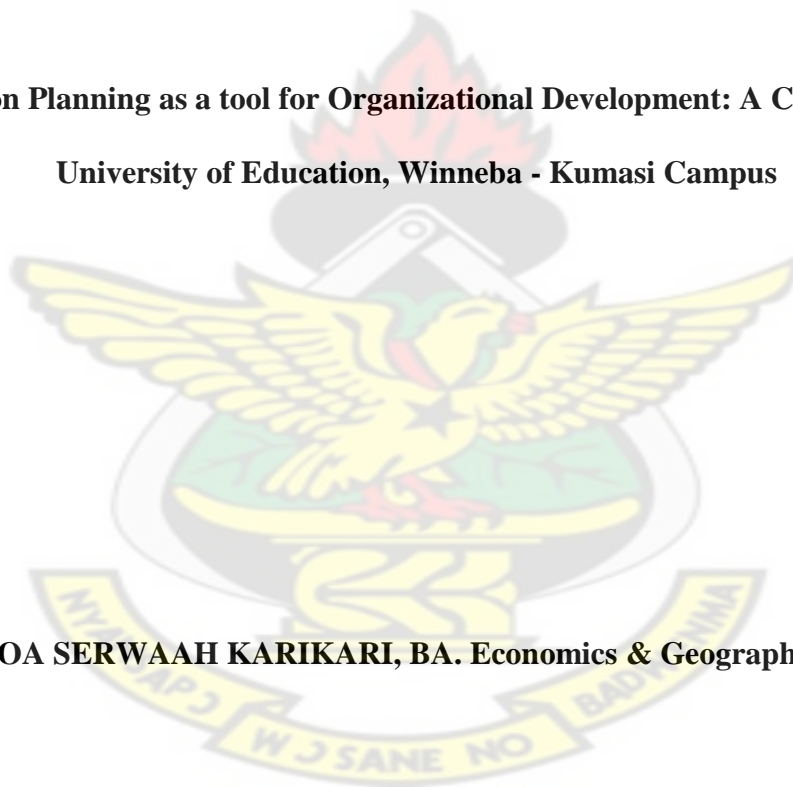


KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY
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Succession Planning as a tool for Organizational Development: A Case Study of
University of Education, Winneba - Kumasi Campus



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NOVEMBER, 2014

**SUCCESSION PLANNING AS A TOOL FOR ORGANIZATIONAL
DEVELOPMENT: A CASE STUDY OF UNIVERSITY OF EDUCATION, WINNEBA
- KUMASI CAMPUS**

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Development, Kwame Nkrumah University of Science and Technology, in partial
fulfilment of the requirements for the degree of
MASTER OF BUSINESS ADMINISTRATION (HRM OPTION)**

School of Business, KNUST

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NOVEMBER, 2014

DECLARATION

I hereby declare that this dissertation is my own work towards the fulfilment of the requirements for the award of Master in Business Administration (Human Resource Management). To the best of our knowledge, it contains no material which has been accepted for the award of any other degree of the University, except in places where references of other people's work have been cited and full acknowledgements given.

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ABSTRACT

In recent times, the growth in human resource issues and concerns has been experienced across global business circles. The absence of succession planning policy in most industries and institutions is considered one of the major causes of problems which are manifested daily in the lives of employees, affecting the level of satisfaction they derive. The study therefore seeks to explore how succession plan can be used as a Tool to develop University of Education Winneba, Kumasi campus. This study specifically explored the existence of succession planning, criterion used in selecting successors, to ascertain the functionalities of the succession planning policy and many more. The study employed descriptive survey research design and a case study of University of Education (Kumasi campus) was considered for the study. Quota sampling technique was adopted in choosing the respondents. A response rate of 86.25% was attained from a sample size of 80. Data were gathered with the aid of questionnaires and interviews. Both qualitative and quantitative techniques were adopted in analyzing the data. The study revealed that University of Education, Kumasi Campus has a succession plan policy in place to fill key roles in the institution. The University is able to achieve this mainly through training and development and job rotation programmes. It evolved that potential candidates were taken through vetting, interview and a performance assessment regime alongside considering other personality traits of the candidates. Succession planning implementation in the University is challenged mainly by lack of funding in organising training programs and as well as to motivate workers. It is recommended that the University adequately motivate workers in order to reap the full benefit of succession planning.

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DEDICATION

I dedicate this work to my husband, Kwasi Adu Boateng and lovely kids, Hartwell and Samuel.

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LIST OF ABBREVIATION

UEW – K	-	University of Education, Winneba - Kumasi
CEO	-	Chief Executive Officer
HR	-	Human Resource
OD	-	Organizational Development
ASTD	-	American Society for Training and Development
HRP	-	Human Resource Planning
SPM	-	Succession Planning Management

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CHAPTER ONE

INTRODUCTION

1.0 Background of the Study

The study of organizations and strategic behaviours is a young science and “succession” topics have only become popular in the last fifteen to twenty years due to highly public and disastrous leadership transitions at successful companies. The potential for leadership disasters appears to be inevitable for those who are unprepared. Rapid changes in operations, business processes and information based work, and portfolio diversification from mergers and acquisitions challenge the ability of top management to guide their companies and train the visionaries that will take over in the future. The transfer of “how to get work done” processes is being lost with the aging and retirement of senior management and the mobility of the younger workforce. Leadership is in crisis (Rothwell, 2001).

It is not predictable the continuity of working relationship entrepreneurs will enjoy with employees. Limitations and the unpredictable nature of employees in this case include unavoidable end-of-service (retirement), resignation, dismissal and death. A properly planned organization would not be thrown out of gear by any of these because there would be properly laid down policies in place to cater for such pitfalls and unpredictability in organizational management. Depending on how important the position is, there is a conscious and deliberate effort at getting people prepared to take up positions normally at executive level positions, so that the organization is not surprised by any of such eventualities afore-mentioned. (Rothwell, 2001).

The interest in succession planning has grown to include an understanding of “leadership” behaviours and core competencies that aspiring individuals must possess. Additionally, researchers and companies have realized that “succession” value does not

reside only for top positions, but throughout the operations of an organization. “Organizations are often faced with the need to replace key management staff on a very short notice due to rapid change of mergers, acquisitions, downsizing, rightsizing, and re-engineering. Also, there is an increasingly competitive market for skilled and talented individuals” (Orellano: 1997). Without the development of leadership throughout a company, not just at its helm, the implementation of strategy for survival and advantage is threatened.

At the heart of succession planning is the search for internal regulatory mechanisms to identify recruited employees who already are abreast with the organizational culture. Pursuing succession planning ensures that employees are constantly trained and developed to fill any future vacancies. As the organization expands, loss of key employees is unavoidable. That, however, provides promotional opportunities, and increases sales. Succession planning guarantees employees who are readily equipped, waiting to fill vacant and demanding roles. Succession planning increases the availability of experienced and capable employees that are prepared to assume vacant roles. Effective succession or talent-pool management concerns itself with building a series of feeder groups up and down the entire leadership pipeline or progression (Charm et al. 2001).

Fundamental to the succession-management process is an underlying philosophy that argues that, top talent in the corporation must be managed for the greater good of the enterprise. Merck (2013) and other companies argue that a "talent mind-set" must be part of the leadership culture for these practices to be effective.

1.1 Problem Statement

The University of Education, Winneba (UEW) is a tertiary institution whose core mandate is “to train competent professional teachers for all levels University of Education

as well as conduct research, disseminate knowledge and contribute to educational policy and development”.

At the fore-front to deliver the core business of such an institution is the teaching staffs which are mostly made up of Second Degree holders, PhD holders and Professors. On the other side of the human resource requirement is the auxiliary staffs who are also referred to as the Administrative Staff. They include the Registrars, Deans of Departments, Faculty Officers, Senior Administrative Officers and Office Clerks. Although Deans and Head of Departments also work as lecturers, they administer the Faculties and Departments respectively, so they play a dual role, both as lecturers and as administrators.

The current process by which UEW-K identifies internal talent to fill key positions is largely adhoc and subjective, and does not adequately support core organizational needs. The university has a study leave scholarship programme which is aimed at helping staff to develop and resource themselves, but since there is no succession plan in place to identify which individual accesses the scholarship programme before the other, individuals with less technical abilities or experience tend to be promoted to occupy key vacant positions. The difficulty in accessing the study leave scholarship programme propels individuals who can sponsor themselves to go for higher education which would brighten their chances of being promoted even though they might not have worked the number of years required before a worker is granted study leave.

Furthermore, there is no effective succession planning strategy, coupled with solid career development programs in place in the Faculties and Departments that determines or checks whether the right people, are moving at the right pace into the right jobs at the right time. An effective succession planning strategy, coupled with solid career development programs, will help paint a more promising future for employees. The Human Resource Department needed to identify and develop a sustainable succession planning process based

on current and future needs of the organization is fraught with technical problems. The Human Resource Department seems not to be well resourced technically to understand the components and design pieces required for such a program, and how to answer the challenges of industry and functional needs reflected in the company's varied services portfolio.

1.2 Objectives of the Study

The objectives of the thesis provide a sense of direction and focus to the researcher in terms of what the researcher intends to achieve. These objectives are therefore broken down into 'General objective' and 'Specific objective'.

1.2.1 General Objective

The general objective of the study is to explore how succession plan can be used as a Tool to develop UEW-K Campus with the main aim of establishing the extent to which the Organization is developing its human resource for the growth of the Organization into the future.

1.2.2 Specific Objectives

The following are the key specific objectives of the research.

- i. To identify whether a succession plan policy exists in the UEW-K.
- ii. To determine the criterion used in the selection of a successor at UEW-K.
- iii. To ascertain the functionality of the succession plan policy of UEW-K.
- iv. To identify whether there are challenges associated with the use of the Succession Plan Strategy in UEW-K.
- v. To suggest how succession planning practices can be implemented in UEW-K.

1.3 Research Questions

- i. Is there a succession plan policy in UEW-K?
- ii. What criterion is used in the selection of a successor at UEW-K?
- iii. To what extent do succession plan policies function in UEW-K?
- iv. What challenges is the UEW-K likely to face in their attempt to use succession plan policies?
- v. How can succession plan policies be implemented in UEW-K.

1.4 Significance of the Study

The importance associated with the use of succession plan cannot be over-emphasized in organizations. Most organizations are chalking successes as a result of an effective succession planning policy. The results of the thesis will serve as an important document for the management of the UEW-K to evaluate the extent to which succession plan policy can be adopted as a practice.

Also, the study intends to assess whether a succession plan policy adopted for managing the UEW-K would minimize costs and maximize revenue and safety. In fact, the price to pay for not adopting proper succession plan policy cannot be exaggerated. For this reason, the study would be of great importance to both staff and the administration in particular and the general public.

The study will also help reveal the problems staffs have as regards effective succession planning of UEW-K; this will ensure rapid growth and development. It will also help identify the need to use appropriate succession plan system to meet the operations and requirement of UEW-K. Lastly, it will contribute to existing body of knowledge to help or guide researchers in the adoption of appropriate theoretical framework in conducting research on succession planning since it can be replicated.

1.5 Brief Methodology

The population for the study is the administrative staff of the UEW-K campus. The study employed the use of the survey method. Both primary and secondary data were collected through questionnaire administration and unstructured interviews. The collected data were analysed using the Statistical Package for Social Science (SPSS) software. Simple random sampling method and purposive sampling were used to select staff from the various departments, sections and units of the campus.

1.6 Scope of the Study

The study was restricted to the UEW-K. It could have been extended to the other satellite campuses of the University but due to financial and time constraints the researcher could not do that. It therefore limited the study to only departments/sections/units at UEW-K. The conclusions drawn from the thesis cannot be generalized to other Universities in the country.

1.7 Limitations of the study

The study can be said to have encountered various limitations during the research process. Limited time frame within which the study was conducted did not allow for the researcher to conduct a comparative study of various Universities. Moreover, the researcher was limited by inadequate resources since the study was basically funded by the researcher. Fundamentally, lack of finances limited the scope of the study to one satellite campus of the University of Education, Winneba instead of a comprehensive study of Succession planning policies in the four satellite campuses which would have addressed the challenges facing the university as a whole.

1.8 Organization of the Study

Basically the research is conducted based on chapters, with each chapter addressing a particular part of the research. In all, the research was conducted in five chapters. Chapter one constituted the introductory chapter to the whole study and as such outlined the background of the study, the research problem, the objectives of the study, the research questions, the significance, brief methodology, the scope of the study, the limitations of the study and the organization of the study. Chapter two of the research reviewed the literature available on succession planning and how it can be used as a tool for organizational development. Journals and books on the subject were all reviewed with the sole aim of assessing the current trend in succession planning. Chapter three of the study outlined the method employed. The research process, technique and tools deployed by the researcher to achieve the objective of the study. The chapter also outlined the research design, sources of data, the sample population and the sample technique used in the conduct of the research. Chapter four of the research presents the analysis of the data gathered by the researcher from the field. Statistical techniques such as tables and graphs were used to present the data for easy comprehension. The final chapter focused on the discussion aspect of the research and drawing of conclusion and recommendations.

CHAPTER TWO

LITERATURE REVIEW

2.0 Introduction

The chapter reviews literature on succession planning and its impact on the development of the organization. Management of Human Resource Development, until now, has been mainly supportive, but in the near future, Human Resource Development will be seen as a major driver of change by most progressive organizations (Beddoues1994). The intense competition in the corporate world categorically demands the need for development (Jepson, 2009), because the sudden changes in the work force organizations to invest in development and training actions. Human Resource Development actions are designed to prepare workforce in the future, and to up to date employees' knowledge, skills and abilities (Brooks and Nafukho, 2006).

Human Resource planning (HRP) is perhaps the most vital business practice in an organization or business. The set of processes and initiatives pertaining to recruiting, selecting and hiring of new candidates, managing of employees, analysing current and future workforce requirements and training the workforce and new inductees are all integral to the human resource planning process. Strategic and focused HR planning help organizations to handle long-term human resource needs address organizational goals and achieve business-defined goals. (Brooks and Nafukho, 2006).

American Society for Training and Development (ASTD) defines development as a process for increasing HR quality (Wan, 2007). Also, individual development can be considered as growth of a person's ability by conscious or unconscious learning (Talbot, 1997).

Organizational Development (OD) aims at improving the results at the organization, group and individual levels. Robbins (2003), states that OD should increase performance at

organizational and individual levels. “OD is a term used to encompass a collection of planned-change interventions built on humanistic-democratic values that seek to improve organizational effectiveness and employee well-being” (p. 566).

French and Bell (1999), provide a more comprehensive definition that includes the role of top management, and the use of applied behavioural science methodologies and tools to improve the organization’s ability to visioning, empowering, learning and solving problems. “Organizational development is a long-term effort, led and supported by top management, to improve an organization’s visioning, empowerment, learning, and problem-solving processes, through an ongoing, collaborative management of organizational culture with special emphasis on the culture of intact work teams and other team configurations – using the consultant-facilitator role, theory and technology of applied behavioural science, including action research” (p. 25-26).” Organizational development (OD) is therefore a process through which an organization develops its internal capacity. It efficiently and effectively provides its mission work and sustains itself over the long term.

The concept of organizational development which highlights the explicit connection between Organizational development and Management development tend to be more practical, emphasizing a repertoire of skills even though there are considerable disagreements about what constitutes Management development. Mighty and Ashton (2003) discover leadership development effectiveness from a viewpoint of educated people. They believe this plan is influenced on them and on their organization, positively. Particularly, they realize its effects on their career improvement and professional development.

2.1 Perspectives on succession planning

According to Goldsmith (2007), succession planning is a process whereby an organization ensures that employees are recruited and developed to fill each key role within

the company. Through the succession planning process, you recruit superior employees, develop their knowledge, skills, and abilities, and prepare them for advancement or promotion into more challenging roles. He reiterated that actively pursuing succession planning ensures that employees are constantly developed to fill each needed role. As your organization expands, loses key employees, provides promotional opportunities, and increases sales, your succession planning guarantees that you have employees on hand ready and waiting to fill new roles.

Effective, proactive succession planning leaves your organization well prepared for expansion, the loss of key employees, filling a new needed job, employee promotions, and organizational redesign for opportunities. Successful succession planning builds bench strength. Collins (2009) defines succession planning as “a process that can provide endless leadership transition across the organization”. Strategic, systematic and deliberate effort to develop competencies in potential leaders through proposed learning experiences such as targeted rotations and educational training in order to fill high-level positions without favouritism (Tropiano, 2004).

In the words of Charan et al (2001) succession planning is perpetuating the enterprise by filling the pipeline with high performing people to assure that every leadership level has an abundance of these performers to draw from, both now and in the future. From this perspective, succession planning is seen as management pipeline that accelerates management performance over a period of time. Charan’s definition looks into the future and this probably influences Scharmer’s (2007) assertion that succession planning is co-creating a transformational stage during which management explores the future. Succession planning is an organized process comprising the identification and preparation of potential successor to assume a new role (Garman and Glawe, 2004). However, this definition is short and compact, but it is not futuristic and lack strength when compared with Charan’s

definition. The Journal for Quality and Participation (2005) reported that 67% of companies do not have a succession plan and 45% have no executive development plan in place and it was argued that the crisis could be alleviated by implementing succession training programmes (Khumalo and Harris, 2008).

Santorin (2004) argues further that “Human Resource Planning (HRP) picks up the issues that are at the heart of the business, such as acquisition, decentralisation, empowerment, internationalisation or technology, and investigates their human resource management implications. Santorin (2004) maintained that HRP therefore requires a strategic approach to the recruitment, development, management and motivation of people in the organisation, in the context of a pressing business issue. It is a systematic process of linking human resource practices with business demands in order to improve an organisation’s abilities. It establishes the plans, courses of action and targets for the range of policies needed to enable the organisation to influence the management of its human resources.

Succession Planning is commonly known as a process of identifying and developing internal employees with the potential for filling key positions in the future. This type of process is designed to increase the availability of internal employees who will be prepared to assume key roles, projects, and organizational needs in the future. The concept of succession planning has been defined as “a deliberate and systematic effort by an organization to capital for the future, and encourage individual advancement” (Rothwell, 2001, p. 29). There are several views that endorse the value of succession planning in today’s modern organization. Senior leaders are keenly aware that “the continued survival of organization depends on having the right leadership continuity in key positions, retain and develop intellectual and knowledge people in the right places at the right time” (Rothwell, 2001, p. 8). The impact on organizational continuity may be devastating if a

successor was suddenly required and none had been identified. A succession planning process is most effective when it is a “systematic effort that is deliberately planned and is driven by a written, organization-wide statement of purpose and a policy” (Rothwell, 2001, p. 23).

According to Rothwell (2001), “Succession Planning is perhaps best understood as any effort designed to ensure the continued effective performance of an organization, division, department, or work group by making provision for the development, replacement, and strategic application of key people over time.”

2.2 Five Key Elements of the Succession Planning Process

Succession planning is not about replacing an existing employee. The purpose is to prepare the organization and develop its "bench strength" for future organizational requirements. There are five elements to managing a succession process.

2.2.1 Identifying key positions for which a succession plan is necessary

According to Drucker (2002), an organization may have a couple of key positions or it may have many. The chief staff officer role is definitely one to be included in the succession plan. When deciding which others to include, consider the following:

- i. Is this a key role critical to the success of the organization, and if the person in this role suddenly leaves or is unavailable and the position becomes vacant, will the organization be at risk? (Drucker (2002))
- ii. Is this move a logical next step? Most organizations will focus on senior managers or supervisors as the second level for succession management (after the CEO, which is the first level). (Drucker (2002))

iii. Does the person currently occupying this position hold a good deal of knowledge about processes or other institutional memory that will essentially be lost when the incumbent departs the job? For example, the job procedures and outcomes are not fully documented. (Drucker (2002))

ii. Identifying the successor or successors

The organization may have more than one employee who has demonstrated the knowledge, skills, potential, and the interest to develop to a level of additional responsibility. The commitment to the process, and abilities, of the succession candidate are integral to identifying who to develop. (Drucker (2002))

iii. Identifying job requirements

The task is to understand what requirements will exist within one or more key positions in the future. This creates an inventory of skills and attributes that will serve as a checklist to audit what a succession candidate presently offers and needs to develop. (Drucker (2002))

iv. Building competencies

The succession planning process must look at building the competencies and skills for current and future organizational needs. It has been correctly observed that succession planning is about "what is next?" not just "who is next?" There will be one set of competencies (i.e. knowledge, skills, and abilities) for each position. However, in creating a development plan to build the competencies of succession candidates to be ready for the intended future role, there will be different development plans for each succession candidate. (Drucker (2002))

v. Assessing progress

As the father of modern management, Drucker (2002), correctly observed "what gets measured gets done." It is essential that the organization that creates a succession plan,

and invests in the development of employees, assesses its progress toward the intended outcome.

2.3 Planning of a Succession Plan

Organizational leaders who are involved in succession planning are the Board of Directors, the chief staff officer and, through delegation, all other employees who manage staff. The Board is involved in that it must define the corporate values and maintain a culture that ensures succession planning takes place. The Board must hold the chief staff officer accountable for succession planning. The Board must also commit the necessary resources. The chief staff officer must be the leader who provides the information for staff to develop employees, and ensures succession plans are created, monitored, evaluated, and adapted so that the organization is able to track that its succession planning investment is paying dividends. Other supervisors are involved as they manage their best people and embrace a disciplined, purposeful approach of coaching, mentoring, guiding and developing their staff to broaden their skills through various means, one of which will be training.

2.4 Developing Employees for Succession Planning

To develop the employees you need for your succession plan, you use such practices as lateral moves, assignment to special projects, team leadership roles, and both internal and external training and development opportunities.

Gross, (1968) reckoned that through your succession planning process, you also retain superior employees because they appreciate the time, attention, and development that you are investing in them. Hazarika, (2009) indicated that Employees are motivated and engaged when they can see a career path for their continued growth and development. To

effectively do succession planning in your organization, you must identify the organization's long term goals. You must hire superior staff.

You need to identify and understand the developmental needs of your employees. You must ensure that all key employees understand their career paths and the roles they are being developed to fill. You need to focus resources on key employee retention. You need to be aware of employment trends in your area to know the roles you will have a difficult time filling externally. If your CEO has a sudden heart attack, do you know who will take the chief executive's place? What if your top executives are wooed away to another firm? Do you have the next generation of leaders ready to fill those roles? If not, you may end up with an empty C-suite or worse, under-qualified personnel moving into leadership roles because there is no one better to take over.

The only way to reduce the effect of lost leadership is through a strong succession planning program that identifies and fosters the next generation of leaders through mentoring, training and stretch assignments, so they are ready to take the helm when the time comes. Research supports sound succession planning. A study some years ago from consulting firm Booz Allen Hamilton concluded that "over their entire tenures, CEOs appointed from the inside tend to outperform outsiders" when it comes to returns to shareholders. Yet many organizations struggle to take their succession planning programs beyond a static list of names slotted for a few top spots.

"Every company has a succession planning document," In that regard Butterfield, (2008) maintained that such succession planning offers human resources leaders a framework and advice on how to create a robust succession planning program that aligns talent management with the vision of the company, ensures employees have development opportunities to hone their leadership skills, and guarantees that the organisation has a leadership plan in place for success in the future.

Skinner (2012), former CEO of McDonald's Corp., was known to tell managers: "Give me the names of two people who could succeed you." It was just one way the CEO continued the culture of succession planning at McDonald's.

It was an understandable priority considering Skinner only landed in the role in 2005 after two other CEO's died suddenly over the course of just two years. And when he retired in 2012, Skinner was confident that his successor, Chief Operating Officer Don Thompson, was ready to take over, because he spent much of his seven years mentoring him.

"I basically felt the responsibility to the Board of Directors to be sure I provided them with someone who could run the company when I'm gone," Skinner told *Fortune* 2011 before his retirement. "Until I was capable of doing that, I would not have left." This kind of leadership level commitment to training and mentoring the next generation is a vital component of succession planning. And while most executives understand the importance of succession planning efforts, few of them believe their organization excels in this category.

2.5 Existence of a Succession planning policy

The researcher treated the existence of succession planning policy on the basis of various developed models. The practices of these models in various organizations confirm the realities of succession planning policies.

Santorin (2004, p.158) came up with the first succession model, which is referred to as "Relay Succession Planning". In this model, he advocated that current Chief Executive Officer (CEO) of an organization should pass the baton to a successor over a long period of time. The impact of companies that practiced Santorin's model were evaluated and compared with organizations that do not have such models in place. It was revealed that organizations that practice relay succession plans performed better because the successors

were exposed to corporate challenges and were able to deal with such challenges in the pre-succession phase.

Moreover, organizations that implemented relay succession model performed better in the post-succession phase, because successors were tried and tested, which implies that experience would be speaking for them. Scharmer (2007) also came up with the second succession model which referred to as “Scharmer’s Theory U Model”. He argues that the top management team should embrace and act in order to implement succession planning. In the first instance, this model views succession planning as beginning from the immediate future and supports a concept of a U process of five movements that can make change possible (Scharmer, 2007). These movements are;

- i. Co-initiating – in the words of Scharmer, at this stage, organization establishes a common purpose with all stakeholders about a future event.
- ii. Co-sensing – is the second movement stage in which an organization sees the need at hand collectively across boundaries. Also, at the stage, new ideas and innovation occur through collective input.
- iii. The third stage is Presencing, whereby the leadership of organization begins to see the future they envisage (Scharmer, 2007). This futuristic plan establishes a foundation for change, thereby spurs an organization to an expected end. Further, at this stage, it is observed that the leadership let go off unresolved past issues and forges ahead to a more realistic future.
- iv. The fourth in this model is ‘co-creating’– Scharmer (2007) argues that at this stage, leadership of organization explores the future and prototypes what the future might look like. He goes further to suggest that leadership should make succession planning a long-term concept rather than working on organizational immediate requirements. Kartz (2006) argues further that there is need to assess company’

strategy and policy that highlight the required qualifications of the successor in order to have a sustainable and dynamic succession plan in place.

- v. The Scharmer's fifth movement in Theory U stage 'co-evolving' can help an organization to embrace change and implement succession planning strategies in the context of an emerging future (Scharmer, 2007).
- vi. The existence of these models according to Santorin and Scharmer have been tried and tested in various companies and have confirmed the realities of the existence of succession planning policies.

2.6 Criterion for selecting successors

Successor selection criteria are a defined set of attributes to search for in potential successors. Once a position vacates, the selection process begins. The recruiter has certain criteria to look for in a candidate to qualify them for the vacated position. In a succession plan, the criteria for each position are defined and the talent pool can be searched for the best candidate for the position. In the event that there is no succession plan, the process is much more involved in defining the position and duties required. Once the position is defined, the skills needed to fill that are evaluated and the hiring process can begin. (Sinkin and Putney, 2013)

Practically, as soon as a small or mid-sized business is successful enough to have a future, the business owners needs to start thinking about developing a plan for who will succeed them. Wasserman (2010) argues that in a public corporation, the board of directors has a fiduciary duty to the shareholders to develop and implement a succession plan; as well as in a privately-held company, the business owner has the responsibility to think beyond him/herself and provide a succession plan for the benefit of employees, family, customers, and supplies. She further explained that succession planning may encompass who will take

over the event of an untimely death or disability, the loss of a key employee, or when the owner no longer wants to be in charge.

Wasserman (2010) identified the following as the criteria for selecting successors:

- i. Developing your succession strategy
- ii. Developing your succession plan and
- iii. Helping ensure succession is successful.

Sinkin et al (2013) believes that selecting the successor for a retiring partner in a firm can take on many forms. The decision can be made by an individual or by the firm leadership. It can involve the transfer of clients, ownership, and/or responsibilities internally or the sale of ownership to an outside entity. Regardless of the scenario, a number of factors should be considered in evaluating potential successors for a retiring partner.

Sinkin and Putney (2013) in their article identified some elements they refer to as the four C's to be the criterion for selecting successors. They include:

1. **Chemistry:** A good rule of thumb when choosing a successor according Sinkin et al (2013) is to not pick anyone whom the partners would not want to eat lunch with regularly. This is especially true if the successor is external, for three main reasons which include partner-loyal clients, staff and working relationship.
2. **Capacity:** How many chargeable and non-chargeable hours does the retiring partner or owner devote to the firm? Is all the time he or she invests required to be replaced by partner-level professionals, or can some of that time be delegated to lower-level staff? The candidate must exhibit that he or she has the capacity to fill the vacuum created by the departing partner

3. **Culture:** This term is used a lot but remains a vague concept for many. Think of culture in three ways:

- i. What's it like to work here?
- ii. What's it like to be a client here? and
- iii. What's it like to be a partner here?

According to Sinkin et al. (2013) the partners must consider whether this successor can cut the mustard in all three areas.

4. **Continuity:** Most firms have their client base because their clients are comfortable with their people and approach to service. Clients tend to focus on fees, how services are provided, the level of hand-holding, and specialties, to name a few. In any firm, the successor should be able to continue the works or even make it better so that the absence of the retired employee will not be felt (Sinkin et al 2013).

2.7 Challenges to succession planning

According to Hirsh (2000) the following are some Challenges to succession planning:

- i. **Size of the organization:** some nonprofits have so few positions that they may not have the ability to offer opportunities for advancement; employees with the potential and the desire to advance their careers may move to larger organizations as a result
- ii. **Lack of financial resources:** employees may leave for better salaries and benefits offered in other workplaces
- iii. **The nature of funding:** as more and more organizations depend on project funding as opposed to core funding, there are fewer core staff members available to take up positions in the organizations

- iv. Project staff come and go and may not be seen to be part of the talent pool available to organizations
- v. In some cases, senior leaders are staying on in their positions, despite the fact that the skills needed for the job may have changed or they are no longer making a meaningful and productive contribution to the organization
- vi. Indiscriminate inclusion of employees in the succession plan including those who are disinterested, unmotivated or lack capacity to advance
- vii. Inadequate training and development resulting in an employee who is not prepared for a promotion
- viii. A plan that does not promote people in a timely fashion, leading potential successors to leave the organization to seek new opportunities
- ix. Poor communication resulting in confusion and turmoil within the organization as staff speculate about what the succession plan really is
- x. Potential candidates for promotion cannot be guaranteed that they will be promoted; a lot depends on timing and need of the organization

2.8 How to improve succession plan

There's no excuse for the lack of an effective succession management strategy; the risk of ignoring it is far too high. According to Bharucha (2013), six ways of improving succession planning were identified which include:

Multi-dimensional approach to attrition risk: Attrition risk involves four key categories: vacancy risk, readiness risk, transition risk and portfolio risk. Each risk type requires a different talent strategy. These four categories ensure that the succession plan will be successfully yield fruits (Bharucha 2013).

Identification of future talent needs: Most departments do not look further than the most senior-level executives when drafting succession plans. Companies should partner with leaders to surface all positions critical to the organization's success. Leading companies proactively address vacancy risk by prioritizing hard-to-fill positions (Bharucha 2013),

Assessment of leaders for future role requirements: Leading companies do not just evaluate present performance when identifying and selecting potential successors; rather they look at the capability and aspiration to succeed in a future role. The best-in-class companies go beyond current role requirements so that they focus not only on the short-term capability requirements of leaders, but also building a conduit of successors that possess the capabilities that can help meet changing and more complex business needs (Bharucha 2013),

'Develop' succession candidates, not just hire them: The most effective succession plans prioritize development of critical leadership capabilities proactively, rather than simply replacing individuals (Bharucha 2013).

Overinvesting in transitioning the successor: A transitioning leader faces a number of challenges when moving into a new role: understanding and adapting to the way the organization does business, identifying and forming connections with key stakeholders, clarifying expectations for the role, defining strategic priorities, and executing transition initiatives. Leading companies get ahead of potential teething-troubles: they assign ownership of transition activities to other senior leaders to help the successor build a network early-on (Barouche 2013).

Measuring the success of succession management strategies against business performance: Most organizations struggle to measure the impact of their succession management strategies due to high numbers of succession candidates and roles, as well as increasingly complex leadership needs. As a result, measurement often focuses on metrics such as time-to-fill for critical roles and number of identified successors. Finance Talent Leaders focus on the quality of succession management by tracking metrics related to the health of the leadership bench and alignment to current and future business needs (Bharucha 2013).

2.9 The Value of Succession Planning

Henri Fayol (1841-1925), French pioneer of management history, was among the first to recognize and document the universal organizational need for succession planning (Rothwell, 2001). However, effective leaders down through the centuries have developed and implemented succession plans for their organizations. Consider the scriptural picture of Joshua succeeding the revered Moses or Elisha who followed the mighty Elijah. These examples show that “spiritual leaders are always investing in the next generation of leaders” (Blackaby and Blackaby, 2001, p. 278). “The Bible reveals God’s pattern of working through successive generations. God gave his people specific instructions concerning how they were to train and prepare the emerging generation of leaders (Deut. 6:6-9; 20-25)” (p. 278).

There are many leaders today who give little or no “thought to the conclusion of their leadership and so they do little to prepare for it. However, when suddenly faced with leaving their office, they realize that much of their work will have been in vain unless there is a capable successor” (p. 279).

Great Britain's former Prime Minister, Margaret Thatcher, came face to face with this reality when she was forced from office. “When it became clear she must relinquish her

office, she observed: “But there was one more duty I had to perform, and that was to ensure that John Major was my successor. I wanted – perhaps I needed – to believe that he was the man to secure and safeguard my legacy and to take our policies forward” (Blackaby and Blackaby, 2001, p. 279).

Why is this idea of succession planning so important? According to Bill George (2003), former CEO of Medtronic, “One of the most important things leaders do is to prepare for their own succession” (p.187). Marketing Week magazine (2005) said, “Choosing a successor-in-chief is one of the most important decisions made by any organization, whether it is the cardinals in Rome selecting the next Pope or the United Kingdom wondering if the anointed successor is up to the job of King” (p. 24).

Distinguished economist Wharton (2005) said, “One of the greatest derelictions of leaders is their failure to prepare or nurture their successors” (p. 270). The concept of succession planning has been defined as “a deliberate and systematic effort by an organization to ensure leadership continuity in key positions, retain and develop intellectual and knowledge capital for the future, and encourage individual advancement” (Rothwell, 2001, p. 29).

There are several views that endorse the value of succession planning in today’s modern organization. Senior leaders are keenly aware that “the continued survival of the organization depends on having the right people in the right places at the right time” (Rothwell, 2001, p. 8). The impact on organizational continuity would be devastating if a successor was suddenly required and none had been identified.

A succession planning process is most effective when it is a “systematic effort that is deliberately planned and is driven by a written, organization-wide statement of purpose and a policy” (Rothwell, 2001, p. 23). The basic tenets of this succession planning process would articulate a foundation for:

- i. Communicating career paths to each individual
- ii. Establishing development and training plans
- iii. Establishing career paths and individual job moves
- iv. Communicating upward and laterally concerning the management organization
- v. Creating a more comprehensive human resources planning system (Rothwell, 2001, p. 9)

Nearly “two-thirds of CEOs said they were likely to step down from their positions in the next 10 years” (Jusko, 2005). Of those CEO’s who will step down over the next decade, thirty-nine percent “said they have a likely successor in mind, with 45% having identified no successor at all” (Jusko, 2005). The latest Workplace Forecast from the Society for Human Resources Management (SHRM) indicates “that few organizations have executive succession plans” (Schramm, 2005). These startling facts place a new sense of value and importance on the succession planning process. The process of succession planning should support and complement the strategic planning and strategic vision of an organization and “provide an essential starting point for leadership and employee development programs” (Rothwell, 2001, p. xxi). Without this strategic focus, “organizations will have difficulty maintaining leadership continuity or identifying appropriate leaders when a change in business strategy is necessary” (Rothwell, p. xxi). This is important to remember because “the succession process and attendant politics tend to be most visible at the top of the organization” (Tichy and Devanna, 1990, p. 104).

While many Fortune 500 corporations have implemented a succession planning process, “small and medium-sized businesses also need them. In fact, inadequate succession plans are a common cause of small business failure as founding entrepreneurs fade from the scene, leaving no one to continue their legacy” (Rothwell, 2001, p. xxi).

As organizations today face the ever-increasing issues related to growth, globalization and competition, succession planning is needed to cultivate the right talent in order to meet these daunting challenges. Senior leadership should be strategically focused in the development of future leaders, “combining proactive assignments monitoring, rigorous success planning, and experiential educational programs [that will] help make companies more competitive, with a talented pipeline of leaders ready to take charge” (Mercer, 2005). Today’s business and “the environment in which [it] operates are never static” (Alexander, 2005).

The “incessant wave of mergers and consolidations” (Pfeffer, 1998, p. 3) along with “other cost containment efforts have led to reductions in the middle management ranks, a traditional training ground and source of top management talent” (Rothwell, 2001, p. 8). Effective succession planning can be a valuable resource to identify “promising candidates early and to actively cultivate their development” (Rothwell, p. 8).

In conclusion, organizations sponsor systematic succession planning programs for various reasons. The three most important are:

- i. To provide increased opportunities for "high potential" workers.
- ii. To identify "replacement needs" as a means of targeting necessary training, employee education, and employee development.
- iii. To increase the talent pool of promotable employees. (Rothwell, 2001, p. 30)

With the resource of middle management talent depleting and two-thirds of CEOs stepping down within the next decade, it is incumbent on senior leaders to invest the time, energy and resources required to replenish the leadership pipeline with qualified candidates who can successfully lead their organization into the dynamic world of tomorrow.

2.10 Problems with Succession Planning

Succession planning, when utilized correctly, will improve the resourcefulness and steadfastness of a business. Greer, Jackson and Fiorito, (1989) affirmed that one of the major challenges of succession planning implementation was having a lot of disinterested workers in the organization as a result of lack of motivation. This was further partially corroborated by the works of Harter, (2008). However, like many plans, there will be unforeseen challenges and problems along the way. Knowing the problems that can occur with succession planning and actively looking for their signs will help you keep your business functioning effectively. Harter, (2008) outlined a guideline of dealing with problems with succession planning in organizations.

1. The most common problems in implementing a succession plan are (1) lack of a financial resources; (2) inability to motivate and retain key employees; (3) Size of the organization; (4) unfocused roles and responsibilities across a career span; (5) limited information about employees; (6) lack of company vision and failure to address future needs; (7) failure to assess all components of an active succession plan periodically.
2. Significance: If a problem is encountered in a succession plan, measures should be taken to address it. Left to continue, a problem can have a negative impact on overall company morale, reduce productivity and reduce consumer confidence in the business. In severe cases, a problem can result in bankruptcy of the business.
3. Identification: For best results, employees, development plans and key positions should be assessed biannually, if possible. Supervisors and managers should have input as to how the candidate is progressing, but a human resources professional is the best person to oversee the overall health of the succession program. If the succession plan is within a

family-run business, an uninvolved party, such as an attorney, may be the most objective in spotting problems.

4. Prevention/Solution: There are a number of solutions that you can apply to problems that show up during succession plan implementation. If you find you only have one obvious successor for a position, look further down the career ladder for potential future leaders, or actively seek outside talent. While not all potential candidates can fill the position, they can provide the best support for the incumbent when needed. Singer, Goodrich and Goldberg, (2004) suggested that if people keep leaving the organization, find out what will motivate them to stay before implementing a succession plan. If you are unable to focus on the core responsibilities of a key position, look at your business plan to redefine the role; make sure this position is not supporting business functions that are no longer necessary.

Make sure you are thinking of where the company is heading and what skills will be needed then as opposed to now. Failing to train employees to handle future needs will limit company growth. Finally, make sure to assess all aspects of the succession plan, including identification of the key positions, employee assessment and development opportunities.

5. Considerations: Planning and assessment will help you choose the best solutions for your business, but there are outside forces that will influence how successful your succession plan is. Realize that although a plan may fail, the overall business culture can benefit if you adopt the principles of succession planning

2.11 Theoretical Framework

The field of succession planning and management lacks one coherent theoretical and methodological approach (Giambatista, et al. 2005). In fact, according to Giambatista et al. (2005) different studies that examined relationships of various succession factors have yielded mixed results. Nevertheless, some theoretical concepts have been advanced by different authors on how succession planning and management efforts can be understood, established, and evaluated in the organizations. For example, Rothwell (2005 p.79) posits that an “effective succession planning and management effort is that which is capable of building talent from within and ensures leadership continuity”. He contends that it is imperative for organizations to establish formalized succession planning as part of organizational strategic and management tools. Based on his research, Rothwell suggests that systemic succession planning and management can be attained by following his seven-pointed star model that consists of the following steps: (1) making commitment towards succession planning and management, (2) assessing present work and people requirements, (3) appraising individual performance, (4) assessing future work and people requirements, (5) assessing future individual potential, (6) closing the development gap, and (7) evaluating the subsequent succession development program

Another way of understanding succession planning and management is by using the concepts of Gandossy and Verma (2006). They identified five cornerstones for executing succession management which include: (1) alignment of current and future staffing needs, (2) commitment of leaders in being accountable to the identification and development of talents, (3) assessment of critical positions based on long term organizational perspectives resulting in the identification of a pool of talents, (4) long term development of leadership potential candidates using various programs, and (5) measurement of effectiveness of development programs as well as tracking the achievement of the individual candidates.

Moreover, according to the model of Rubin al. (2007), there are six basic steps of succession planning: (1) establish skills and competencies needed at each leadership level, (2) identify a pool of candidates for various leadership positions, (3) assess candidates for respective leadership positions, (4) implement individual development plans using various methods such as coaching, mentoring, formal training, on the job training, special assignments, leadership workshops, and so forth, (5) select leaders as positions become available, and (6) implement transition between the predecessor and the successor.

Furthermore, according to Harrison al. (2006), effective succession planning exhibits the following features: (1) identification of core leadership competencies, (2) matching individual behaviors with organizational expectations, (3) assessment of the readiness level of candidates, (4) employees' willingness to carry responsibilities in the process, and (5) evaluation of the succession planning progress. Other features include: (6) flexibility of candidates' development from early stages, (7) creating continuous leadership development and succession plans, (8) passing both the authority and knowledge to successors and (9) avoiding practices that can create tensions among candidates (Murphy, 2006).

In addition, several authors suggest that succession planning, especially for large organizations, cannot effectively operate in isolation. It has to be integrated into the overall organizational strategy, strategic plan, or culture (Harmon, 2007; Rothwell, 2005; Stephens, 2006). For that matter, succession planning must always stick to an organization's definition of the critical leadership capability as well as be aligned to the necessary organizational behaviors (Harrison et al.2006). Since most organizations strive to be perpetual, succession planning should be an ongoing process that is constantly linked to organizational learning capacity (Hunte-Cox, 2004). Once integrated into an organization, succession planning will continuously guide the assessment of candidates' competencies and guide the process of

developing each individual candidate. Since managing succession processes is a vast work, it is advisable to have a competent person, committee, or section in an organization that will be responsible for coordinating all succession endeavors (Huang, 1999; Hunte-Cox, 2004; Rothwell, 2005).

In summary, different approaches to succession planning and management exist. Some approaches exhibit common aspects, but others depict distinct aspects of succession planning and management. Based on the analysis of several approaches described above, this study proposes a new conceptual framework, as displayed in Figure 2.1, consisting of three main components: (1) component A, leadership commitment and involvement in SPM, is at the core of this framework; (2) component B entails six basic SPM practices, which are numbered 1-6 according to this model; and (3) component C, the organizational culture or strategy, depicts the context within which succession planning processes can be continually promoted. These components are distinguishable, but they are not necessarily separable because some elements under different components tend to overlap, which also indicates the interactive nature of the succession processes.

According to this framework, while component A expresses the role of leadership in SPM, component B exhibits the mechanism and technicalities of the SPM process. Component C, on the other hand, underscores the significance of SPM processes to be a part of the organizational culture. The next section describes the model in detail.

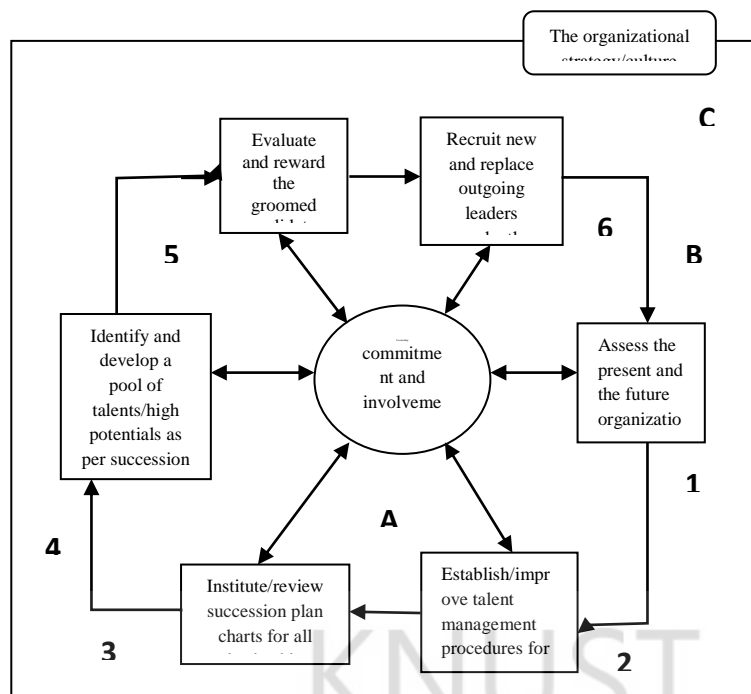


Figure 2.1: Conceptual framework for succession planning and management.

Source: Researcher's own work 2014

Description of the Conceptual Framework

The first component (A) of the framework represents the need for commitment and involvement of the top organizational leadership in succession processes. This component is considered as the heart of any succession planning and management effort, which is why it is placed at the center of the model. Top organizational leadership has to play a vital role in succession matters (Gandossy et al., 2006; Rothwell, 2005). In fact, top leaders should support managers who promote internal leadership growing, promote behaviors that encourage attracting and retaining talent, devise and foster succession planning policies, and create a position or a section that will administer succession management matters (Rothwell, 2005).

Component B comprises six different Succession Planning and Management (SPM) practices. The first practice is the assessment of current and future organizational leadership requirements. This practice entails the assessment of both the current and the future requirements of work and competency of the key positions of an entity (Grigoryev, 2006;

Rothwell, 2005; Rubin, Powers et al., 2007). The aim of this practice is to identify existing gaps between the actual situation and the desired work and competency needs for leadership positions (Rothwell, 2005).

The second practice under component B, establish or improve talent management procedures for key positions, is about the identification of the talent from within or outside, talent which is vital for different important positions in the organization (Gay et al., 2006; Hughes et al., 2008; Loftus, 2007; Rothwell, 2005).

The third practice comprises the actual exercise of establishing or reviewing succession plan charts based on the available key positions and the available talent to be groomed into future candidates. These charts consist of the name of the leadership position and the names of possible candidates who can replace the incumbent (Sobol et al., 2007).

The next practice entails the process of identifying and developing groups or pools of high potentials in the organization. High potentials are individuals identified as capable of becoming leaders for specific key positions (Rothwell, 2005). Identification and development of high potentials or future leaders is the heart of succession planning (Berke, 2005; Rothwell, 2005). Due to variation of competency needs that each individual high potential might have, capacity building should be customized to individual development plans (Krauss, 2007; Rothwell, 2005).

Selection, evaluation, and adequate rewarding of groomed candidates constitute the fifth practice of this component. Not all people in a pool of high potentials might be considered for leadership candidacy. Thus, it is vital to conduct proper assessments of performance and leadership readiness of the high potentials (Rothwell, 2005; Sobol et al., 2007). Eventually, a few capable candidates have to be selected from the pool for further preparation that will enable them take key positions when opportunities arise.

The sixth practice is labeled as judicious recruitment of a new successor and replacement of the outgoing leader. A number of points should be considered here. First, the successor's appointment process must be adequate enough to bring in a capable leader and minimize unnecessary friction between the groomed candidates (Conger & Nadler, 2004). Second, once a successor is carefully recruited out of a group of groomed candidates, an organization has to consider providing ample time for the outgoing leader to mentor the new successor (Khumalo et al., 2008; Vancil, 1987). This practice helps the incoming leader to become familiar with the new internal and external leadership environments of his/her organization. Another issue to consider in this component is the nature of the leadership transition. For the best interest of an organization and its stakeholders, the leadership transition should be void of unnecessary friction.

The final and third component of this model, component C, is the integration of succession planning and management processes in the overall organizational culture or strategy (Rothwell, 2005; Stephens, 2006). This kind of integration is critical since it provides the context within which succession processes will remain continuous (Cantor, 2005; Hunte-Cox, 2004; Stephen, 2006). If an organization wants to maintain a lasting improvement and organizational vitality, the practices of attracting, grooming internally, retaining talent, and growing leaders from within should be embedded in its organizational policies and strategies (Rothwell, 2005).

CHAPTER THREE

METHODOLOGY AND ORGANIZATIONAL PROFILE

3.0 Introduction

This chapter outlines the methodology used in gathering the relevant data for the research. It involves a detailed discussion of the research technique, data source, sampling population, sampling selection/technique, research instrument and data analysis as well as the profile of College of Technology Education of the University of Education, Winneba.

3.1 Research Design

A research design is the overall plan for relating the conceptual research problem to relevant and practicable empirical research. In other words, it provides a plan of what data to gather and how to analyse the data. In this work, a case study approach was adopted from the survey research design (Bloom, 2000). A case study research offers researchers the opportunity to have an in-depth understanding of a problem or situation under study. In this research, the design enabled the researcher assess how succession planning can be used as tool for organizational development. A case study approach was adopted because it provided a rich understanding of how succession planning is used as tool to develop an organization in a real life context. It enabled the researcher gather rich and detailed data.

3.2 Sources of data

The study used both primary and secondary data. A blend of both primary and secondary sources of data provides a wide range of reliable data and abetted to build the accuracy and reliability of the conclusions and the recommendations that were made.

3.2.1 Primary Data

This is the type of data that were collected by the researcher purposely for the research at hand. The researcher used interviews and questionnaires as the methods for primary sources of data collection.

3.2.2 Secondary Data

The secondary data provide data which is already prepared and this saves time and money. Secondary data include both raw data and published summaries (Saunders et al, 2008). Most organizations collect and store data to support their operations. The Secondary sources of data were from statistical records of the Human Resource Department, UEW-K, books, thesis and online databases.

3.3 Population

The target population for the study involves all members of staff of the college. The college has four faculties, a number of departments and units with a total member of staff population of 403.

3.4 Sampling Technique

To obtain the sample size for the study, the simple random sampling technique was used. The selection was then done by random picking. This procedure gave a representative sample of the population because the population was great and all the numbers had equal opportunity of being selected. In all, the study considered hundred (100) employees out of which twenty (20) represented views of senior management, forty (40) represented the view of senior staff members and forty (40) represent the views of junior staff members. With this, the researcher was quite content that the sample size represents the population adequately and will therefore reflect a true picture of the research requirement.

3.5 Data Collection Tools

The main tools of data collection were questionnaire and interview.

3.5.1 Questionnaire

The questionnaires were made up of close-ended questions as well as open-ended questions for questions that may require in-depth explanation. The close-ended questions were analysed with the help of the SPSS software while that of the open-ended questions were manually analysed.

3.5.2 Interview

An unstructured interview was carried out involving some of the respondents. This was done to assess the consistency in the answers provided by the respondents from the questionnaires.

3.6 Data Analysis

The collected data were analysed using the Statistical Package for Social Science (SPSS) software. To aid in easy and quick interpretation of data, all the responses to the close-ended questions were fed into the SPSS software for data processing and analysis. The system then presented the analysed data (output) in the form of frequency tables and figures. The above approach was adopted because of its suitability in appropriately elucidating the findings in order to enable the researcher come out with very concrete and relevant observations, recommendations and conclusions.

3.8 Profile of University of Education, Winneba -Kumasi campus

i. Brief history of the organization including mission and vision

The College of Technology Education is one of the colleges of the University of Education, Winneba. The College of Technology Education, Kumasi became part of the University of Education, Winneba in 1996 following the Educational reforms carried out by

the Ministry of Education in 1992 by the PNDC Law 322, 1992 which made seven Diploma awarding institutions constituent colleges of the UCEW to serve the northern sector of Ghana as far as higher education in training and developing graduate teachers and other academicians to fill the gap in the promotion of technology education in Ghana.

It was at that time called the Kumasi Campus of the College of Education, Winneba. On 14th May, 2004 the University of Education Act 2004, Act 672, was enacted to upgrade the status of the College of Education, Winneba to the status of full and to provide related matters. They subsequently upgraded the Kumasi Campus to the status of a College the same year as the College of Technology Education of the University of Education, Winneba.

ii. Staffing situation

Currently, the College of Technology Education, Kumasi of the University of Education, Winneba has a total staff population of Three Hundred and ninety one (391) and student population of Seventeen Thousand Eight Hundred Eighteen (17,818)

Table 3.1: Staff statistics as at 2014

Staff Category	Male	Female	Total
Senior Members(Teaching)	78	16	94
Senior Members(Non-Teaching)	18	9	27
Senior Staff	48	38	86
Junior Staff	146	38	184
TOTAL	290	101	391

Source: Human Resource Department – College of Technology Education (Kumasi, 2014)

3.8.1 Profile of University of Education, Winneba

i. Brief history of the University of Education, Winneba including mission and vision

University of Education, Winneba is one of the six public Universities in Ghana. It was established under Act 672 by the Parliament of the Republic of Ghana in 2004. Before then, there had been in existence as a College of Education, Winneba since 1992 by PNDCL 322. It has three satellite campuses at Winneba, Kumasi - College of Technology Education and Mampong - College of Agricultural Education. The University of Education Act 672 mandates the Academic Board of the university to among other things, regulate all matters relating to content and methods of teaching and of assessment by examination or otherwise, for the award of degrees, diplomas certificates and other academic distinctions.

The University of Education Act 2004 was enacted to upgrade the College of Education, Winneba to the status of a full university after a decade of guidance under the University of Cape Coast. The University of Education, Winneba was established in September, 1992 as a College under PNDC Law 322 but the first batch of 481 students was enrolled in November 1992. UEW brought together seven Diploma awarding colleges located in different towns under one umbrella institution, viz: the Advanced Teacher Training College, the Specialist Training College and the National Academy of Music, all at Winneba; the School of Ghanaian Languages, Ajumako; College of Special Education, Mampong –Akuapem; the Advanced Technical Training College, Kumasi; and the St. Andrews Agricultural Training College, Mampong-Ashanti.

The Mission Statement of the University is “The University shall serve as a centre of excellence which will inculcate in its products the requisite academic ability and professional competences, and imbue them with humanistic values for teaching at the pre-tertiary level, conduct research, disseminate relevant knowledge and skills, and influence educational policy” whereas the Vision Statement is “The University shall become a pre-

eminent teacher education in Ghana, one of the best in Africa, and a higher institution of learning, recognized world-wide”.

ii. Main activities carried out

According to the University of Education Act, 2004 (Act 672) Article 3 Section 4 Sub-Section 1 Clauses a, b, c and d the main activities of the University are: first and foremost, to provide higher education and foster systematic advancement of the science and the art of teacher education; secondly, to train tutors for the Colleges of Education and other tertiary institutions; thirdly, to provide teachers with professional competence for teaching in pre-tertiary institutions such as pre-school, basic, senior secondary school and non-formal educational institutions; and lastly, to foster links between the schools and the community in order to ensure the holistic training of teachers. This mandate generally means that, the University is charged with the responsibility of producing professional educators to spearhead the new national vision of Ghana’s education aimed at redirecting efforts along the path of rapid economic and social development. In a nutshell, the University is supposed to play a leading role in the country’s drive to produce scholars whose knowledge would be fully responsive to the realities and exigencies of modern Ghana (UEW Corporate Strategic Plan 2009-2013, p.3).

iii. Brief discussion on the subject matter of the thesis as applied in the institution

The current process by which UEW-K identifies internal talent to fill key positions is largely adhoc and subjective, and does not adequately support core organizational needs. The University has a study leave scholarship programme which is aimed at helping staff to develop and resource themselves, but since there is no succession plan in place to identify which individual accesses the scholarship programme before the other, individuals with less technical abilities or experience tend to be promoted to occupy key vacant positions. The difficulty in accessing the study leave scholarship programme propels individuals who can

sponsor themselves to go for higher education which would brighten their chances of being promoted even though they might not have worked the number of years required before a worker is granted study leave.

Furthermore, there is no effective succession planning strategy, coupled with solid career development programs in place in the Faculties and Departments that determines or checks whether the right people, are moving at the right pace into the right jobs at the right time.

3.8.2 Organizational Structure of the University

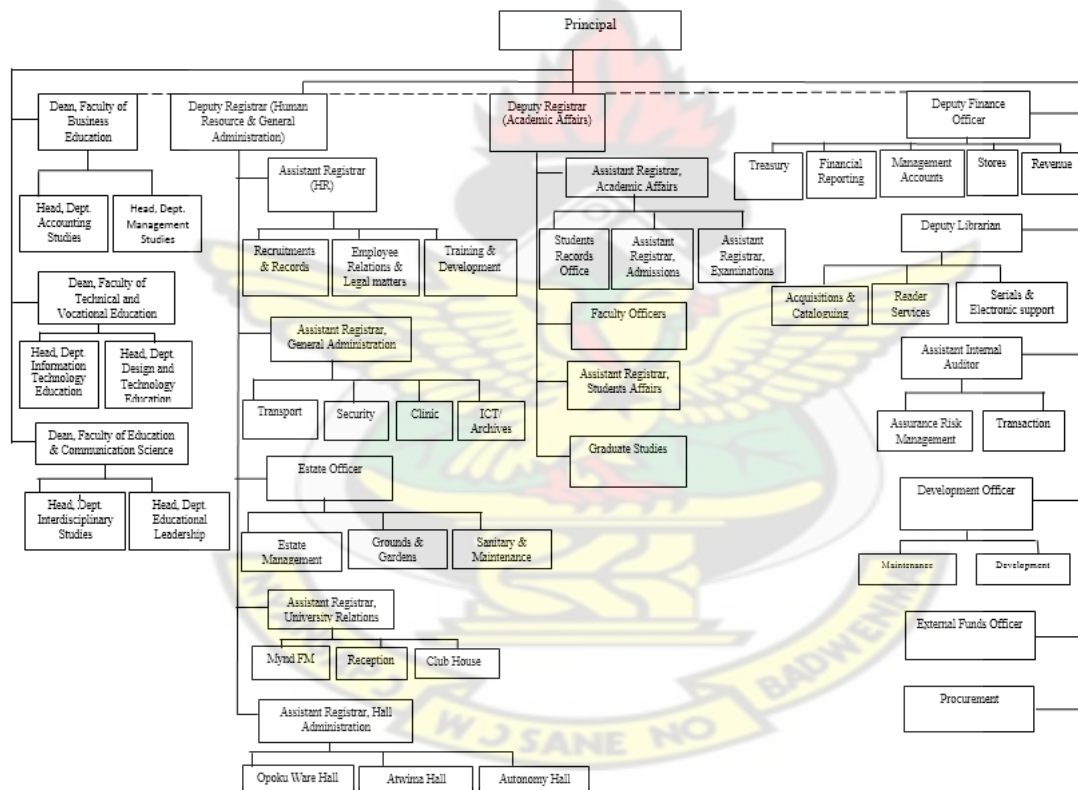


Figure 3.1 Organogram of UEW-K

Source: Human Resource Department (UEW-K), 2014

CHAPTER FOUR

DATA PRESENTATION ANALYSIS AND DISCUSSION OF FINDINGS

4.0 Introduction

The purpose of this study was to explore how succession planning can be used as a tool to develop UEW-K campus with the main aim of establishing the extent to which the institution is developing its human resource for the growth of the organization into the future. This chapter therefore presents the survey results, analysis of the results and findings of the study.

4.1 Survey Results

Questionnaires were sent to 100 persons, consisting of Senior Members, Senior Staff Members, and Junior Staff Members of which 80 responses were received comprising a response rate of 80%. The responses were analysed to determine the demographic profile of respondents and the extent to which the respondents were familiar with the concept of succession planning at the UEW-K campus.

4.2 Demographic profile of respondents

The demographic variables are presented in table 4.1 below. The survey, as presented in table 4.1, shows that 38(47.5%) of the questionnaires were filled by respondents with Postgraduate qualifications, whereas 34(42.5%) filled by Bachelor's degree holders, 6(7.5%) by Diploma holders and only 2(2.5%) filled by respondents with Doctorate degrees. An accumulated overall percentage of 86.2% of the respondents were aged more than 24 years while 11(13.8%) were aged less than 24 years. And also, 31(38.5%) of the respondents had from 6 – 10 years of working experience with the institution, 23(28.2%) had 11–15 years of experience. Those with 1–5 years of working

experience were 14(17.9%) of the total population whereas, 8(10.3%) from 16–20 years and 4(51%) had more than 21 years of working experience.

Table 4.1 Demography of Respondents

Designation	SMM		SSM		JSM		Overall % response
Variables	Freq.	%	Freq.	%	Freq.	%	
Educational Qualification							
Diploma	-	-	3	8	3	13	6 (7.5%)
Bachelor’s degree	11	55	11	31	12	50	34 (42.5%)
Postgraduate	8	40	21	58	9	37	38 (47.5%)
Doctorate	1	5	1	3	-	-	2 (2.5%)
TOTAL	20	100	36	100	24	100	80 (100%)
Age Range							
< 24 yrs.	7	35	4	11	-	-	11 (13.8%)
24 – 35 yrs.	8	40	6	17	8	33	22 (27.5%)
31 – 35 yrs.	1	5	11	31	6	25	18 (22.5%)
36 – 40 yrs.	1	5	4	11	4	18	9 (11.2%)
41 – 45 yrs.	1	5	8	22	5	21	14 (17.5%)
46 – 50 yrs.	2	10	3	8	1	4	6 (7.5%)
TOTAL	20	100	36	100	24	100	80 (100%)
Working experience							
1 – 5 yrs.	7	35	6	18	1	4	14 (17.9%)
6 – 10 yrs.	5	25	12	35	13	54	31 (38.5%)
11 – 15 yrs.	4	20	9	37	9	38	23 (28.2%)
16 – 20 yrs.	2	10	6	18	-	-	8 (10.3%)
> 20 yrs.	2	10	1	3	1	4	4 (5.1%)
TOTAL	20	100	34	100	24	100	80 (100%)

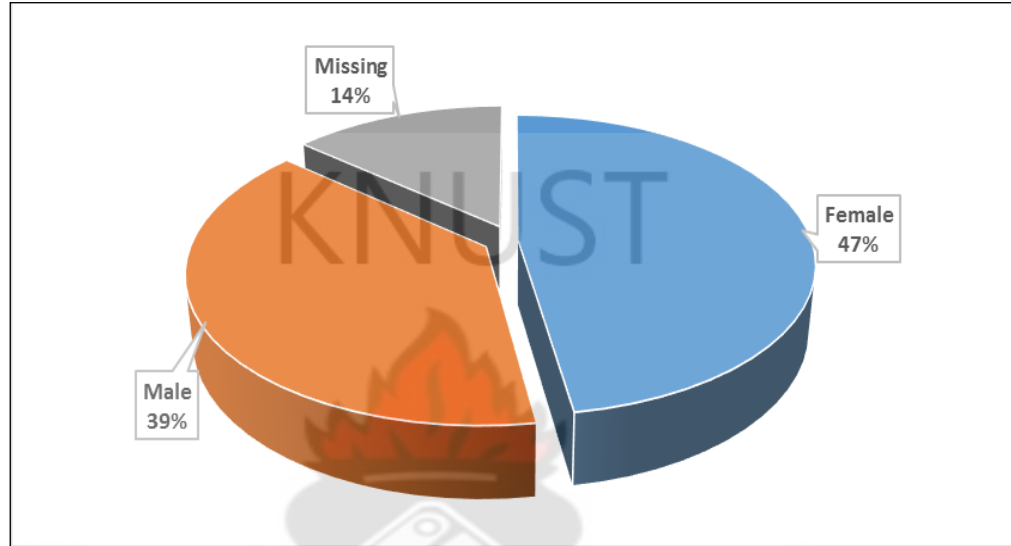
Key: SMM= Senior Management Members, SSM= Senior Staff Members, JSM= Junior Staff Members

Source: Researcher's own work 2014

The gender distribution of the respondents as presented in figure 4.1 below shows that majority of the respondents being 38(47%) were females with 39% being males. However, it is worthy of note that 11(14%) of the respondents failed to declare their gender.

Figure 4.1A chart showing the gender distribution of the respondents

Source:



Researcher's own work 2014

4.3 Existence of a Succession Planning Policy at UEW – K

As shown, Table 4.2 above is the result of responses from respondents regarding the existence of succession planning policy at UEW-K. The table shows that 60(75%) of the respondents responded 'Yes' to the existence of a succession planning policy at UEW-K. However, 3(3.8%) respondents stated 'No' to the existence of a succession planning policy in the institution. It is worthy of note that 17(21.2%) of the respondents were not aware of the existence of such a policy.

Table 4.2 Responses on the existence of a succession planning policy at UEW-K

Designation	SMM		SSM		JSM		Overall %
Variables	Freq.	Per.	Freq.	Per	Freq.	Per.	response
Yes	14	70	25	69	21	87.5	60 (75%)
No	2	10	1	3	-	-	3 (3.8%)
Not Aware	4	20	10	28	3	13	17 (21.2%)
TOTAL	20	100	36	100	24	100	80 (100%)

Key: SMM= Senior Management Members, SSM= Senior Staff Members, JSM= Junior Staff Members

Source: Researcher's own work 2014

4.4 Succession planning practices in UEW-K

The respondents were asked to indicate the succession planning practices adopted in the institution specifically in relation to job rotation, job shadowing, executive coaching, mentoring and training and development

Presented in Figure 4.2 below is a representation of the responses given by the respondents.

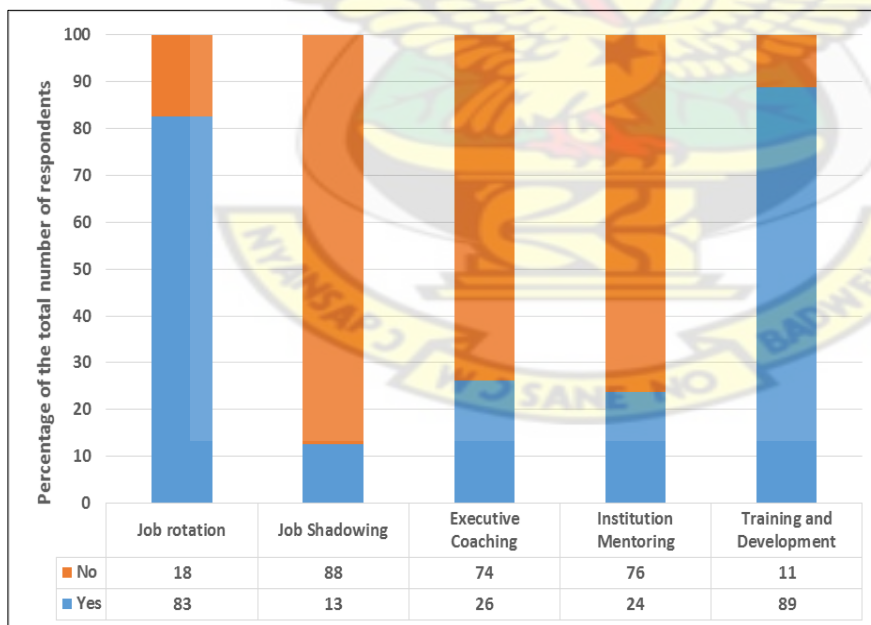


Figure 4.2 A chart

showing responses on succession planning practices at UEWK

Source: Researchers' own work 2014

From figure 4.2, it could be observed that 66(83%) of the respondents responded 'Yes' as against 14(18%) who responded 'No' to the use of job rotation as a succession planning practice adopted by the University.

On the contrary, 70 (88%) of the respondents responded 'No' to the use of Job Shadowing for identifying and preparing potential successor to assume new role in the organization. It must be said that, 10 (13%) respondents on the other hand declared in the affirmative to the use of job shadowing for succession in the University.

More so, regarding executive coaching, almost two-thirds representing 59 (74%) of the respondents declined to the assertion of the use of executive coaching as succession planning strategy in filling key positions in the institution. On the other hand, 21 (26%) of the respondents affirm to the use of executive coaching as a succession planning practice by the University.

In addition, majority of the respondents comprising 51(76%) of the respondents said 'No' to the use of mentoring as a succession planning practice adopted by the University. On the contrary, 19(24%) of the respondents responded 'Yes' to the use of such strategy by the in filling important positions in the institution.

Furthermore, regarding training and development as a succession planning practice by the University, overwhelming number comprising 71 (89%) of the respondents said 'Yes' to the use of training and development as a succession planning strategy in recruiting individuals to occupy key positions in the University. On the other hand, 9(11%) of the respondents said No to the use of training and development as succession planning practice by the University.

4.5 Benefits of Succession Planning.

The respondents were given some items against which they were supposed to indicate some of the benefits they think the University is deriving from implementing

succession planning policies in filling key vacant designations in the organization. From the responses as shown in table 4.3, it could be observed that 52 (65%) of the respondents responded 'Yes' to the assertion that the benefits from succession planning by way of ensuring that the institution is prepared with a plan to support service continuity when key people leave.

On the option of succession planning ensuring a continuing supply of qualified, motivated people who are prepared to take over when the current senior staff and other key employees leave the institution in variable B, more than two-thirds 61(76%) of the respondents responded 'Yes' to this effect. Meanwhile, 19(24%) of the respondents responded 'No' which implies a disagreement.

From variable C, 41(51%) of the respondents responded 'Yes' to the statement that the institution stands to benefit from succession planning as an alignment between the institution's vision and human resources that demonstrates an understanding of the need to have appropriate staffing to achieve strategic plans. On the contrary 39(49%) of the respondents responded 'No' thereby disagreeing to that effect.

Moreover, variable D, indicates that more than half of the respondents 47 (59%) responded 'No' which suggest that the respondents disagreed with the assertion that succession planning serves as a commitment to developing career paths for employees which will facilitate the institution's ability to recruit and retain top performing employees. However, only 33(41%) of the respondents responded 'Yes' thus agreeing.

Again, 46 (58%) of the respondents reported that succession planning does not benefit the University or institution by way of serving as an external reputation as an institution that invests in its people and provides opportunities and support for advancement. On the other hand, only 34(42%) of the respondents were convinced that the institution benefits in this regard.

On the question of succession planning being a message to the employees that they are valuable from variable F, majority of the respondents 46 (57%) also were not convinced that having a succession plan will send a message to the employees that they are valuable.

Table 4.3 Benefits of Succession Planning to the University

	SMM		SSM		JSM		Total frequency (%)
Benefits	Freq.	Per.	Freq.	Per.	Freq.	Per.	
A: A means of ensuring the institution is prepared with a plan to support service continuity when the executive directors, senior managers or key people leave.							
Yes	16	80	25	69	11	46	52 (65%)
No	4	20	11	31	13	54	28 (35%)
TOTAL	20	100	36	100	24	100	80(100%)
B: A continuing supply of qualified, motivated people, who are prepared to take over when current senior staff and other key employees leave the institution.							
Yes	13	65	30	83	18	75	61 (76%)
No	7	35	6	17	6	25	19 (24%)
TOTAL	20	100	36	100	24	100	80(100%)
C: An alignment between your institution's vision and human resources that demonstrates an understanding of the need to have appropriate staffing to achieve strategic plans.							
Yes	8	40	19	53	14	58	41 (51%)
No	12	60	17	47	10	42	39 (49%)
TOTAL	20	100	36	100	24	100	80(100%)
D: A commitment to developing career paths for employees which will facilitate your institution's ability to recruit and retain top-performing employees.							
Yes	8	40	16	44	9	38	33 (41%)
No	12	60	20	56	15	63	47 (59%)
TOTAL	20	100	36	100	24	100	80(100%)
E: An external reputation as an institution that invests in its people and provides opportunities and support for advancement.							
Yes	6	30	17	47	11	46	34 (42%)
No	14	70	19	53	13	54	46 (58%)
TOTAL	20	100	36	100	24	100	80(100%)
F: A message to your employees that they are valuable							
Yes	6	30	17	47	11	46	34 (43%)
No	14	70	19	53	13	54	46 (57%)
TOTAL	20	100	36	100	24	100	80(100%)

Key: SMM= Senior Management Members, SSM= Senior Staff Members, JSM= Junior Staff Members

Source: Researcher's own work 2014

The respondents were asked to indicate whether they have personally benefitted from the practices of succession planning in the institution. The responses as being shown in figure 4.3 below indicate that overwhelming 59(74%) of the respondents responded 'Yes' to having benefitted personally from the succession planning policy in the institution. On the contrary only 6(7%) of the respondents responded 'No'. Quite a significant percentage, that is 15(19%) of the respondents failed to respond to the question.

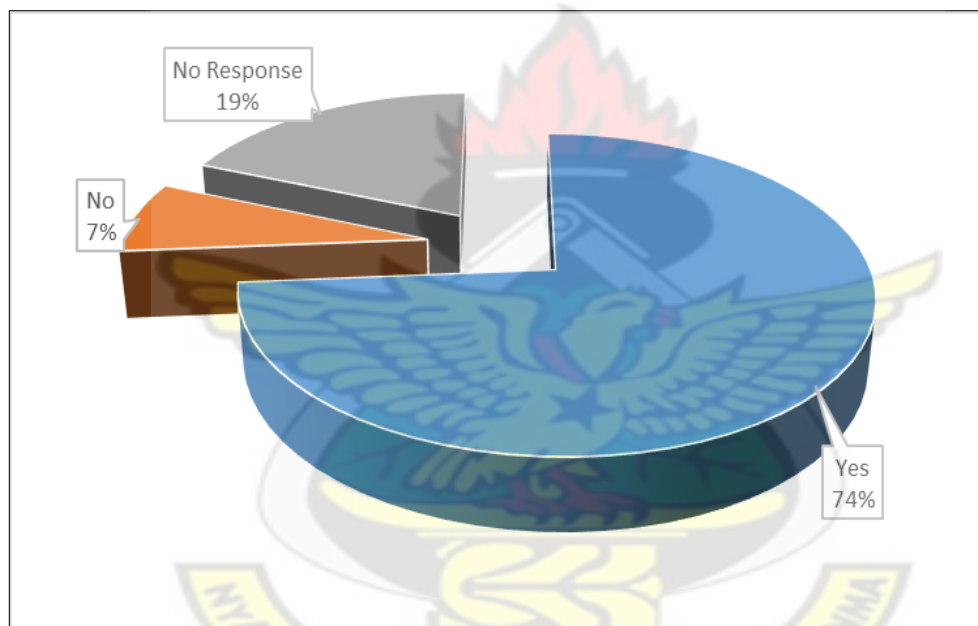


Figure 4.3 Number of respondents who have benefitted from Succession Planning

Source: Researcher's own work 2014

Table 4.4 *Succession Planning Practices that has benefited respondents the most*

Program	Frequency	Percent
Job Rotation	53	34
Job Shadowing	5	3
Executive Coaching	19	12
Institution Mentoring	19	12
Training and Development	62	39
TOTAL	158	100

Source: Researcher's own work 2014

In table 4.4 above, the respondents were asked to indicate as many as applicable in the case of the succession plans programmes they have benefitted the most. Analysis of the responses showed more than one-third 62(39%) of the total responses indicated benefitting the most from the training and development programmes organized by the University. Further, 53(34%) have benefitted from the job rotation practices adopted by the institution as a way of filling key positions in the institution. It is worthy of note that there were equal number of responses for executive coaching and institution mentoring both with few responses of 19(12%) each. The table further reveals that there is little benefit derived from the use of Job Shadowing with responses of 5(3%).

4.6Criteria for selecting Successors in the Institution

Questions concerning policy framework and implementation were left for senior members and staff only to answer. In table 4.5, the availability of selection criterion for succession planning was taken into consideration. The study showed that 20(43%) respondents said 'Yes' to the existence of a selection criterion designed for the use of

recruiting employees to fill key positions. However, 18(38%) were not aware of the existence of any selection criteria. 9(19%) of the respondents denied the existence of any selection criterion of that sort.

Table 4.5 *Existence of criterion for selecting a successor at UEW-K*

Responses		Designation			Total
		SMM	SSM	JSM	
Yes	Frequency	8	8	4	20
	% within designation	42.1%	44.4%	40.0%	43%
No	Frequency	5	1	3	9
	% within designation	26.3%	5.6%	30.0%	19%
Not aware	Frequency	6	9	3	18
	% within designation	31.6%	50.0%	30.0%	38%
Total	Frequency	19	18	10	47
	% within designation	100.0%	100.0%	100.0%	100.0%

Key: SMM= Senior Management Members, SSM= Senior Staff Members, JSM= Junior Staff Members

Source: Researcher's own work 2014

4.6.1 Criterion stages for selecting successors in UEW-K

The respondents were allowed to express themselves regarding how they consider the successor selection criteria are outlined in UEW-K. There were a total of 20 respondents who responded 'Yes' to the having a criterion for selecting potential successors. The outcome showing in figure 4.4 below shows that 12 respondents stated that the potential successors are taken through vetting and then interview. Six respondents, on the other hand, stated that there is a performance assessment of the potential candidates. However, 2 respondents out of the 20 were not sure what the potential successors go through.

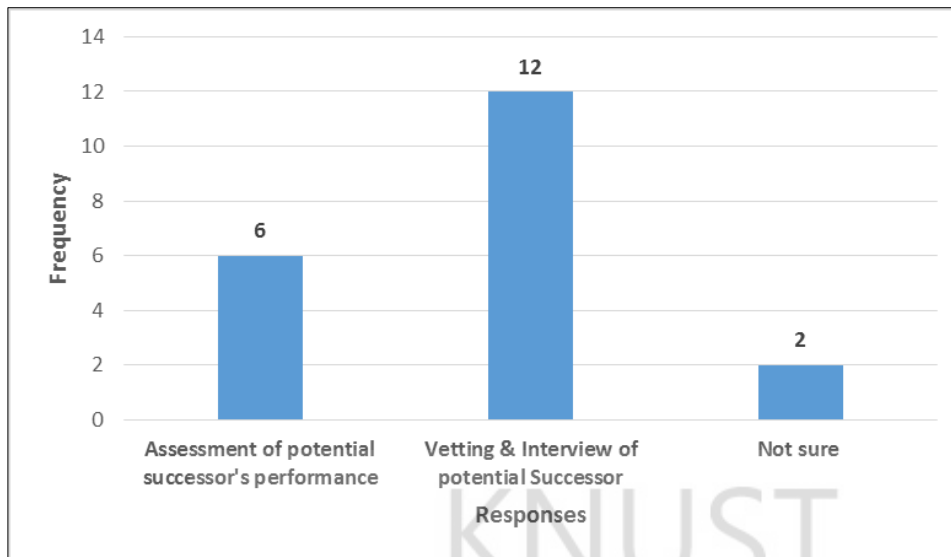


Figure 4.4 Succession criteria used in UEW-K

Source: Researcher's own work 2014

4.6.2 Personality traits as selection criteria for succession planning

Table 4.6 presents a matrix of the responses given by senior members and senior staff members on the personally traits they look for when selecting a successor for key positions. The results show that out of a total of 56 responses 54(96%) of the respondents consented to the fact that they consider the potential successor's 'ability to work'. The senior members and senior staff consider potential successors who are hardworking as almost all of them 53(95%) reported. Majority of the senior members and senior staff 47(84%) take into consideration the 'intelligence' of the potential successor with more than half of the respondents 30(54%) opting to look at the 'broadmindedness' of the potential successor to a key position in the institution. In addition, more than half of the respondents 32(57%) consider potential candidates who are 'Straightforward' whereas the results also shows that they consider the 'Competencies' of the candidate for the position as 36(64%) of the respondents reported. More than half of the respondents 30(54%) look at other personality traits possessed by the potential successor to a key position.

On the contrary, the results further showed that respondents do not take into consideration the potential successor's desire to stay in the institution as 31(55%) which forms more than half of the respondents reported. Again, 33(59%) of members do not take into consideration the Inspirational abilities of the potential candidate. Thirty-two (57%) senior management and staff members surveyed reported that they do not consider potential candidates who are fair-minded to occupy key positions in the institution.



Table 4.6 Personality traits Senior Members look out for in a potential successor

	SMM		SSM		Overall % response
Personality traits	Freq.	Per.	Freq.	Per.	
1. Ability to work					
Yes	19	95	35	97	54 (96%)
No	1	5	1	3	2 (4%)
TOTAL	20	100	36	100	56 (100%)
2. Desire to stay in the institution					
Yes	9	45	16	44	25 (45%)
No	11	55	20	56	31 (55%)
TOTAL	20	100	36	100	56 (100%)
3. Hardworking					
Yes	19	95	34	94	53 (95%)
No	1	5	2	6	3 (5%)
TOTAL	20	100	36	100	56 (100%)
4. Intelligent					
Yes	16	80	31	86	47 (84%)
No	4	20	5	14	9 (16%)
TOTAL	20	100	36	100	56 (100%)
5. Broadminded					
Yes	10	50	20	56	30 (54%)
No	10	50	16	44	26 (46%)
TOTAL	20	100	36	100	56 (100%)
6. Inspiring					
Yes	10	50	13	36	23 (41%)
No	10	50	23	64	33 (59%)
TOTAL	20	100	36	100	56 (100%)
7. Fair-minded					
Yes	11	55	13	36	24 (43%)
No	9	45	23	64	32 (57%)
TOTAL	20	100	36	100	56 (100%)
8. Straightforward					
Yes	12	60	20	56	32 (57%)
No	8	40	16	44	24 (43%)
TOTAL	20	100	36	100	56 (100%)
5. Competent					
Yes	12	60	24	67	36 (64%)
No	8	40	12	33	20 (36%)
TOTAL	20	100	36	100	56 (100%)
5.Others					
Yes	10	50	20	56	30 (54%)
No	10	50	16	44	26 (46%)
TOTAL	20	100	36	100	56 (100%)

Key: SMM= Senior Management Members, SSM= Senior Staff Members

Source: Researcher's own work 2014

4.6.3 Succession Planning programmes to develop employees

The senior members together with the senior staff members were to indicate the programmes designed to assist employees succeed in higher positions in the institution.

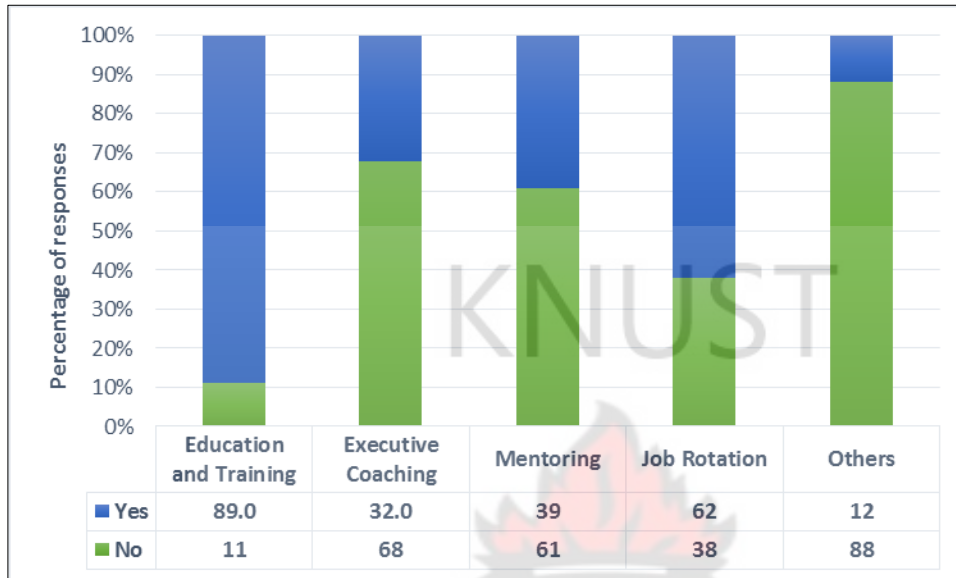


Figure 4.5 Programs in place to develop employees to take higher positions

Source: Researcher's own work 2014

From Figure 4.5, 71(89%) of all the respondents said that education and training programmes have been instituted to assist the employees who take up higher positions to succeed. Again, it could be observed that apart from the education and training, the institution has in place a Job rotation mechanism that is used to help the potential employee succeed in occupying a higher-level position in the organization as buttressed by 50(60%) of the senior management and staff members. However, there was little use for executive coaching, mentoring and other forms of succession planning practices as 30(40%) of the total respondents reported.

4.6.4 Programmes mostly used to upgrade potential successors

Programmes instituted to up-grade the potential successors to develop their competencies to occupy a key position was considered. In table 4.7 below, the respondents were charged to tick as many as applicable in their case the succession planning program mostly used for this endeavour. The results show that out of a total of 130 responses collated, 50(38%) reported education and training as the most used program for developing the capacity of potential successors in the University. Again, further observation revealed that ‘other’ programs of succession planning were used more with 25(19%) reporting. Job rotation 23(18%), mentoring 20(15%) and executive coaching 12(9%) were scarcely used to up-grade the potential successors.

Table 4 7 Programmes mostly used to up-grade potential successors

Programme	Frequency	Percentage%
Education and Training	50	38
Executive Coaching	12	9
Mentoring	20	15
Job Rotation	23	18
Others	25	19
TOTAL	130	100

Source: Researcher’s own work 2014

4.6.5 The Institution’s sources of recruitment

Recruitment practices mostly adopted by the in filling higher level positions in the institution were considered by the researcher. Showing in table 4.8 below is the results of the responses given by the senior management and staff members of the institution. It could be observed that most of the key positions in the organizations are filled through Internal Recruitment processes as reported by majority of the respondents approximately 39(70%).

Only 10(18%) of the respondents reported of external recruitment whereas the remaining 7(12%) stated that recruitment is done from both sources.

Table 4.8 Mostly used recruitment source by the designation of respondents

Source		Designation		Total
		SSM	SSM	
Internal Recruitment	Frequency	14	25	39
	% within Designation	70.0%	69.4%	70%
External Recruitment	Frequency	3	7	10
	% within Designation	15.0%	19.4%	18%
Both	Frequency	3	4	7
	% within Designation	15.0%	11.1%	12%
Total	Frequency	20	36	56
	% within Designation	100.0%	100.0%	100.0%

Key: SMM= Senior Management Members, SSM= Senior Staff Members

Source: Researcher's own work 2014

4.7 Challenges of succession planning

Challenges to the successful implementation of the succession plans in the institution were also considered. The respondents were asked to indicate whether they encounter any difficulty in their bid to implement succession planning policy in the institution. From table 4.9 below, it could be deduced that an overwhelming number of the respondents 43(83%) consented to facing challenges with the implementation of succession planning policy in the institution. However, only 9(17%) of them did not accept the notion that there are challenges as far as succession planning implementation is concerned.

Table 4.9 Challenges to succession planning in UEW-K by designation of respondents

Variables	Freq & percentages	Designation		Total
		SMM	SSM	
Yes	Frequency	15	28	43
	% within Designation	83.3%	82.4%	83%
No	Frequency	3	6	9
	% within Designation	16.7%	17.6%	17%
Total	Frequency	18	34	52
	% within Designation	100.0%	100.0%	100.0%

Key: SMM= Senior Management Members, SSM= Senior Staff Members, JSM= Junior Staff Members

Source: Researcher's own work 2014

4.7.1 Factors challenging the implementation of succession planning policies in UEW-K

A host of factors were given out to respondents as many as are applicable in the University. The results showing in table 4.10 below indicates that 'Inability to adequately motivate and retain key employees' is one of the major factors challenging the implementation of succession planning policy in the as 38(21%) of the respondents declared. Moreover, 28(15%) pointed to the lack of financial resources as one of the main causes inhibiting the effective implementation of succession planning in the institution. Less than a quarter of the total responses 25(14%) reported of being challenged by the 'size of the organization'. Inadequate training and development 23(13%), lack of company vision and failure to address future needs 24(13%) and Poor communication resulting in confusion 23(13%) were the other forms of challenges encountered by the senior management and staff members in their bid to implement the policy in the institution.

Table 4.10 *Factors challenging the implementation succession planning policies in UEW-K*

Challenges	Frequency	Percent
Size of the organization	25	14
Lack of financial resources	28	15
Limited information about employees	22	12
Inadequate training and development	23	13
Lack of company vision and failure to address future needs	24	13
Poor communication resulting in confusion	23	13
Inability to adequately motivate and retain key employees	38	21
TOTAL	183	100

Source: Researcher's own work 2014

4.7.2 Involvement in Succession Planning Policy Implementation in UEW-K

Figure 4.6 below is a clear indication that more than 63(79%) of the respondents are involved in the implementation of the succession planning processes in the institution. It is only a few that is 13(16%) of the respondents who are not involved in its implementation. It is worthy of note that 4(5%) of the respondents failed to attend to the question.

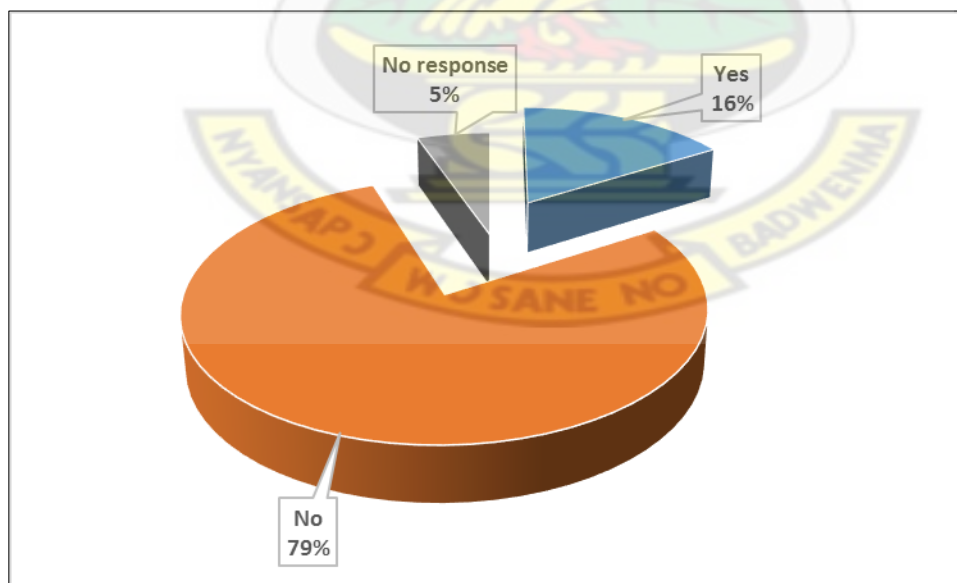


Figure 4.6 Respondents' involvement in Succession planning activities in UEW-K

Source: Researcher's own work 2014

4.8 Implementation of succession policies in UEW-K

Response from table 4.11 page 66 is a summary of the responses given by the respondents in relation to how succession plans can be implemented in UEW-K. Table 4.11 indicates that almost half 97(49%) of the respondents wants a better employee motivation instituted in the institution whereas 47(24%) were of the opinion that improvement on the study leave structure will make people stay in the organization and go through the ranks to be able to fill key positions. Another way was for those involved in the implementation to identify the successors early with 31 (16%) declaring.

Table 4.11 *How succession plan policies can be implemented in UEW-K*

Responses	Frequency	Percent
Intensify Education and Training of employees	24	12
Improvement on study leave structure	47	24
Early successor identification	31	16
Better employee motivation	97	49
TOTAL	199	100

Source: Researcher's own work 2014

4.9 Discussions of results

4.9.1 Succession planning policy in UEW-K?

The results of the study has shown that the University of Education Winneba, - Kumasi campus has a laid out succession plan policy used in filling high-level positions in the institution. This is evidenced by the fact that exactly 60(75%) of the respondents reported that the institution has a succession plan policy (Table 4.2). In the opinion of the researcher this finding proves to be a deliberate attempt on the part of the academic institution to develop core competencies in potential leaders to fill high-level positions within the institution. This finding however failed to confirm the findings of the Journal for

Quality and Participation (2005) which reported that 54(67%) of the respondents reported of their organizations not having succession plans. Khumalo et al., (2008) out of this then argued that this situation of not having succession plans in place could be alleviated by implementing succession training programmes. Succession planning activities in the being reduced to a policy statement only goes to make the planning activities very effective as opined by Rothwell. (Rothwell, 2001, p. 23).

Moreover, succession planning practices adopted by the in filling important positions showed that it primarily resorts to the use of job rotation and training and development programs. This was the case when majority of the respondents 66(83%) and 71(89%) respectively) responded to the use of these two programs as can be seen in figure 4.2, p.49. It could be realised that there is little use of job shadowing, executive coaching and mentoring programs for filling key roles in the University. This finding agrees with the work of Tropiano (2004), who stated that succession planning is a strategic, systematic and deliberate effort to develop competencies in potential leaders through the use of proposed learning experiences such as targeted rotations and educational training in order to fill high-level positions without favouritism. To put this in HR perspective, this finding seems to satisfy the works of Santorin (2004) who maintained that Human Resource Planning requires a strategic approach to the recruitment, development, management and motivation of the people in the organization.

4.9.2 The extent to which succession plan policies function in UEW-K

In table 4.3, p. 54, the result further demonstrates that the benefit from having a succession plan policy in place to see to the recruitment of employees to occupy important positions in the institution. This result is an indication of the fact that 52(65%) of the respondents are of the opinion that the institution benefits from succession planning as it gives it an assurance that it is always prepared with a plan to support service continuity

when key people currently occupying the important positions leave. That notwithstanding, succession planning helps the institution to ensure a continuing supply of qualified, motivated employees who are prepared to take over when the current senior staff and other key employees vacate their positions as reported by 61(76%) of the respondents.

According to the respondents 41(51%) reported that succession planning creates an alignment between the institution's vision and human resources that demonstrates an understanding of the need to have appropriate staffing to achieve strategic plans. This finding is a clear vindication of Butterfield (2008) who claimed that succession planning offers human resource leaders a framework on how to create a program that aligns talent management with the vision of the company thereby ensuring that employees have development opportunities to hone their leadership skills. In the researcher's opinion this offers the University an opportunity to easily and successfully fill key positions in the organizations.

Again, the respondents surveyed do not believe that succession planning in the University serves as a commitment to developing career paths for employees who will facilitate the institution's ability to recruit and retain top performing employees (Table 4.3). In the researcher's opinion employees get the impression that such efforts on the part of the University are to tie them down to forcefully remain with the organization thereby making it difficult to move on their career paths. More so, this however does not reconcile fully with the works of Hazarika, (2009) who indicated that employees are motivated and engaged when they can see a career path for their continued growth and development. The finding that succession planning will not enhance the University 's external reputation as an institution that invests in its people and provide opportunities and support for advancement as can be found in table 4.3 p. 53 is rather surprising in the candid opinion of the researcher. In general this runs contrary to the work of Gross (1968) stating that through succession

planning, an organisation is able to retain experienced, effective and efficient employees because they appreciate the time, attention and development the organization is investing in them. This was further corroborated by the findings that having a succession plan will send a message to the employees that they are valuable as suggested by 46(57%) of the respondents surveyed (Table 4.3 p. 53).

The use of succession planning in UEW-K was evident as the employees surveyed reported of having personally benefiting from the succession planning policies. Employees have benefitted the most from training and development and job rotational programs instituted by the University to augment their competencies of taking up key roles in the institution. This sums up the effort of the University to invest in the development of employees, assess its progress toward the intended outcome which epitomises Drucker (2002) in his observation. However, some of the workers interviewed maintained that the Job Rotation program is sometimes used as a punitive tool on some of the supposedly ‘stubborn’ workers. One of the workers is quoted below;

“...sometimes you are posted to a department that does not relate to your profession just to frustrate you...”

4.9.3. Criteria for selecting successors in UEW-K

Figure 4.4, page 57, suggests that the main criteria adopted for selecting successors in UEW-K according to senior members and senior staff surveyed was ‘vetting’ and eventually ‘Interviewing’ the potential successors. This finding was evidenced by the fact that 12 out of 20 respondents stated the use of vetting and interview as criteria for selecting potential candidates to occupy key positions. On that note, the performance of the likely successor will be assessed to ascertain the suitability of the candidate (Figure 4.4).

4.9.3.1 Personality traits as a selection criteria for succession planning

As part of the criteria used in identifying successors to fill key roles in the University, the senior members and senior staff of the University perceive that personality traits such as the successor's ability to work, level of intelligence, broadmindedness, straightforwardness and competencies of the potential successor are considered before appointing them to occupy key positions in the institution. However, it came to light that the senior members and senior staff have little consideration for the potential successor's desire to stay in the institution, inspirational qualities and fair-mindedness (Table 4.6).

In line with the position of Drucker (2002), senior members and senior staff surveyed asserted that education and training programmes as well as job rotational programmes have been designed to develop the competencies of employees to enable them to be successful when given higher positions in the (Figure 4.5 p. 60). The researcher's view regarding this finding is that education and training and job rotation have been the key succession planning program instituted and thus have been very beneficial to the course of succession planning activities in educational institutions. This is corroborated by the fact that it is these two sets of practices that the employees surveyed profess to have benefitted from the most (Table 4.4, p. 62). Again, Education and Training programmes came out on top as the practice mostly used to upgrade potential successor's capacity to take up higher-level positions in the as can be seen in Table 4.7, p. 61.

The discovery in Table 4.8, that most of the recruitment done in the University were through internal recruitment sources as 56(70% of senior members and senior staff reported epitomizes the works of Harter, (2008) who found that 36% of HRDs considered it unnecessary for their organizations to be recruiting from external source as against less than 10% of CEOs and CFOs. In the case of the current study, the researcher believes that there

is minimal use of the external recruitment sources as less than 10(18%) of the senior members and senior staff surveyed maintained.

4.9.4 Challenges of succession planning

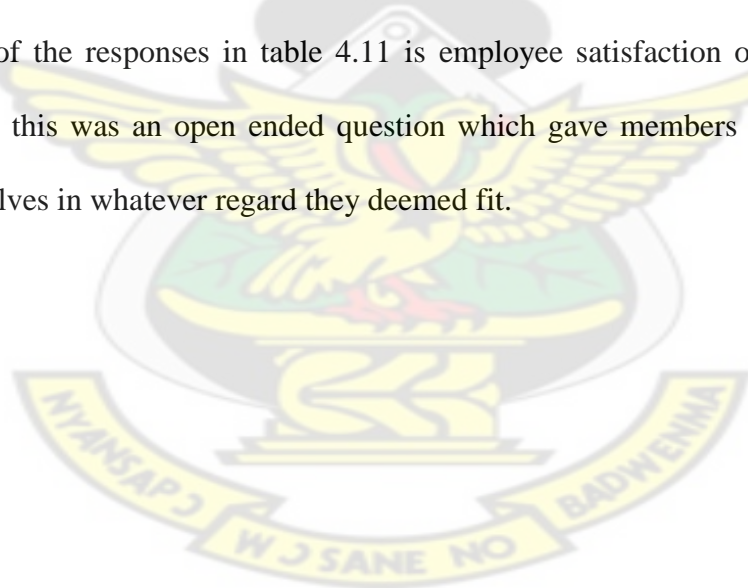
From table 4.9, p. 61, 43(83%) of the senior members and senior staff surveyed admitted to encountering challenges with the implementation of succession planning policies in the institution. Further enquiry from table 4.10 revealed that the major challenge the institution faced was the inability to adequately motivate and retain key employees as indicated by 38(21%) of the respondents. This finding typifies the work of Greer et al. (1989) who maintained that succession planning implementation is likely to suffer as a result of having a lot of disinterested workers in the organization as a result of lack of motivation. This affects the motivation of the employees to partake in any meaningful succession planning activity. Another challenge mentioned by 28(15%) members was the lack of financial resources. Lack of financial resources to motivate and satisfy employees' opens the door for them to leave for better salaries and benefits offered in other institutions. Furthermore, it was found that 25(14%) of the members pointed to the size of the organization as a challenge confirms the finding of Harter, (2008). This is a challenge because of the fact that UEW-K is not a full University on its own and has always relied on the main campus for strategic decisions. Human Resource issues within Kumasi would require authorisation from the main campus and sometimes this compounds the problem, somewhat a centralized human resource administration. Interesting finding was the less emphasis on the option of limited information about employees (see table 4.10). This, the researcher believes it is as a result of the fact that the University has adequate information about its employees. Through interview, most of the respondents asserted that the Training and Development program comes without any financial backing. One respondent quoted below;

“...they tell us to go and further our studies without study leave with pay...”

This challenge according to most of the respondents through the interview suggested that most of the workers are unable to sponsor their own studies since they are only offered study leaves without pay for the duration of the studies.

4.9.5 How Succession Planning Policies can be implemented in UEW-K

The findings from Table 4.11, p. 66, show that 47(49%) of the members affirming that for an effective implementation of succession planning policy in UEW-K there should be a commensurate employee motivation is in recognition with the work of Singer et al., (2004) who insisted that if people keep leaving the organization, find out what will motivate them to stay before implementing a succession plan. Motivated employees, in the view of the researcher, are a key variable in the effective implementation of succession plans. The central theme of the responses in table 4.11 is employee satisfaction or motivation. It is worthy of note this was an open ended question which gave members the opportunity to express themselves in whatever regard they deemed fit.



CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.0 Introduction

This chapter summarizes the findings, the conclusions of the study and suggestion of appropriate recommendations which seek to direct future research. The purpose of this study was to explore how succession planning can be used as a tool to develop UEW-K Campus with the main aim of establishing the extent to which the Institution is developing its human resource for the growth of the organization into the future.

5.1 Summary of Findings

5.1.1 Existence of Succession Planning Policy at UEW – K

There was a greater appreciation among the all members of the fact that the University of Education has a succession planning policy in place to ensure the continual supply of competent personnel in pole position to occupy key roles in the organization. The University has therefore instituted programmes that ensure the continual development of the competencies of the employees. Training and Development and Job Rotational strategies have been implemented by the University to ensure the continual learning of the employees both on and off-the-job. These strategies have come in the form of Education and Training practices and Job Rotation practices to upgrade potential successor's capacity to take up higher-level positions in the University. There has been less use of practices such as Executive Coaching, Mentoring and Job Shadowing. It was therefore unsurprising to discover from the respondents that Education and Training and Job Rotation practices adopted by the University have been the practices that they have benefited from the most. In relation to the benefits that accrue to the University, succession planning ensures that there is a continuous supply of qualified and motivated people who are prepared to take

over when the current senior staff and other key employee abdicate the institution. Again, succession planning creates an alignment between the institution's vision and human resources that demonstrates an understanding of the need to have appropriate staffing to achieve strategic plans.

5.1.2 Criterion for selecting Successors at UEW-K.

It was thus an established fact that the University has its special criteria for selecting potential successors. By way of the criteria, potential successors are taken through a process of vetting and interview to assess the suitability of the potential successors to fill the key roles. Not only is the candidate vetted and interviewed but also there is a performance assessment of the potential candidate as well. There is a whole scrutiny of the personality traits of the potential candidate. This is done to further check the suitability of the candidate to occupy the important role in the organization. The responses showed that selectors looked for candidates who have the ability to work, hardworking, intelligent, broadminded, straightforward and above all competent enough to handle the responsibilities that accrue with the position. Majority of the recruitments are done through internal recruitment sources.

5.1.3 Challenges with the use of the Succession Plan Policy in UEW-K.

The major challenge to the successful implementation of succession planning policy in the University has been that the University has been unable to adequately motivate and retain key employees in the institution. There is also the challenge of inadequate funding to support the succession planning programs for instance grant study leave with pay to enable the employees go for further studies. Most importantly the policy implementation is challenged by the enormous bureaucratic structure ever-present with the institution due to

the size of the institution. Since UEW-K is a satellite campus there is the need for approval from the main campus regarding certain important activities.

5.1.4 How succession planning policies can be implemented in UEW-K

It was found that the best way to successfully implement a succession plan policy in UEW-K is for the University to find the best way to motivate the employees with the intention of retaining their services for the foreseeable future of the organization.

5.2 Conclusion

The importance of succession planning in the day-to-day activities of UEW-K cannot be overemphasized. Indeed various levels within the structure of the institution appreciate the importance of putting measures in place to ensure that there is a perpetual supply of able and competent workforce to draw from whenever the need arises to fill higher-level positions in the institution. This research has established that there exists a succession plan policy in the university which affords the institution the opportunity to prepare its employees to take up key roles in the institution. In view of that the University is using a host of succession planning strategies to that effect. These include Training and Development and Job Rotation. There has been minimal use of Mentoring, Job Shadowing and Executive Coaching by the University. Again, the University as part of the plan has a criteria for selecting potential candidates for succession. This comes in the form of subjecting selected employees to a process of vetting and interview and then performance assessment regime. The personality traits of the candidates are scrutinized as well. The University has adopted strategies through which it implements the policy which includes training and developing the workers through Education and Training practices and Job Rotation, to which the workers confess benefiting from. The effective implementation of the

succession planning policy has not gone unchallenged. The policy is faced with inadequate funding to effectively carry out programs and practices in order to reap the benefits thereof. Finally, this research has maintained that for effective implementation of the succession plans at UEW-K the University has to find a way to adequately motivate and retain employees.

5.3 Implications for further research

This study has a few shortcomings or discussible issues, which may be taken into consideration when conducting similar studies in the future. First of all, the data collected was restricted to only a section of a bigger community. Again, the sample size used for the study was relatively smaller. Although there were clear distinctions concerning the demands of the purposes of the study, the results could be different if extended to all the four campuses of the university. It is therefore recommended that future research should concentrate on the following:

- i. Designing an appropriate succession planning model for University of Education, Winneba.
- ii. How to use effective succession planning policy to address recruitment challenges facing the University.

5.4 Recommendations

In view of the findings of the study, the researcher recommends the following:

5.4.1. Sustenance of Succession planning policy

It was found out from the study that there is a succession planning policy in place in UEW-K. This is a healthy development; therefore the researcher recommends that regular amendments should be undertaken to update the existing policy to ensure effectiveness.

5.4.2. Employment of other Succession Planning strategies

It emerged from the study that the University mostly resorts to the use of training and development and job rotation as a succession planning practice than the other succession planning practices, it is therefore recommend that the other forms of succession planning strategies should be employed to harness their benefits.

5.4.3 Sponsorship

It is recommended that more funds should be made available to the HR department to enable them implement more succession planning programmes, especially in the area of training and development of workers including study leaves with pay. This will help build the capacity and competencies of the workforce.

5.4.4 Better Conditions of Service

The study also discovered that more workers are likely to leave the University after sponsoring themselves, therefore based on the views of respondents; it is recommended that conditions of service should be improved in order to retain key and competent workers.

5.4.5. Education

It was found out from the study that, there is a perception concerning the use of job rotation as a punitive measure; therefore based on the views of respondents, it is recommend that workers should be educated on the importance and benefits of succession planning policies and practices. This will help clear such perception.

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Appendix I

QUESTIONNAIRES FOR SENIOR MEMBERS AND SENIOR STAFF

Research Topic: **Succession Planning As a Tool for Organizational Development: A Case Study Of College of Technology Education, Kumasi of the University of Education, Winneba.**

PREAMBLE

Dear Respondent

I wish to introduce myself to you as a Master of Business Administration (MBA) student of the School of Business, Kwame Nkrumah University of Science and Technology. As part of the programme, I am required to write a thesis titled “Succession Planning as a Tool for Organizational Development”. Your organization has granted me permission to use it as my case study organization. Consequently, sample employees, of which you are a member, are required to complete this questionnaire. I would be most grateful if you could please spare some few minutes of your precious time to answer the questions before you. You are assured that all the data/information you provide would be treated with utmost confidentiality. I thank you in advance for your co-operation.

Personal Data

Please tick (✓) which applies to you

1. What is your work designation?
2. Number of years with the institution
 - 1-5 years []
 - 6-10 years []
 - 11-15 years []
 - 16-20 years []
 - 21 years and above []
3. Gender: Female [] Male []
4. Age range
 - Less than 24
 - 24-30 []
 - 31-35 []
 - 36- 40 []
 - 41- 45 []
 - 46- 50 []
 - 51- 55 []
 - 56- 60 []

5. Highest Qualification

- Diploma []
Bachelor's degree []
Postgraduate []
Doctorate []
Others (Please, specify).....

Existence of Succession Planning Policy

6. Do you have succession planning policy in your institution?
Yes [] No [] Not aware []
7. If your answer to question 6 is 'No', state the reasons why the institution does not have.
.....
.....
8. What are some of the succession planning practices in your institution? (*tick as many as applicable*)
- a. Job rotation []
b. Job shadowing []
c. Executive Coaching []
d. Mentoring []
e. Training and development []
9. Is your institution deriving any benefits from succession planning?
Yes [] No []
10. What are some of the benefits of succession planning? (*tick as many as applicable*)
- a. A means of ensuring the institution is prepared with a plan to support service continuity when the executive directors, senior managers or key people leave. []
b. A continuing supply of qualified, motivated people (or a process to identify them), who are prepared to take over when current senior staff and other key employees leave the institution. []
c. An alignment between your institution's vision and human resources that demonstrates an understanding of the need to have appropriate staffing to achieve strategic plans. []
d. A commitment to developing career paths for employees which will facilitate your institution's ability to recruit and retain top-performing employees. []
e. An external reputation as an institution that invests in its people and provides opportunities and support for advancement. []
f. A message to your employees that they are valuable. []
11. Have you ever benefitted from any of the succession planning practices?
Yes [] No []
12. Which of the following succession planning practices did you benefit from your institution? (*tick as many as applicable*)

- a. Job rotation []
- b. Job shadowing []
- c. Executive Coaching []
- d. Mentoring []
- e. Training and development []

Criteria for Selecting Successor in the Institution

13. Do you have any criteria for selecting a successor in your institution to fill vacant strategic position? Yes [] No [] Not Aware []

14. If your answer to question 13 is 'yes', what are these criteria/stages?

.....

.....

.....

.....

15. What personality traits do you look for in a potential successor? (*tick as many as applicable*)

- a. Ability to work []
- b. Desire to stay in the institution []
- c. Hardworking []
- d. Intelligent []
- e. Broadminded []
- f. Inspiring []
- g. Fair-minded []
- h. Straightforward []
- i. Competent []
- j. Others (please, specify).....

16. Do you have programs to help develop potential employee to succeed in a higher-level position in your institution? Yes [] No []

17. If your answer to question 16 is 'yes', what are these programs? (*tick as many as applicable*)

- a. Education []
- b. Executive coaching []
- c. Mentoring []
- d. On the job rotation []
- e. Others (please, specify).....

18. Are these programs able to fill unexpected sudden vacancy?

Yes [] No []

19. Which of these programs are mostly used to up-grade potential successor (employee) to high level position in your institution?

- a. Education []
- b. Executive Coaching []
- c. Mentoring []
- d. In service training []
- e. On job rotation []
- f. Others (please, specify).....

20. Which of the following is often used to fill vacant positions in your institution especially at the top management level?

- a. Internal recruitment []
- b. External recruitment []
- c. Both []

Challenges of Succession Planning

21. Do you have any challenges in succession planning in your institution?

Yes [] No []

22. What challenges do you think are involved in succession planning? (*tick as many as applicable*)

- a. Size of the organization: There are few positions that, the institution may not have the ability to offer opportunities for advancement; employees with the potential and the desire to advance their careers may move to larger institution as a result. []
- b. Lack of financial resources: employees may leave for better salaries and benefits offered in other workplaces. []
- c. Indiscriminate inclusion of employees in the succession plan including those who are disinterested, unmotivated or lack capacity to advance. []
- d. Inadequate training and development resulting in an employee who is not prepared for a promotion. []
- e. A plan that does not promote people in a timely fashion, leading potential successors to leave the institutions to seek new opportunities. []
- f. Poor communication resulting in confusion and turmoil within the institution, as staff speculates about what the succession plan really is. []
- g. Potential candidates for promotion cannot be guaranteed that they will be promoted as a lot depends on timing and need of the organization. []

How Succession Planning Practices can be implemented

23. Are you involved in the implementation of succession planning in your institution?

Yes [] No []

24. If your answer to question 23 is 'yes', in what way are you involved?

.....

.....
.....
.....

25. In your opinion, can you please suggest some of the ways that succession planning practices can be implemented in the institution?

.....
.....
.....
.....

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Appendix II

QUESTIONNAIRES FOR JUNIOR STAFF MEMBERS

PREAMBLE

Dear Respondent

I wish to introduce myself to you as a Master of Business Administration (MBA) student of the School of Business, Kwame Nkrumah of Science and Technology. As part of the programme, I am required to write a thesis titled “Succession Planning as a Tool for Organizational Development”. Your organization has granted me permission to use it as my case study organization. Consequently, sample employees, of which you are a member, are required to complete this questionnaire. I would be most grateful if you could please spare some few minutes of your precious time to answer the questions before you. You are assured that all the data/information you provide would be treated with utmost confidentiality. I thank you in advance for your co-operation.

Personal Data

Please tick (✓) which applies to you

1. What is your work designation?
2. Number of years with the institution.

1-5 years	[]
6-10 years	[]
11-15 years	[]
16-20 years	[]
21 years and above	[]
3. Gender: Female [] Male []
4. Age range

Less than 24	[]
24-30	[]
31-35	[]
36- 40	[]
41- 45	[]
46- 50	[]
51- 55	[]
56- 60	[]
5. Highest qualification

SSCE/WASSCE	[]
Diploma	[]
Others (Please, specify).....	

Existence of Succession Planning Policy

6. Do you have succession planning policy in your institution?
Yes [] No [] Not aware []
7. If your answer to question 6 is 'No', state the reasons why the institution does not have.
.....
.....
8. What are some of the succession planning practices in your institution? (*tick as many as applicable*)
- a. Job rotation []
 - b. Job shadowing []
 - c. Executive Coaching []
 - d. Mentoring []
 - e. Training and development []
9. Is your institution deriving any benefits from succession planning?
Yes [] No []
10. What are some of the benefits of succession planning? (*tick as many as applicable*)
- a. A means of ensuring the institution is prepared with a plan to support service continuity when the executive directors, senior managers or key people leave. []
 - b. A continuing supply of qualified, motivated people (or a process to identify them), who are prepared to take over when current senior staff and other key employees leave the institution. []
 - c. An alignment between your institution's vision and human resources that demonstrates an understanding of the need to have appropriate staffing to achieve strategic plans. []
 - d. A commitment to developing career paths for employees which will facilitate your institution's ability to recruit and retain top-performing employees. []
 - e. An external reputation as an institution that invests in its people and provides opportunities and support for advancement. []
 - f. A message to your employees that they are valuable. []
11. Have you ever benefitted from any of the succession planning practices?
Yes [] No []
12. Which of the following succession planning practices did you benefit from your institution? (*tick as many as applicable*)
- a. Job rotation []
 - b. Job shadowing []
 - c. Executive Coaching []
 - d. Mentoring []
 - e. Training and development []