 2006 women represented 23% of college presidents, as compared to 9.5% in 1986. There have been substantial increases in the number of

female presidents; however, minority representation has been virtually unchanged over the same time period. In 1986, African Americans represented 5.0%, Hispanics 2.2%, Asian Americans 0.4%, and American Indian 0.5% of community college presidents. Ten years later, African Americans comprised 5.9% and Hispanics 4.6% of college president positions in America.

Retirements and other changes in community college leadership are on steady paths of transition. A fairly recent study revealed that 79% of current community college presidents were eligible for retirement by 2012 and 84% by 2016 (Duree, 2007). Duree's study contended the average age of presidents and vice-presidents was 58 and 57, respectively. The average ages of senior executives have increased since Shults' study in 2001, at which time he concluded that the average age of vice presidents, chief academic officers, business administrators, student affairs executives, and senior workforce educators was between 50 and 54 years of age. Research conducted by both Duree (2007) and Shults (2001) expanded the focus of the college retirements to include senior administrators. Duree reported that at least one-fourth of these administrators planned to retire within five years. Although the numbers are staggering, faculty demographics are of greater concern because 52% of faculty are "between the ages of 55 and 64 and planned to retire by 2004" (Shults, 2001, p. 6). Although retirements have slowed due to the current American economy, the impending retirements of senior executives, middle managers, and faculty will certainly affect current leadership and the leadership pipeline within community colleges.

Community colleges will likely experience the shortfall in key leadership positions and in the numbers of administrators and staff members needed to replace those leaving two-year institutions. The staggering numbers in the leadership gap have also been echoed by reports indicating "more than 500 new senior level administrators (e.g., chief academic, student services, or business officers) have been hired, and 80 to 100 new, first-time community college presidents have come onboard" (Amey, 2006, p. v). Yet there is still an impending gap in available talent. The future of community college leadership beyond 2010 is noteworthy; however, a multi-faceted approach to identifying and training future leaders can help meet the needs of the institution.

The turnover of community college leaders, their inestimable experience, and their history--as well as their intimate understanding of the community college mission, values, and culture--will disappear, leaving an enormous gap in the collective memory and leadership of community colleges" (Shults, 2001, p. 2). The skills required for community college leaders "have widened because of greater student diversity, advances in technology, accountability demands, and globalization" (AACC, 2005, p. 2). The leadership and skills gaps among community college leaders have been well documented by Shults (2001), AACC (2005), Fulton-Calking and Mills (2005), Amey (2006), and Duree (2007). These authors recommended the development of a qualified pool of talent that understands the unique mission of community colleges and that address the complex needs of their diverse student populations and community stakeholders.

The assumption by these authors is that there is a benefit to developing talent internally to fill future leadership positions. The development of internal talent ensures

"the continuity of the organization and preservation of the institutional memory" (van Amburgh et al., 2010, p.2). A consideration is that the requisite skills and competencies identified within the community college arena are the skills needed, and they are important for future leadership to possess. Many of the competencies needed by future community college leaders have been outlined in the *AACC Competencies for Leaders* (2005). Hassan, Dellow, and Jackson's (2010) study of college presidents and boards of trustee members from two of the largest community college systems rated the core competencies very or extremely important, this further substantiating the need to develop talent internally.

Studies conducted by Shults (2001), the AACC (2005), Fulton-Calking and Mills (2005), Amey (2006), and Duree (2007) indicated that there was a potential crisis in community college leadership. These authors illustrated the projected losses of employees due to those eligible for retirement to be a sizable number of employees in key leadership positions within community colleges. The loss of employees compounded by budget restraints also coincides with the need to develop internal talent for future leadership positions.

Leadership Styles

Leadership that developed alongside of the institutions had progressed with the dynamic creation, change, and growth that came with creating an American community college system. Sullivan (2001) examined four generations of community college leadership, using the framework developed by Bowman and Deal. Community college leadership today is different from leadership in previous generations. These two-year

higher educational institutions have been led by four generations of leaders: founding fathers, good-managers, collaborators, and emerging leaders.

The leadership style of community college predecessors was described as founding fathers and good managers. The founding-fathers generation opened many of today's two-year institutions. The leaders operated with little financial resources and were the designers of these new higher educational institutions. The second generation of leaders, the good-manager, led the colleges through rapid growth, experienced an abundance of resources, and were "highly successful" (p. 561). The third generation, the collaborators, holds the majority of key leadership positions today and has endured recessions, increased accountability standards, public distrust, high rates of underprepared students, and the birth of the Internet and advanced technological resources. As leaders, the collaborators are knowledgeable about organizational structures and change, but "the greater talents seem to be in break-through thinking, moving outside established structures, seeking new formats for operation, and capitalizing on unanticipated opportunities" (p. 563).

Sullivan's (2001) analysis of these generations indicated that the emerging generation of leaders will face many of the same challenges. As the third generation of collaborators round out with the team as leader and ethics as elements of leadership, the emerging generation will be more equipped to lead community colleges. The fourth generation of leadership, the emerging leader, will have more advanced degrees and will be more adept at teamwork and be sensitive to the needs of the people with a strong desire to strengthen relationships. Moreover, increased scrutiny, rapid availability of

information, and lack of confidence in leaders will require ethical leadership. Emerging leaders, therefore, will be held to higher standards to provide fair, transparent leadership.

The rich history of the institutions, their diverse enrollment, unique mission, and the open-door policies of American community colleges require leaders who understand the community college's role and its position of advocacy for students. Community college leaders need to understand the distinctive nature and connection of community colleges to K-12 public schools, community, local and state government, and higher education. Future leaders are to manage the internal as well as external operations of the institution while advocating for political issues, building relationships with local companies, and focusing on student success outcomes as they lead these dynamic higher education institutions. The global and knowledge economy issues that colleges are faced with today are more complex than at any other time in history (Sullivan, 2001). Therefore, it is essential for today's college leaders to possess skills and leadership styles that are neither those of private businesses nor of public schools or universities to meet the unique attributes of community colleges (Young, 1996). Community colleges desire and need leaders who are uniquely "their own".

Future Community College Leadership

Advocacy organizations and educational researchers have probed the looming retirements of community college presidents and senior executives (Shults, 2001; Amey & Van Der Linden, 2002; Vaughn & Weisman, 2003; and AACC, 2005). The discussions about the impending retirements have focused on skill competencies for future leaders and the training of talent to fill open positions. According to Filan (1999),

> the unique roles and missions of community and technical colleges and their open-door policy [leaders] need training that can provide them with the skills needed to serve the growing number of first generation college students, the underprepared students, and the increasing numbers of adult students enrolled in certificate, transfer, and occupational programs. (p. 47)

The diversity of community colleges is not restricted within the institution; there are also significant differences between colleges (Katsinas, 1996). The diversity of community colleges "is reflected in geography, demography, governance, and institutional size. All [which] affect college culture and the roles played by community college educators and leaders" (p. 15). Leaders of these institutions are faced with meeting the diversity, multifaceted mission, and complex role of the college.

Community colleges must work with and within the community to provide access to educational programs, training opportunities, and business resources. Community colleges "are unique among institutions of higher education because of their open-access mission, their responsiveness to community needs, their clear focus on student learning, and their entrepreneurial spirit" (Boggs, 2002, p. vii). Today, college leaders are also called to address the specific needs of its community and meet the unique characteristic and internal characteristics of its students.

Community college leaders will increasingly become more collaborative; and every person, department, and process will be involved in "focusing on solutions and solving problems" (AACC, 2005; Flannigan, Greene, & Jones, 2005; Summers & McGilvray, 2005, p. 119). Flannigan et al. stated that an unforeseen result of

entrepreneurial institutions has been the emergence of "untapped" talent. As community colleges face unprecedented budget cuts, reduced state support, and exponential growth in enrollment, the leaders of these institutions have had to open the gates of independence and creativity with their employees. This new entrepreneurial environment had replaced the formal bureaucratic organizational structure. There is a reliance on influence and leadership. "Those who demonstrate leadership and initiative are those who lead; those who identify a problem are those who are authorized to solve it creatively" (Flannigan et al., 2005, p. 9). Leadership is happening throughout the organization, and nobody is sitting off to the side waiting on direction. This style of entrepreneurial leadership is a collaborative act where everyone in the community college is involved; no longer are decisions being made as an "individual act" (p. 10).

The culture of today's community colleges is transformational, transformational change and leadership. There are requisite skills that college leaders need to possess in order to address the changes and challenges of twenty-first century institutions. As Boggs (2002, 2003) and Flannigan et al. (2005) have indicated, the leadership of community colleges has changed. In order to meet the leadership needs of community colleges, AACC identified six core competencies that its membership adopted for future community college leaders. These core competencies were identified to ensure that future leaders possess the requisite skills to lead these two-year educational institutions.

Leadership Pipeline

Community colleges operate with a shared governance philosophy and encourage leadership that is entrepreneurial, process-oriented, innovative, intentional, and

transparent throughout the organization (AACC 2005; Amey, 2005; Wallin, Cameron, & Sharples, 2005). Colleges must grow and develop a pool of qualified talents that are capable of working with diverse constituents and are able to understand the complex and multiple meanings prevalent in today's community colleges (Gibson-Benninger, Ratcliff, & Rhoads, 1996). Current economic times and budget shortfalls have further impacted the skills required of future leaders, necessitating the need to have leaders who are equipped to handle the multiplicity of challenges facing community colleges, higher education funding, students and the community. As the war for qualified talent intensifies, two-year institutions can no longer "rely on professionals from outside of higher education to serve as a potential labor pool" (Miller & Pope, 2003, p. 120).

The data presented by Moore, Martorana and Twombly (1985) and by King and Gomez (2008) delineated the critical nature of available talent to fill leadership positions. While most discussions regarding the leadership gap have focused on the movement of top executives, there is also a deficit in the number of faculty in the pipeline to fill the position of presidency. This attrition of faculty will surely have the greatest impact on the leadership crisis.

In 1985, Moore et al. conducted "the most comprehensive snapshot of the full range of career pathways for administrators in community colleges" (Amey, Van Der Linden & Brown, 2002, p. 575). Subsequent studies focused primarily on senior executives. King and Gomez (2008) reviewed college presidents who had previously transitioned through academic divisions and found that 70% of presidents had served as full-time tenured faculty during their academic careers. In their analysis, less than 33 %

of faculty are full-time and tenured; and nearly 14% of full-time, tenured community college faculty members are of retirement age. Although faculty positions have led to senior instruction and senior academic posts in the community college, findings by Amey et al. (2002), indicated that 37% of community college presidents had held the position of provost, 25% were previous college presidents, and 15% had worked in senior academic affairs and instructor/officer capacity immediately prior to assuming the role of CEO. In an examination of presidential career paths, the researchers noted that the traditional pathway through academic departments that led to the presidency has expanded to include occupational or vocational educators, business and industry liaisons, and professionals from institutional advancement, human resources, learning resources, and other administrative areas (Amey & van der Linden, 2002). These "new career trajectories" of future leaders may create a pool of available talent to fill the ensuing gap in leadership (p. 577).

Miller and Pope (2003) evoked, pathways for "senior positions have gone relatively uncharted" therefore an examination of administrative transition warranted a review of presidential pathway from participation in faculty governance (p.19). The researchers concluded that faculty senate involvement did not have a direct pathway to a presidential position. The authors' findings strongly suggested that community colleges have the foundation to develop "systems and procedures that attract, retain, and potentially develop a legacy of institutional memory" (p. 127). Community colleges have the ability to develop future leaders with the requisite skills from inside the institution. Millar and Poe's conclusion is supported by the research of King and Gomez (2007) and

Weisman and Vaughn (2007) on ACE's presidential pathway research that institutions have internal talent available to meet the leadership gap. Earlier, Moore et al. (1985) had opined, "Providing a succession of prepared leaders to assume top leadership positions is one of the major tasks of all modern organizations, and two-year colleges are no exception" (p. 1).

King and Gomez (2007) analyzed and reported data from the American Council on Education's (ACE) *The American college president: 2007 edition*. ACE's report included data from 852 higher education institutions and more than 9,700 individuals in senior leadership positions; 13% of the participants were from community colleges. The authors' analysis of presidential pathways revealed that only 17% of presidents came from outside academia, and 61% came from senior administrative positions within the college. Their study also identified that the most common pathway to the presidency was the chief academic office or provost positions within academia. Weisman and Vaughn's (2007) research brief on Career and Lifestyle Survey of 545 community college presidents reinforced previous studies that prior to assuming the presidency 55% of individuals had held academic posts and 37% of presidents had been chief academic officers. Additionally, more than one-third of all college presidents were internal hires.

The reports of Millar and Poe (2003), King and Gomez (2007), and Weisman and Vaughn (2007) underscore the fact that large portions of community college leaders come from within the organization and from key leadership positions. Acknowledging the internal transitions of employees as a primary pool for future leadership positions also necessitates the need to provide training. Planning for the development of potential

leaders allows an organization to strategically develop talent, as well as to align the internal skills needed to lead the organization.

Leadership Skills and Competencies

Wolverton, Ackerman, and Holt's (2005) research explored the under-preparedness of individuals in academic posts to fill key leadership positions. Recognizing that the majority of presidents had advanced through the ranks of the academic side of the institution, Wolverton et al. addressed the preparedness of mid-level academic leadership to be effective leaders. The researchers compared skills possessed by those in middle manager positions with those of faculty. They identified that differences in the requisite skills referenced by future mid-level managers were not necessarily the skill sets that faculty members currently possessed.

Wolverton et al. (2005) queried academic deans about what skills were needed in effective department associate deans. In addition, they asked current department associate deans about what they wished they had known prior to assuming their leadership positions. The current department deans stressed interpersonal skills, relationship building, communication skills, and conflict resolution. The department associate deans, however, expanded beyond the interpersonal responsibilities and focused on management duties. The interviews with department associate deans revealed budgetary issues, personnel management, and balancing roles as common themes. The research involving deans and associate deans revealed a disconnect between the views of these two populations and the desired skills sets needed before assuming a leadership role.

Middle managers and senior leaders have a different perspective, based on perceptions and experience, of what skills set they deem as important. Since community colleges function under a shared governance model, it is important to ensure that all potential leaders receive training in both the interpersonal and management skills areas. The areas of skills development identified by AACC (2005), Amey (2005), Boggs (2002), Jeandron (2006), Hockaday and Puyear (2000), Sullivan (2001), Wallin et al. (2005), and Wolverton et al. (2005) provide comprehensive lists, and sometimes overlapping areas of requisite skill requirements and the need for leadership development. In order to meet the leadership demands of community colleges, these institutions must plan and develop their own future leaders in order to ensure the availability and quality of future leaders.

AACC competencies.

The six competencies identified and approved by AACC's membership to help institutions develop future leaders outlines the requisite skills that are critical to the role of president. AACC developed *Competencies for Community College Leaders* (2005) as part of the Leading Forward report to address the ever-changing role of community college leaders and to stratify leadership skills. Through a comprehensive representation of community college experts and constituents, advocacy organizations and councils, college and state training programs, and universities, AACC researchers received "a wealth of qualitative data, providing a broad picture of competencies" needed for guidance in establishing the requisite skills required by future community college leaders (p. 1). AACC-member institutions adopted six key skill competencies to ensure that

future leaders possess the skills necessary to meet the long-term viability of the college and the community. Community college leaders have identified the following six competencies:

- Organizational strategy – improves the quality of the institution, protects long-term health of the organization, and promotes success of all students;
- Resource management – equitably and ethically sustains people, processes, and information as well as physical and financial assets to fulfill the mission, vision, and goals of the community college;
- Communication – uses clear listening, speaking, and writing skills to engage in honest, open dialogue at all levels of the college and its surrounding community;
- Collaboration – develops and maintains responsive, cooperative, mutually beneficial and ethical internal and external relationships that nurture diversity;
- Community college advocacy – understands, commits to, and advocates for the mission, vision, and goals of the institution; and
- Professionalism – ethically sets high standards for self and others, continuously improves self and surroundings, and demonstrates accountability to and for the institution (AACC, 2005, pp. 4-6).

In a 2006 study, Wallin sampled participants of leadership development programs to determine their perceptions of essential leadership competencies. As in AACC's findings the participants in this study identified budget and finance, relationship orientation, and understanding self as areas in which future leaders needed supplementary

training. These areas of development are incorporated into AACC's leadership competencies which are used as the benchmark for future leaders.

Amey (2006) identified a similar set of characteristics for today's community college leaders. The five characteristics outlined are understanding and implementing the community college mission, effective advocacy, administrative skills, community and economic development, and personal, interpersonal, and transformational skills were identified as critical (p. 1). The purpose of identifying the traits, skills, and characteristics was to ensure that leaders unique to community colleges have the requisite skills for key executive level positions. Naming of these key areas for effective leadership will also assist community colleges in the development and identification of future leaders. Amey's study also provided guidance for training potential leaders to meet the distinctive quality and talent needed to lead community colleges.

McNair (2010) conducted a study to compare core competencies outlined by AACC (2005) with the "skills needed for community college leadership in California" (p. 201). This comparison revealed an alignment among the state educational board, the college, and professional development programs. The alignment between the state and college is a response to the leadership crisis in community colleges and demonstrated colleges' implementing strategies adopted at the national level by AACC. The connection of the college to professional development programs, such as doctoral programs and training conducted by state educational agencies, ensures that students are being taught current skills needed for community college leadership. Surveyed respondents overwhelmingly indicated leadership competencies are acquired and

developed through the State of California's community colleges training programs in conjunction with doctoral degree programs as they work together to help future leaders acquire and develop requisite skills.

Research indicates further that community college leaders need to possess the requisite skills and that a response to the leadership gap has to be a priority. "Leaders in community college education realized that without planning and without training a major source of potential future leaders will be lost" (Ebbers, Gallisath, Rockel, & Coyan, 2000, p. 376). Thus it is a necessity for community colleges to implement effective succession planning processes in order to prepare leaders for the ensuing leadership gaps that many institutions will face at multiple levels within the organization (Fulton-Calkins & Milling, 2005; Ebbers et al., 2000; Amey, 2006; Wallin, 2006).

Origins of Succession Planning

Henri Fayol, a French engineer, "concentrated on the duties of senior managers rather than the managing of individual processes" (Witzel, 2003, p. 83). He was one of the first management theorists to focus on the duties of the position. Fayol segmented managing tasks into five functions: forecasting and planning, organizing, commanding or directing, coordinating, and controlling. Ultimately, he expanded his 5 management functions to the 14 Principles of Management. The additional nine principles created a division of labor and focused on the efficiency of people performing tasks. Fayol was able to focus the attention of administration on the people and their movement in the organization.

While Fayol's research did not minimize the technical abilities of workers it did recognize that the success of the enterprise depended on the administrative abilities of its leaders (Wren, 1995). Fayol's Management Principles stressed the importance of long-range plans and the need for organizational charts to provide a comprehensive understanding of the organization. This experience-based research on job tasks, technical ability, workers, organization, and administration because the "foundation for management theory" (Wren, 1995, p. 11).

Moreover, Fayol indicated that failure to prepare the workforce of tomorrow would lead to filling job vacancies improperly (Rothwell, 2010). The foundational thinking of Henri Fayol, F.W. Mooney, and Colonel Lydall Urwick in management is a process involving planning, organizing, commanding, coordinating, and controlling. It is believed today that the foundation of succession planning and management theories and principles is the basis for modern management practices such as, management by objective (MBO) and planning, programming, budgeting systems (PPBS). These systems, practices, and theories support the general principles that "stability of tenure of personnel, to facilitate the development of abilities" in the organization (Morgan, 2006, p. 19).

Defining Succession Planning and Management

Early administrative management practices of succession planning focused on the job, on open positions, and on the CEO. Organizations emphasized the need to fill positions that were vacated due to retirement, promotion, and termination. This practice

is contradictory to the works of Fayol who attempted to refocus the thoughts of organizational leaders to stabilizing the workforce (Collins & Collins, 2007).

Succession planning has taken on different forms over the years; it has been defined differently within and between organizations and industries. "Succession planning has been used to describe a variety of activities involving the planning for key transitions in leadership within organizations" (Garman & Glawe, 2004, p. 119). Succession planning and management has been evolved and can be looked at as a continuum that began with replacement planning and has since advanced to its management and talent development fields. Although replacement planning focused solely on the top executive, it is also at the far left of the continuum, moving along to talent management, succession planning, succession management to the far right where we have succession planning and management. The following sections provide descriptions of the different succession terms.

Replacement planning.

Fayol's theories surrounding succession planning did not advocate one-to-one filling of open positions as in the practices of selecting a successor. Rather Fayol advocated the efficient development and use of skills to develop a future workforce. Replacement planning focuses on employment attrition; promotes individuals being hand "picked" to fill executive-level positions; and helps organizations to manage risk. Replacement planning does not include the "deliberate development and preparation of identified successors" (Burke, 2005, p. 1). This type of succession planning has involved the top two or three tiers of the organization's leadership.

Although replacement planning has endured some organizational successes, the rapidly changing technology and environment of organizational operations have made this form of "traditional replacement method obsolete" (Collins & Collins, 2007, p. 18). The practice is myopic and does not consider options beyond present workforce needs.

Talent management.

Peter Cappelli's (2008) definition of talent management is widely used today when discussing the leadership gap in organizations. Cappelli stated at the heart of "talent management is simply a matter of anticipating the need for human capital and then setting out a plan to meet it" (p. 74). He contended that talent management is more effective than is succession planning. "Talent management is not about developing employees or recreating succession plans nor is it about achieving specific turnover rates. It exists in order to support the organization's overall objectives, which in business essentially amount to making money…" (p. 77). Rothwell (2010) distinguished succession planning from talent management by defining "talent management [as] the process of recruiting, on-boarding, and developing, as well as the strategies associated with those activities in organizations" (p. 13). This form of human capital planning is restrictive and does not focus on leadership throughout the organization; it is focused on the hiring and training of human capital.

Succession planning.

Garman and Glawe (2004) "pull[ed] together both research and opinion to identify what the majority of published information has to say about the practice of succession planning" (p. 120). They defined succession planning as "a structured process

involving the identification and preparation of a potential successor to assume a new role" (p. 120). The authors identified succession planning articles that emphasized identifying potential talent and developing a pool of qualified individuals. This approach regarding succession planning focused on critical positions and matched skills from the talent pool as potential candidates and was often used as separate process. Rothwell (2010) agreed that this traditional form of succession "prepared people for internal promotion" and "emphasized internal talent development" (p. 51). However, succession planning was not implemented as an ongoing process and, therefore, does not meet the organization's needs as the internal and external environments change. It is the proactive attempt to ensure that the leadership of the organization will be filled in the event of both planned and unplanned departures (Schmalzried & Fallon, 2007).

Succession management.

Rothwell (2010) also indicated that succession management "assumes a more dynamic business environment" (p. 6). Succession management focused on the continuous process of building talent and utilizing managers internally to provide coaching, feedback, and assisting employees with their growth and development. Berke (2005) advised that succession management is on the other end of the spectrum of replacement planning. Succession management identifies and develops high potential employees. The organization is able to develop a pool of possible candidates through this combination of identification and development of employees for key positions. A talent pipeline is developed for multiple levels of leadership within the organization.

Leadership development is a strategic process and is no longer focused solely on top executives.

Succession planning and management.

Rothwell (2010) also stressed that succession planning and succession management as a unified process promoted identification and development of talent to meet current and future requisite skills. He also indicated the need to combine the identification of human capital found in succession planning with the continuous process of building talent associated with succession management. Succession planning and management is akin to Fayol's 14 Principles of Management.

Further, Rothwell (2010) defined succession planning and management as a deliberate and systematic process used to ensure leadership continuity, retain and develop human capital for the future, and encourage personal growth and internal mobility. In addition, succession planning and management transfers institutional knowledge and practices. This comprehensive process has been identified as an "ideal" strategy for the continuity of leadership and growth of the diverse needs of the colleges (Rothwell, 2010; ACE, 2010; Wallin et al., 2005).

The philosophical foundation behind succession planning has undergone many changes. The 14 Principles of Management evolved from coordinating the efficiency of tasks for the organization to preparing a few people for a CEO position. Today, succession planning and management is a systematic process that strategically plans for and prepares human capital to meet the current and future workforce needs of the organization (Rothwell, 2010).

Succession planning has been used effectively by military and private businesses to develop and mentor individuals in order to fill key leadership positions. Although it is not a commonly used practice in education, succession planning has been recommended as a viable solution to transition individuals into leadership positions. "Succession planning, in conjunction with robust leadership development programs and opportunities, is necessary for the continued success and viability of the academy" (van Amburgh et al., 2010, p. 6).

Elements of Succession Planning and Management

The literature demonstrates that succession planning is not a new concept and has been researched and practiced by public and private companies, by government entities, by health care, and by public school districts (Clunies, 2007; Fulmer & Conger, 2004; Fulton-Calkins & Milling, 2005; Karaevli & Hall, 2003; Rothwell 2010). Historically, education has been slow to adopt corporate management processes, thereby leading to higher education's slow transition to accept the succession planning and management processes (Clunies, 2007). This failure to embrace succession planning and management has severely limited the research on succession planning in higher education. Additionally the lack of evidence and success in higher education along with the shared governance and faculty tenure structure has also impacted the implementation of succession planning and management in academia (Clunies, 2007; Estepp, 1988). Clunies (2007) advised, "to understand the corporate policies and processes that are

available for adaptation in higher education, a review of corporate succession planning is warranted" (Clunies, 2007, para. 3).

Research has been conducted on the leadership gap in community colleges; however, as time encroaches on the mobility of key leaders in the college, the question remains if AACC-member institutions are prepared to meet the leadership shortages. The attrition of employees, whether due to retirement, resignation, or termination, can be predicted. Successful institutions will develop effective plans that prepare talent at all levels of the organization to fill future leadership positions (Wallin, Cameron, & Kent, 2005). The preparedness of institutions is tied to the successful implementation of key succession elements: communicate expectations, organization assessment and alignment, talent assessment and development, and process evaluation.

In 1994, Kesner and Sebora conducted a study that covered 30 years of succession research. The authors identified Oscar Grusky "among the first to identify key variables in the succession equation" (p. 330). Kesner and Sebora (1994) recognized that the early works of Oscar Grusky and Richard O. Carlson organized the research on succession planning into four key areas: successor origin, organizational size and rate of succession, succession rate and post-succession performance, and succession contingency. The authors surmised that organizations undergo change and the possible instability of leader transition and succession contingencies focus on the "fit of the successor and needs of the organization" (Kesner & Sebora, 1994, p. 332).

In their study, Giambatista, Rowe, and Riaz (2004) followed up the early review of succession literature by Kesner and Sebora (1994) with a review of empirical studies.

Giambatista et al. perceived succession planning as being thought of in a very "simplistic" manner, and succession planning is more than who should succeed, the succession process, or when succession should occur (p. 987). The researchers offered five practical insights for key decision makers involved in the succession planning process: (1) discard past preconceptions of succession planning; (2) have board and incumbent CEOs display strong support of a formalized succession planning program; (3) be aware of future successors abilities, skills, and backgrounds; (4) don not encourage board members to focus on replacement planning and hiring in their own images; and (5) encourage boards to consider the complexity of the job and institutional needs.

Karaevli and Hall (2003), Fulmer (2002), Clunies (2007), and Rothwell (2010) conducted research on succession planning and leadership development practices of leading Fortune 500 companies from various industries. Fulmer (2002) was commissioned to identify succession planning best practices. Sixteen firms, along with the American Productivity and Quality Center, voted to examine the succession management practices of Dell Computer, Dow Chemical Company, Eli Lilly and Company, Pan Canadian Petroleum, and Sonoco Global Practices. Fulmer pointed out "Succession management serves as an interface between the human resource function and the strategic direction of an organization" (p. 1). He also outlined the best practices of the selected organizations and noted "the best practice partners in this study did not succeed in their first efforts of succession management" (p. 2). Fulmer emphasized that organizations along with top executives were supportive of succession management and incorporated succession planning into their annual evaluation and planning processes.

Four key insights have been identified as best practices: deploying succession planning management process; identifying the talent pool; engaging future leaders; and monitoring and assessing the program. By identifying a talent pool, organizations develop and utilize a core set of leadership and succession management competencies. This helps establish a continuous process to focus on future leaders. Organizations must be involved in continuously monitoring and assessing the program and individuals based on performance, corporate values.

In a 2003 study, Karaevli and Hall reviewed succession planning programs in13 for-profit organizations and governmental agencies. They concluded that organizations have done a good job of developing talent and training selected employees for executive positions. However, organizations have not paid much attention to future workforce planning. Leadership development should be conducted strategically. Succession planning and management programs need to become simpler, streamlined and more decentralized and business focused. The task of planning for workforce needs has to be a part of business and unit planning. Streamlining the succession process and incorporating an annual business planning process involves everyone in the program and holds both executives and individuals in the organization accountable for talent development.

Rothwell (2010) advised that succession planning and management is a systematic process that involves developing leaders beyond the second level of the organization. The process involves long-term planning and creating a pool of talent from which the organization can select multiple candidates to fill future leadership positions.

Clunies (2007) surmised that to develop leaders at multiple levels, the evaluation system should be closely linked with other personnel systems, such as performance appraisal, career development, and management development. Karaevli and Hall (2003), Fulmer (2002), Clunies (2007), and Rothwell (2010) described succession planning as a long-term strategy that plans for current and future human capital needs. In addition, these authors discussed common and effective succession planning and management practices and identified common themes in their investigations of the literature, of government agencies, and of for-profit organizations.

A review of succession planning and management literature revealed common themes of effective succession planning processes. Four common themes have been identified as practices that can be implemented to meet the leadership and talent gaps. The common themes are communicate expectations, organization assessment and alignment, talent assessment and development, and process evaluation. These four areas can be expanded to include such themes as individual feedback, transparency, and accountability. However, the research revealed that a more expansive list of common themes would overlap; therefore, the following four common elements have been provided to amalgamate additional research on succession planning components.

Communicate Expectations

The primary role of the board is to hire the CEO. The board also has the responsibility to establish policies and provide direction to the president. As a public institution, accountable to its community, community college boards of trustees must also represent the interests of the community. Today, community colleges are changing to

address the unique global, economic, and educational needs of the twenty-first century. Communities and institutions expect boards to ensure continuity of leadership and service during transitional times.

Effective succession planning and management programs have the visible support of the board, president, and executive leadership (Groves, 2007; Rhodes et al., 2006). Succession planning cannot be treated as a special project, but should be aligned with the strategic goals of the college and departmental unit objectives. The involvement of top executives and members of the organization demonstrates importance and value to all involved in the process.

Organization transparency in the private sector has focused the board's attention on succession planning and management. Biggs (2004) referenced the passage of the Sarbanes-Oxley Act of 2002 and the changes in the global economy. The Sarbanes-Oxley Act of 2002 required more accountability and transparency, and it focused additional attention on CEO succession as a major concern of governing bodies. Rothwell (2010) echoed the point that the Sarbanes-Oxley Act of 2002 has had an impact on succession issues. According to the National Association of Corporate Directors' (NACD) report, the NACD survey indicated that 25% of participants listed CEO succession as their number two area of concern. The appearance of CEO succession on the list of concerns had not been previously indicated in its reporting.

Biggs's (2004) research focused primarily on the connection between the board and the CEO. The board can mandate that succession planning and management be a valid and fluid practice in the organization and thus ensure that executive leadership is

supportive of the process. He noted that the board's role in succession is to ensure that succession planning is being performed and that this can be verified through the CEO's annual evaluation. This action supports "good governance" and provides sound leadership for the organization.

The use of succession planning as a replacement tool is contradictory to much of the literature on effective leadership development at all levels of the organization. However, in spite of this belief, the literature supports the view that executive support is needed to create a positive culture for succession planning throughout the organization. Executive support is a critical task as part of the governing duties of boards (Conlon and Smith, 2010).

Earlier, Leibman, Bruer, and Maki (1996) had conducted research on over 40 Fortune 500 companies, public corporations, international institutions, and universities to determine how organizations were modifying their practices to meet the diverse and complex employment needs of the twenty-first century. They identified internal gaps through transparency of operations and open communication. They surmised that the inclusion of employees in the process could inspire them to reach new heights on the corporate ladder. The consideration by the company to ensure that employees at all levels of the organization are involved in the succession planning process makes employees more responsible for their future directions with the company (Conger & Fulmer, 2003).

Successful organizations have executive participation and a strong commitment to the development of future leaders. A study of 30 CEOs and 15 human resources

professionals focused on health-care industry leadership development programs, along with interviews of organizational leaders which revealed common practices of executive leadership that are critical to a program's success. Groves (2007) demonstrated active participation in the succession planning process influenced the identification and selection process of potential leaders throughout the organization. The organizational culture supports the cultivation of talent, managers have conversations about personal development; and, in some cases, development programs are part of the performance appraisal system. Both succession planning and leadership development have been fully integrated into systems that develop the professional and personal growth of individuals.

In addition to executive support, there should be open dialogue at every level of the organization about the succession planning process. Succession planning is a complex, detailed, and data-driven process. It takes time to build a culture around strategic identification and cultivation of talent. The time intensive process can be discouraging for some managers, executives, and even employees. Therefore, the program should be flexible, simple, and meet the specific needs of the organization (Clunies, 2007; Conger & Fulmer, 2003).

Succession planning must have organizational support from the top and at all levels of leadership. The board of trustees, president, and executive and senior level leaders must make a commitment to be involved in the process and most clearly communicate the goals and objectives of the program (Fulmer & Conger, 2004; Fulton-Calkins & Milling, 2005; Karaevli & Hall, 2003). The entire organization needs to know the goals of the succession planning and management program, as well as identify future

skills and competencies needed to fill key leadership roles. Karaevli and Hall (2003) noted that when program expectations are communicated and there is the utilization of practical definitions, talented employees for diverse work assignments at various levels in the organization are identified for future leadership positions.

Executive leadership should be active in the succession planning and management process; the program changes with the organization. Effective organizations have processes and training meetings to demonstrate ownership of and commitment to the program (Karaevli & Hall, 2003). The involvement of the executive leadership team in succession planning confirms the commitment of the organization; it is an investment in the growth and development of the company and its employees.

Organization Assessment and Alignment

A vision that is oriented to the future growth and challenges of the organization should be developed (Fulton-Calkins & Milling, 2005; Kesler, 2002). Kesler (2002) conducted a review of past research and consultant data on 25 organizations to review the different approaches and outcomes to succession planning and management. He emphasized that the succession planning process involved an assessment of current talent and skills and identified future skills need for organizational growth. According to Kesler (2002), "succession planning needs… to include a more comprehensive set of assessment and development practices that support the entire pipeline or flow of talent" (p. 32). He described the talent pipeline as "a series of feeder groups" that reaches hierarchical and parallel positions in the organization. The process helps organizations gain a broader view of talent development and recruiting needs (McDonald, 2008).

Guinn (2000) pointed out that "If you have not taken an inventory of your existing talent and aligned your succession planning [program] with your [strategic plan], there is a good chance that you do not" know the skills and competencies needed to successfully lead the organization (p. 390). Institutions that have determined current and future talent needs have adopted competency models to help assess internal skills and competencies. Competency modeling assists with determining the related skills, knowledge, and responsibility needed for a particular job position. This process of position assessment evaluates job skills, and not the person, so that current and future skills needed within the organization are known. Rhodes et al. (2006) concluded that the process of individual talent assessment has to involve management.

The support of management is needed in developing an organization's human resources. This is an important role because it also involves understanding long-term policies of the organization and provides support for organizational growth. The support of management helps to align succession planning and management with strategic plans and provides information on the skill competencies within the organization. Current and projected organizational skill sets impact whether an organization recruits future leaders from inside or outside the organization. A review of CEO turnover events of publically traded firms from 1993 to 2002 revealed that when boards are aware of current and projected skills sets of those in leadership, organizations are less likely to seek external candidates (Boyer & Ortiz-Molina, 2008). The opposite is also true; if organizations have not identified qualified candidates within the organization, they are more likely to seek external candidates.

Guinn (2000), Rothwell (2002b), and Kim (2003) indicated a critical piece of succession planning is to have organization assessments align with the requisite skills needed in key positions and the strategic goals of the organization. Research relative to Fortune 500 companies revealed an increase in the availability and quantity of qualified talent to fill leadership positions at all levels of the organization when succession planning and management is aligned with the strategic goals of the organization (Conger & Fulmer, 2003; Karaevli & Hall, 2003). For example, Kim (2003) reported through use of organization assessment that of the 186 respondents, 30% indicated they needed additional training to perform their jobs effectively, 87% felt they possessed the necessary skills, and over 50% felt their knowledge, skills and abilities were underutilized. This assessment of skills and abilities and the alignment of strategic goals help the organization to project future recruiting and training needs to increase organizational effectiveness.

Succession planning and management that is aligned with the strategic goals of the organization reinforces its importance of the process to the organization. The alignment of strategic goals demonstrates support for the program and responsibility of the entire college to develop talent in order to support the mission of the college (Neefe, 2009). This process of alignment also ensures the most effective use of the organization's resources and supports the overall mission. Fink and Brayman's (2006) review of school leadership succession recommended that all schools have a formal plan and that it be considered key to school success.

Organization assessment and alignment supports the systematic approach to build the leadership pipeline within the organization. This allows the organization to have a holistic view of organizational talent and indicates targeted training and development areas needed for employees. Therefore employees are trained in areas that are beneficial to the organization and are aligned with its long-term strategic goals.

Talent Training and Development

The various studies conducted with business, health care, and government employees in executive leadership positions indicated that as a part of the succession planning process, members of the organization are urged to participate in in-house training and to have the opportunity to been involved with specialized assignments in order to develop their skills. Karaevli and Hall (2003) concluded that past and current performance appraisal results, 360-degree feedback, and competency assessments of workers could be used as common criteria to identify and develop talent. These types of assessments help to communicate skills expectations and to evaluate job performance. However, these tools are only useful if the organization has imparted the skills, knowledge, attitudes, and social behaviors required for current and future jobs (Kerr & Jackofsky, 1989).

Open communication throughout the organization and the support of leadership transfers the responsibility of talent development from the organization to each employee. The entire organization becomes involved in the succession planning process and so understands the strategic goals of the institution. Individuals are able to examine their personal career paths and to initiate working with leaders to determine their future roles

in the organization (Karaevli & Hall, 2003). For example, employees may apply to leadership training programs in order to gain knowledge of institutional priorities and to develop skills necessary for future leadership positions. In addition, community colleges such as Houston Community College (Texas) and Guilford Technical Community College (North Carolina) have instituted Individual Development Plans (IDP) that help employees to align their personal goals with unit objectives. Karaevli and Hall (2003) concluded that alignment of employee goals and college goals should include the employees in the process, and then they are able to take control of their professional growth and development. Additionally, employees are engaged in the process, and when they transition into leadership positions they experience sustainable improvement in their new roles (Fink & Brayman, 2006).

Kim (2003) analyzed employee assessment procedures and considered career development, training, workforce diversity, mentoring and succession planning in the public sector. Kim identified five reasons for conducting talent assessments as a part of succession planning. First, the study results showed a need for succession planning and management to have a strong link to leadership development, with clearly defined competencies. Second, connections between succession and employee assessments enhanced participation by minorities. The results also indicated that support by executive leadership demonstrated the organization's commitment. Next, employee assessments can be used to evaluate employee skills and competencies. Finally, results can provide information about impending retirements and workforce changes. Kim's study and its

findings support utilization of succession planning in an industry other than the private business sector.

Talent identification, selection, and retention cannot occur without an analysis of organizational data that show current talent and future talent gaps. Human resource departments readily provide and collect basic demographic data, including race, gender and age profiles. However, organizations are not including "skills gap, critical talent loss, and employment grade comparisons in their data" (Hewitt, 2009, p. 182). Successful succession planning programs combine individual and organizational data, as well as link strategic planning to identify current and future positions that have been deemed critical. In addition, the collection of data of future and current talent needs "ensures continuity of organization" (van Amburgh et. al, 2010, p. 2).

Leibman et al.'s (1996) research relating to organizations' changing their practices to meet the diverse and complex employment needs of the twenty-first century revealed that qualified talent was not always identified through succession planning programs. Succession planning was not always properly implemented, program expectations were not communicated at all levels, and they did not always deliver the most desired results. Leibman et al. (1996) noted a lack in ability by senior leaders to identify talent. They felt this problem was a result of leadership identifying employees rather than developing the requisite skills of employees. Therefore, the study concluded that a gap still exists in the number of people available to fill open positions, necessary skills, and requisite competencies of employees.

Fifteen pharmacy school deans were interviewed regarding their perceptions about the presence, extent, and value of succession planning at their institutions (van Amburgh et al., 2010). van Amburgh et al. concluded that the research participants could not report that succession planning was included in the institution's strategic plan. The interviews revealed that elements of succession planning have been employed, but a formal plan and policies were not in place. They recognized that without the support of executive leadership, succession planning would not develop. Additionally, the pharmacy school deans recognized the value of structured workforce plans and their use in identifying and training individuals for key leadership positions.

Furthermore, the lack of workforce planning could have a negative impact on the management, strategic priorities, and operations of the organization. A study of Nevada's Department of Energy (DOE/NV) workforce revealed succession and long-range strategic plans were connected to ensure that the department has a pool of talent to select qualified individuals when openings became available (Kim, 2003). The DOE/NV established a mentoring and leadership succession training program. The mentoring program is open to all employees in order to provide formal guidance about how to develop skills. The leadership succession training program is for qualified mid-level managers to cultivate management skills. A survey of leadership succession training program participants and nonparticipants indicated that nonparticipants had stronger perceptions that their skills were being underutilized. The inadequate amount of workforce planning impacted morale, employees not in the program indicated that their

skills were being underutilized. However, program participants did not feel the same, partly because they were included in the internal database for future positions.

According to Duree (2007), of the 415 community college presidents that participated in his study, 50% had participated in a formal or informal mentoring relationship before their first presidency. Programs that integrated succession planning and leadership development have identified a broad pool of talent, which includes managerial positions. Interviews with 30 CEO and human resources executives across various organizations have provided best practices model for preparing future leaders (Groves, 2007). The practices of a model talent development program include fully engaged mentor relationships and networks; active management participation in organization's method for talent identification; flexible and fluid succession planning process; organization-wide forums that include combinations of executives and managers; supportive organizational culture; and continuous program evaluation. One common theme of executives in this study is "[o]rganizations are better served by investing the necessary time and effort in identifying and developing multiple high-potential managers" (p. 248).

As organizations develop succession plans, they need to identify a means to train internal talent. AACC (2005) identified leadership development programs as key to training future leaders in the competencies adopted by its membership. Even though there is leadership development occurring in community colleges, it has been isolated from planning for future workforce needs. Therefore, a review of leadership

development programs is necessary when one discusses succession planning and management.

Leadership development programs.

Leadership development programs (LDPs) train and develop faculty, staff, and administrators so as to increase the availability of qualified talent to fill future leadership positions that become available as a result of attrition and retirements (Jeandron, 2006). Jeandron thus defined LDPs as training whose emphasis is on personal growth and the development of leadership skills. LDPs are "focused on developing future college leaders from among the existing ranks of midlevel administrators and faculty" (p. 3). The mission of LDPs at various universities, on college campuses and in professional associations ranges from "reinforcing organizational and leadership skills that employees can use in their current position [to] establishing a coordinated and sustained program of professional development for faculty and staff focused on mission achievement and educational effectiveness" (pp. 8-9). Although training programs have different missions common themes exist between programs. The common themes identified by Jeandron (2006) were to plan the program, to develop the program, to deliver the program, and to strengthen the program. These themes speak to the commitments needed for instituting an effective leadership training program.

Fulton-Calkins and Milling's (2005) research also examined the relationship between comprehensive succession planning and leadership development training. The researchers concluded that the following elements were effective in succession planning: developing a vision that looks to the future and the challenges that will exist, constantly

reviewing existing long-term goals, developing a broadly structured succession planning process at all levels, critically examining organizational culture, recognizing and identifying current and future leadership skills, reviewing and assessing the program; and involving the board of trustees at the appropriate level.

Talent training and development is the internal investment of the organization in its current workforce. This element of succession planning and management is the tangible part of the process. Leadership development is incorporated from the long-term strategic goals of the organization to the individual goals of the employee. Talent training and development helps employees enhance their skills, raises job-related knowledge, increases organization productivity and efficiency, and prepares employees for advancement. This is also a retention tool and enhances internal mobility and employee commitment, as well as strengthens institutional culture.

Process Evaluation

The fourth identified theme is process evaluation. Succession planning is no longer about position replacement. Succession planning and management is a process connected to the long-term strategic plans of the organization and thus requires ongoing measurement and evaluation. Measurement and evaluation of succession planning and management may include ensuring that the program meets its objectives; developing a pipeline that has the right talent to move into an open position strategically; or increasing upward mobility opportunities for high-potential employees (Conger & Fulmer, 2003; Gandossy & Verma, 2006). In addition process evaluation, like organization assessment

and alignment, may reveal the need to recruit from outside the organization in order to meet workforce and skills goals of the organization.

Ready and Conger (2007) stressed the importance of accountability in succession planning. Process evaluation signals to executives that they "will be held accountable for identifying and developing the organizations current and future leaders" (p. 77). According to Conger and Fulmer (2003) and Kim (2003), successful companies conduct continuous reviews of succession planning processes and content as well as to track and collect feedback from executives and program participants. Process evaluation informs all involved with the succession planning and management program about its effectiveness or lack thereof.

Rothwell's (2010) work included measurement as a strategic component for succession planning and management. Measurement is utilized as part of "succession planning programs to measure how well people are achieving key results and demonstrating desired behaviors for the organization" (p. 53). This element of the process helps to determine if a gap exists between program expectations and requirements that can impact the commitment and involvement in the organization (Fulton-Calkins & Milling, 2005). The use of measurement, tests for effectiveness in order to show that conditions of improvement can be developed (Rhodes et al., 2008).

Process evaluation involves developing metrics by which the program will be measured. Evaluation metrics have included such items as, number of leadership positions filled with internal candidates, ethnic and gender diversity promotions, and the number of positions that have candidates who currently possess the skills and

competencies to meet future leadership positions (Gandossy & Verma, 2006). Fortune 500 organizations have used board size and the firms' performance to evaluate successors. Firm performance has included, stock prices, revenue, and firm equity (Huson, Malatesta, & Parrino, 2004). Although process evaluation is needed in all programming, there is not one particular index of measurement that has been identified for succession planning and management. Researchers contended that notwithstanding the evaluation parameters, they must meet organizational needs (Currie, 2010; Giambatista et al., 2005; Hudson et al., 2005; Kim, 2003).

Process evaluation was a common element in many succession programs, although research involving process evaluation and succession planning and management is limited (ACE, 2010; Conger & Fulmer, 2003; Davis, 2010; Giambatista et al., 2005; Helton & Jackson, 2007; Mateso, 2009; Rothwell, 2010; Wallin et al., 2005). Process evaluation is recognized as a final step in effective programming. It also supports a culture of evidence structure that is congruent with community colleges' practices.

In a time of limited resources and increased accountability, process evaluation provides tangible evidence that a program is meeting its objectives. Process evaluation improves program effectiveness, provides feedback for quality improvement, and allows for process adjustments. Unlike for-profit businesses, educational institutions cannot be measured on return on investment. Community colleges have a commitment to their students, community, and internal stakeholders to ensure organizational goals are being met, resources are used appropriately, and the institution's mission is supported through

continuous process evaluation. Therefore, process evaluation must be included in the succession planning and management framework.

Succession Planning and Diversity

Today's community college student populations are more diverse than in any other time in the history of these institutions. The student population is 58% female, 42% male, and 45% minority (AACC, ("Fast Facts", 2009). However, data indicate a lack of racial, ethnic, and gender diversity in the administrative ranks of two-year institutions.

As shown in Table 2, 70% of community college presidents are men while women fill only 30% of these positions. Blacks and Hispanics represent 6% and 4% of two-year public and private institutions, respectively. Consequently, community college leaders fail to be representative of their student populations (Munoz, 2010). According to Morrison (2006) there have been differing opinions on whether minority demographic populations should be targeted for leadership positions; the decision to confront the issue of diversity has been largely side-streamed.

Table 2. Characteristics of college presidents

	All	4-Year Private	4-year public	2-year private/public	For-profit
Gender					
Male	74%	74%	77%	70%	79%
Female	25%	25%	23%	30%	20%
Race					
White, non-Hispanic	86%	92%	80%	86%	82%
Black, non-Hispanic	5%	3%	7%	6%	4%
Hispanic	4%	1%	5%	4%	6%
Other/mixed race, non-Hispanic	4%	2%	5%	4%	4%

From Almanac of Higher Education 2011-2012 (p. 29), by Chronicle of Higher Education, 2011. Washington D.C.: Chronicle of Higher Education. 2011. Recreated with permission.

Muñoz (2010) and Tatum (2008) advised that the anticipated vacancies offer an opportunity for institutions to expand gender and ethnicity of community college leaders beyond the traditional white male profile (Muñoz, 2010; Tatum, 2008). Lumby's (2005) research revealed there was a difference in how administrative leaders defined diversity. Definitions for diversity ranged from consideration of age, disability, religion, sexual orientation, ethnicity, national origin, social class, and education to such personal characteristics as attributes, skills, and experience. Lumby recommended leaders giving more consideration to diversity in leadership. Addressing staff diversity can "(1) better recruit and meet the needs of diverse students; (2) offer richer and more effective leadership; and (3) better prepare [students] to learn and work in an increasingly diverse society and an increasingly diverse local, national, and global workplace" (Lumby, 2005,

pp. 36-37). Planning for a future workforce can assist with identifying a diverse pool of candidates, thereby leading to administrative staffs being more reflective of the institution's student body.

Muñoz's (2010) study of Latina community college presidents found that stereotyped perceptions, discrimination, and limited role models still present challenges for minority leaders. The author noted that Latina presidents in this study were more prepared academically and more involved in leadership roles in their communities than were their male counterparts. In addition, the participants "voiced urgency in recruiting and cultivating future leaders that reflect a greater balance of representation of student and community populations" (p. 172).

Although there have been increases in female college presidents over the past 20 years, women still hold a disproportionate number of positions as college presidents. Increasing the representation of women and people of color requires planning and support from leadership. Intensifying this relevant conversation is the graying of current leaders, which is compounded by the lack of current employees and lack of experience in the leadership pipeline.

As King and Gomez (2008) posited, "succession planning could be used on campuses to advance more women and people of color into senior roles that most typically lead to a presidency" (p. 7). Focusing on diversity also improves the learning experiences of students, enriches the development of a future workforce, and increases participation in workforce development to fill possible leadership positions (Betts, Urias, Chavez, & Betts, 2009).

Succession Planning and Internal-External Candidates

While succession planning and management is a business practice that has reaped success in the highest positions of an organization the practice has not always been implemented smoothly. From its early beginnings, succession planning has been moved along the continuum to incorporate strategic business and human resource planning. Research has shown that succession is no longer about the top executive but is more about developing leaders throughout the company to perpetuate the organization's success and longevity. Thus the case for succession planning has been faced with the question of whether or not the organization will fill positions with internal or external candidates. The decision to select an internal versus an external candidate has been linked to prior organizational success.

Researchers have long recognized that nonprofit organizations determine success by delivery of services, the number of lives touched, while for-profit organizations have linked success to financial profits and returns on investments (Dalton & Kesner, 1985; Datta & Guthrie, 1994; Giambatista et al, 2005; Grusky, 1960). When these measurements are no longer profitable and begin to fail, then organizations begin the search for new leaders. Kotter (1982) suggested early on that candidates currently working inside the organization had a strategic advantage in understanding the structure and internal networks. Karaevli (2007) and Agrawal, Knoeber, and Tsoulouhas (2006) advised that candidates selected from outside the organization possessed different leadership, knowledge, and skills sets that could be a benefit to the organization. The

research offered mixed results on the selection of internal and external candidates; and the research literature described both disadvantages and advantages to each approach.

When companies have performed poorly, board of directors has tended to select new leadership from outside of the company in order to turn the organization around, to infuse new ideas, and to improve shareholder confidence. On the other hand, organizations that had positive performances were more likely inclined to select current employees to fill leadership positions. External recruitment was an option "when changes are considered attainable" (Dalton & Kesner, 1983,p. 736).

Dalton and Kesner (1983) studied organizational size and the incidence of inside versus outside succession. The hypotheses tested involved New York Stock Exchange (NYSE) and non-NYSE companies. Results of the study indicated that larger firms were associated with greater inside succession. Larger NYSE companies were less than "half as likely to experience outside succession" (p. 740). The authors attributed these findings to the NYSE organizations, typically larger organizations having an advantage in developing their employees. Shen and Cannella (2002) later researched large, publicly traded U.S. companies reviewed 228 CEO successions. Thus researchers concluded that external successors had a negative impact on operational performances. Although outsiders may have encountered more challenges and have had a higher learning curve than their internal candidates, their success was hampered by a lack of firm-specific knowledge and disruption of the entire to the organization. Worrell and Davison's (1987) conclusion was contradictory to these findings. These authors opined that internal succession improved organizational performance.

There was mixed research results about the pros and cons in developing internal talent or recruiting an external candidate for future leadership programs. Like succession planning and management, there was not a best-fit option; there were organizational and environmental factors that impacted the best option for internal and external candidate selection. One resource that has not been fully considered was the effect which professional development programs, as part of succession planning and management plans, have had on identifying and developing a diverse pool of candidates. Succession planning and management as a tool to develop leaders at every level increased the diversity of thought and experiences, as well as identified the internal skills gaps that led to an organization's having no other option than to recruit externally for leadership positions.

Succession Planning and Organization Size

When investigating the success and effectiveness of succession planning and management programs, businesses have compared firms' performance, organization size, and industry characteristic as antecedents. Research indicated that these organization and industry factors have impacted the use, effectiveness, and development of succession planning. However, there have been mixed findings on the impact of organizational antecedents on comprehensive succession planning and management programs.

Over a ten-year period Grusky (1961) investigated the rates of succession and organization size. He examined succession for individuals who held positions as chairman of the board, president, secretary, comptroller, and treasurer. Grusky concluded

that a relationship existed between organizational size and succession. The results of this study indicated the two factors were highly correlated.

In 2006, Naveen studied how human capital considerations affected the process of CEO succession in firms. This study looked at the process of relay succession, the selection of an heir apparent several years prior to the incumbent retiring, within the organization. The sample was comprised of 691 firms from Forbes 1991 Compensation Surveys. Although relay succession was antiquated and did not support the development of a pool of talent to fulfill future leadership positions, Naveen found that larger firms were likely to utilize succession plan.

Froelich, McKee, and Rathge (2009) also highlighted that size matters. Their research study included charitable nonprofits (501(c)3 organizations) and cooperative organizations (501(c)4 organizations). These authors determined from survey and interview groups that both charitable nonprofits and cooperative organizations perceived succession planning as important to leadership continuity and financial performance. However, findings revealed contradictory results about use and development of formal succession plans. Froelich et al. ascertained charitable organizations, usually smaller and have more limited resources than cooperative organizations, were more likely to have formal succession plans. This finding is inconsistent with the research conducted by researchers Ip and Jacobs. Ip and Jacobs (2006) stated that smaller organizations were less likely to have formal succession plans due to limited time, resources, and expertise.

Previous studies that have involved both for- and not-for profit organizations produced mixed results about use and development of formalized succession planning

and management programs. The size of the organization was measured by revenue and rate of return for businesses, while nonprofit organizations determined success by services provided to their clients. Revenue and service delivery as a measure of effectiveness was not viable determinant of effectiveness in higher education. Unlike for-profit organizations, financial gains were not an appropriate indicator of success in educational institutions.

Community colleges have been involved in an ongoing debate about acceptable practices to measure organizational success. For this reason, the effective utilization of succession planning would be difficult to determine until a decision is made as how to measure institutional success by graduation rates or students' academic objectives.

Effects of Succession Planning and Management

The uniqueness and diversity of two-year colleges require institutions to plan for the long-term growth and development of all aspects of the organization, including human capital. Community colleges, like many organizations, are faced with diverse workforces. If institutions are going to meet the ensuing employment gap, they must plan for changes in leaders, skills and competencies, and external community support.

A well-defined and supported succession planning and management program benefits all parties involved. Conger and Fulmer (2003) identified various ways that succession planning impacted employees. The researchers contended success occurred only as a part of organizational culture where there is open, candid communication and

commitment from the executive. The combination of employee commitment, employee performance, and program assessment directly affected organizational performance.

Wallin et al. (2005) examined two community colleges implementing a succession planning programs. As institutions committed to succession planning they linked leadership development and strategic plans focusing everyone in the college in the same direction. The coordination of these critical strategies, along with implementation of succession planning at all levels of the college, "support[ed] the teaching and learning mission of the college and provide[d] effective leadership" (p. 28) as well as addressed the leadership deficit in community colleges. With an emphasis on being a learning institution, leaders demonstrated support and value for individuals. Organizational support impacted the "leadership capability, desirability as an employer, increased employee satisfaction levels, and the ability to attract and retain top talent" (p. 28).

In a later study, Helton and Jackson (2007) followed-up to the study conducted in 2004 regarding Pennsylvania's workforce succession planning program. In their 2007 study, the researchers examined the effects and benefits of succession planning to its public workforce with data pulled from the Pennsylvania's Workforce Planning and Performance Division. Helton and Jackson advised "succession planning provides leaders with a strategy to tap into institutional knowledge that would otherwise be lost due to retirement, promotion, and general attrition" (p. 336). Succession planning not only addresses the loss of talent but also provides a method of retaining institutional memory.

The researchers identified six fundamental benefits to succession planning for the organization and employees. First, succession planning enabled the organization to assess its talent needs by establishing competency models or job descriptions. Second, it identified and tapped key people who were available to fill critical work functions. Third, succession planning provided avenues for present and future succession planning and discussions about how to develop talent. Fourth, it also identified career pathways for employees to increase the breadth and depth of their organizational knowledge. Fifth, succession planning provided for a higher return on investment from employees. Sixth, succession planning led to the appropriate promotion of people to meet organizational goals (p. 337). This research emphasized the significance of employees and their importance to the effectiveness and future growth of the organization.

McDonald (2008) researched global financial employment and its talent shortfall. The findings in this study agreed with the retention benefits that Helton and Jackson (2007) identified as a benefit of succession planning. He also described the positive impact which succession planning had on employee motivation and job satisfaction. Employees' commitment to the organization, and their work and future, are enhanced; and they are "less inclined to pursue other opportunities" (p. 21). Rothwell (2010) agreed that adopting a comprehensive succession planning and management process impacts both the employees and the organization. Succession planning and management builds and strengthens the relationship between the employees and the organization.

Succession Planning and Management In Community Colleges

Research on succession planning and education is sparse. There is a gap in the succession planning and management literature related to higher education institutions. Gonzalez (2010) reported that "Although academia is becoming more like business in many respects…it has not borrowed one of the best attributes of business culture: its tradition of developing leadership through succession planning" (p. 1).

Davis (2010) and Rothwell (2010) admitted that barriers to succession planning in higher education are lack of understanding, use of multiple terms, and often-difficult transferability of a business model to academia. To advance the practice of succession planning and management in education and to assist ACE member institutions to understand succession planning and recognize it as a way that will sustain higher education, Davis described the core aspects of succession planning and applied them to higher education practices. The author outlined these five core principles of succession planning in higher education:

- Succession planning is a process – that ensures sufficient sources of possible leaders and utilizes a systematic approach to establish a pool of diverse talent;
- Succession planning is leadership preparation – requiring thoughtful, careful exposure of individuals to special projects and improving morale of those involved;

- Succession planning is inclusive – if the program is created by one individual it is doomed to fail; a comprehensive plan recognizes the importance of shared governance and engages a diverse representation in the development process;
- Succession planning is intentional – program success involves continuous monitoring and developing; succession planning is tied to the support of institutional leaders;
- Succession planning is forecasting – it assesses current and projected talent needs and outlines the process for internal talent advancement. (Davis, 2010, pp. 1-3)

Wallin et al. (2005) defined succession planning as "a process by which an organization assures necessary and appropriate leadership for the future through a talent pipeline with the capabilities of sustaining an institution's long-term goals" (p. 26). Colleges must identify and develop internal talent, and take the necessary steps to develop, a comprehensive succession plan that identifies both strengths and gaps in the requisite skills of employees that are needed in the organization. Wallin et al. proposed that this task could be accomplished by utilizing AACC's core competencies as a framework for developing institution specific competencies, to "provide the type of leadership development that emphasizes strengths and closes gaps" specific to the college (p. 26).

> Good leadership makes colleges work. Good leadership supports faculty teaching, values students and learning, and reaches out to the community. Good leadership looks to the future. A growing number of colleges and boards of

> trustees are looking to the future by embracing succession planning as the key to assuring college sustainability in an environment that requires global thinking, strategic planning, and political savvy. Succession planning has assumed a prominent role in progressive and innovative community colleges concerned about leadership at all levels. (Wallin et al., 2005, p. 25)

Wallin et al. (2005) identified the following eight steps for institutions to develop good leaders and create a pool of qualified talent, based on a review of succession planning documents from various community colleges. Institutions must establish a committee to provide oversight for the succession-planning process; in many colleges, this would be the senior leadership team. Second, they must identify key positions within the organization that are critical for the college's future success. Third, institutions must develop the criteria for critical leadership positions and determine what skills and traits are necessary for individuals to be successful in meeting the long-range goals of the organization. Fourth, they must identify possible candidates that are interested in a leadership position; this is also an opportunity to examine the opportunity for a more diverse representation of senior executives. Fifth, executives must create mentoring/coaching programs and on-the-job training opportunities for the emerging leaders. Sixth, organization executives must identify mentors/coaches from within the organization who are committed and can offer the necessary guidance and support to a succession plan program. Seventh, the college's leadership must create a well-defined process to assist candidates in preparing personal and professional development plans to

meet leadership needs. Finally, the succession committee must consistently evaluate the effectiveness of the succession planning program (pp. 26-27).

Although the outlined steps are slightly different from those identified by Fulmer (2002) and Rothwell (2010), Wallin et al. (2005) acknowledged there is no ideal program structured to fit all institutions. Each institution is different, organizations require various levels of skills, and individuals possess different competencies. Therefore, it behooves community college leaders' to develop programs that meet the needs of their unique institution. Furthermore, as the expectations of college leaders change and expand, institutions can utilize a well-developed succession planning and management program to ensure the continuity of available talent.

While discussions and research studies regarding succession planning have primarily involved businesses; colleges and universities have not fully embraced corporate succession planning practices (Witt&Kiefer, n.d.; Gonzalez, 2010). The executive search firm, Witt and Kiefer, conducted a presidents' and trustees' survey of four– and two–year institutions "to determine best practices in and barriers to leadership succession planning" (para. 1). In the study, 8.4% of respondents argued that shared governance makes it "impossible for any administration" to develop succession planning processes that followed the traditional business succession model (sec. 6). However, the retirement of executive leaders is impacting institutions and creating a slow cultural shift within organizations. Community colleges are taking a closer look at succession planning as a tool in order to create a pool of qualified talent as a viable practice.

According to one community college president, "succession planning is long overdue in the academy" (sec. 9).

College presidents and advocacy organizations, and the like, agreed that a culture shift is needed in higher education. After much research and several published studies on the leadership gap, ACE produced a series of online articles on "Preparing Leaders for the Future: A Toolkit for Developing Administrators in Higher Education." The toolkit provided a roadmap for higher education institutions to use in establishing an institutional plan that involves succession planning. Tool 6, "Preparing Leaders for the Future," addressed the issue of succession planning in higher education. The leadership development series emphasized that higher education should focus on succession planning and management, and connect succession planning processes to the institution's strategic plan.

In a white paper for the Center for Studies in Higher Education, Gonzalez (2010) explored succession planning processes and the benefits of developing future academic administrators for leadership positions in higher education. The author reviewed literature and succession practices of academic administrators at two different, professional administrators and department associate deans and below. Gonzalez opined that the use of formalized succession plans could identify underutilized talent – in particular, women and minorities. Additionally, it could "provide[d] an organization with a surplus of talent by helping members realize their potential" (p. 2). For example, Emory and Notre Dame universities created programs to develop high-level administrators, presidents, and academic leaders, and created a pool of available talent

who are able to participate in special projects on varying administrative levels within the organization. Gonzalez (2010) recommended moving talent between different leadership levels as a means for higher education institutions to create mentoring opportunities and pathways to transfer institutional knowledge.

In conclusion, in order for institutions to develop future leaders, effective succession planning in higher education must involve utilizing former leaders to train future leaders. Institutions are obliged to utilize formal internal processes, partly because "there are fewer and fewer external candidates of superior quality" (Gonzalez, 2010, p. 2). The utilization of former leaders to develop internal talent has had an impact on the quality of future leaders and "academic quality" (p. 4). Succession planning helped institutions track and develop talent at all levels and created a pool of talent that is able to address leadership gaps at multiple levels of within institutions.

Summary

A review of the current literature indicated that community colleges across the country will face a critical shortage in key leadership positions as community college presidents and senior executives retire (Amey and van der Linden, 2002; King & Gomez, 2008; Shults, 2001) and they face a lack of qualified and available talent (Amey, 2006; Fulton-Calkins & Milling, 2005; King & Gomez, 2008; Shults, 2001) to fill key positions. Community colleges are not alone in their need to develop qualified talent to meet leadership demands; however, there is evidence that community colleges are not fully prepared to meet the challenges of the leadership gap. Within higher education and

community colleges, the literature detailed research regarding institutions' use of succession planning and management to develop pools of qualified talent to address future leadership needs.

Studies regarding leaders in higher education and professional organizations identified the need for future leaders to possess requisite skills to be effective as leaders. The research revealed there is sometimes a disconnect in the perception of skills required and the actual competencies needed at different levels within the institutions. Therefore, leaders must work together for the longevity and success of the institution. The literature reviewed in this study indicated a need to examine current succession planning and management process occurring within community colleges to meet the long-term employment needs of the institution. The next chapter discusses the quantitative methodology used to obtain research results.

Chapter Three: Methodology

Overview

This study was conducted to examine succession planning and management practices occurring within community colleges regarding the perceptions of senior administrator and middle manager leaders. This chapter describes the research methodology used to examine the elements of succession planning and management program, a description of study participants, research method and design, procedures, survey instrument, and statistical analysis techniques.

Research Design

The appropriateness of a research method for a specific study depends on the goals of the study (Creswell, 2009). The quantitative nature of this research study is appropriate because the variables were measurable and self-reported. Quantitative descriptive research is designed to be objective and measure attitude, perceptions, opinions, and behaviors (Crotty, 1998; Wiersma & Jurs, 2005).

The researcher identified one dependent variable, succession planning and management. Succession planning and management has four dependent measures – communicate expectations, organization assessment and alignment, talent training and development, and process evaluation. Communicate expectations refers to the support of the president and includes the involvement of the college's senior leadership in conveying the goals of the program. This component ensures that everyone at multiple levels of the organization is aware of program objectives. The second component,

organization assessment and alignment, refers to a systematic approach to building the leadership pipeline within the college. Organization alignment is the coordination of human resources with the long-term strategic goals of the college. Additionally, assessment involves an evaluation of employee skills in order to determine current and future talent needs. The third component, talent training and development, refers to building the skills of current employees for future leadership positions. The institution has a formalized program for identifying, selecting, and retaining employees to meet workforce needs. Finally, process evaluation refers to the continuous measurement of program objectives and informs the college's leadership about the effectiveness of the program. These four components are used to measure succession planning and management.

Two independent variables, leadership status and institutional factors, were identified for this study. The first independent variable was leadership status. Leadership status has two levels, senior administrative and middle manager. The second independent variable, institutional factors, was defined as institutional size and institutional location. These dependent and independent variables have been identified to evaluate the status of succession planning and management within community colleges.

The purpose of conducting the survey was to examine the perceptions of senior administrative and middle manager leaders so that inferences could be made about current succession planning and management practices occurring within community colleges. Because this study intended to contribute to an existing body of knowledge regarding succession planning and management in community colleges, the researcher

developed the *Wright Coward Succession Planning and Management Survey (WCSPMS)* instrument. The survey instrument created for this study was influenced by designs of Rothwell's (2010) *Characteristics of Effective Succession Planning and Management Programs* and *Assessment Questionnaire for Effective Succession Planning and Management* and Mateso's (2010) *A Questionnaire for Assessing Succession Planning and Management Efforts at a University*. The researcher collected data regarding the perspectives of senior administrators and middle manager leaders in order to evaluate succession planning and management practices using the *WCSPMS* instrument.

Study Population and Selection of Sample

Study Population

The population for this study included senior administrative and middle manager leaders whose community college is a member of the American Association of Community Colleges (AACC) and alumna of the Community College Leadership Program (CCLP) at The University of Texas at Austin. The AACC is the largest representative body of community colleges in America. In addition, AACC's membership has adopted national initiatives focused on identifying and developing leaders to replace those that are retiring (AACC, "*Leadership 2020*," 2009a). AACC represents 993 public colleges, 143 independent, and 31 tribal colleges (AACC, "Facts," 2009b). For the purpose of this study, the researcher identified 2,222 senior and middle manager leaders from AACC member institutions.

The second population for this study was graduates of the CCLP. The CCLP is the oldest and most recognized community college doctoral leadership program and has over 600 graduates. Graduates of this program are employed in upper and middle manager leader positions at AACC-member institutions and throughout North America. Prior to combining the two populations the researcher eliminated persons who were not employed at two-year community colleges and those members who were also deceased. The removal of possible participants provided the researcher with a total population of 400 senior administrative and middle manager leaders. The total combined population for this study was 2,622 senior administrative and middle manager leaders representing 820 community colleges.

Senior administrative and middle manager leaders were chosen partly because of the duties they perform within the organization. Senior administrators are part of the planning and decision-making process at many community colleges. They are knowledgeable of the institution's programs and strategic initiatives. Senior leaders are familiar with matters such as leadership, community college trends, strategic planning, training and development, and evaluation. In addition, senior administrators provide direction to middle managers. Middle managers communicate the goals and objectives to the departments and staff members. These leaders also work at a more operational level ensuring tasks are completed in order to accomplish department and unit goals.

Sampling procedure

A goal of survey research is "to collect data representative of the population" (Bartlett, Kotrlik, & Higgins, 2001, p. 43). The total population for this study consisted

of 2,622 senior administrative and middle manager leaders. According to Krejcie and Morgan (1970), 335 is an appropriate sample size "to be representative of the opinions" (p. 607).

A random sample of participants was selected from a list of senior administrative and middle manager leaders. The researcher accessed contact information of senior and middle manager leaders by job title using a combination of electronic databases and the internet. The contact information of possible participants was entered into an excel spreadsheet, and each participant was assigned a number, from 001 to N, by the researcher. Participants were then sorted using the random function in excel to select 335 individuals. The randomly selected individuals were entered into a separate file for the purposes of this study.

Response Rate

The researcher sent an introductory email providing information about the study and then followed-up with an invitation. The email invitation also provided an opportunity for participants to participate in a sweepstakes drawing. The initial response rate after two weeks and four days was 34%. The researcher sent third and fourth week reminder emails, and received a final total of 207 responses for the study. This number represented a 61.79% response rate. Of the returned surveys, 191 of surveys were considered useable in this present study. The unusable responses from participants contained data that could not be used to analyze dependent and independent variables for this study. As shown in Table 3, 113 or 59% of the participants were middle managers, and 40.8% were senior administrators.

Table 3. Participant by Leadership Level

Leadership level	n	%
Senior administrator	78	40.8
Middle manager	113	59.2
Total	191	100.0

Participant Demographics

Recognizing the different structures and the variability of job titles within higher education, the researcher recoded responses based on occupational position data reported in survey questions 35, 36, and related open responses. Table 4 describes in the study in terms of their gender, age, ethnicity, and education. The majority of the respondents were female Caucasians between ages 56 and 60 and who held doctorate degrees. The mean age for senior administrative leaders was 58.2 years and 56.5 for middle manager leaders. The average age of male senior administrative leaders was 58.0 years compared to 56.2 years for females. The mean age of male middle manager leaders was 57.2 years, and the average of female middle manager leaders was 54.2 years.

Regarding participants being advanced internally or being recruited externally for their current leadership positions, 99 or 52.1% indicated that their present leadership positions were the results of internal advancement, compared to 91 or 47.9% of participants who were recruited from outside of the college. When examining demographics of this sample group, 12 or 15.8% of participants were African American, 56 or 72.1% were Caucasian, and 4 or 5.8% were Hispanic.

Table 4. Participant by Gender, Age, Ethnicity, Education, and Employment Status

		Senior Administrative Leaders		Middle Manager Leaders		Total % of Leadership*
Variable	Category	n	%*	n	%*	
Gender	Male	36	46.2	45	39.8	42.4
(n=191)	Female	39	36.8	67	63.2	55.5
	Prefer not to disclose	3	3.8	1	1.9	2.1
Age	Under 30	0	0.0	1	.9	0.5
(n=191)	31 – 35	1	1.3	7	6.2	4.2
	36 – 40	5	6.4	7	6.2	6.3
	41 – 45	8	10.3	12	10.6	10.5
	46 – 50	13	16.7	17	15.0	15.7
	51 – 55	14	17.9	27	23.9	21.5
	56 – 60	22	28.2	20	17.7	22.0
	61 – 65	8	10.3	16	14.2	12.6
	Over 65	5	6.4	5	4.4	5.2
	Prefer not to disclose	2	2.6	1	0.9	1.6
Ethnicity	African American/Black	12	15.6	18	15.9	15.8
(n=190)	Asian	1	1.3	2	1.8	1.6
	Caucasian/White	56	72.7	81	71.7	72.1
	Hispanic, Non-White	4	5.2	7	6.2	5.8
	Other**	4	5.2	5	4.4	4.7
Education	Bachelor	0	0.0	1	0.9	0.5
(n=188)	Masters	25	32.5	37	33.3	33.0
	Doctorate	44	57.1	65	58.6	58.0
	Other***	8	10.4	8	7.2	8.5
Employment	Inside of the college	36	46.8	63	55.8	52.1
(n=190)	Outside of the college	41	53.2	50	44.2	47.9

*Note: Percent of total within leadership; **Other includes multiple races or prefer not to disclose; *** Other includes doctorate in other field, professional degree

Research Method

The researcher developed a survey instrument to collect data from senior administrative and middle manager leaders. The objective of the survey was to examine the perspectives of senior administrative and middle manager leaders about their

awareness regarding succession planning and management activities occurring within institutions. The *Wright-Coward Succession Planning and Management Survey* (*WCSPMS*) consisted of three sections with a combination of 44 multiple choice and Likert-scale questions.

The *WCSPMS* instrument was administered electronically. Mertens (2010), Wiersma and Jurs (2005), and Dillman (2000) outlined advantages to using an electronic survey method research. The advantages included its ability to (1) reach a large number of cases, (2) explore possible relationships between variables, and (3) describe the nature of existing conditions. In addition, the use of web-based surveys allowed participants to complete the data collection process faster, reduced human error, and reached more respondents than through the use of mail surveys (Cobanoglu, Warde, & Moreo, 2001; Roztocki, 2001). Another factor to consider with response rate for electronic surveys is the population. Researchers recommended using special populations such as members of professional association, tenure track faculty, and persons with a higher employment status (Dillman, 2000; Couper, 2000; and Wiersma & Jurs, 2005).

However, Cobanoglu et al., (2001) and Roztocki (2001) warned against biases when using electronic surveys. These biases include participants submitting multiple responses, having access to a computer, or level of comfort with the Internet. Survey Monkey has protections to prevent such events from occurring. Moreover, the population for this study was community college administrators and institutions of higher learning that provide and have access to computers through the college campus.

The researcher administered a web-based survey using Survey Monkey. The survey questionnaire used in this study posed no risk to human participants. Participants responded anonymously to questions about their personal observations regarding succession planning and management practices occurring within their institution. As an incentive to encourage participants to respond in a timely manner, the researcher offered participants the option to enter a sweepstakes to win an eReader. The sweepstakes was administered through ePrize, a third party representative of the on-line survey company.

As respondents completed the survey, they were directed to a Sweepstakes entry form on a different webpage. The third party administrator collected all participant information separately. This allowed the survey information to remain anonymous and not be connected to the instrument and the sweepstakes. EPrize randomly selected the winner and sent a notice of the prize.

Senior administrative and middle manager leaders received four emails about participating in the study. The first was an introductory email informing participants about the study. The second email invited individuals to participate in the study and complete the online survey. If individuals chose to participate in the study, they clicked on a web link indicating "I agree" and were connected to the online survey. The researcher sent third and fourth email correspondences as a reminder to complete the survey by the designated deadline. The data collected from the survey support an evaluation of succession planning and management practices in community colleges.

Data Collection Procedures

Three hundred and thirty-five participants were randomly selected and invited via email to provide their perspectives on current planning and management practices they have observed at their community college. Dillman (2007) outlined five elements needed for achieving a high response rate. The following steps were incorporated into the data collection process:

1. An introductory email was sent to participants randomly selected to participate in the study. The email gave participants the opportunity to opt out of the study.
2. A second email invitation was sent three days after the introductory email and stated the purpose of the study, detailed a description of the instrument, and provided reassurance of anonymity and confidentiality. This email provided participants with the opportunity to participate in the sweepstakes to receive an eReader, if they completed the survey by a certain date.
3. If participants agreed to participate in study, they clicked the survey hyperlink and were redirected to Survey Monkey's web-based survey; participants were also given the option to click an opt out web link. At the beginning of each survey, participants were welcomed and given a second opportunity to provide their consent to participate in the survey by clicking the "Next" button to begin the survey.
4. Participants who had not responded to the survey were sent reminder emails at the third and fourth weeks of the study.

5. Upon completion of the survey, participants' responses were stored with Survey Monkey until the survey closed.
6. Within 24 hours of closing of survey, the researcher downloaded responses to begin data analysis.

The researcher attempted to contact 335 randomly selected senior and middle level leaders. There were 207 responses representing a 61.79% response rate. Sixteen responses were eliminated due to incomplete information and participants reporting current job positions outside the bounds of this study. For the purposes of this study a total of 191 or 57% of sample responses were used for data analysis.

Survey Instrumentation

A detailed search of the literature did not yield a suitable instrument to address the research questions. The data-gathering scale used in the study was the *WCSPMS*, developed by the researcher. A detailed description of the survey has been outlined in the following sections.

Literature Support for Succession Planning and Management Items

The researcher developed the WCSPMS instrument for the purpose of this study. The researcher identified accepted succession planning activities that supported the four common elements of succession planning and management through a review of the literature. These activities were incorporated into Section A of the survey. According to Mertens (2010),

> To establish content validity, you need to review the items or tasks in the measurement instrument to determine the degree to which they represent the behavior domain of interest in the research study. Sometimes, it is helpful to build a specifications matrix that lists items and the content area domains covered by each item. (p. 385)

Table 5 outlines the literature that supports survey items regarding the succession planning and management components.

Table 5. Literature Support of Survey Items

Dependent Measures	Literature Support
Communicate Expectation	Biggs (2004); Clunies (2007); Conger and Fulmer (2003); Fulmer and Conger (2004); Fulton-Calkins and Millings (2005); Groves (2007); Karaevli and Hall (2003); Leibman, Bruer, and Maki (1996); Rothwell (2010)
Organization Assessment and Alignment	Boyer and Ortiz-Molina (2008); Fink and Brayman (2006); Fulton-Calkins and Millings (2005); Guinn (2000); Karaevli and Hall (2003); Kessler (2002); Kim (2003); McDonald (2008); Neefe (2009); Rhodes et al. (2006); Rothwell (2010, 2002b); van Amburgh et al. (2010)
Talent Training and Development	AACC (2005); Fink and Brayman (2006); Fulton-Calkins and Millings (2005); Groves (2007); Hewitt (2009); Karaevli and Hall (2003); Kesler (2002); Kerr and Jackofsky (1989); Kim (2003); Jeandron (2006); Leibman et al. (1996); Maki (1996); Rothwell (2010); Wallin et al. (2005)
Process Evaluation	ACE (2010); Conger and Fulmer (2003); Currie (2010); Davis (2010); Fulton-Calkins and Millings (2005); Gandossy and Verma (2007); Giambatista et al. (2005); Helton and Jackson (2007); Hudson et al. (2005); Kim (2003); Mateso (2009); Ready and Conger (2007); Rhodes (2008) Rothwell (2010); van Amburgh et al. (2010); Wallin et al. (2005)

WCSPMS Instrument Description

Section A focused on the perception of participants' responses to statements regarding succession planning and management program elements. This section consisted of 28-items that supported the four dependent measures for this study. The program components are based on the literature and designed to determine if institutional succession planning programs have incorporated effective succession planning and management program elements. Participants in the study were surveyed about the four comprehensive elements of succession planning and management. The items in the subsections of the survey assessed the perceptions of senior and middle manager leaders regarding succession planning and management.

Likert-scale questions allowed participants to express the extent to which succession planning and management practices are occurring at their respective institution. Twenty items were rated on the four-point scale, ranging from 1 for "not aware" to 4 for "highly aware" (see Appendix A). A selection of option 1, not aware, meant the participant has had no knowledge and no involvement with succession planning and management; in option 2, aware, the subject has knowledge through college communications that the college has a succession planning and management program and no involvement with the succession planning and management program; option 3, moderately aware, means the subject has some knowledge that the college has a succession planning and management program and has had limited involvement in the program; option 4, highly aware, one is very knowledgeable of the practices and has had frequent involvement with the college's succession planning and management program.

Section A of the survey instrument allowed participants to respond to observed practices of succession planning and management that was assessed by the four dependent measures. Table 6 demonstrates the relationship between the dependent measures and survey questions and how the variable is measured. In addition, there were two dichotomous questions asked to clarify subject responses.

Table 6. Succession Planning and Management Survey Items and Measurements

Dependent Measures	Survey Questions	Measurement Scale
Communicate Expectations	1, 2, 3, 4, 5	Interval
Organization Assessment and Alignment	8, 9, 10, 11, 12	Interval
Talent Training and Development	15, 16, 17, 18, 19	Interval
Process Evaluation	22, 23, 24, 25, 26	Interval
Formal Succession Planning and Management Plan	32	Nominal
Executive Support	44	Nominal

Institution Profile

Section B of the survey consisted of five multiple-choice questions. The participants provided responses to three questions regarding institutional factors, size and location. In addition, the participants answered two questions about their awareness (1) of a formal written succession planning and management plan and (2) if a pool of qualified talent had been identified in the institution. Table 7 identifies survey questions that help to define the independent variable, institutional factors.

Table 7. Institutional Factor Items and Measurements

Independent Variable	Survey Questions	Scale
Institution location	29	Nominal
Institution Size	30, 31	Nominal

Professional and Personal Demographic Data

Section C of the survey consisted of eleven multiple-choice questions about the professional and personal demographic information about program participants. Each of the participants self-identified his or her current position and indicated his or her length of service at the institution. The participants also responded to questions that pertain to current position, immediate previous position, age, gender, and race/ethnicity. These demographic data were not analyzed; the researcher provided descriptive data about the population in order to provide a comprehensive view of the participants in the study. Table 8 shows which questions in Section C provided a description of the independent variable, leadership status, and reflects which questions help to describe the sample.

Table 8. Leadership Status and Subject Demographic Items and Measurements

Independent Variable	Survey Questions	Scale
Leadership Status	34, 35, 36	Nominal

Validity of the Instrument

According to Carmines and Zeller (1979), one needs to assess the items on the measurement instrument to establish content validity. Validity of the instrument is warranted to ensure that the survey items measure the construct, succession planning and management, as intended to measure (Mertens, 2010). Following the Delphi Technique and recommendations from Desimone (2006), the researcher assembled a pool of specialists, developed a prototype of instrument, posed open-ended questions, refined the instrument, conducted a brief analysis of information, returned the modified instrument,

and used final responses to the modified instrument. The researcher, therefore, tested content validity of Section A of the *WCSPMS* instrument by administering the prototype electronically to a group of qualified individuals who had either implemented or conducted in-depth research involving succession planning and management programs and survey research.

Prior to administering the survey to a panel of experts, the instrument was reviewed by the Division of Statistics and Scientific Computation at the University of Texas at Austin and five experienced academic researchers from Tier 1 research institutions. The experienced researchers provided information regarding the clarity, feasibility, usability, user-friendliness, and survey design factors. The feedback was reviewed, and changes were made to the survey instrument.

Field Test

The panel of qualified individuals was asked to assess the content of Section A for each item and of the test as a whole to ensure the items on the survey measured what the items were intended to measure (Carmines and Zeller, 1979; Creswell, 2009; Mertens, 2010; Wiersma and Jurs, 2005). The qualified experts were asked to respond to each item by employing a scale of one to three (1 to 3). They scored statements which included three expressions: (3) this statement measures this aspect of succession planning and management; (2) this statement somewhat measures this aspect of succession planning and management; and (1) this statement does not measure this aspect of succession planning and management.

The expert panel was only provided Section A of the survey instrument to refine survey questions and determine if statements were measuring aspects of succession planning. The researcher included 20 open-ended questions for each statement for experts to provide feedback and ask questions for clarity. In addition, at the end of the survey, panel participants were queried about their willingness to participate in a focus group. The field test was used to verify that the items in the succession planning and management portion of the *WCSPMS* instrument are representative of subject matter content.

The group of knowledgeable professionals inquired about the clarity of some statements and suggested rewording items. They provided initial and intermittent feedback on the survey instrument through Survey Monkey. All responses were reviewed and compared to understand different concerns about content and wording. The feedback was incorporated into the instrument, and a new modified instrument was created. The researcher then contacted participants who indicated they were willing to be involved in a focus group.

Focus group.

Once the researcher reviewed responses of the panel of experts and made modifications to the survey, the researcher invited them to participate in a focus group via conference call. Five experts were invited to participate in the focus group. Four participants committed to participating in the focus group, however, only three experts joined the conference call. The focus group participants included two faculty members with experience with succession planning and survey research. The third participant was

a retired community college executive administrator who is now an educational consultant, with direct experience in developing succession planning and management programs. The focus group was convened via Time Bridge conferencing on Thursday, February 9, 2012.

Prior to the conference call, the researcher sent members of the focus group an updated copy of Section A of the survey instrument based on suggestions from the pilot survey. The researcher facilitated the meeting and allowed open discussion about the instrument. The conference call was approximately 30 minutes. An introduction was given about all participants along with a thank you from the researcher. The discussion focused on items that had been re-written, and members were consulted about clarity of new statements. The panel also queried the researcher about meaning of statements. Expert advice was provided to reword a few statements for clarity and to connect directly to succession planning and management practices.

This expert group found the structure of the survey instrument to be an appropriate instrument and understood that the succession planning and management activities supported effective succession planning and management practices. The researcher was queried about use of technical terms, such as competencies, and how such terms may be perceived. In addition, suggestions were made to ensure that the focus of the statements was connected to leadership and succession planning and management practices. The researcher incorporated feedback from the focus group in order to conduct a pilot of the full *WCSPMS* instrument to senior and middle manager leaders in community colleges.

Pilot Study

A pilot study was conducted to examine the appropriateness and clarity of survey items, as well as to acquire an estimate of reliability of the investigative instrument. Wiersma and Jurs (2005) stated that sample size of 5 to 10 individuals should be utilized to conduct a pilot study. The researcher identified 30 individuals-10 graduates of a leadership program, 10 senior administrative and 10 middle managers to test the instrument for "ambiguity, confusion, and poorly prepared items" (p. 164). The 30 participants were provided the 36-item survey instrument that also included 4 open-ended questions.

The pilot study had a response rate of .76 (n=23). The researcher reviewed participant responses, and senior and middle managers indicated they wanted to provide more information about their awareness. For instance, possibly some of the practices are occurring at their college but not as part of a succession planning and management program. Additionally, feedback indicated that the activities are occurring at the college but they have no personal awareness. Based on feedback the researcher clarified meaning of responses, changed survey layout, and added two additional questions.

There were two yes or no questions added to each of the four sections of the succession planning and management components for clarity when answering "not aware" for three or more items. These questions were added to allow participants a type of justification for their response. These changes increased items on the survey to a total of 44 questions. Furthermore, the Division of Statistics and Scientific Computation at the University of Texas at Austin, five experienced academic researchers, a focus group,

including two pilot tests, were used to complete the validation process. This validation process ensured consistency in understanding of participants and accuracy of data results.

Reliability of the Instrument

Testing the reliability of the instrument using alpha coefficient helped the researcher to "arrive at a true estimate of the attribute that the instrument purports to measure" (Mertens, 2010, p. 380). The test of internal consistency procedure computed the variances of all individual's scores for each item and then adds these variances across all items. This score can range from 0.00 to 1.00. Mertens (2010) stated that "most reliability coefficients range from .75 to .95" (p. 381). Bruning and Kintz (1997) opined that whenever an instrument's reliability value is .70 or above, the instrument is considered reliable. This survey instrument's Likert-scale format makes Cronbach's alpha an appropriate measure the internal consistency.

Pilot Study

The researcher tested reliability of the *WCSPMS* instrument for the pilot study to determine internal consistency measure Cronbach's alpha coefficient. The results of the pilot study were used to obtain a measure consistency of the instrument. The participants for the pilot consisted of senior administrative and middle manager leaders (n=23). The researcher ascertained an alpha coefficient of .97 for all 20 items on the WCSPMS instrument. The four dependent measures of succession planning also had alpha coefficients above the recommended .70. It was also important to measure the reliability of each of the four succession planning components because the sum of the items defines

succession planning and management. Table 9 shows the estimate of internal consistency reliability coefficient for the four subscales and the instrument as a whole.

Table 9. Pilot Study Reliability Coefficient

Four Independent Measures	Coefficient
Component 1 - Communicate Expectations	.96
Component 2 - Organization Assessment and Alignment	.96
Component 3 - Talent Training and Development	.84
Component 4 - Process Evaluation	.91
WCSPMS Instrument	.97

Dissertation Study

The researcher also conducted reliability for the final survey instrument after the study was concluded. The alpha coefficient was computed based on 191 cases (n=191). Each component had five items; they were analyzed separately then together. As shown in Table 10, component 2 had the highest coefficient at .93, and component 3 had the lowest value at .76. All four dependent measures on the instrument have a coefficient above .70, suggesting that the items have relatively high consistency. This was also true for the *WCSPMS* instrument when all for components were measured together. The alpha coefficient for the instrument when all 20 items were summed was .95.

Table 10. Dissertation Study Reliability Coefficients

Four Independent Measures	Coefficient
Component 1 - Communicate Expectations	.91
Component 2 - Organization Assessment and Alignment	.93
Component 3 - Talent Training and Development	.76
Component 4 - Process Evaluation	.92
WCSPMS Instrument	.95

Statistical Analysis

Statistical techniques that were used in this study are factor analysis, multivariate analysis of variance, and descriptive statistics.

Factor Analysis

Exploratory factor analysis (FA) was used to test the structural relationship between the variables and requires a large sample size. FA is a measure to establish a relationship between variables. During an orthogonal rotation the variables correlate together and identify factors. The factors are defined with meaningful descriptions on the new unified variables. Specifically, this statistical technique tested correlations between the four succession planning and management components, communicate expectations, organization assessment and alignment, talent training and development, and process evaluation in order to determine if all components are present in the succession planning and management survey. These loadings were examined to measure the structural relationship of the dependent measure.

FA assumptions.

1. Sample size. Comrey and Lee (1992) advised that a sample size smaller than 100 is poor, 200 is fair, 300 is good, and over 500 is very good. There should be a minimum of five cases per variable; it is preferable to have a minimum of 20 cases.
2. Level of measurement. All variables must be suitable for correlational analysis.

3. Normality. The variables are normally distributed. FA is generally robust to minor violation of assumptions of normality.
4. Linearity. All linear combination of pairs are normally distributed.

Multivariate Analysis of Variance

The parametric procedure employed in this study was Multivariate Analysis of Variance (MANOVA). MANOVA is a statistical procedure that examines the simultaneous analysis of multiple dependent variables "to determine whether there are differences between levels of one or more independent variables" (Lomax, 1998, p. 318). MANOVA was used when the researcher has no a priori notion about how the dependent variables are influenced across the independent variables.

The dependent variable in this study is a combination of the four dependent measures of succession planning and management. The four dependent measures are communicate expectations, organization assessment and alignment, talent training and development, and process evaluation. The first independent variable is leadership status, which has two levels senior administrative and middle manager. The second independent variable is institutional factors. Institutional factors are defined by size (small, medium, large, and very large) and location (rural, suburban, or urban).

The researcher used MANOVA to answer research questions two and three. Research question two analyzed the effects of administrative status on succession planning and management using MANOVA. Question two, a 1 X 2 single factor MANOVA design to analyze the data. The 1 X 2 design compared the four components

of succession planning and management to the independent variable leadership status that has two levels, senior administrator and middle manager leaders.

Research question three was used to determine if there is a difference between institutional size and location in regards to status of succession planning and management components. Research question three was analyzed using a 1 X 3 and 1 X 4 single factor MANOVA design. The 1 X 3 one-way MANOVA design was used to evaluate differences between the four components of succession planning and management and the independent variable, institution location that has three levels-urban, suburban, and rural. The 1 X 4 single factor MANOVA design compared the four components of succession planning and management to institution size. Institution size has four levels-small, medium, large, and very large.

MANOVA assumptions.

The researcher observed and tested for the following assumptions for each of the MANOVA analyses being conducted in this study.

1. Multivariate normality. This assumption was tested using a normality test as well as examining a scatter plot.
2. Linearity. This assumption was examined by a graphic method such as a histogram.
3. Outliers. This assumption was tested through use of a scatter plot.
4. Homogeneity of variance-covariance matrix. The Box's M test for homogeneity of dispersion was used to test this assumption.

5. Multivariate collinerarity and singularity. A within-cell tolerance test was used to test this assumption.

Summary

This study evaluated current succession planning and management practices. This quantitative research design examined professional and personal demographics, institutional factors, and succession planning and management components via an electronic survey. Specifically, the study sought the perception of those in senior administrative (senior/executive vice president, associate/assistant vice president and vice president) and middle manager (chair, dean, and director) leadership positions regarding succession planning and management practices. The analysis provided by the survey instrument helped to develop an understanding about current succession planning and management processes occurring in community colleges.

Chapter Four: Results

Overview

Chapter Four presents and summarizes data results of a quantitative study of succession planning and management practices in community colleges as perceived by senior and middle manager leaders. The purpose of this study was threefold. First, the study was undertaken to confirm if the succession planning and management survey was structurally related to the four succession planning and management components. A second purpose of this study was to evaluate the status of succession planning and management components as perceived by senior administrative and middle manager leaders. The final purpose of this empirical investigation was to evaluate the difference between institutional factors and succession planning and management components.

The procedures developed for this study have been closely followed, and the results are presented in the following sections. Chapter four presents the results of the survey from the perspectives of senior administrative and middle manager leaders in American community colleges. These populations of community college leaders were sampled in order to ascertain current succession planning and management practices. The following sections present data describing the participants involved in the study, findings relating to each research question, and a summary of the results. The researcher used statistical software, SPSS 20.0, for all data analyses.

Institutional Demographics

The population for this study represented 880 community colleges that are members of the AACC. This study collected information on institutional variable, location and size. The participants self-reported this information based on their knowledge of the institution. Size of institutions is based on full-time equivalent (FTE) enrollment of students attending two-year community colleges. Size was categorized into four levels-small, medium, large, and very large. Table 11 shows the frequency data regarding institutional size for participants participating in this study. The majority of participants, 74 or 38.7%, were from very large institutions with more than 10,000 FTEs. Forty-five or 23.6% of participants were from large institutions; 57 or 29.8% represented medium size campuses; and 15 or 7.9% were from colleges with less than 1,999 FTEs.

Table 11. Participants by Institution Size

Institution Size	n	%
Small - less than 1,999 full-time equivalent (FTE) student enrollment	15	7.9
Medium - between 2,000 and 4,999 full-time equivalent (FTE) student enrollment	57	29.8
Large - between 5,000 and 9,999 full-time equivalent (FTE) student enrollment	45	23.6
Very large - more than 10,000 full-time equivalent (FTE) student enrollment	74	38.7
Total	191	100.0

The second level of institutional factors, institutional location has three levels-rural, suburban, and urban. Eighty or 41.9% of the participants were employed at community colleges in urban environments; 49 or 25.7% were in suburban institutions; and 62 or 32.5% were in rural locations. Table 12 shows participant responses based on institutional size.

Table 12. Participants by Institution Location

Institution Size	n	%
Suburban	49	25.7
Urban	80	41.9
Rural	62	32.5
Total	191	100.0

Instrumentation

Participants were asked to indicate their level of awareness for each succession planning and management survey component in Section A of the *Wright-Coward Succession Planning and Management Survey* (WCSPMS) instrument. In determining the validity of the instrument, each item of the participants' scores was summated and evaluated. The results of succession planning and management's dependent measures appeared to have excellent content validity. An alpha coefficient of reliability of .96 was computed for the test as a whole to determine internal consistency.

The *WCSPMS* consisted of Likert-scale questions rated on a four-point scale, ranging from 1, not aware, to 4, highly aware. The four components had a total of 20

questions. The participants' responses regarding succession planning and management practices were summed into a total score, and ranged from 20 to 80. Scores on the instrument were summed and reassigned a succession awareness score of low, medium, or high awareness of succession planning. A low awareness score on the instrument is a value ranging from 20 to 39. A low score may also indicate that the college does not have a formally written succession planning and management program. A medium awareness score ranged from 40 to 59. A medium awareness may signal that the college is performing some of the activities associated with a succession planning and management program or they are performing some of the tasks but do not have a formalized succession program. A high score ranged from 60 to 80. A high awareness score on *WCSPMS* may signify that the college is aware of the need for succession planning and management, and may have a formally structured program. The majority of scores, 69.6%, indicated a low awareness of succession planning and management activities occurring within their institution (see Table 13).

Table 13. Frequency Data of WCSPMS Scores

WCSPMS Score	n	%
Low (20 - 39)	133	69.6
Medium (40 - 59)	41	21.5
High (60 - 80)	17	8.9
Total	191	100.0

Results and Analysis of Research Questions

Exploratory Factor Analysis (EFA) and Multivariate Analysis of Variance (MANOVA) were the statistical techniques used to analyze data from the survey instrument in order to examine current practices in community colleges as regards to succession planning and management. Section A, succession planning and management, of the survey was analyzed using Factor Analysis (FA). A MANOVA analysis used in sections B, institutional factors, and C, personal and professional demographics, in regards to the independent variables leadership status and institutional factors. The statistical analyses performed in this study are outlined along with the corresponding research questions.

Prior to FA, performed a descriptive analysis to obtain the mean and standard deviation for each of the dependent measures for succession planning and management. As shown in Table 14, senior administrators and middle manager leaders mean scores between 2.4 and 1.5. This score indicates that participants are *aware* of succession planning and management activities.

Table 14. Participant Responses to Level of Awareness

		Communicate Expectation	Organization Assessment and Alignment	Talent Training and Development	Process Evaluation
N	Valid	191	191	191	191
	Missing	0	0	0	0
Mean		2.18	2.12	2.46	1.91
Std. Deviation		1.09	1.13	1.05	1.03

Note: Highly Aware, 3.5 to 4; Moderately Aware 3.4 to 2.5; Aware 2.4 – 1.5; Not Aware, 1.4 and below

Findings Regarding Research Question 1

To what extent are the four succession planning and management components structurally related?

Research question one was evaluated to determine which of the variables on the survey were highly correlated with one another and represented a common underlying factor. To answer this question, the researcher used a factor analysis procedure.

FA Assumptions

The minimum number of cases for factor analysis was satisfied as *fair* with a final sample size of 191. This sample size is considered appropriate for this investigation (Comrey & Lee, 1992). This notion is reinforced by the Kaiser-Meyer-Olkin (KMO) measure of sampling adequacy in Table 15. The KMO measure was .937, what is above the recommended value of .5 needed for the factor analysis to proceed.

Table 15. KMO and Bartlett's Test of Sampling Adequacy

Kaiser-Meyer-Olkin Measure of Sampling Adequacy		.937
Bartlett's Test of Sphericity	Approx. Chi-Square	3417.084
	df	190
	Sig.	.000

To determine the inter-correlations among the 20 variables of the Wright-Coward Succession Planning and Management Survey, conducted a varimax-rotated principal components exploratory factor analysis. An exploratory rather than a confirmatory factor analysis was conducted because this was the first study to use this instrument. Table 16 shows three distinct factors emerged, accounting for 70.62% of the systematic variance.

Research indicated that a factor is good if the eigenvalue is greater than 1.0. Although three factors were extracted, factor four is worth noting since the eigenvalue is close to 1.0 with a value of .889; however, did not include this component.

Table 16. Total Variance after Principal Component Analysis

Component	Initial Eigenvalues		
	Total	% of Variance	Cumulative %
1	11.676	58.382	58.382
2	1.277	6.386	64.768
3	1.170	5.851	70.619
4	.889	4.445	75.065

Note: Extraction Method: Principal Component Analysis.

Prior to labeling the new factors, it was important to examine the relationship between the new items, as defined by the factor analysis. Table 17 of Rotated Component Matrix shows factor one consisted of nine variables-items 1-1, 1-2, 1-3, 1-4, 1-5, 2-8, 2-10, 2-11, and 2-12 extracted from the *WCSPMS* instrument. The second factor contained six variables-items 2-9, 4-22, 4-23, 4-24, 4-25, and 4-26 from the *WCSPMS* instrument. Finally, factor three consisted of four variables-items 3-15, 3-16, 3-17, and 3-18 from the survey. Tabachnick and Fidell (2007) advised that only variables with loadings above .32 should be interpreted. A loading of .60 and above was used in this analysis that has approximately 40% overlapping variance. Larger factor loadings indicated the more pure the measure is to the factor (Tabachnick & Fidell, 2007 and Comrey & Lee, 1992).

Table 17. FA Rotated Component Matrix of Extracted Items

	Factor		
	1	2	3
Component_1-1	.816		
Component_1-2	.783		
Component_2-10	.778		
Component_2-12	.742		
Component_2-11	.739		
Component_2-8	.725		
Component_1-4	.721		
Component_1-5	.640		
Component_1-3	.637		
Component_4-22		.870	
Component_4-23		.825	
Component_2-9		.624	
Component_4-26		.616	
Component_4-24		.603	
Component_4-25		.601	
Component_3-16			.705
Component_3-18			.683
Component_3-15			.669
Component_3-17			.633

Note: Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalization. Factor loadings < .60 are suppressed

Factor Labeling

The items identified in the extraction were provided a designation based on the corresponding survey question. Accordingly the three extracted factors were renamed to provide clarity and a more functional description of the supporting constructs. Factor One is planning, Factor Two is process evaluation, and Factor Three is leadership development (see Table 18).

The items loaded on Factor One were activities that supported the *Communicate Expectations* and *Organization Assessment and Alignment* components of the succession planning and management instrument. A review of the *WCSPMS* instrument indicated that these questions were closely associated with long-term planning by the college. The

activities associated with Factor One incorporated planning regarding workforce, policy, finances, and measureable program goals. As described in the Succession Planning and Management Process Relationship Framework, succession planning is a process that involves clearly defined goals and procedures. *Planning* entails outlining goals and objectives, assessing the current conditions, forecasting future events, formulating a written plan, and allocating funds. The close relations of these components and of common terms used in the survey questions support the high loadings of items in this area.

A review of items loaded on Factor Two corresponded to survey questions from the *Process Evaluation* component of the succession planning and management survey. These items involved different department and unit levels in the organization, a review of program goals, and annual assessment. In relation to the theoretical framework for this study, this factor reinforced measurement and annual program evaluation. Therefore, this factor was not renamed as part of the factor analysis and reinforced this component on the survey.

Factor loading three aligned with items supporting the *Talent Training and Development* component of the *WCSPMS*. The common activities in this area were formalized, structured leadership and mentoring programs, and a review of survey items renamed factor three *Professional Development*. The formal structure presupposes that clear objectives have been established that support the organization's long-term growth. As defined in the framework, the focus is on developing an employee's knowledge and

skills. These loadings are closely associated with the employee rather than the organization.

Table 18. Factor Loading Based on Component Analysis with Verimax Rotation from the WCSPMS Instrument

Factor 1	Planning	Scores
Component_1-1	Executive Communication	.816
Component_1-2	Workforce Tracking	.783
Component_2-10	Critical Position Identification	.778
Component_2-12	Skill and Competency Justification	.742
Component_2-11	Financial Program Support	.739
Component_2-8	Strategic Plan Alignment	.725
Component_1-4	Systematic Approach	.721
Component_1-5	Employee Awareness of Succession Planning and Management Program	.640
Component_1-3	Measureable Program Goals	.637
Factor 2	Process Evaluation	
Component_4-22	Annual Succession Program Evaluation	.870
Component_4-23	Assess Program Objectives in Support College's Strategic Goals	.825
Component_2-9	Formal succession planning and management program	.624
Component_4-26	Track and Evaluate Flow of Potential Leaders	.616
Component_4-24	Department/Unit Evaluation	.603
Component_4-25	Leadership Skill Assessment	.601
Factor 3	Professional Development	
Component_3-16	Personal Development	.705
Component_3-18	Formal Mentor Program	.683
Component_3-15	Formal Leadership Training Program	.669
Component_3-17	Individual Development and Unit Goals Alignment	.633

Factor Analysis Reliability

The extracted factors were tested for reliability to determine internal consistency, using Cronbach's alpha coefficient. New variables were created based on the sum of the 19-items that supported the corresponding factors to obtain a measure consistent with the instrument. A total alpha coefficient of .822 was ascertained. Table 19 shows the estimate of internal reliability coefficient for the three subscales and for the instrument as a whole.

Table 19. Reliability Coefficient of Extracted Factors

Three Factors	Coefficient
Factor 1 - Planning	.95
Factor 2 - Process Evaluation	.92
Factor 3 - Professional Development	.74
Total	.82

Findings Research Question 2

Is there a difference in how senior administrative and middle manager leaders evaluate succession planning and management components – communicate expectations, organization assessment and alignment, talent training and development and process evaluation at their institution?

To evaluate the differences in perception of senior and middle manager leaders regarding succession planning and management practices, a 1 X 2 single factor MANOVA analysis was conducted. Multivariate Analysis of Variance is the statistical procedure used to simultaneously examine succession planning and management's

dependent measures so as to determine whether there are differences in perceptions between senior administrative and middle manager leaders.

Assumptions of MANOVA

The following assumptions were evaluated for the MANVOA analyses.

Multivariate normality. The univariate and multivariate normalities of assumptions were tested using the Shapiro-Wilks Test. The test revealed that two of the dependent variables (communicate expectations and organization assessment and alignment) were slightly normal. When examining the univariate histograms the scores of each of the dependent variables appeared to approximate normality. Mardia (1971) opined that when there are unequal *n*s present and a few dependent variables used in a MANOVA, a sample size of 20 is the smallest cell to ensure robustness of these assumptions. In addition, Seo, Kanda and Fujikosh (1995) reported in their studies of MANOVA had shown a robustness to non-normality with an overall n=40.

Linearity. This assumption was tested using a matrix of scatter plots between all possible pairs of dependent variables.

Outliers. MANVOA is not robust to outliers. Some univariate outliers were identified when the distance test was used. To handle the outliers, Tabachnick and Fidell (2007) recommended transformations using log n and square root, as well as changing the scores on the variables for the outlying cases so that they are deviant, but not as deviant as they were previously. The outlier transformations did not yield different results. The results of this test are robust to outliers; the outliers are not the reason for significant results. Therefore, the raw scores were used for the MANOVA analyses.

Homogeneity of variance-covariance. This assumption expressed that the dependent variables should be homogeneous across the population that corresponds to groups in the study. The comparison of the sample variance across the groups in three One-Way MANOVA results revealed no ratio of largest to smallest should have a variance that is greater than 10:1. The largest ratio in this measure was approximately 1.5:1 for communication expectations and organization alignment. However, the very sensitive Box's M test for homogeneity of dispersion matrices produced significant F values, indicating this assumption has been violated. According to Tabachnick and Fidell (2007), the Pillai's Trace multivariate test is robust to this violation of assumptions of the MANOVA. Therefore, when the homogeneity of variance-covariance is violated the Pillai's test is used instead of the Wilks' Lambda, Hotelling's Trace and the Roy's Largest Root.

Analysis by Leadership Level

H_{O1}: There is no statistically significant difference between the perceptions of senior administrative and middle manager leaders regarding the communicate expectations, organization assessment and alignment, talent training and development, and process evaluation components of a succession planning and management program.

Shown in Table 20 are the One-Way MANOVA results regarding the effect of leadership level on the perceived succession planning and management component scores of communicate expectations, organization assessment and alignment, talent training and

development, and process evaluation. The MANOVA results indicated that leadership level (Pillai = .070, F(4,186) = 3.508, P < .01) significantly effected the combined dependent variables of communicate expectations, organization assessment and alignment, talent training and development, and process evaluation.

Table 20. MANOVA Results Regarding the Effect of Leadership Level of SPM Components

Effect		Value	F	Hypothesis df	Error df	Sig.
Leadership	Pillai's Trace	.070	3.508[b]	4.000	186.000	.009
	Wilks' Lambda	.930	3.508[b]	4.000	186.000	.009
	Hotelling's Trace	.075	3.508[b]	4.000	186.000	.009
	Roy's Largest Root	.075	3.508[b]	4.000	186.000	.009

a. Design: Intercept + Leadership_q0034, b. Exact statistic, * p<.01

Additionally, the univariate ANOVA results revealed that the communicate expectations (F = 7.059, df = 1,190, P < .01) and the organization assessment and alignment (F = 5.350, df = 1,190, P < .05) components scores differed significantly between senior administrators and middle manager leaders. However, significant differences were not found between the talent training and development (F = .210, df = 1,190, P > .05) and the process evaluation (F = .341, df = 1,190, P > .05) components scores of senior administrators and middle manager leaders (see Table 21).

Table 21. Univariate ANOVA Results Regarding Effect of Leadership Level on SPM Components

Source	Dependent Variable	Type III Sum of Squares	df	Mean Square	F	P
Leadership Level	Communicate Expectation	131.257[a]	1	131.257	7.059	.009**
	Organization Assessment and Alignment	106.247[b]	1	106.247	5.350	.022*
	Talent Training and Development	3.701[c]	1	3.701	.210	.647
	Process Evaluation	5.801[d]	1	5.801	.341	.560
Error	Communicate Expectation	3514.125	189	18.593		
	Organization Assessment and Alignment	3753.470	189	19.860		
	Talent Training and Development	3330.938	189	17.624		
	Process Evaluation	3219.697	189	17.035		
Total	Communicate Expectation	3645.382	190	.009**		
	Organization Assessment and Alignment	3859.717	190	.022*		
	Talent Training and Development	3334.639	190	.647		
	Process Evaluation	3225.497	190	.560		

Additional data analysis utilizing the mean results revealed that senior administrators had significantly more favorable perceptions regarding the communicate expectations and organization assessment and alignment components of a succession planning and management program than did their middle manager colleagues (see Table 22). Thus, reject null Hypothesis One.

Table 22. Mean Component Scores by Leadership Level

	Leadership Level	Mean	Std. Deviation
Communicate Expectation	Senior administrator	9.73	4.68
	Middle manager	8.04	4.04
Organization Assessment and Alignment	Senior administrator	9.38	4.93
	Middle manager	7.87	4.10
Talent Training and Development	Senior administrator	10.00	4.27
	Middle manager	9.72	4.15
Process Evaluation	Senior administrator	7.86	4.16
	Middle manager	7.50	4.10

Findings Research Question 3

Is there a difference between size and location of institution in regards to status of succession planning and management components – communicate expectations, organization assessment and alignment, talent training and development and process evaluation?

The response choices for Question Three were listed in a multiple-choice format. The response choices for size of institution were small, medium, large, and very large. The second independent variable was location, and the selection choices were urban, suburban, and rural. To test research question three by size developed the following null hypothesis.

Analysis of Institutional Factor by Size

To evaluate differences in succession planning and management practices by size performed a 1 X 4 single factor MANOVA on null Hypothesis Two.

H_{O2}: There is no statistically significant difference between the perceptions of administrators regarding the communicate expectations, organization assessment and alignment, talent training and development and process evaluation components of succession planning and management programs by institution size.

Presented in Table 23 are the MANOVA findings regarding the impact of institution size on the communicate expectations, organization assessment and alignment, talent training and development, and process evaluation components of succession planning and management programs. The MANOVA results indicated that institution size (Pillai's = .046, F (12,558) = .728, P > .05) did not produce a significant effect on the combined perception scores of administrators with regard to the communicate expectations, organization assessment and alignment, talent training and development, and process evaluation components.

Table 23. MANOVA Results Regarding Effect of Institution Size on SPM Components

Effect		Value	F	Hypothesis df	Error df	P
Institution Size	Pillai's Trace	.046	.724	12.000	558.000	.728
	Wilks' Lambda	.954	.721	12.000	487.110	.731
	Hotelling's Trace	.047	.718	12.000	548.000	.734
	Roy's Largest Root	.032	1.505[c]	4.000	186.000	.203

Additionally, univariate ANOVA results revealed no differences in the communicate expectations (F = .459, df = 3,187, P > .05), organization assessment and alignment (F = .441, df = 3,187, P > .05), talent training and development (F = .746, df =

3,187, P > .05), and the process evaluation (F = .208, df = 3,187, P > .05) component scores across institution size as perceived by administrators (see Table 24). Accordingly, must fail to reject null Hypothesis Two.

Table 24. Univariate ANOVA Results Regarding Effect of Institution Size on SPM Components

Source	Dependent Variable	Type III Sum of Squares	df	Mean Square	F	P
Institution Size	Communicate Expectation	26.673	3	8.891	.459	.711
	Organization Assessment and Alignment	27.143	3	9.048	.441	.724
	Talent Training and Development	39.462	3	13.154	.746	.526
	Process Evaluation	10.715	3	3.572	.208	.891
Error	Communicate Expectation	3618.709	187	19.351		
	Organization Assessment and Alignment	3832.575	187	20.495		
	Talent Training and Development	3295.177	187	17.621		
	Process Evaluation	3214.783	187	17.191		
Total	Communicate Expectation	3645.382	190			
	Organization Assessment and Alignment	3859.717	190			
	Talent Training and Development	3334.639	190			
	Process Evaluation	3225.497	190			

However, even though institution size was found not to have a significant effect on the four selected components of succession planning and management, administrative leaders employed at medium-sized (2,000 to 4,999 FTE student enrollment) community colleges had more favorable perceptions toward the communicate expectations, talent training and development, and process evaluation components than did those in the other three size categories. Administrators employed at small-sized (less than 1,999 FTE

student enrollment) community colleges exhibited more favorable perceptions toward the organization assessment and alignment component than did their peers in the other size categories (see Table 25). Although mean scores appeared to indicate a more favorable perception, without a larger sample size, cannot determine if the mean is different.

Table 25. Mean Component Scores by Institution Size

Dependent Variable	Institution Size	Mean	SD
Communicate Expectation	Small	9.20	4.46
	Medium	9.21	4.54
	Large	8.53	4.25
	Very large	8.39	4.36
Organization Assessment and Alignment	Small	9.33	4.99
	Medium	8.84	4.68
	Large	8.24	4.35
	Very large	8.19	4.41
Talent Training and Development	Small	9.13	3.93
	Medium	10.39	4.48
	Large	9.27	3.93
	Very large	9.89	4.19
Process Evaluation	Small	7.33	3.70
	Medium	7.82	4.63
	Large	7.29	3.66
	Very large	7.80	4.12

Analysis of Institutional Factor by Location

To evaluate differences in institutional factor by location regarding succession planning and management components developed and tested the following null hypothesis.

H_{O3}: There is no statistically significant difference between the perception of administrators regarding the communicate expectations, organization assessment and alignment, talent training and development and process evaluation components of succession planning and management program by institution location.

Reported in Table 26 are the single factor MANOVA results pertaining to the influence of institution location on the communicate expectations, organization assessment and alignment, talent training and development and process evaluation components scores of succession planning and management program as perceived by administrators. To evaluate the differences in institutional factors regarding succession planning and management practices used a 1 X 3 single factor MANOVA analysis.

Table 26. MANOVA Results Regarding Effect of Location on SPM Components

Effect		Value	F	Hypothesis df	Error df	P
Location	Pillai's Trace	.067	1.622	8.000	372.000	.117
	Wilks' Lambda	.933	1.635[b]	8.000	370.000	.113
	Hotelling's Trace	.072	1.649	8.000	368.000	.110
	Roy's Largest Root	.067	3.136[c]	4.000	186.000	.016

Statistically significant differences were not found among the combined component scores of communicate expectations, organization assessment and alignment, talent training and development, and process evaluation (Pillai's = .067, F (8,372) = 1.622, P > .05). Moreover, univariate ANOVA results indicated that communicate expectations (F = .282, df = 2,88, P > .05), organization assessment and alignment (F = .567, df = 2,188, P > .05), talent training and development (F = 2.988, df = 2,188, P > .05) and process evaluation (F = 2.486, df = 2,188, P > .05); component scores did not differ significantly across institution locations (see Table 27). Therefore, fail to reject null Hypothesis Three.

Table 27. Univariate ANOVA Results Regarding Effect of Institution Location on SPM Components

Source	Dependent Variable	Type III Sum of Squares	df	Mean Square	F	P
Institution Location	Communicate Expectation	10.889	2	5.444	.282	.755
	Organization Assessment and Alignment	23.162	2	11.581	.567	.568
	Talent Training and Development	102.748	2	51.374	2.988	.053
	Process Evaluation	83.120	2	41.560	2.486	.086
Error	Communicate Expectation	3634.493	188	19.332		
	Organization Assessment and Alignment	3836.555	188	20.407		
	Talent Training and Development	3231.891	188	17.191		
	Process Evaluation	3142.377	188	16.715		
Total	Communicate Expectation	3645.382	190			
	Organization Assessment and Alignment	3859.717	190			
	Talent Training and Development	3334.639	190			
	Process Evaluation	3225.497	190			

Notwithstanding the failure to reject Hypothesis Three, the mean results shown in Table 28 revealed that administrators at urban community colleges consistently exhibited more favorable perceptions toward the four components of succession planning programs than did their counterparts at suburban and rural community colleges. Although mean scores appear to indicate a more favorable perception, without a larger sample size cannot determine if there is a mean difference between institution locations.

Table 28. Mean Component Scores by Location

	Institution Location	Mean	SD
Communicate Expectation	Suburban	8.33	4.83
	Urban	8.88	4.25
	Rural	8.87	4.22
Organization Assessment and Alignment	Suburban	8.04	4.82
	Urban	8.88	4.487
	Rural	8.34	4.31
Talent Training and Development	Suburban	9.06	4.32
	Urban	10.69	4.13
	Rural	9.34	4.03
Process Evaluation	Suburban	6.86	3.89
	Urban	8.4	4.21
	Rural	7.31	4.08

Summary

The purpose of this study was to explore succession planning and management practices occurring within community colleges from the perception of senior and middle manager leaders. The *WCSPMS* instrument elicited responses from participants regarding current succession activities. Factor analysis was used to find the common underlying constructs of the *WCSPMS* instrument. The MANOVA analyses indicated significance when examining different responses based on leadership levels. These findings are discussed in Chapter Five. Chapter Five also provides the conclusions, limitations, recommendations, and implications of the research.

Chapter 5: Summary, Findings, Conclusions, and Recommendations

Overview

Chapter Five provides an overview of succession planning and management, and restates the problem statement and research questions. Additionally, this chapter presents a summary of major finding and discusses key results from the data analyses. Finally, recommendations and the conclusion regarding future research are provided.

This researcher sought to report current succession planning and management practices in American community colleges. As discussed in earlier chapters, community colleges are anticipating leadership shortfalls due to the impending retirements of baby boomer generation. However, one unknown is the preparedness of these two-year higher educational institutions to meet the impending leadership shortage. While leading community college associations and researchers have recommended succession planning and management as valid means to address this issue, academia has been slow to adopt this successful business practice.

Succession planning and management is a systematic process to ensure leadership continuity, to retain and develop human capital for the future, and to encourage personal growth and internal mobility in order for an organization to achieve its mission (Rothwell, 2010). This process helps to maintain the level of quality and the continuity of leadership in the organization. Also a pool of qualified talent is developed to meet the long-term personnel needs of the organization rather than limiting the organization to only one viable and available candidate. Additionally, the current economic environment

and the demanding leadership of these 21st-century institutions require leaders that are able to meet the diverse needs of community colleges (Romero, 2004).

With their open-access policies, community colleges are the most diverse post-secondary institutions serving traditional and non-traditional student populations. One pervasive goal within community colleges is to meet the future employment needs of America. Leaders of these institutions are challenged with leading diverse populations as well as with addressing the concerns of their external communities. Future leaders "must understand and be comfortable with community colleges' multiple missions" of students, community, and employees (Romero, 2004, p. 34). Community colleges are at a critical juncture in their efforts to achieve organizational and student success by ensuring the continuity of institutional leadership.

Chapter Two of this study supported the use of succession planning and management to meet the projected leadership gap due to the retirement of baby boomers. A review of the literature revealed the benefits of developing a comprehensive succession planning and management plan in order to develop internal talent for future leadership positions. Moreover, common components for effective succession planning and management were identified as communicate expectations, organization assessment and alignment, talent training and development, and process evaluation.

Chapter Three described the methodology for this research study. The researcher created an electronic survey in order to solicit the perspectives of senior administrative and middle manager leaders in community colleges. The instrument was assessed for content validity by a panel of experts in the field of succession planning and

management. Additionally, the instrument was tested in the field for appropriateness and clarity, at which time the researcher also tested the survey for reliability. The final *WCSPMS* was considered highly reliable, having an alpha coefficient of .96. The process for conducting the study and methods for analyzing data were also outlined.

In Chapter Four, the investigator analyzed the use of succession planning and management practices for the purposes of (1) confirming if the succession planning and management survey was structurally related to the four succession planning and management components; (2) evaluating the status of succession planning and management components at community colleges, as perceived by senior administrative and middle manager leaders; and (3) investigating the difference between institutional factors and succession planning and management components.

Finally, a quantitative descriptive research design was employed. This study included a total of 191 participants representing senior administrative and middle manager leaders in community colleges throughout the United States. The next section will discuss the findings in this present study.

Demographic Data Summary

Descriptive data regarding subjects' age, gender, and ethnicity were self-reported by the participants. These descriptive data supported the literature reviewed in this study regarding the leadership crisis besetting community colleges. Many of the respondents who reported holding senior administrative and middle manager positions were over 55 years of age and were either at retirement age or within five years of retirement eligibility

at age 65. This situation highlighted an opportunity for community colleges to implement succession planning and management plans to train future leaders that were more representative of the gender and ethnic backgrounds of the students, and the communities they serve. Moreover, this reinforced the need for community colleges to develop and implement written succession planning and management plans that could address both leadership and diversity concerns (Duree, 2007; Rothwell, 2010; Wallin et al., 2005).

Research Findings and Discussions

The first research question posed to the administrators participating in this investigation pertained to the use of the *WCSPMS* instrument. Factor Analysis was used to answer question one. The goal of the factor analysis procedure was to identify how many theoretical factors (or components) were measured by the *WCSPMS* instrument. Next, these factors were then labeled and assessed for plausible reasons for correlation (Tabachnick & Fidell, 2007).

Research Question One

To what extent are the four succession planning and management components structurally related?

To develop a better understanding for Question One, the researcher assessed how the administrators rated each item on the *WCSPMS* instrument using a Likert-scale ranging from 1, not aware, to 4, highly aware. The items on the *WCSPMS* were generated under the auspices of four succession planning and management components

along with five supporting activities. The 44-item survey instrument administrated to 191 senior administrative and middle manager leaders. The 20-Likert Scale items in Section A of the instrument were analyzed, using FA and varimax rotation procedures.

Variables with high loadings on a particular factor would be those which are highly correlated with one another, but which have little or no correlation with the variable loading highly on the other factors. For instance, administrators who rated themselves as being *moderately aware* of a dimension of succession planning and management on one factor would be more likely than not to rate themselves *moderately aware* on other succession planning and management components. Conversely, administrators who rated themselves *not aware* in one of the variables in a factor would probably have rated themselves *not aware* on other variables of the corresponding factor. In other words, there is a statistical dependency or a correlation among these variables. With factor analysis, the researcher uncovered three relatively independent succession planning and management factors underlying the 20 individual succession planning and management activities.

Table 19 exhibits three factors that were extracted during the FA computation. The first factor was renamed *Planning*, as indicated by the high loading variables from the corresponding survey items. The second factor, *Process Evaluation*, was reconfirmed by the FA analysis. The high-loading variables associated with formalized leadership and mentoring activities suggested that the third factor be reassessed; and so it was subsequently renamed *Professional Development*.

Planning

Neefe (2009) discussed the role of alignment of succession planning to strategic planning. A review of the items loaded together for this factor showed common planning themes and terms. These components extracted for factor one were related to areas of strategic and workforce planning. The workforce components in this area can be considered extensions of the institution's overall planning process.

The workforce planning activities were highly loaded in factor one and included four out of the five questions from the organization assessment and alignment area of the *WCSPMS* instrument. Studies by Fulton-Calkins & Millings (2005), Guinn (2000), Kim (2003), and Rothwell (2002b, 2010) suggested that workforce planning is needed in order to understand the internal skills and competencies needed within the institution. The factor analysis also correlated financial planning highly within factor one. Research has indicated that an effective succession planning and management program has to be supported by the institution's leadership as well as through the allocation of financial resources.

As evidenced by the factor loadings, workforce and financial planning are statistically dependent. Leaders seeking to address the internal and external challenges of the 21st century must plan to do so. This planning process has to be systematic process and has to outline measureable goals. Therefore, the long-term strategic, workforce, and financial planning process will help to preserve leadership continuity within the college.

Process Evaluation

A notable finding was that the factor analysis reconfirmed the relationship among the five supporting activities in the process evaluation section of the *WCSPMS* instrument. Researchers identified process evaluation as a key component of an effective succession planning and management program. Ready and Conger (2007) asserted that evaluation holds the leadership and institution accountable for developing leaders. Therefore, succession program was tested for its overall effectiveness regarding the organization and the accomplishment of long-term goals. Process evaluation is beneficial to any program in order to measure program success and to ensure that goals and objectives were being met (ACE, 2010; Conger & Fulmer, 2003; Davis, 2010; Rothwell, 2010; Wallin et al., 2005). Consequently, this factor was not renamed because of the high loadings and correlations between survey items.

Professional Development

Compared to the loadings of factors one and two of the factor analysis, professional development was highly correlated. Factor Three loadings were supported by four of the questions in the talent training and development section of the *WCSPMS*. This professional development of internal talent would appear to be central to the succession planning and management process.

Leadership development is the process by which institutions ensure that they have pools of qualified talent available to meet their long-term workforce needs. Hence, college administrators are able to identify and develop their employees with the requisite skills and competencies required to fill future leadership positions. Duree (2007), Hewitt

(2009), Mateso (2010), and van Amburgh et al. (2010) have all contended that it is the imperative nature of institutions to identify and train employees at multiple levels of the organization to meet the impending leadership gaps.

The factor analysis conducted for research question one indicated that the four components of the *WCSPMS* instrument measured what they were created to measure. Although the factor analysis reduced the four components identified by the researcher to three factors, it nevertheless helped strengthen the structure of survey. Additionally, the reliability, along with the factor analyses, affirmed that planning, process evaluation, and professional development were related to the components of succession planning and management.

Research Questions Two and Three

Research questions two and three were answered by using the single factor (one-way) multivariate analysis of variance (MANOVA). This procedure in the present study assessed whether the perceptions of administrators employed at AACC-member institutions and CCLP graduates regarding the succession planning and management program, as reflected by the four components-communicate expectations, organization assessment and alignment, talent training and development, and process evaluation-were influenced by leadership levels and institutional factors.

Research Question 2

Is there a difference in how senior administrative and middle manager leaders evaluate succession planning and management components – communicate expectations, organization assessment and alignment, talent training and development, and process evaluation at their institution?

Research Question Two, in which the one-way MANOVA was computed, involved two groups that corresponded to two levels of leadership. Each level of administrative leaders had mean perception scores on the four components of the *WCSPMS* instrument. The goal of the MANOVA analysis was to examine whether the set of means on the four components differed significantly across one of the two leadership groups (Tabachnick & Fidell, 2007). Additionally, to gain greater clarity of research Question Two the researcher focused on the overall means of the four components for each leadership group. Senior administrators had a mean perception score of 9.73 for the communicate expectations component, whereas middle managers had a mean score of 8.04 for the same component. In addition, senior administrators had a mean perception score of 9.38 for the organization assessment and alignment component, while the middle managers had a mean of 7.87 for this component. A mean difference of almost two points revealed to the researcher that within the above two components, a difference could exist across leadership levels. As part of the MANOVA results, the F-test assessed which groups differed significantly.

The Shapiro-Wilks Test reported a significant difference in the perception scores of senior administrators and middle managers regarding succession planning and

management. The univariate ANOVA results revealed significant differences between the two leadership groups across communicate expectations and organization assessment and alignment survey components. These findings were consistent with results from Research Question One.

The present findings concur with the findings noted by Wolverton, Ackerman, and Holt (2005), Fulmer and Conger (2004), Fulton-Calkins and Milling (2005), Karaevli and Hall (2003), Groves (2007), and Conlon and Smith (2010). The studies conducted by the above-mentioned researchers found that senior administrators exhibited favorable perceptions toward the communicate expectations and organization assessment and alignment components of succession planning and management.

Also, there can be a disconnect between the perceptions of administrators at different levels because employees are not well-informed about the purpose of internal leadership development and succession planning. The process for succession planning and management at institutions can be loosely developed and can lack a formal structure, and therefore can contribute to this disconnect (Mackey, 2008). Furthermore, the differences in perceptions of succession planning and management program may be due to the programs not being institutionalized within the college's culture. Community colleges may be performing some, if not all, of the activities supporting effective succession planning and management programs. However, the program may not be formalized and aligned with the strategic goals of the institutions or supported by the college's administrative budget. Rothwell (2010) noted that succession has to be

developed and communicated throughout all organizational levels in order to be effective and to address the impending leadership gap.

The minimal differences in talent training and development findings may well be attributed to administrators (on community college campuses), regardless of their positions, realizing the importance of identifying talent for future positions. Community colleges and their leading advocacy organization have been long-time supporters of leadership development programs. Community colleges, as well as organizations such as AACC and the League for Innovation in Community Colleges, offer leadership development programs specifically focused on middle managers who are ready to assume future presidential posts. The longevity of institutional leadership development programs may be a factor that has contributed to the lack of significant differences between perspectives at different leadership levels.

Furthermore, the findings concerning process evaluation were explained in the works of Conger and Fulmer (2003) and Kim (2003). These researchers argued that successfully run institutions conduct continuous reviews of both processes and content. Community colleges have a robust strategic planning process that is part of their shared governance structure. These institutions have developed a culture of evidence and have applied evaluation measures across programs and departments throughout the organization.

Research Question 3

Is there a difference between size and location of institution in regards to status of succession planning and management components – communicate expectations, organization assessment and alignment, talent training and development, and program evaluation?

The third research question addressed in the present study involved examination of the effects of institutional factors on the succession planning and management program on community college campuses. It was proposed that the institutional factors-institution size and institution location-could produce a significant influence on the four succession planning and management program components, namely communicate expectations, organization assessment and alignment, talent training and development, and process evaluation. The perceptions of senior administrative and middle manager leaders were evaluated based on institution size and institution location in regards to the four components of the succession planning program.

The one-way MANOVA was again computed to answer Question Three. The one-way MANOVA was also used to investigate the mean difference within the four dependent measures across each independent variable, one at a time (Tabachnick, & Fidell, 2007). The perceptions of administrative leaders across institution size and institution location were found to have small differences. The findings associated with institutional factors suggested that any differences that were found were due to chance alone.

Regardless of institution size and location, administrators generally had similar perceptions about the succession planning and management components of communicate expectations, organization assessment and alignment, talent training and development, and process evaluation. The present findings regarding institutional antecedents, such as size and location, particularly in regard to size, were not supported in the works of Naveen (2006) and Froelich, McKee, and Rathge (2009). These researchers found that institutional size had a significant impact on succession planning. Moreover, the research conducted by Ip and Jacobs (2006) advised that "size, sector, and geographic location" of organization was not related to the effectiveness or utilization of succession planning and management practices (p. 327).

A plausible explanation for the lack of significant results with regards to the succession components and institutional size might be that an overwhelming majority of the administrators surveyed in this study were employed at very large community colleges. According to Froelich, McKee, and Rathge (2009), administrators employed in large organizations are quite likely to perceive succession planning as being important to leadership continuity and financial performance.

Even though, a large percentage of the administrators were from very large institutions, their level of awareness of succession practices were similar to those from medium and small institutions. Ip and Jacobs (2006) found that administrators employed at small organizations were not very likely to be aware of succession practices. Thus, regardless of institutional size, administrators had similar perceptions regarding succession planning and management practices, which were further evidenced by the low

levels of awareness scores regarding succession planning practices on the *WCSPMS* instrument. There were also no significant differences in the level of awareness of administrators who were employed at institutions in either rural, suburban, or urban areas.

Furthermore, the works of Rothwell (2010) and American Council on Education (ACE) (2010) explained the lack of significant findings regarding succession planning components and institutional factors. Both of these researchers contended that succession planning was a business practice in which academia found difficulty adopting. They also cited organizational and shared governance structures in academia as likely reasons why institutions would not have developed a strong succession planning and management program. Another conceivable explanation for these findings is inherent in the current economic climate and state budget reductions. Consequently, notwithstanding the institution's size and location, administrators at community colleges may not perceive succession practices as viable options or priorities, especially if the administrators are more addressing challenges in college operations, financial matters, community advocacy, and students due to budget restrictions.

Implications and Recommendations for Future Research

The following implications were drawn from the findings of this empirical investigation. First, the variable leadership level and its impact on the succession planning and management process, particularly in the areas of communicate expectations and organization assessment and alignment, suggest that senior administrators possess an

understanding of the importance of these components for any successful succession planning and management program. Therefore, community colleges' senior administrators, should gain a greater awareness of how a program such as this can help mediate the predicted leadership shortage for many two-year institutions.

The literature provided insight into potential hindrances to succession planning in education and applicability as a business practice. This present study identified planning, professional development, and evaluating as key practices of a succession planning programs which could align with current strategic planning practices already occurring within the institutions. Using the Succession Planning and Management framework as a practical guide to the role of leadership in the succession process, along with certain key components, can help lay the foundation for community colleges' succession planning and management program to meet future workforce and competency requirements. Furthermore, the results of this study underpin the components of succession planning and management and the importance of organizational leadership in planning and developing internal employees as potential candidates for future leadership positions at the institution. Consequently, developing a comprehensive succession plan might not be as difficult an endeavor to coordinate and implement as leaders in academia may have originally thought. Although there are mixed studies about the use and effectiveness of succession planning and management in education, there are numerous proven and successful cases found in for-profit and nonprofit organizations and are worthy of consideration.

Finally, this study highlights the lack of attention that succession planning and management has been given within community colleges. Of the nearly 200 participants in this study, only 9.9% indicated that their institutions have a formally written succession planning and management program; and 29.8% seemed unaware of such practices occurring within their institutions. These findings further indicate that succession planning is not a priority for community college leaders; and the findings, in effect, raise questions about the overall attention garnered regarding the leadership shortfall.

These findings further suggest that this study is a preliminary step in an examination of community college administrators' knowledge and utilization of the succession planning and management process to develop future leaders. Although, this study was limited to the perceptions of senior and middle leaders in regards to their personal awareness of current practices, these community college leaders have indicated an awareness of succession planning and underscored that institutions have not fully developed a comprehensive succession planning and management program. Additionally, findings in this study contribute to the body of knowledge by providing an instrument to measure succession planning and management. Finally, further research is thus warranted in regards to (1) a follow-up study that uses the three components of the succession planning and management survey; (2) the extent to which community colleges

depend on succession planning and management practices to fill internal leadership positions; (3) the extent to which succession planning and management practices are occurring with in colleges; or (4) differences between the college's leadership and human resources professionals' perceptions regarding the leadership crisis.

Conclusions

In summary, a disconnect appears to exist between the awareness and the reality of the talent gap in community college leadership. Although there is significant and relevant information being reported by the U.S. Labor Department, by community college advocacy organizations and professional associations, and by researchers regarding the availability and quality of people already present in the workforce, many institutions do not seem to realize the critical nature of the projected employee shortage. This inference is based on the overall low-awareness scores of senior administrative and middle manager leaders in this study regarding succession planning and management.

The overall status of succession planning and management in community college is not known. The ramifications of not preparing for the continuity of leadership may have severe consequences for institutions competing to find qualified leaders. This may lead to hiring employees to serve in senior executive positions on an interim basis for extended periods of time. Consequently, the insufficient availability and quality of leaders may also negatively impact students and the overall strength of the institution.

A comprehensive succession planning and management program allows leaders with in community colleges to evaluate organization capabilities and employee skill requirements, plan for leadership changes, and develop employees to meet future workforce needs. All of these items collectively support a strong institution that is able to meet the needs of the students and community it serves.

Appendix

Appendix A: Wright-Coward Succession Planning and Management Survey Instrument

Wright-Coward Succession Planning and Management Survey (WCSPMS)

Survey Overview

The purpose of this survey is to learn more about your personal knowledge of current succession planning and management practices occurring within your institution.

According to author William Rothwell (2010), succession planning and management is a systematic process to: 1) ensure leadership continuity, 2) retain and develop human capital for the future, and 3) encourage personal growth and internal mobility in order for an organization to achieve its mission. There are four components of succession planning and management within the survey. Each component is supported by five statements that have been identified to support succession planning.

Please use the following scale provided to indicate your personal awareness of succession planning and management practices:

4 - Highly aware, you are very knowledgeable of the practice and have frequent involvement with your college's succession planning and management program
3 - Moderately aware, you have some knowledge that your college has a succession planning and management program and have had limited involvement in the program
2 - Aware, you have knowledge through college communications that the college has a succession planning and management program and you have had no involvement with the succession planning and management program
1 - Not aware, you have had no knowledge and no involvement with succession planning and management

Thank you in advance for your participation. The survey should take approximately 10-15 minutes to complete and is completely voluntary. If you agree to provide your feedback please click the "Next" button below.

Wright-Coward Succession Planning and Management Survey (WCSPMS)

Component 1: Communicate Expectations

Communicate Expectations is defined as the visible support of the board, president and executive leadership of the college; have these entities communicated program expectations to the entire college and developed a formal written succession management plan.

Succession Planning and Management is a systematic process to: 1) ensure leadership continuity, 2) retain and develop human capital for the future, and 3) encourage personal growth and internal mobility in order for an organization to achieve its mission.

Below is a list of statements/activities that support Component 1 of the succession planning process.

Please indicate your personal awareness that the following succession planning and management practices are occurring at your college, based on the following definitions:

4 - Highly aware, you are very knowledgeable of the practice and have frequent involvement with your college's succession planning and management program
3 - Moderately aware, you have some knowledge that your college has a succession planning and management program and have had limited involvement in the program
2 - Aware, you have knowledge through college communications that the college has a succession planning and management program and you have had no involvement with the succession planning and management program
1 - Not aware, you have had no knowledge and no involvement with succession planning and management

Please indicate your personal awareness that the following succession planning activities are occurring at your college.

***1. What is your level of awareness that the college's executive team has communicated expectations of the Succession Planning and Management program?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***2. What is your level of awareness that the college is monitoring and tracking future workforce requirements for critical leadership positions?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***3. What is your level of awareness that the college has an established succession planning and management program with measurable goals?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

Wright-Coward Succession Planning and Management Survey (WCSPMS)

***4. What is your level of awareness that the college has a systematic approach to succession planning and management?**

- 4 - Highly Aware
- 3 - Moderately Aware
- 2 - Aware
- 1 - Not Aware

***5. What is your level of awareness that all employees at the college are familiar with the succession planning and management program?**

- 4 - Highly Aware
- 3 - Moderately Aware
- 2 - Aware
- 1 - Not Aware

6. If you answered "Not Aware" to three or more questions do you have personal knowledge that these succession planning and management activities are not occurring at your college?

- 1 - Yes
- 2 - No

7. If you answered "Not Aware" to three or more questions, could your college be involved in these succession planning and management activities but you have no personal awareness?

- 1 - Yes
- 2 - No

Wright-Coward Succession Planning and Management Survey (WCSPMS)

Component 2: Organization Assessment and Alignment

Organization Assessment and Alignment refers to the direction of the organization, connects succession planning to the long-term strategic plan of the college, identifies skills and competencies within the organization, and increases institutional productivity and workplace efficiency.

Succession Planning and Management is a systematic process to: 1) ensure leadership continuity, 2) retain and develop human capital for the future, and 3) encourage personal growth and internal mobility in order for an organization to achieve its mission.

Below is a list of statements/activities that support component 2 of the succession planning process.

Please indicate your personal awareness that the following succession planning and management practices are occurring at your college, based on the following definitions:

4 - Highly aware, you are very knowledgeable of the practice and have frequent involvement with your college's succession planning and management program
3 - Moderately aware, you have some knowledge that your college has a succession planning and management program and have had limited involvement in the program
2 - Aware, you have knowledge through college communications that the college has a succession planning and management program and you have had no involvement with the succession planning and management program
1 - Not aware, you have had no knowledge and no involvement with succession planning and management

Please indicate your personal awareness that the following succession planning activities are occurring at your college.

***8. To what extent are you aware that your college's succession planning and management program is linked to the strategic plan?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***9. To what extent are you aware that your college has a formally written succession planning and management program?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***10. To what extent are you aware that the college has identified critical leadership positions for the long-term growth of the institution as part of its succession planning and management program?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

Wright-Coward Succession Planning and Management Survey (WCSPMS)

***11. To what extent are you aware that the college's succession planning and management program is supported by the institution's administrative budget?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***12. To what extent are you aware that future skills and competencies needed by employees for the long-term growth of the college have been identified as part of the succession planning and management program?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

13. If you answered "Not Aware" to three or more questions do you have personal knowledge that these succession planning and management activities are not occurring at your college?

○ 1 - Yes

○ 2 - No

14. If you answered "Not Aware" to three or more questions, could your college be involved in these succession planning and management activities but you have no personal awareness?

○ 1 - Yes

○ 2 - No

Wright-Coward Succession Planning and Management Survey (WCSPMS)

Component 3: Talent Training and Development

Talent training and development involves the evaluation of employee skills, development of competencies and skills of current employees to fill future leadership positions and increases employee effectiveness.

Succession Planning and Management is a systematic process to: 1) ensure leadership continuity, 2) retain and develop human capital for the future, and 3) encourage personal growth and internal mobility in order for an organization to achieve its mission.

Below is a list of statements/activities that support Component 3 of the succession planning process.

Please indicate your personal awareness that the following succession planning and management practices are occurring at your college, based on the following definitions:

4 - Highly aware, you are very knowledgeable of the practice and have frequent involvement with your college's succession planning and management program
3 - Moderately aware, you have some knowledge that your college has a succession planning and management program and have had limited involvement in the program
2 - Aware, you have knowledge through college communications that the college has a succession planning and management program and you have had no involvement with the succession planning and management program
1 - Not aware, you have had no knowledge and no involvement with succession planning and management

Please indicate your personal awareness that the following succession planning activities are occurring at your college.

***15. For the purpose of ensuring the future leadership of the college, to what extent are you aware that the college has created a formal leadership development and training?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***16. To what extent are you aware that all employees at your college are required to complete an individual development plan?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***17. As part of the succession planning and management program, to what extent are you aware that the goals from your individual development plan are aligned with your department/unit goals?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***18. To what extent are you aware that the college has a formal mentoring program that is available to all full-time faculty and administrative staff for leadership development?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

Wright-Coward Succession Planning and Management Survey (WCSPMS)

***19. To what extent are you aware that the college has identified a pool of qualified talent to fill future leadership positions that have been deemed critical to the future leadership of the institution, as part of its succession planning and management program?**

- 4 - Highly Aware
- 3 - Moderately Aware
- 2 - Aware
- 1 - Not Aware

20. If you answered "Not Aware" to three or more questions do you have personal knowledge that these succession planning and management activities are not occurring at your college?

- 1 - Yes
- 2 - No

21. If you answered "Not Aware" to three or more questions, could your college be involved in these succession planning and management activities but you have no personal awareness?

- 1 - Yes
- 2 - No

Wright-Coward Succession Planning and Management Survey (WCSPMS)

Component 4: Process Evaluation

Process evaluation involves measurement of program effectiveness and holds the college's leadership and the organization accountable for the success of the program.

Succession Planning and Management is a systematic process to: 1) ensure leadership continuity, 2) retain and develop human capital for the future, and 3) encourage personal growth and internal mobility in order for an organization to achieve its mission.

Below is a list of statements/activities that support Component 4 of the succession planning process.

Please indicate your personal awareness that the following succession planning and management practices are occurring at your college, based on the following definitions:

4 - Highly aware, you are very knowledgeable of the practice and have frequent involvement with your college's succession planning and management program
3 - Moderately aware, you have some knowledge that your college has a succession planning and management program and have had limited involvement in the program
2 - Aware, you have knowledge through college communications that the college has a succession planning and management program and you have had no involvement with the succession planning and management program
1 - Not aware, you have had no knowledge and no involvement with succession planning and management

Please indicate your personal awareness that the following succession planning activities are occurring at your college.

***22. To what extent are you aware that the college's succession planning and management program is being evaluated annually?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***23. To what extent are you aware that the college's succession planning and management program objectives are assessed annually for its effectiveness in support of the college's strategic goals?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

***24. As part of the college's annual planning process, to what extent are you aware that succession planning and management program goals are evaluated within your department, in support of unit objectives?**

○ 4 - Highly Aware ○ 3 - Moderately Aware ○ 2 - Aware ○ 1 - Not Aware

Wright-Coward Succession Planning and Management Survey (WCSPMS)

***25. To what extent are you aware that the core skills for critical leadership positions are assessed annually to ensure that the college is appropriately developing employees for the next level of leadership, as part of the succession planning and management program?**

- 4 - Highly Aware
- 3 - Moderately Aware
- 2 - Aware
- 1 - Not Aware

26. To what extent are you aware that the college's internal professional training and development programs are monitored and tracked in support of its succession planning and management program to ensure the future flow of potential leaders to fill critical positions within the college?

- 4 - Highly Aware
- 3 - Moderately Aware
- 2 - Aware
- 1 - Not Aware

27. If you answered "Not Aware" to three or more questions do you have personal knowledge that these succession planning and management activities are not occurring at your college?

- 1 - Yes
- 2 - No

28. If you answered "Not Aware" to three or more questions, could your college be involved in these succession planning and management activities but you have no personal awareness?

- 1 - Yes
- 2 - No

Wright-Coward Succession Planning and Management Survey (WCSPMS)

Institutional Profile

As a reminder your participation and survey responses are anonymous. This instrument has been distributed to approximately 500 community college employees. There is no way for the researcher to identify or link information contained in this instrument back to you or your institution.

***29. Which of the following best identifies the location of your college?**

- a. Suburban
- b. Urban
- c. Rural

30. Is your college a multi-campus institution, with each campus having its own president, CEO?

- a. Yes
- b. No

***31. Which of the following best identifies the size of your college based on full-time student enrollment?**

- a. Small - less than 1,999 full-time equivalent (FTE) student enrollment
- b. Medium - between 2,000 and 4,999 full-time equivalent (FTE) student enrollment
- c. Large - between 5,000 and 9,999 full-time equivalent (FTE) student enrollment
- d. Very large - more than 10,000 full-time equivalent (FTE) student enrollment

***32. Does your college have a formal-written succession planning and management program?**

- a. Yes
- b. No
- c. I am not aware

33. Does your college have a pool of employees that it has trained to fill future leadership positions?

- a. Yes
- b. No
- c. I am not aware

Wright-Coward Succession Planning and Management Survey (WCSPMS)

Personal and Professional Demographic Information

As a reminder your participation and survey responses are anonymous. This instrument has been distributed to approximately 500 community college employees. There is no way for the researcher to identify or link information contained in this instrument back to you or your institution.

***34. Which of the following selections best describes your current position?**

- a. Senior administrator - I report to the CEO of the college, president/chancellor, my job title includes senior/executive vice president, assistant/associate vice president, or vice president
- b. Middle manager - I report to senior executive positions; my job title includes chair, dean, assistant dean, director
- c. Other

Other (please specify)

***35. Which of the following statements best defines your current position?**

- a. I report to the Chancellor
- b. I report to the President
- c. I report to the Senior/Executive Vice President
- d. I report to the Assistant/Associate Vice President
- e. I report to the Dean
- f. I report to the Chair
- g. Other

Other (please specify)

Wright-Coward Succession Planning and Management Survey (WCSPMS)

***36. Which of the following best describes your current job title?**

- a. Deputy/Vice/Assistant Chancellor
- b. Senior/Executive Vice President
- c. Assistant/Associate Vice President
- d. Dean
- e. Assistant/Associate Dean
- f. Chair
- g. Director
- h. Faculty member
- i. Other

Other (please specify)

***37. I was hired for my current position from...**

- a. Inside of the college
- b. Outside of the college

38. How long have you worked for the college?

- a. 0 - 5 years
- b. 6 - 10 years
- c. 11 - 15 years
- d. 16 - 20 years
- e. more than 20 years

Wright-Coward Succession Planning and Management Survey (WCSPMS)

39. What is the highest level of school you have completed or the highest degree you have received?

- a. Associate
- b. Bachelor
- c. Masters
- d. PhD/EdD
- e. Doctorate other field
- f. Professional degree (law, medical, etc.)
- g. Other

Other (please specify)

***40. Which category best represents your age?**

- a. Under 30 years of age
- b. 31 - 35
- c. 36 - 40
- d. 41 - 45
- e. 46 - 50
- f. 51 - 55
- g. 56 - 60
- h. 61 - 65
- i. over 65
- j. Prefer not to disclose

***41. What is your gender?**

- a. Male
- b. Female
- c. Prefer not to disclose

***42. Are you Hispanic or Spanish heritage?**

- a. Yes
- b. No
- c. Prefer not to disclose

Wright-Coward Succession Planning and Management Survey (WCSPMS)

***43. Which of the following groupings best describes you?**

- ☐ a. African American/Black
- ☐ b. Asian
- ☐ c. Caucasian/White
- ☐ d. Hispanic
- ☐ e. Native American/Indian
- ☐ f. Prefer not to disclose
- ☐ g. Other

Other (please specify)

44. Based on your personal perception, has the college's president demonstrated support of a succession planning and management program?

- ○ a. Yes
- ○ b. No
- ○ c. I am not aware

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