

# Succession Planning

## GBA Emerging Issues

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May 20, 2019



# About Yale School of Medicine (YSM)

**Geraldine Sullivan**

*Assistant Vice President, Employee Relations & Staffing and Career Development*

**Bridgett LaFountain**

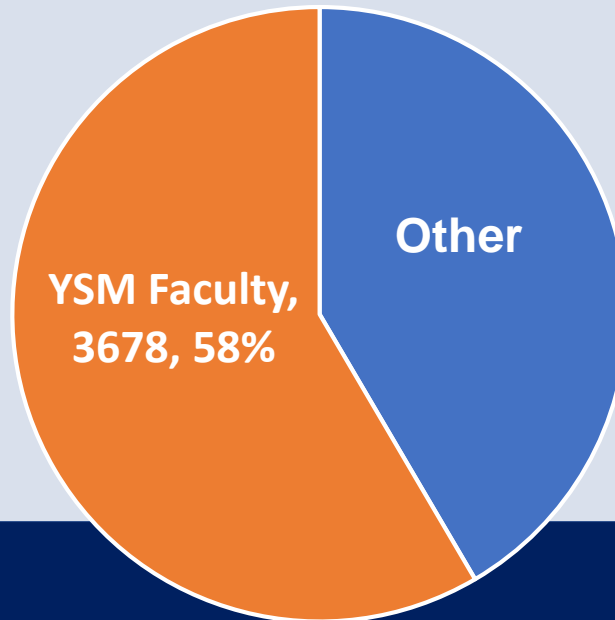
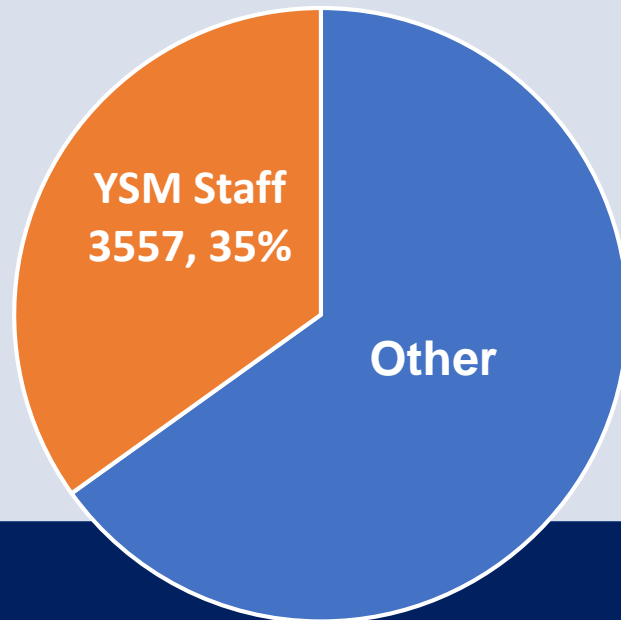
*Director, Employee Relations for Yale School of Medicine (YSM)*

The sixth-oldest medical school in the country with faculty, students, and trainees engaged in biomedical research, advanced clinical care, and medical education.

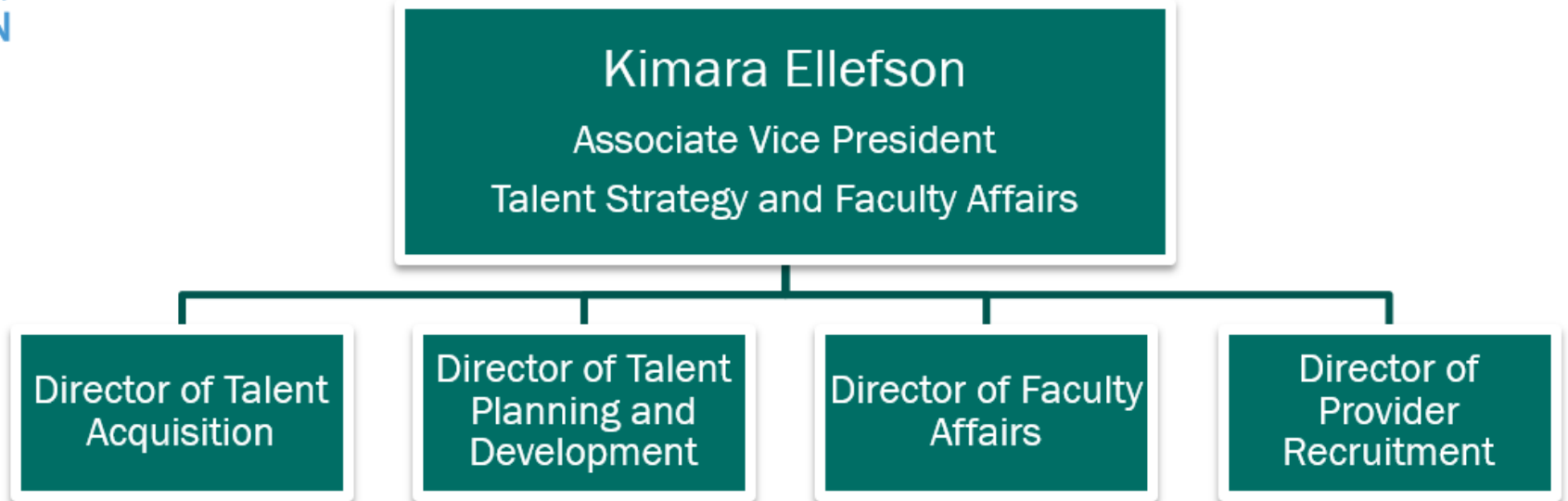
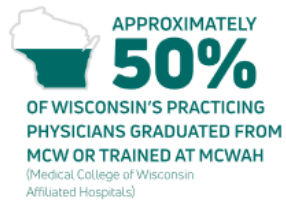


Yale University Staff = 10,194

Yale University Faculty = 6,293



# About Medical College of Wisconsin (MCW)



# What is Succession Planning

Standardized and integrated management system that provides insight into the workforce and enables decisions to resolve talent gaps between current leadership depth (talent supply) and projected future leadership needs (talent demand).

Helps to assess the adequacy of succession strategies for key leadership positions, and progress at further enhancing our levels of organizational excellence throughout the University.

Teaching and organizational improvement tool, as well as to identify and develop our top talent at even earlier career stages.



# YSM Succession Planning Journey

**2011**

## Succession Planning introduced @ University

- Annual Reviews @ VP Retreat
- Key leadership positions
- YSM Dean active participant – Dean’s leadership team

**2013**

## Staff Succession Planning introduced @ School of Medicine

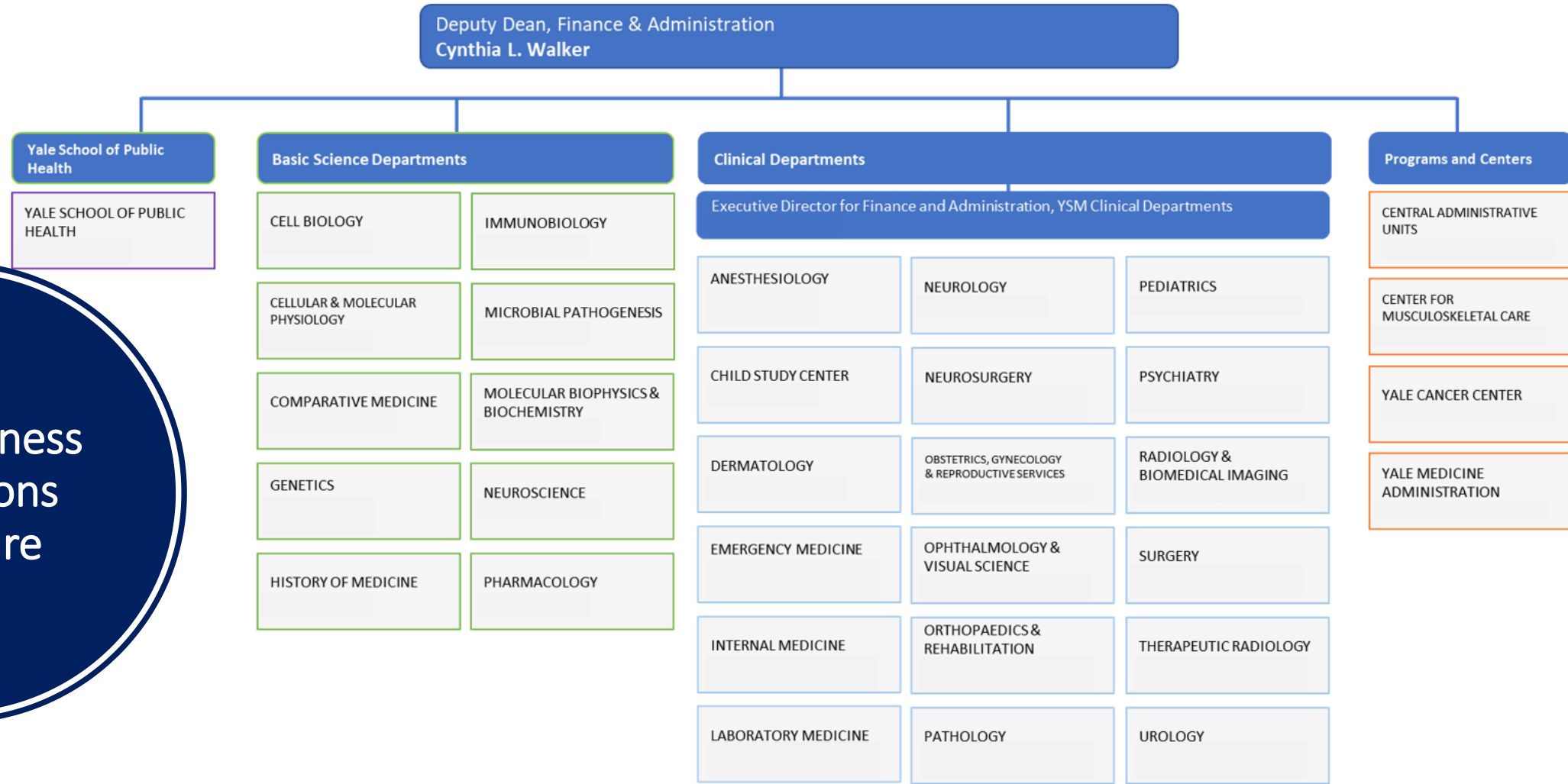
- Gentle approach
- Leadership positions below the Dean’s leadership team
- Strong focus around Business Operations

**2018**

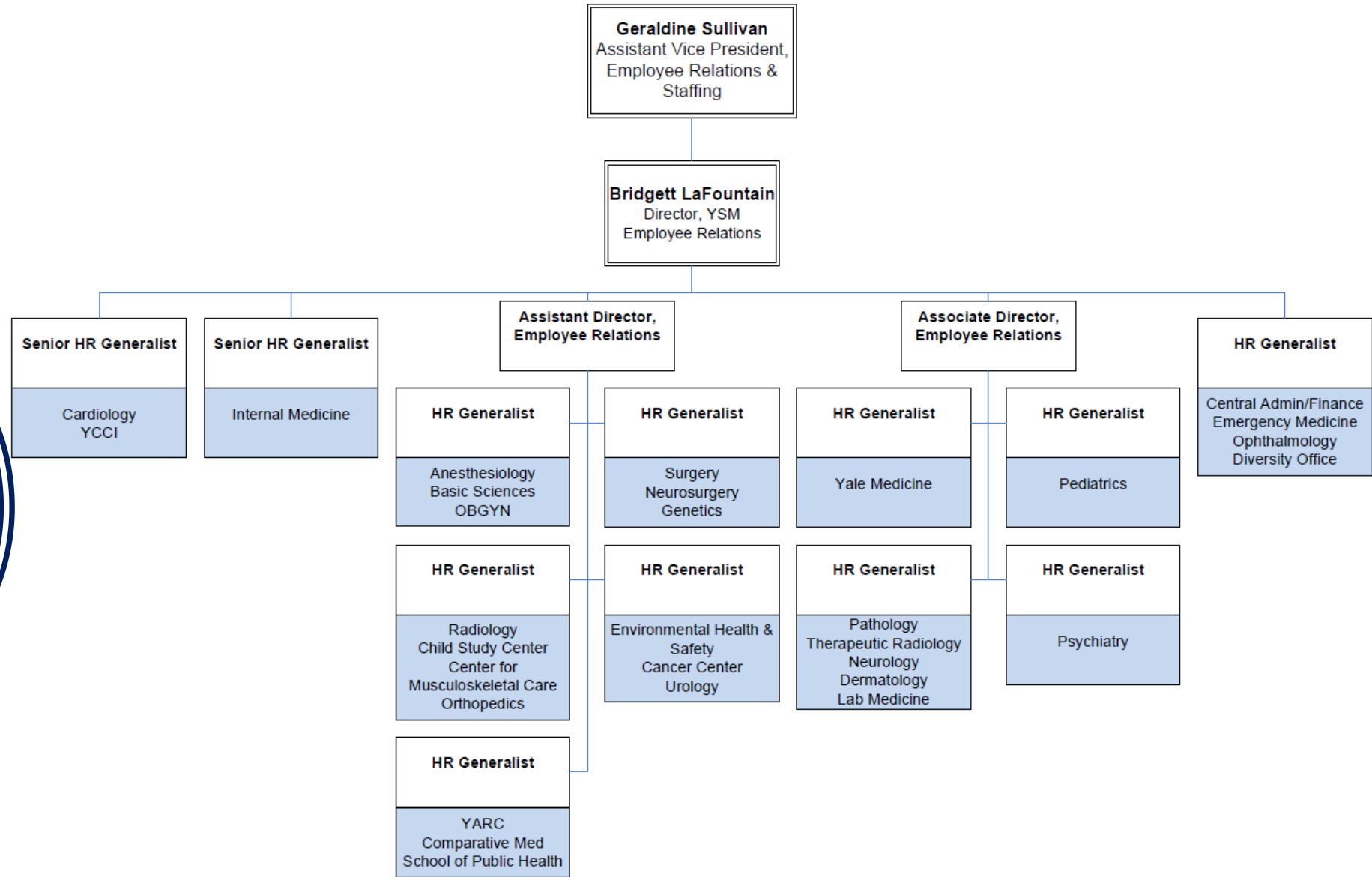
## Faculty Succession Planning introduced @ School of Medicine

Conversational approach vs. formal  
Continue to make progress on staff plans

# YSM Business Operations Structure



# YSM Employee Relations Structure



# Staff Succession planning at YSM

Purpose: Identify the best talent, development & growth opportunities for next generation

## Stakeholders

Organizational  
Leaders  
Lead Administrators  
Department  
Managers



Informal &  
forum channels



Business  
Operations  
focus, expand  
to clinical roles



Actionable &  
Attainable



Continued  
communication  
& support of  
process

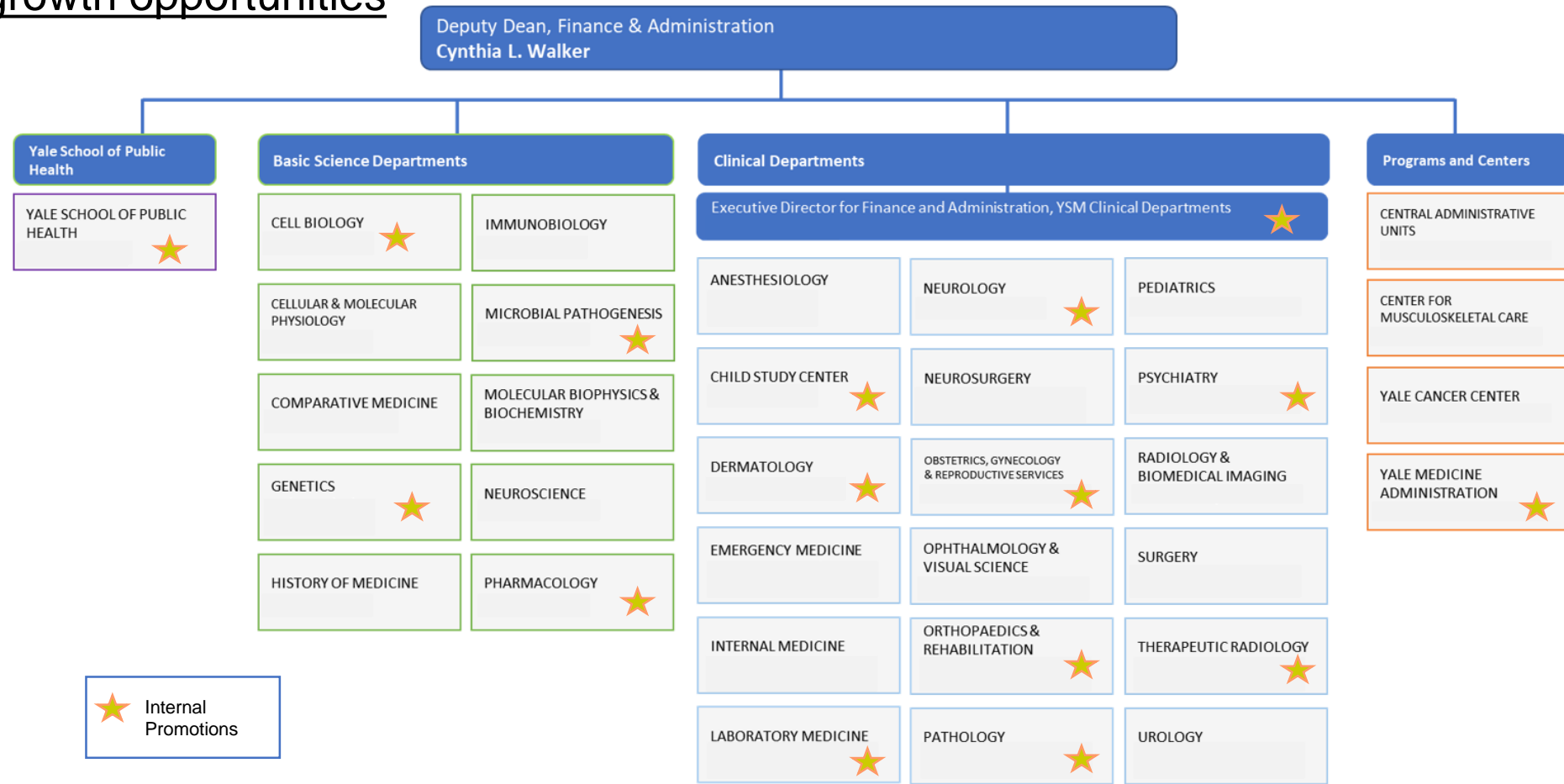




# Accountability through Leadership

## Discussion helps drive growth opportunities

- Stretch assignments
- Special projects
- Mentorship/coaching programs



# Approach: *Similarities & Variations*

## Staff Succession Planning

Sponsor is Deputy Dean, Finance and Administration

Formal setting & presentation of talent

Group calibration

Manual → Automated

Robust conversations evolved

Needed to work through initial resistance

## Academic Succession Planning

Sponsor is Dean of Medical School

Formal setting, but conversational at start

Calibration at Dean's leadership level

Manual

Interesting dialogue about how it fits with national searches

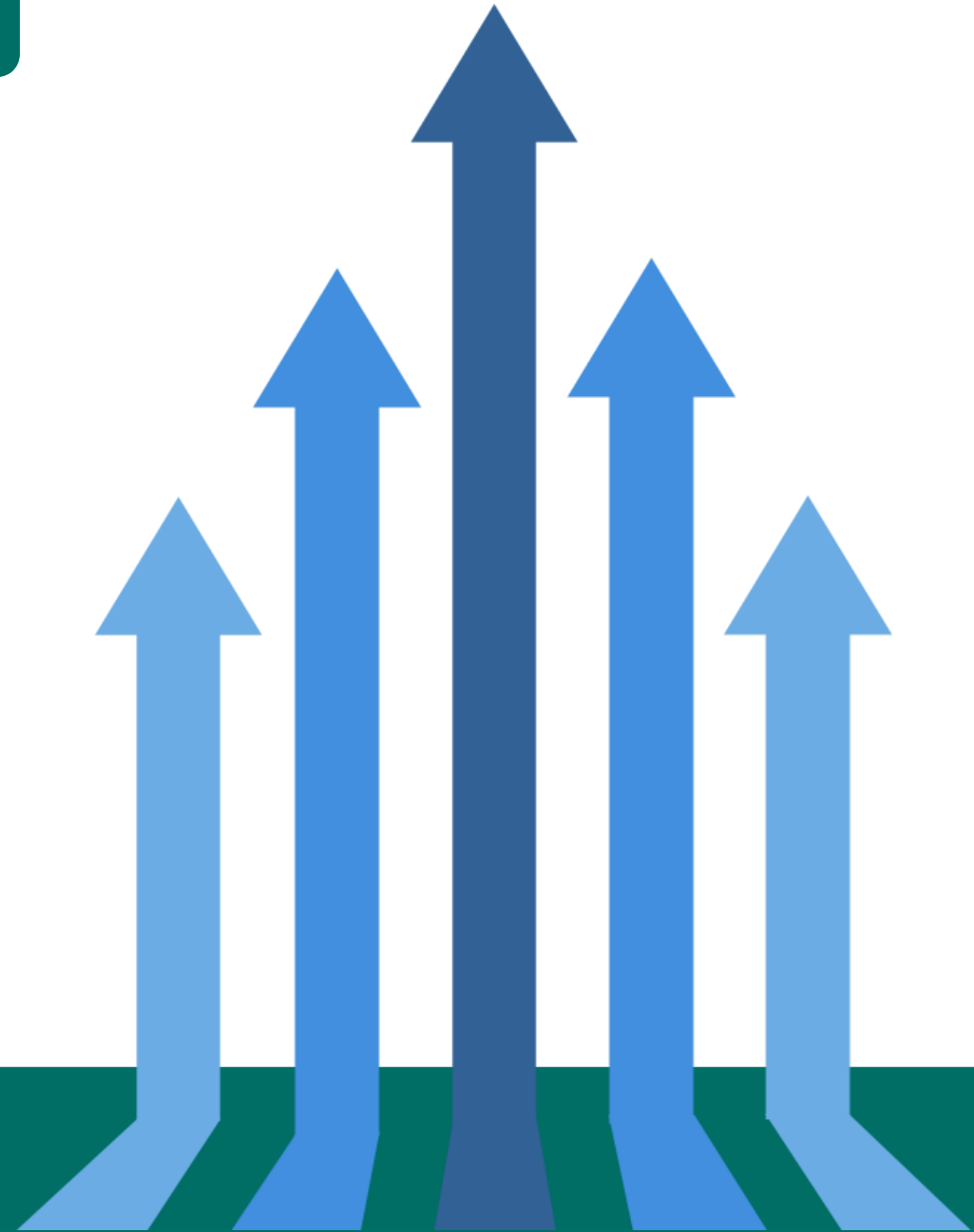
Balance soft touch education and influence through hesitation

HR navigates both processes

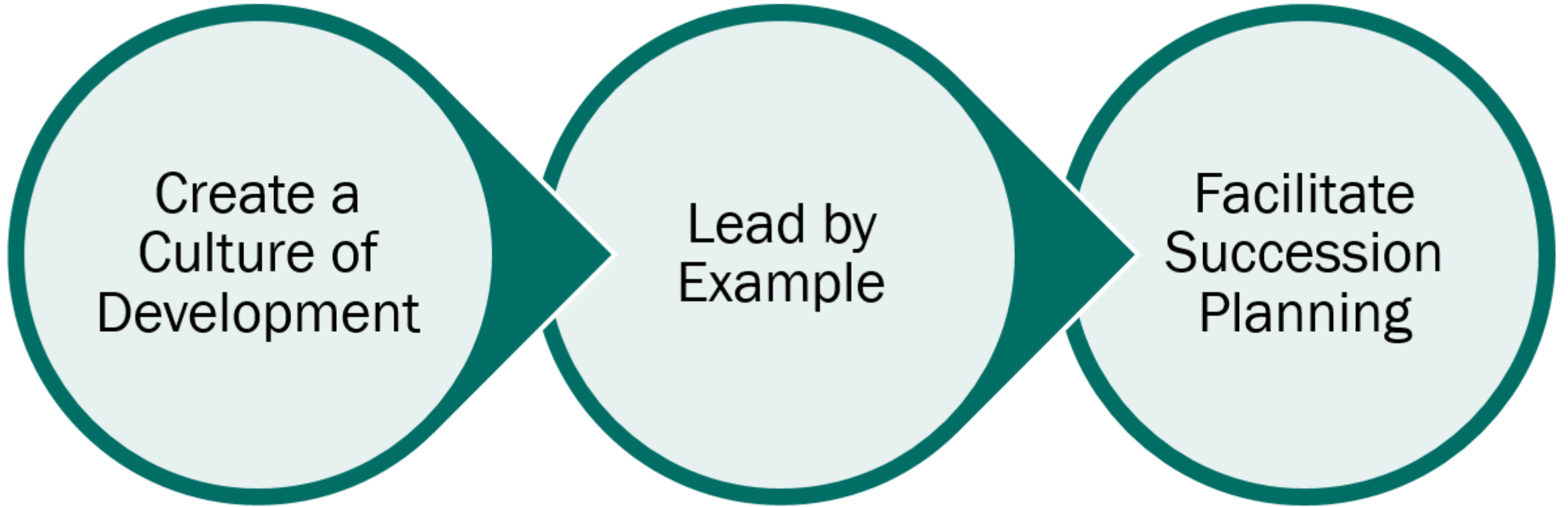
Yale

# Succession Planning

- Institutional Incentive Goal
- Diverse leaders
- Focused on Leaders



# Dean's Role



# Culture Roadmap

Step

1

**LEADERSHIP CHARACTERISTICS**

Step

2

**EMBEDDING IN CULTURE**

Step

3

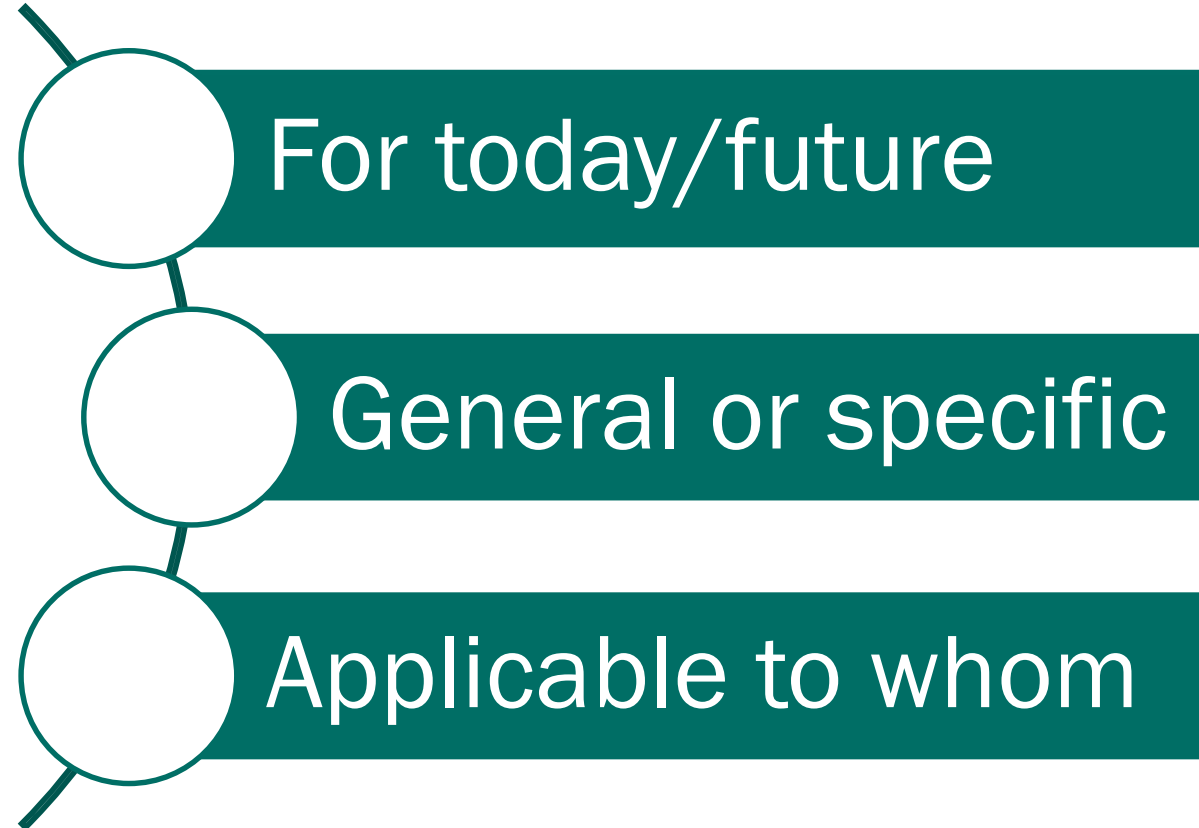
**LEADERSHIP DEVELOPMENT**

# Identifying Leadership Characteristics

**What does it take to be a successful leader at your institution?**

# Leadership Characteristics

Key questions  
institutions should  
be asking  
themselves...



# Culture Roadmap

Step  
1

LEADERSHIP CHARACTERISTICS

Step  
2

EMBEDDING IN CULTURE

Step  
3

LEADERSHIP DEVELOPMENT



# Embedding Leadership Characteristics

What actions can we take?



# Culture Roadmap



Step

1

LEADERSHIP CHARACTERISTICS

Step

2

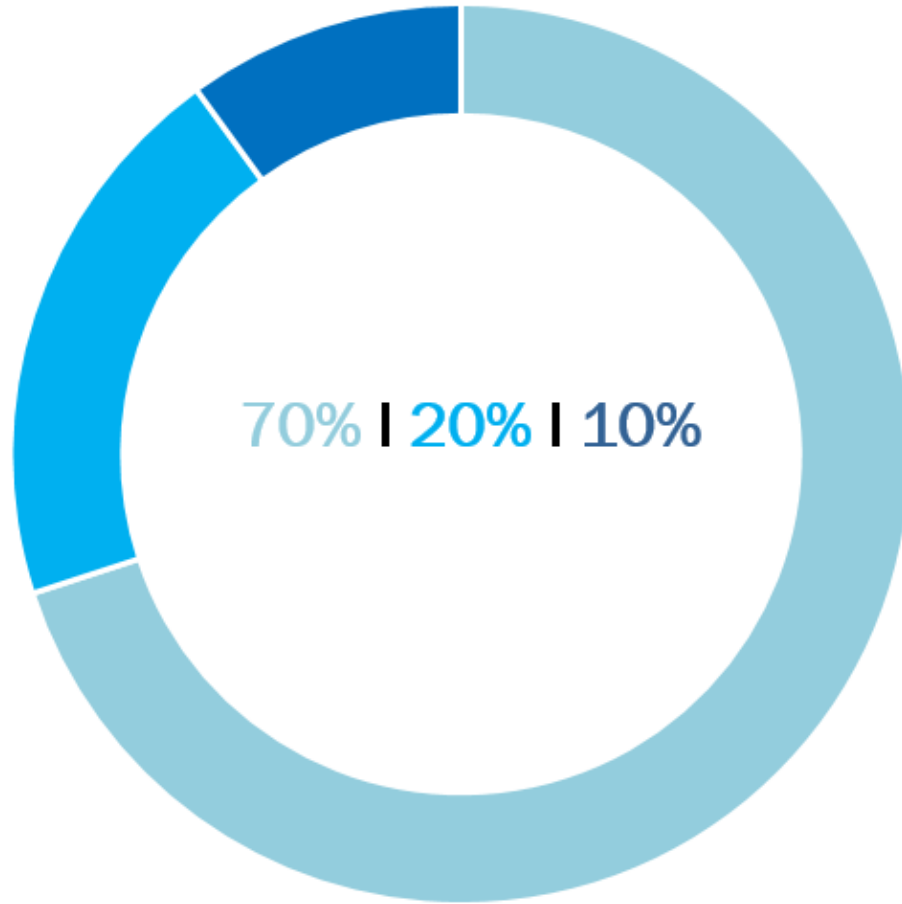
EMBEDDING IN CULTURE

Step

3

LEADERSHIP DEVELOPMENT

# MCW Leadership Philosophy



Experiential

Feedback/Coaching

Formal Coursework

# Leadership Development at MCW

- MCW Leadership Academy (internal)
- Executive Coaching (blend)
- Drexel University's ELAM (external)
- Harvard Leadership Development for Physicians (external)
- AAMC Leadership Programs

# Where You Can Start



# Lessons Learned & Takeaways

Sponsorship is key

Agility in conversations is a must

Succession Planning is a continuous roadmap

HR leaders needing to use influence and flexibility

Know your Why

Consider nomenclature

Connect to Strategy/Vision

# Questions or Comments?



MEDICAL  
COLLEGE  
OF WISCONSIN

knowledge changing life

Yale

# Thank you

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Talent Strategy and Faculty Affairs  
Medical College of Wisconsin

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Employee Relations & Staffing and Career Development  
Yale University

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knowledge changing life

Yale



# Appendix: Talent Tools

		Performance		
		Developing (Ready 1-3 years)	Meets Expectations (Ready 6-12 months)	Exceeds Expectations (Ready Now)
<b>Potential</b>	<b>High</b>	<p><b>Aspiring Potential</b> Has demonstrated limited experience; With targeted development, able to take on greater responsibility within 12-24 months; Currently developing abilities in current role and competencies; Not getting most important things done; Aspires to have greater responsibility; Strong growth potential</p> <p>Development Plan - Performance coaching to identify cause of below average performance. Coach accordingly</p>	<p><b>Emerging Potential</b> Consistently meets and may occasionally exceed expectation; Promotable; Has desire to grow in responsibilities; Quickly learns and adapts to new situations; Highly valued; Would be a significant loss if person left</p> <p>Development Plan - Targeted support and development: special projects, rotations.</p>	<p><b>High potential</b> Consistently exceeds expectations and produces exceptional results; Ready for greater responsibility now; Has desire to grow in leadership roles; Agile learner - learns and masters new assignments quickly; Has influence beyond current role; Demonstrated emotional intelligence; Political savvy; Difficult to replace; Flight risk; Potential retention risk</p> <p>Development Plan - Help move up. Link to succession plan for replacement.</p>
	<b>Growth</b>	<p><b>Inconsistent Performer</b> Occasionally is not meeting performance standards; Manageable loss to operation if this person was to leave the organization; May have some potential but has not yet fully demonstrated it; Capable of making higher contribution; May be new to the job or the company</p> <p>Development Plan - Focus on closing skill gap. Partner with a strong technical member.</p>	<p><b>Key Performer</b> Consistently meets and may occasionally exceed expectations; Highly valued either due to technical or subject matter expertise; Would be a significant loss if person left; With development, potentially promotable to a level vertically or could move laterally within the organization</p> <p>Development Plan - Assign to relevant projects &amp; networks; emphasis on building expertise.</p>	<p><b>High Performer Plus</b> Consistently exceeds expectations and produces exceptional results; Demonstrated potential and interest in greater responsibility; Solid growth potential; Promotable; Demonstrated emotional intelligence; Difficult to replace</p> <p>Development Plan - Stretch them by assigning them to lead cross functional assignments. Pair with strong leader mentor.</p>
	<b>Limited</b>	<p><b>Misplace/Low Performer</b> Is not delivering as expected; Difficulty performing current job standards; Wrong job - may have potential to add value in a different position</p> <p>Development Plan - Manage performance using a Performance Improvement Plan; consider reassignment</p>	<p><b>Solid Performer</b> Consistently meets and may occasionally exceed expectations; Knows current job well; but not an expert on team; Contributes to the success of the department but has not demonstrated potential or ability for greater responsibility; Manageable loss to operation if this person was to leave the organization</p> <p>Development Plan - Hold-wait and see. Provide training to enhance technical expertise.</p>	<p><b>High Performer</b> Consistently exceeds expectations and produces exceptional results; Subject matter expert; Difficult to replace; No desire for greater responsibility or limited potential; May not adapt well to new situations and able to execute strategy</p> <p>Development Plan - Build on strengths by developing deeper knowledge/strengths. Provide opportunities to mentor others.</p>

Yale		PERFORMANCE/POTENTIAL MATRIX			2019
<b>PERFORMANCE</b>	<b>EXCEPTIONAL</b> <i>Performance far exceeds expectations. Incumbent is one of University's top performers.</i>				
	(1)	C1	B1	A1	
	<b>MEETS OR EXCEEDS EXPECTATIONS</b> <i>Performance consistently meets or exceeds high standards and expectations.</i>				
(2)	C2	B2	A2		
<b>NEEDS IMPROVEMENT OR NEW TO ROLE</b> <i>Performance often meets, but does not consistently meet position expectations—further coaching &amp; development needed.</i>					
(3)	C3	B3	A3		
	<b>MOST SUITABLE LEVEL</b> <i>Incumbent can take on more but is at the right organizational level.</i>	<b>PROMOTABLE</b> <i>Potential to do larger jobs but not promotable a full reporting level (manager's job).</i>	<b>VERY HIGH POTENTIAL</b> <i>Promotable full reporting level to current manager's (or comparable) position.</i>		
	C	B	A		
	<b>POTENTIAL</b>				
<b>UNIT NAME</b>					

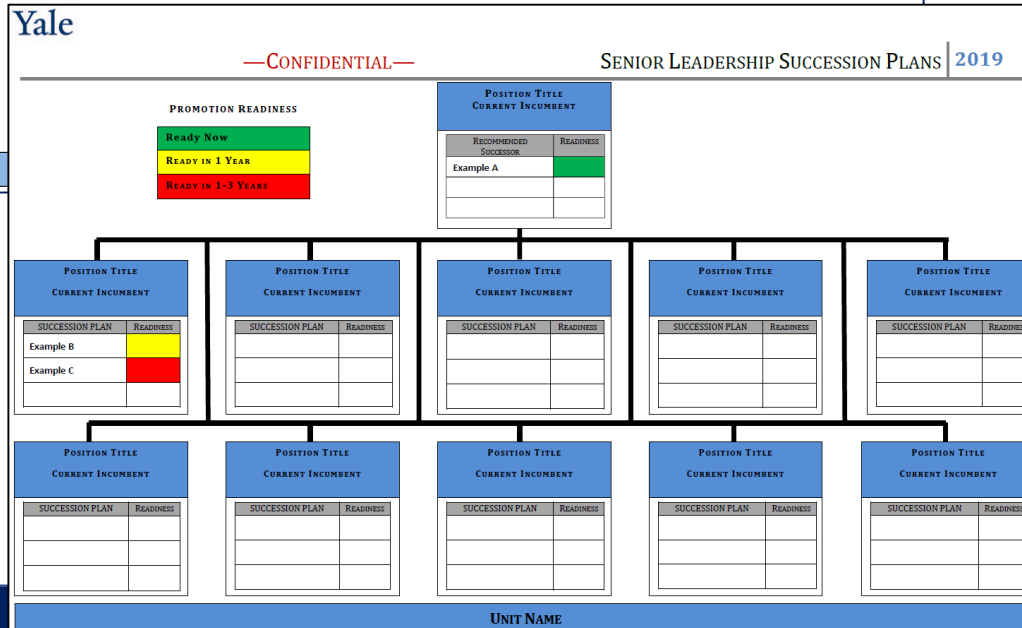
# Appendix: Talent Tools

**Yale**  
LEADERSHIP  
DEPTH

## HIGHEST POTENTIAL M&Ps 2019

NAME	TITLE/ POSITION	LEVEL	PERF./ POT.	DEGREE OF POTENTIAL (E, D, U) *	TIME IN TITLE	TIME WITH YALE	RETEN RISK (H, M, L)	PERF RATING	DIVERSITY MIN., FEM., MIN./FEM.	BEST NEXT ASSIGNMENT(S)	TIMING/ READINESS
Sarah Jones	Director, Finance	28	A1	U	5	10	M	4	FEM.	Assistant VP, Finance	Ready Now
Joe Smith	Associate Director,	26	B1	D	2	3.5	L	3	MIN.	Director, Finance (Sarah Jones role)	1 year

\*E = Expandable, D = Divisional Promotable, U = University Promotable



**Yale**  
LEADERSHIP PROFILE  
—TEMPLATE—

NAME: JANE ROBINSON  
TITLE: DIRECTOR  
HUMAN RESOURCES ADMINISTRATION



### YALE WORK HISTORY

DEPARTMENT	POSITION TITLE	START YEAR	END YEAR
Human Resources Administration	Director	2009	
Organizational Effectiveness	Associate Director	2008	2009
HR Client Support	Associate Director	2007	2008
HR Staffing	Manager	2005	2007

### PRIOR PROFESSIONAL EXPERIENCE

ORGANIZATION	POSITION TITLE	START YEAR	END YEAR
UTC - Pratt & Whitney	HR Client Manager	2003	2005
J.P. Morgan Chase	HR Client Manager	2001	2003
GE - NBC, Inc.	HR Manager	1998	2001
J.P. Morgan Chase	HR Associate	1996	1998


### EDUCATION/PROFESSIONAL CERTIFICATIONS/LICENSES

EDUCATIONAL INSTITUTE	DEGREE	GRADUATION DATE
Brooklyn Law School	Juris Doctor	2007
Cornell University	Masters in Industrial and Labor Relations	2005
SUNY at Buffalo	B.A. Communications	1996

Names are fictitious and are not Yale employees.

**Yale**

# Appendix: Workday Talent



**Miller, Sarah**  
 Director, Educational Technology  
**Organization:** Informational Technology (Smith, John)  
**University Leader:** Doe, Jane  
**Position:** Manager, IT  
**Location:** Science Tower

**Employee Type:** Staff Fixed Duration  
**Grade:** MU  
**Time in Position:** 4 year(s), 2 month(s), 1 day(s)  
**Length of Service:** 16 year(s), 8 month(s), 23 day(s)

**Performance Ratings:**

2018	2017	2016
3 - Meets/Exceeds	3 - Meets/Exceeds	3 - Meets/Exceeds

**Yale Work History**

06/01/2016-07/31/2018 | Manager, IT | Yale University  
 02/22/2015-05/30/2016 | Supervisor, IT | Yale University  
 2/02/2006-02/21/2015 | Information Technology Lead | Yale University  
 08/01/2002-02/01/2006 | Information Technology Specialist | Yale University (School of Law)

**Prior Professional Experience**

11/09/1998-7/31/2002 | Administrative Assistant, IT | Johnson Insurance

**Education**

University of Maine | Master's Degree  
 University of Maine | Bachelor's Degree | Computer Information Systems

**Certifications**

Certified Information Systems Security Professional  
 Microsoft Certified Solutions Specialist

**Awards and Activities**

No Data Updated

**Professional Affiliations**

No Data Updated

**Languages**

Italian




**Career Interests**

Expand Beyond Current Role

Names are fictitious and are not Yale employees.

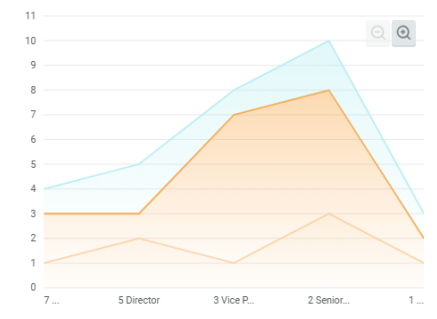
← Assess My Team's Potential  
Human Resources Actions

6 items

Employee	Potential	Retention	Loss Impact	Achievable Level
 Carmen Harris Director, Labor Relations	High Potential	Medium Risk	<input type="text" value="select one"/>	<input type="text" value="select one"/>
 Dolores Carnes Director, Payroll	High Potential	Medium Risk	<input type="text" value="select one"/>	<input type="text" value="select one"/>
 Grace Anderson Director, Training	Promotable	<input type="text" value="select one"/>	<input type="text" value="select one"/>	<input type="text" value="select one"/>

← Talent Management

**Talent Pipeline for Succession**



Count: 30

**9-Box - Performance by Potential**


Performance	Potential		
	Low	Medium	High
Exceeds	Workers: 0	Contributors: 2	Stars: 2
Meets	Solid: 1	Key Performers: 3	Emergers: 2
Below	Questionable: 2	Inconsistent: 0	Latents: 0

Not Shown: 0  
Total: 12

**My Team's Talent Summary**

Employee Name	Retention	Is High Potential	Rating - Current Normalized	Critical Job
Carmen Harris	▲	✓	★★★★☆	
Daniel Burch	▲		★★★★☆	
Dolores Carnes	▲	✓	★★★★☆	
Grace Anderson			★★★★☆	
Leslie Wong	●		★★★★☆	
Michelle Jenkins	●		★★★★☆	
Raul Torres	●		★★★★☆	

**My Team's Review Ratings Summary**



Count: 7

**Average # of Successors for Positions**

3.5

