

RUNNING HEAD: UNFINISHED MANDATES OF UNIVERSITY PRESIDENTS IN CANADA

**Leadership in Higher Education: Case Study Research of Canadian University
Presidents with Unfinished Mandates**

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Abstract

Within Canada, the ever-changing context of universities is paralleled by an increased number of unfinished presidential mandates, approximately 16 in the past ten years. “Never has Canadian university presidential leadership been under greater scrutiny than it is today” (MacKinnon, 2004, p. 132). The trend of an increasing number of unfinished mandates of university presidents in Canada leads to some important questions that require further exploration. Through an in-depth series of interviews with six of the 16 Canadian university presidents with unfinished mandates, this research dives deeply into leadership experiences and highlights patterns and trends within the individual trajectories leading to their shortened mandate. More precisely, the leaders’ transitional process within their presidential role is examined in order to gain insight into the challenges of transition, particularly for the person at the top of the organization. The findings are focused on the themes of board governance and communication, university transitions, relationships within the executive team, the role of the predecessor, and diversity and leadership. This dissertation contributes a unique piece of research to the higher educational literature, and also provides concrete recommendations to improve transitional practices for leaders within the higher education environment.

Keywords: higher education; university leadership; university president; organizational socialization; transitions; higher education policy; leadership derailments

Dedication and acknowledgements

I am dedicating this thesis to my partner, Luc Poulin, who is my rock and the love of my life. Thank you for supporting our family through this journey, for your thoughtful insights to my research, and for sharing this accomplishment with me. Thank you to my two sons, Zacharie and Théo, may you always love to learn and never lose your passion and determination. Thank you to my parents for instilling in me the importance of hard work and perseverance. And to our village, for your unconditional love.

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Leadership in higher education: case study research of Canadian university presidents with unfinished mandates

Chapter 1: Introduction to the study

I began each of my interviews with a sense of unease. After all, I was asking each of these successful, well-educated, and accomplished academic leaders to share their story about a leadership disappointment. I wanted to learn from their experience and to understand better what had gone wrong. I began each of the interviews with one simple goal: to earn their trust. I ended each of the meetings feeling both grateful, and further inspired by the importance of this research. They each chose to expose their “scar” to me and to allow me to write about their unfinished presidential mandate. I gained their trust, I heard their stories, I asked questions, and I wrote about their experience as a Canadian university president with an unfinished mandate. They come from universities of different sizes and represent different disciplines. Some presidents are from urban universities others situated in more remote communities. They each share a similar background – all are academics, who came from outside of the university where they were chosen to be president. Half were female, and half were male, and yet they represent a common demographic in terms of age, race, level of education, and experience. They each lived an individual experience; however, the message in their stories share many common patterns. In pursuing this research, I wanted to contribute to higher education research, and I also wanted to make a difference. I am proud to have accomplished both of these goals.

1.1 Description of the problem and research questions

Working in a university president's office, I remember the flurry of activity, concern and interest each time that it happened. *What is the media saying? What is the mood on campus? What is the true story? How did this happen ...and why?* Approximately 16 university presidents in Canada over the past ten years have lived an unfinished mandate within their first presidential term. The mandates of these university presidents are either not renewed or terminated before their end. This trend is reflective of a context within universities that is unceasingly changing. As the media purports, one Canadian university president "resigns;" another "quits;" he "steps down;" she is "gone;" he is "let go abruptly," and she is "turfed" (see appendix 1 for referenced media). The presidencies at Saskatchewan, the University of King's College, Nipissing, Concordia, and Thompson Rivers universities are the most recent Canadian examples of this trend. Past presidents at Queen's, Carleton, *Université du Québec à Montréal* and the University of Regina have also lived the experience. "Never has Canadian university presidential leadership been under greater scrutiny than it is today" (MacKinnon, 2004, p. 132). Universities both within Canada and internationally are continuing to face greater complexity triggered by increased competition, globalization, and accountability, along with funding challenges (Finch, Burrell, Walker, Rahim & Dawson, 2010). Changes that are taking place within universities have a direct impact on the roles and responsibilities of their leaders (Goodall, 2006), particularly the university president. Astin and Astin (2001) highlight the importance of the university president to rise above the complexity in order to inspire, direct and guide transformation. In these changing times, a better understanding of presidential leadership is invaluable (Ekman, 2010). The trend of an increasing number of unfinished mandates of university presidents in Canada

leads to some significant questions that require further exploration and study. Increased knowledge, understanding and research are required to comprehend this development and more specifically, to appreciate the role of the relationship between a president and the university that they are chosen to lead.

This research investigates the perspectives of university presidents with unfinished mandates. Through an in-depth series of interviews with six of the 16 Canadian university presidents with unfinished mandates, my research explores leadership experiences and highlights patterns and trends within the individual trajectories of presidents preceding their shortened mandate. Research is required to frame the issues of academic leadership and to comprehend the perspectives of these university presidents. By analyzing their experiences within the context of the higher education research, the individual stories of university presidents with unfinished mandates will shed light on both the commonalities of leadership experiences and the challenges of leading. While the learning does not necessarily provide universality, the *why* of unfinished mandates will be better understood. The research also provides concrete recommendations for leaders in higher education, specifically related to leadership transitions. This research is limited by providing only one perspective to this discussion, that of the university president. However, the richness of these untold stories provides important contributions to the higher education research.

My personal interest in this topic stems from the seven years that I spent as a Chief of Staff to two university presidents at the same institution. As Chief of Staff, I worked with one president for a period of five years and subsequently led the transition for a new president over a period of two years. Throughout this experience, I developed an interest in university

leadership, governance, and change management while witnessing first-hand the complexities of university cultures and the significance of social and cultural capital, particularly during times of institutional change. I have also had the opportunity to interact with university presidents from across the country and observe the challenges of university culture and leadership as an outsider to the university system. I am challenged by the public policy discussions around the importance of failure in order to drive creativity and innovation, and yet I am observing how our society does not reflect this same openness in practice. Due to this personal experience, I approached the interviews with a certain bias as I genuinely held a level of respect for the role and the conflicting expectations within the position of university president. Within Judith Woodsworth's (2013) reflections on university leadership in the book, "Making policy in turbulent times," she notes the fine or blurred line between success and failure, opportunities and challenges. This perspective underlies my desire to learn from the reflective wisdom of Canadian university presidents with unfinished mandates.

To date, most of the research is based on typical presidential mandates that are most often defined by completed tenures. As an example, former university president, Ross Paul's (2011) research focuses on 11 successful careers of Canadian university presidents, as does McMurray's (2010) case study of five exemplary university presidents. However, much of the literature within the North American context in this field is based on memoirs from retired university presidents (Birnbaum, 1992; Bennis, 2007; Paul 2011; Tierney, 2008). While the circumstance of unfinished mandates is referenced both within Canada and internationally, the research has not yet examined this manifestation in the Canadian context (Michael, Schwartz & Balraj, 2001; Ross & Green, 2000; Paul, 2011). In MacKinnon's recent book on universities and

public policy (2014), he devotes a chapter to the issues of unfinished mandates. MacKinnon reflects on his 13 years as a university president,

I learned that a president's duties are multilayered and multidimensional, and that they are never ending. I came to understand how precarious the office is in the midst of the demands and expectations of its several communities. I experienced victories and defeats and rued that the former did not feel as good as the latter felt bad (MacKinnon, 2014, p 4).

A trend is seen through media reports and opinion pieces¹, primarily in Canada, the United Kingdom, Australia and the United States. These commentaries question presidential resignations, early departures, unfinished mandates and even rare reinstatements, as seen in 2012 at the University of Virginia². Journalists, past presidents, and academics endeavor to pinpoint the reason for these shortened mandates. Sporadic circumstances name a campus scandal³. However, most articles and opinion pieces refer to issues such as a potential disconnect between the board and the president, a concern over presidential management skills and leadership style, or university finances. Researchers underline their concern for the gaps in the literature and specifically highlight the number of high-profile failed presidencies along with

¹ Some recent media commentary includes: "Leaders' oustings upset Canadian scholars;" "Why public university presidents are under fire;" "The precarious profession of university president;" "No confidence vote for head of NYU." A summary of media articles is included in appendix 1.

² For media articles discussing the dismissal and subsequent reinstatement of University of Virginia president, see appendix 1.

³ Within a US context, some scandals include: a president providing preferential admissions treatment to the children of donors and political leaders; a president drinking with students; a president taking her own life after being caught with gross overspending, including the installation of a famed \$30,000 dog run at the university residence; a president's daughter-in-law committing suicide after the affair with her father-in-law university president became public (de Vise, 2011).

a decreasing number of interested candidates for the presidential role (Maslin-Otrowski & Floyd, 2012; Martins & Samuels, 2004). Fethke and Policano (2012) also discuss the “precarious profession of university president” and point to the design of the university-governance structures that have become ineffective within the current challenging environment (p. 1). These patterned references point to an interesting trend in university leadership that demands further study. The research to date focuses on looking at this issue predominantly from an organizational perspective, and much is to be learned from the leaders’ eyes, specifically within the unique realm of unfinished mandates. The present study therefore has the following two objectives: 1) to understand the unfinished mandates of Canadian university presidents and 2) to further learn from their early leadership experiences in order to understand presidential leadership within the context of the university culture. In turn, two research questions have been developed to support this analysis:

Question one: How did the leader’s relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?

Question two: How was the leadership transitional process perceived by presidents within their respective university cultures? And what role, if any, did the transitional process play in their shortened mandate?

1.2 Rationale for the study

Higher education scholars view the role of university president as central to the well-being of both the institution and higher education system as a whole (Ross & Green, 2000). In fact, many of these scholars observe that the presidential office is the most strategic office when looking to achieve institution-wide impact (Michael, Schwartz & Balraj, 2001; Ross & Green,

2000). As the primary facilitator of a university's governance structure, the institutional figure-head, plays a determinant role in building reputation and advancing the vision and mission of the university (Cyrenne & Grant, 2009; McGoey, 2007). In turn, Smith and Adams (2008) pinpoint two divisive requirements of the university president: a need to ensure organizational independence and diversity, along with a need for a framework of accountability. They further describe this contradicting role as a "complex corporate-academic web" (p. 340). On the other hand, Fethke and Policano (2012) explain the difficulty for university presidents to "lead assertively from the middle of the hourglass," while facing conflicting powers from their governing boards and faculty. They note a significant risk to governance if culture were to trump strategy within universities (Fethke & Policano, 2012). This perspective raises the concern that traditional university governance structures might negatively influence the advancement of institutions and impede change. MacKinnon (2014) argues that the presidential office is virtually invisible to the community of academia that surrounds it. Researchers determine the need to study the role of the university presidency and the relationship between a university president and their community of stakeholders (Cyrenne & Grant, 2009; Fethke & Policano, 2012; McGoey, 2007; Michael, Schwartz & Balraj, 2001; Munduate & Medina, 2004; Ross & Green, 2000).

Research led by David Turpin, president of the University of Alberta (Turpin, De Decker & Boyd, 2014) provides further support in their historical research examining the mandates of university presidents in Canada. This research is unique in the Canadian perspective and it provides the data to support the rationale for the present study. Turpin et al. (2014) examine the mandates of Canadian university presidents within the Canadian University Presidents Project.

They estimate that close to 20% of the Association of Universities and Colleges of Canada membership has had a presidential term cut short. Turpin suspects that mandates may have ended due to the difficulties and complexities of the role, which include changing expectations and management structures, increased public profile, and the external focus of the role. He also cites the demands of the board and possible mistakes in the search process and ponders whether the use of search consultants might decrease board engagement. The complexities of university culture, ineffective governance and growing pains, particularly within smaller institutions, are also observed. Concrete examples include recent cases at Nipissing (2012) and Concordia (2010) whereby students, members of Senate, faculty members or members of the Board of Governors take a solid, public stance in favour or against a given leader. Turpin references the decrease in the pool of candidates and the changing nature of board activism, frequently led by students and faculty members who demand and expect a model of shared governance. Several of the factors above point to the need to understand transitions for university presidents and the challenges related to the importance of shared values. Moreover, Turpin's research uncovers that, among Canadian universities, the average length of service for university presidents has decreased from a peak of 14 years in the early 60s to a five-year average in 2010 (Turpin et al, 2014). The years of experience have also decreased from eight years in the early 60s to 3.6 years in 2010. And, between 2005 and 2010, 12 presidents served for three years or less, compared to four between 1999 and 2004. Finally, the percentage of female presidents has remained constant for the past 14 years, simmering at only 19%. It is important to note that in the past four years, women comprised over 80% (five out of six) of presidents with unfinished mandates—up from 33% over the past ten years. Turpin et al.

observe that this data, coupled with the higher amount of board-initiated early departures in recent years, contributes to the growing complexity surrounding leadership in Canadian universities (Turpin et al., 2014).

Turpin demonstrates the dramatic growth in unfinished mandates, along with the decline in overall tenure length for presidents within Canadian universities (Turpin et al., 2014). While unfinished mandates are most prevalent today, there are also occurrences from a historical perspective. In 1945, then-president of Dalhousie University, Carleton Stanley was shown out the door due to his “radical views” (Cahill, 2002; Horn, 2009). Harry S. Crowe was dismissed by the Board of Governors at the University of Winnipeg (then United College) in 1958, leading to the creation of the CAUT (Horn, 2009). Simon Fraser University’s first president, McTaggart-Cowan was asked to resign in 1968 after a series of small crises (Johnston, 2005). In 1973, a revolt by the deans led to an early end of mandate of David Slater at York University. In 1994, Patrick Kenniff of Concordia University resigned after the Fabrikant tragedy on campus. In 1997, John Stubbs resigned as president of Simon Fraser University after a high-profile sexual harassment case on campus between a student and the swim coach. Each of these university presidential mandate-ends provide both perspective and context to the situation of unfinished mandates that have occurred in the more recent past. While a few fall into the category of crises, many of the unfinished mandates parallel issues and controversy that university presidents in Canada face today.

The notion of studying unfinished mandates is in its early stages. Recent research examines unfinished presidential mandates within a US context. Trachtenberg, Kauvar and

Bogue (2013) studied presidential derailments within the US university and college systems. Through case studies and interviews, they conclude with six derailment themes that help to explain the shortened mandates of these presidents. They include a lack of sound ethical judgment; poor interpersonal and communication skills; difficulty to lead all key stakeholder communities; trouble adapting to institutional culture or the role of president; failing to meet business objectives; and shortcomings by the board. Four of these themes are rooted in the corporate derailment literature while two surface within the case studies focusing more specifically on university presidents. They are: ethical lapses and board shortcomings. Turpin also identifies environmental issues within the university milieu that contribute to the high number of early departures. They include the shifting role of university president and increased responsibilities, including leading business ventures off-campus; increased media scrutiny, and negotiations/relationships with external partners and stakeholders. This timely research contributes to unpacking the factors leading to an increased number of unfinished mandates. Despite a recent resurgence in research in this area, my research is the first of its kind studying unfinished presidential mandates within a Canadian context.

In summary, factors such as the growing prominence, importance and complexity of the role of university president (Ekman, 2010; Fethke & Policano, 2012; Turpin et al., 2014), along with the decreased pool of candidates (Martins & Samuels, 2004; Turpin et al., 2014) are cited as issues that might contribute to the increasing number of presidents with unfinished mandates. Changing expectations, board relations and ineffective governance (Campbell, Moy, Feibelman, Weisman & Blumenthal, 2004; Gross, 2011; Turpin et al., 2014) are also influencers that are explored as contributors to this phenomenon. The complexities of university culture (Bolden,

Petrov & Gosling, 2009; Cyrenne & Grant, 2009; Turpin et al., 2014) are a recurring factor in higher-education research that help situate this escalating trend of unfinished mandates. Based on this current context, it is evident of the importance of the present study. The issue of unfinished mandates is a new subject of interest within higher education research and has not been studied, particularly within a Canadian context.

1.3 The need for the study and subsequent contributions to the field of educational research

Human capital is one of the most important resources and strategic assets in today's knowledge economy (O'Reilly & Pfeffer, 2000). Attracting, developing and maintaining the very best leadership within an organization are crucial facets of success (Tuttle, 2002). Leaders set the stage in terms of investing in human capital and the subsequent development of teams. Within the higher education research, some research focuses on presidential leadership within universities; (Michael, Schwartz & Balraj, 2001; Ross & Green, 2000; Ross, 2011) examining the presidential role, its functions and characteristics, along with the skills required to assume the position (Campbell, Moy, Feibelman, Weisman & Blumenthal, 2004; Cyrenne & Grant, 2009; Fethke & Policano, 2012; Gross, 2011; McGoey, 2007; Michael, Schwartz & Balraj, 2001; Paul, 2011; Shapiro, 1998). Other research investigates presidential leadership by examining academic leadership styles (Bergquist & Pawlak, 2008; Bolden, et al., 2009; Bolman & Gallos, 2011; Gronn, 2008; Knight & Trowler, 2001; Middlehurst, 1993; Tierney, 1991) within the context of a complex university culture (Cyrenne & Grant, 2009; Gray, 2004; McGoey, 2007; Ramaley, 2003; Smith & Adams, 2008). Further aspects of presidential leadership within universities include the development of a president's social network (Gross, 2011). Presidents develop and create relationships both on and off campus. The development of relational leadership for university

presidents (Kezar, 2004; McMurray, 2010; Mendez, 2009) play a key role in the president's leadership development, and their relationships with key stakeholders. More specifically, the relationships between university presidents and board or senate members are studied. Although these relationships can be rich, they can also lack in understanding and true engagement (Gross, 2011), as seen particularly during times of transition (Thompson, Cooper & Ebbers, 2012). The process of sensemaking, where the president plays a proactive role in making sense of the campus culture (Lohse, 2008; Smerek, 2009), is another theme explored within this higher education research. Research shows the motivations for university presidents when assuming their role. They include a sense of loyalty, or even obligation to support the growth of the organization; a genuine desire to give back, and a passion for higher education and governance (Bolden, Petrov & Gosling, 2009; McMurray, 2010). Within case study research by Thompson, Cooper and Ebbers (2012) and by Maslin-Otrowski and Floyd (2012), the leadership of board members within presidential transitions is highlighted as a determining factor during the transition period. Each piece of higher education research cited above plays a determinant role contributing to this dissertation.

I will examine how presidents with unfinished mandates perceive the leadership transitional process within their respective university cultures. I will also attempt to understand what role, if any, the transitional process plays in their shortened mandate. Consequently, this unique research is crucial in uncovering the challenges of presidential leadership within the context of a university culture, particularly during the transition period. The depth of my case study research allows me to explain and understand the complex circumstances of Canadian university presidents with unfinished mandates. This exploration will contribute to knowledge

regarding academic leadership and help improve future practices in higher education recruitment, retention, and transitions.

1.4 Organization of the thesis

The thesis comprises seven chapters. The first chapter introduces the need for the study, the background to the research, the research problem, and the questions. A description of the organization of the thesis follows. In the second chapter, the pertinent literature on academic leadership, the role of social capital and leader-organization fit is presented and analyzed. The third chapter provides an overview of the literature related to organizational socialization and proposes a conceptual framework for the study. The fourth chapter presents the method and methodology of case study research, the design of the study, and a discussion regarding reliability and validity of qualitative research. This chapter provides key information that is important to the study: background to participants, an outline of the data instruments, and the modes of analysis and criteria for data interpretation. The fifth chapter presents the data and the full findings of the research. The sixth chapter presents the key findings, analyzed by research question, discussed, and supported by research. In the seventh chapter, conclusions are drawn by discussing the practical and theoretical contributions to the research of presidential transitions. The implications and limitations of the study and suggestions for future research follow.

1.5 Chapter summary:

This chapter outlines the background of the study, states the research problem, the need for the study and the research questions. It explains the organization of the study and

provides key definitions for terminology used in the study. The literature review in Chapter two explores leadership within the university environment.

Chapter 2: Literature Review

As presented within the rationale, there is a pressing need for additional research regarding perspectives from university presidents with unfinished mandates. Within this literature review, executive derailment in a private-sector context will be examined (Finkelstein, 2003; McDonald-Mann & Leslie, 1999). The role of the university president (Gross, 2011; Michael, Schwartz & Balraj; 2001; Paul, 2001) and their subsequent leadership styles will be studied in order to underline the importance of this role. Social capital and the role of relational leadership (Balkundi & Kilduff, 2006; Bollingtoft & Ulhoi, 2005; Davidsson & Honig, 2003; Day, 2000; Fang, Duffy & Shaw, 2002; Gross, 2011; Lin, 1999; McCallum & O'Connell, 2008; Prusak & Cowen, 2001), along with aspects of university culture will be reviewed (Astin, 2001; Bolman & Deal, 2003; Densten & Sarros, 2012; Lick, 2003 & Ramaley, 2003). Further research discussing the concept of "leader-organization fit" (Cable & Judge, 2007; Kristof-Brown, 2000; Lindholm, 2003) is also examined in order to frame the circumstances that influence the leadership transition process while raising concerns regarding diversity in leadership. Finally, the concept of leadership and ethics will be better understood by a review that examines the relevant themes of this phenomenon (Astin & Astin, 2001; Ciulla, 2005; Gemmell & Oakley, 1992; Howell & Avolio, 1992; Maccoby, 2000; Smith & Adams, 2008). This literature review will situate the context of leadership within higher education in order to understand the challenges of leadership, the dynamics of transitions and the circumstances associated with unfinished presidential mandates in Canadian universities.

Worldwide, there is an increased interest in university leadership and governance, as universities are more competitive and global than ever before (Goodall, 2006). Universities within Canada educate 1.5 million students annually in over 95 public and private, not-for-profit universities. These institutions also perform a third of Canada's research and development, representing 30 billion dollars in annual funding (AUCC, 2014). Higher education is a constitutional responsibility within Canada; the provincial and territorial jurisdictions maintain this responsibility while leaving the autonomy to each university in terms of academic matters and quality assurance. Canadian universities are diverse and vary in size, character and selection of programs; however, one does note some collective tendencies. There is an accelerating growth and interest in higher education in Canada. This accompanies: an increased competitiveness; changing disciplines, along with global mandates. There is an evolution of learning and knowledge due to technology, and conflicting tensions, both internally and externally, regarding the multiple mandates and expectations of universities, in the eyes of a host of stakeholders. These stakeholders are demanding public accountability in a time of scarce resources (Paul, 2011). Students, professors, staff, community members, donors, alumni and leaders from the public, private and non-profit sectors share an investment in Canada's institutions of higher learning, and their demands and expectations are soaring (MacKinnon, 2014).

2.1 Executive derailment and unfinished mandates

The literature discussing executive derailment within the corporate sector is rich. Executives who derail can cost organizations over 20 times an executive salary in direct and indirect costs (Finkelstein, 2003). Derailment is the termination or resignation of a president

before the end of his or her first contract (Trachtenberg, Kauvar & Bogue, 2013). Finkelstein (2003) looks at the unfinished mandates of private sector CEOs. He identifies four patterns or syndromes as indicators within these circumstances. They include: flawed executive mind-sets that disturb an organization's perception of reality; delusional attitudes; communication breakdowns, and ineffective leadership/management strategies. Finkelstein associates "great corporate mistakes" with managerial inaction, just as much as managerial actions (Finkelstein, 2003, p. 1). Further, he cites specific moments in transition that often precipitate the derailment including creating new ventures; dealing with innovation and change management; managing mergers and acquisitions, and addressing new competitive pressures. His case studies involve a deep analysis of corporate derailments at private-sector giants such as Samsung, Johnson & Johnson, Motorola, Rubbermaid, Quaker, and Sony. McDonald-Mann and Leslie (1999) have also examined this phenomenon within a private-sector context. They describe five derailment clusters: problems with interpersonal relationships; difficulties leading a team; an inability to adapt to change; a failure to meet business objective, and too narrow functional orientation. Within any context, an executive derailment is a costly venture for both private sector and public institutions.

As referenced in Chapter one, Trachtenberg, Kauvar and Bogue (2013) studied presidential derailments within the US university and college system. Through case studies and interviews, they conclude with six derailment themes that help to explain the shortened mandates of these presidents. They include: a lack of sound ethical judgment; poor interpersonal and communication skills; difficulty to lead key stakeholder communities; difficulty adapting to institutional culture or the role of president; failure to meet organizational

objectives, and shortcomings by the board. Four of these themes are rooted in the corporate derailment literature, while two surface uniquely within the research focusing on university presidents. Those unique to university executive derailments include ethical lapses and board shortcomings. For this reason, the research to date discussing executive derailments, both within academia and beyond, provides a solid framework to understand better the circumstance of unfinished mandates within Canadian universities. Leaders that have lived an unfinished mandate share a distinct leadership experience that provides an interesting lens for the broader discussion of leadership.

2.2 Leadership

The term “leadership” is filled with much ambiguity as it is defined in so many different ways. When looking at leadership from a historical perspective, the changing definitions reveal the evolution of the concept of leadership itself. In the 1920s, the definition of leadership included a reference to “inducing obedience,” whereas during the 40s, it included the ability to “persuade or direct men” (Ciulla, 1995). Researchers in leadership initially focused on behavior traits and specific characteristics required in order to be “successful” leaders (Rost, 1995). Within the leadership research, one observes two common foundational trends: transactional and transformational leadership. Bass (1999) defines transactional leaders as those who motivate and guide their team towards set objectives by organizing goals, tasks and roles within a group. According to Bass (1999), transformational leaders elevate the interests of those in their team, ensuring engagement and awareness regarding the vision and objectives while encouraging individuals to look beyond their own interests in order to benefit the group as a whole. In Brown and Moshavi’s (2002) landmark study, “Herding Academic Cats,” the authors

show the behaviors that Bass (1999) associates with transformational leadership, namely: idealized influence, intellectual stimulation and individualized attention. These are effective in contributing to faculty satisfaction within a university. Bass' (1995) research changes the view of the relationship between transactional and transformational leadership. He presents these two forms of leadership as different dimensions rather than polarized entities of one continuum. From another vantage point, Davis (2003) describes leadership in terms of movement. Key aspects include: advancing an organization in a new direction; solving problems; being creative; building organizational structures; developing new initiatives, and improving quality. The multitude of leadership definitions reflect a wide variety of worldviews that differ in their way of viewing leaders and leadership. As the central factors of leadership have evolved consistently over time, the definition of leadership that will be used within this literature review is the following: "leadership is an influence relationship among leaders and collaborators who intend real changes that reflect the purposes mutually held by both leaders and collaborators" (Rost, 1995, p. 133). This is reflective of my perspective as the researcher as it reveals the significance of a sense of shared values within all discussions on leadership. It also shows the importance of engagement and the need for a commonly shared vision. The chosen definition also acknowledges the important role of organizational culture and places relationships at the forefront of the discussion. This theme is developed within the literature review.

In the context of a university culture, leadership carries its connotations and nuances. In Birnbaum's (1992) study involving presidential leadership within universities, he argues that institutional heads are required to be more transactional rather than transformational to protect the organizational culture within universities. His key argument is that successful

presidents use many styles of leadership that are unique to the individuals that they are working with and the initiatives that they want to implement. Birnbaum (1992) refers to the term that he defines as *instrumental* leadership, which entails the management role within an institution: making decisions, crisis management, and ambassadorial duties. Birnbaum (1992) defines *interpretive* leadership as the leadership that involves changing the perceptions that others have of a particular institution and the external image of the university. According to Birnbaum (1992), the most effective presidents are those that can marry interpretive and instrumental leadership in growing their university and advancing the vision. However, before exploring academic leadership more closely, it is important to examine university culture, which acts as the setting or the envelope, for the work of the academic leader.

2.3 University culture

The culture of an organization is a powerful force that can significantly impact the leader and his or her ability to effectuate change and growth. Within the context of transitions, culture is seen as a highly subjective phenomenon, difficult to summarize in a briefing note or explained over coffee to an incoming president. Conner (1993) defines culture as the reflection of the interrelationships between assumptions, beliefs and behaviours that are shared and acquired by members of an institution. Peterson and Spencer (1991) define culture as deeply-embedded patterns of behaviour and shared values, assumptions, beliefs or ideologies that people hold regarding an organization or their work. In many ways, functioning within a given culture becomes an axiomatic truth that is taken for granted within that environment. A culture is reflective of the assumptions, beliefs and behaviours that are held by members of the organization. The assumptions, according to Lick (2002) are unquestioned and often unconscious

priorities, processes and functionality within an institution. For example, within a university, this might take the form of the importance of the Senate, the campus' support of university events or the overall loyalty that one feels towards the institution. Beliefs can be explained as truisms regarding values and expectations of oneself or others, a profession or the institution itself (Lick, 2002). Beliefs, such as a genuine focus on students, the value or respect given to academic leaders based on their academic credibility or the balance of priorities regarding teaching and research excellence, are a few examples within universities. Behaviours are seen as the daily conduct of individuals within an institution (Lick, 2002). Examples include the evaluation of students, the use of new technologies or innovative teaching methods. A culture reflects a set of shared values within a certain community. As an example, the human resource department at the company Apple is sometimes referred to as the *keeper of the culture*, a role assumed with much importance and value. Tierney and Bensimon (1996) describe the three aspects of culture as structure, environment, and values/mission. While Bolman and Deal (2003) view leadership through a cultural lens and ask, "Do leaders shape culture, or are they shaped by it?" (p. 231). Culture and leadership intertwine closely. A strong culture can generate and reinforce shared values (Chou, Wang, Wang, Huang & Cheng, 2008). Organizations with a strong and positive culture attract the most competent leaders, retain the very best employees, have the most successful returns and are the envy of their competitors (An, Yom & Ruggiero, 2011; Jaskyte, 2010; Kotrba, Gillespie, Schmidt, Smerek, Ritchie & Denison, 2012; Moran & Volkwein, 1992; Rashid, Sambasivan & Rahmna, 2004; Riad, 2005; Sarros, Cooper & Santora, 2008). Strong corporate cultures can be the driving force behind organizational success, and their values are a

strong source of importance and pride (Bourne & Jenkins, 2013; Posner, Kouzes & Schmidt, 1985). Ramaley (2003) states:

To be considered truly transformational, the initiative must alter the culture of the institution by changing select underlying assumptions and institutional behaviors, processes, and products; it must be deep and pervasive, affecting the whole institution; it must be intentional; and it must occur consistently over time (p. 59).

The research on organizational behaviour strongly supports this importance of culture in the context of leadership, and particularly during times of change or transition. However, while culture plays a role at the heart of much of the organizational change research, some researchers deny the entire existence of something that one might call a culture, particularly within a university (Barnett, 2000; Clark, 1983; Silver, 2003). Clark (1983) explains the rivalry of academics with respect to their conflicting values. They may include: priority to international research partnerships; engagement within their given profession, or their individual universities, not to mention within their faculties or departments. Barnett (2000) builds on Clark's work by stating that:

...large multi-faculty universities – and even small institutions – are a conglomerate of knowledge factions, interests and activities. We cannot assume that the manifold activities of the 'multiversity' have anything in common. It follows that the notion that there could be a single binding characteristic that all constituent parts of the university share, that there could be an essence, has to be suspect (p. 48).

Within the context of a university, this entire issue of culture is magnified as the environment, is both complex and multi-faceted (Peterson & Spencer, 1991). Higher educational cultures and subcultures are sometimes described as rigid and restraining (Lick, 2003) in which processes and governance structures are adhered to and respected. MacKinnon (2014) describes universities as,

...path-dependent organizations with a status quo bias and internal organizations and processes that reinforce that bias. Their histories, governance, unions, and bureaucratic ways combine to discourage change, at least in the absence of imminent threats from exogenous influences.

At the same time, universities provide work environments that are extremely flexible and encourage a high level of independence and autonomy (Bolden, et al., 2009). For this reason, in many ways, universities are a paradox. Marginson (2010) explains how universities are “so easily annexed to a range of contrary agendas: conservative and radical, capitalist and socialist, elite and democratic, technocratic and organic” (p. 1). In an organization such as a university, more loyalty might be directed to the discipline or to the academic research rather than to the university as an organization (Brown, 2006). This cultural paradox provides a foundation of complexity that might create a challenging landscape for the university president to maneuver. From the more precise perspective of the university president, Tierney and Bensimon (1996) highlight the importance of a university president to facilitate a culture as opposed to managing it. Consequently, while change is essential for innovation and growth, culture is one of the hardest things to change within an institution (Sarros, Cooper & Santora, 2008). The culture of universities provides a backdrop for a university president that is neither straightforward nor easy to predict. Particularly within a time of leadership change, a new president needs to advance carefully as they learn and transition into the university culture of that particular institution.

Within a university environment, cultures may vary significantly among the larger community and within faculties, departments or services. Various stakeholders experience the university culture differently based on their position and perspective. Astin and Astin (2001)

prefers to describe today's university as a collection of scholars rather than a community of scholars. Kerr coined the term, "multiversity" to explain the reality of modern universities being a series of communities that exist under a common name (2001). Silver (2003) suggests that a "culture of tolerance of diversity" or a "culture of fragmentation in tension" might be a more appropriate explanation of a so-called university culture (p. 167). Gray notes "a diminished sense of common institutional citizenship" (2004, p. 97). However, despite the criticism, or perhaps cynicism, that exists regarding university culture, this research is based on the premise that universities do, in fact, have a culture and that this culture plays a significant role for the university president. University culture is particularly relevant when assuming the role and transitioning to the role as the principal leader of a university. The individual culture of each university is central to one's understanding of the operational functioning of the institution. Birnbaum (1992) explains how culture provides the fundamental propensities that enlighten, explain and generalize the systems and processes of a university campus. As a former university president himself, he describes how the culture of a university acts as an envelope that sets parameters for the range of behaviours accepted within the particular functioning of a university. Ramaley (2003) depicts university culture in three layers. The first layer is surface and might entail the formality of business relations, the gender roles, or symbols and places that have unique importance to the campus community. The second layer is termed unspoken. It represents the conduct and expectations of members of a certain profession or of the community as a whole. This might include the importance of certain traditions, or the collegial and consensus-based manner in which business is conducted and decision-making processes are managed. Finally, the deep layer is often only revealed in challenging circumstances. This

layer is best described by the sense of identity, belonging and citizenship of the university community as a whole. It embodies fundamental principles that the institutions hold dear, and these commonalities tie members of a culture together in moments of change (Ramaley, 2003). While a new president may seek to change and modernize a culture of a campus, the research focusing on transitions emphasizes the importance of leaders understanding a university culture before attempting to change it. The university culture plays a highly determinant role in the more specific role of the university president. This is a role that may differ within the context of different university cultures, and within the larger political or economic context of a given region or country.

2.4 Role of university president

The complexities of the role of university president are amply researched and explored within the higher education research. Michael, Schwartz and Balraj (2001) describe the university president as “the most visible embodiment of institutional mission, vision and culture” (p. 332). Paul (2011) sees the most important role of a university president as managing the big picture: the institution’s mission, vision and long-term goals. The role of university president as leader is extensive. Gross (2011) underlines vital aspects such as: university management and budgeting; articulating the mission and vision of the university; being the public face of the university; setting the tone for the academic plan and ensuring a positive campus climate. Woodsworth (2013) reflects,

A president's role is to provide vision, craft a plan, and establish direction for the university – all of which should be not only consistent with its past tradition and mission, but also innovative enough to allow the institution to distinguish itself in a crowded, competitive marketplace. The president is both the face of the university and the interface between the external community and the academy as well as between the board and the professoriate. Like the translator, the president is a go-between, communicating between cultures and across borders, conveying the sense of the academic enterprise to external stakeholders and board members, and interpreting the business-related concerns and preoccupations of a responsible board to the internal community (pp. 133-134).

With so many competing priorities related to one's role, the complexity of the role of a university president becomes an important element to fully understand. This is particularly imperative in a time when the university itself is undergoing significant change. Within this research, I will seek to understand how the changing role of university president may or may not contribute to an increasing number of unfinished mandates among university presidents in Canada.

The position profile of the university president encompasses a range of roles that are sometimes conflicting or competing. Working with such a diverse group of stakeholders who hold contending priorities for the university president is challenging. Bennis (2007), a former university president himself, highlights six competencies required for university presidents. They include: the development of a sense of mission; an ability to encourage others to support them in that mission; the creation of a social architecture that is adaptive for their team; the generation of trust and optimism; the development of other leaders; and, the achievement of results. His suggested competencies separate the mission development and the encouragement of mission acceptance. I would suggest an integration of these competencies that would enable stakeholders to participate in developing, owning and sharing the mission, allowing for authentic

engagement in the mission development. McGoey's (2007) research compares stakeholder perceptions of presidential effectiveness, which he describes in five priority areas: understanding university culture; developing a shared vision and mission; influencing ideas and people by administering goals to advance that vision and mission; communicating extensively both internally and externally, and enhancing the university by securing additional resources. The importance of culture, shared values, relationship building and communication is central to McGoey's research. Michael, Schwartz and Balraj (2001) also cite four indicators to underline the success of a university presidency. They include: knowledge of higher education; influence in attracting funding; healthy relationships, and management and leadership skills. Campbell (2003), in his study examining the senate presidency, describes the importance of shared meaning based on the organization's culture as the glue that can bind the university community to its president. In his research on Canadian university presidencies, former university president, Paul (2011), discusses extensively the changing role of the university president in Canada. He refers to the observations made by Shapiro, the former president of Princeton University, regarding the conflicting roles and expectations of the university president (Shapiro, 1998). From each stakeholder's perspective, Shapiro explains how the expectations vary quite dramatically in terms of priorities. These may include: increasing funding; teaching and research; ensuring high-quality student services; acting as a fiscally responsible change agent, or a symbol of campus pride and success (Shapiro, 1998). With so many competing priorities related to one's role, the complexity of the role of a university president becomes an important element to fully understand. This is particularly essential in a time when the university itself is undergoing significant change, like in a time of transition. The research unveils varying perspectives on the

role of the university president within a complex culture such as a university campus. Exploring the theme of social capital, the manner in which a president's social capital influences the experience as a university president will be better understood.

2.5 Social Capital

A president's social capital includes their network of relationships that contribute directly to their leadership effectiveness and provide significant value in advancing their role and influence as the leader. Whereas cultural capital is the use of culture as a power resource (Bourdieu, 1997). Both social and cultural capital play an instrumental role in influencing a university president's leadership. The research undervalues the importance of social capital, compared to that of human capital (Dess & Lumpkin, 2001). Dess and Lumpkin (2001) describe human capital as the task-oriented competencies of a leader: knowledge, skills, experiences, capabilities, abilities, and education are all examples of human capital. Social capital, however, is based on relational skills such as developing partnerships; making commitments; cooperating; providing feedback; trusting others, and being aware of social cues and goodwill (McCallum & O'Connell, 2008). Social capital differentiates from human capital in the sense that social capital is the *"quality created between people, whereas human capital is the quality of individuals"* (Burt, 1997 as cited in Galli & Muller-Stewens, 2011, p. 178). The social capital approach views leadership as fundamentally relational. It is an ongoing process that occurs between all members of a team while being embedded within the context of an organization (Balkundi & Kilduff, 2006; Day, 2000). In a knowledge-intensive environment such as a university campus, where the value of education and skills are great, there might be an underestimation of the role and power of social capital.

The perspectives and divergent approaches to understanding social capital are abundant. Social capital theory (Lin, 1999) presents social capital as the resources integrated into a social structure and subsequently accessed or mobilized for specific purposes. Lin (1999) defines the notion of social capital as, “investment in social relations with expected returns” (p.2). The subsequent effects of social capital are numerous and include: achieving desired outcomes by assisting the flow of information; influencing; building trust through social credentials; and reinforcing the recognition (Lin, 1999). Social capital is the individual and collective social networks, ties and structures that support individuals in achieving success (Bollingtoft & Ulhoi, 2005). The size, strength and mix of one’s network become the operationalization or the mobilization of a person’s social capital (Davidsson & Honig, 2003; Fang, Duffy & Shaw, 2002). Social capital can be viewed as the social awareness and skills that enable the development of relationships and networks to encourage cooperation and the exchange of resources in order to optimize value for the organization (Day, 2000). Or, it can be seen as the human network developed within an organization through trust, shared values, common understanding and corresponding behaviours (Cowen & Prusak, 2001). For this reason, building relationships are at the heart of social capital (Gross, 2011).

Within an organizational culture such as a university, the notion of social capital plays an instrumental role for the university president and guides his or her network of relationships with a multitude of stakeholders. These relationships, developed primarily through informal networks, are of central importance for the university president. Developing one’s social capital on campus contributes to the president’s transitional process in a very direct way. Balkundi and Kilduff (2006) show how the quality of the leader’s social network has a corresponding effect on

the leader's effectiveness. Coleman (1988) infers social capital as being more about its function; the fact that individuals have two elements in common, facilitates the actions of those within the structure. On the other hand, Arriaza (2003) explains social capital as the individual and group ability to negotiate social frontiers and barriers within the institution that subsequently leads to specific benefits to either party. Bolden, et al, (2009) propose that formal or informal networks, both within the institution and beyond, are the foundation of social capital. Portes (1998) shows how actors secure benefits based on their membership in a social network or structure, and how their returns increase due to opportunities presented. Adler and Kwon (2002) see social capital as the intangible attribute that comes from the relationships between members of the group. This collection of assets, behaviours and processes are exchanged among group members through collaboration; the relationship among members helps them to reach shared goals.

As a president transitions to a university culture, or to a new role in a culture that they know well, managing and understanding social capital is integral to their role. Adler and Kwon (2002) outline three aspects of social capital that include: opportunity, created due to the network structure; motivation, common due to shared values and identification; and a high level of trust and abilities, intrinsic to each individual. While much of the literature refers to supportive norms (Portes, 1998) within a network of social capital, there are also sanctions for not conforming within a group, such as compliance to group pressure (Coleman, 1988; Portes, 1998; Putnam, 2000). The role of organizational insiders in facilitating or impeding this adjustment and the impending socialization process is of critical importance (Fang *et al.*, 2011; Portes, 1998). The negative aspects of social capital are also central elements, namely exclusion

and restriction (Portes, 1998). Due to both the positive and negative aspects of social capital, the development of social capital becomes somewhat of a balancing act, particularly in a university where many stakeholders are negotiating their relationships on a concurrent basis. At the leadership level, the formal networks are sometimes already in existence. When they are not, the leader can obtain the formal transition tactics that are both of interest and required (Cooper-Thomas, van Vianen & Anderson, 2006). These networks become the underpinnings of social capital.

The process of social capital is portrayed through key models that frame the developmental and mobilization processes. Within Galli and Muller-Stewens' model (2011), the stages include: contact; assimilation; identification experience; self-reflection; and self-monitoring. McCallum and O'Connell (2008) cite four characteristics that are apparent within an organization led through a social capital lens. The first is the fact that teams are viewed as *communities of colleagues* as opposed to *companies of employees*. Secondly, leaders do not view their role as rank but rather as a responsibility in the face of diverse stakeholders. Third, the leaders are seen as coaches who create a community to encourage colleagues to succeed. Finally, the leaders are able to collaborate, even in the face of competition. In fact, the leaders are even able to collaborate with their competitors (i.e. two universities in the same city, collaborations with colleges, etc.). These characteristics are directly linked to positive impacts for organizations. This includes: reduced operational costs due to a high level of trust and less need to monitor others; improved knowledge creation due to aligned goals and shared positioning; more coherent action due to common stability and understanding that exists within the organization; and cost savings due to high retention of staff, lower turnover and a

direct decrease in hiring and training costs (McCallum & O'Connell, 2008). This research underlines the benefits of trust and the importance of building authentic relationships from a leadership perspective. In his research, Scott (2011) reveals strategies of social networks, specifically for university presidents, and explains how social capital builds on campus. He describes social capital as a moving target, as the foundation of social capital is trust and identity. One's identity, whether that is race, gender, sexual orientation, socio-economic status, religion, politics or geography, becomes a lens, which can be positive or negative (Scott, 2011). It is the leader who helps to shape their unique identity and its perception among stakeholders. The research underlines the importance of social capital in the process of organizational socialization and shows how a president's social capital can have significant repercussions on the leader's transitional process.

A subtheme of social capital that is of particular importance in the circumstance of leadership transitions is the concept of unwritten contracts. The *unwritten contract* between a university and its president might also be called a social or a psychological contract (Ballout, 2007; Rousseau, 2004; Tomprou & Nikolaou, 2011). Ballout (2007) refers to a psychological contract as a personal belief system that is created by the organization; this forms the foundation of a reciprocal agreement between the stakeholders of the organization and their institution. Social capital is at the heart of the unwritten contract as this agreement supports networks of relationships within a given community. Tomprou and Nikolaou (2011) examine the psychological contract from the perspective of organizational entry point. They refer to this contract as a sense-making process that involves promises exchanged between newcomers and insiders to the organization. They show how these unwritten understandings between

participants play an important role in the process of transitions, specifically related to reactions and expectations upon joining an organization (Tomprou & Nikolaou, 2011). The unwritten contract becomes the operationalization of social capital between a university president and their many stakeholders. Within a situation of leadership, social capital is highly dependent on an individual's chosen leadership style. The role of social capital directly influences leadership styles and the importance given to relationships within the approach used to lead. A president's leadership style can play an influential role in their leadership experience.

2.6 Leadership styles

A leadership style describes a leader's approach to setting direction, motivating people and advancing the vision of an organization. For this reason, a president's leadership style can contribute to setting the tone for the institution. Universities in particular,

are struggling with the tension between collegiality and managerialism; individual autonomy and collective engagement; loyalty to the discipline and loyalty to the institution; academic versus administrative authority; informality and formality; and inclusivity and professionalization (Bolden et al., 2009, p. 270).

The research discussing leadership styles leans towards the recommendation of a more collective, distributed or dispersed model. Using a shared, collaborative and consultative form of governance is the most preferred and effective style within a university culture (Bolden et al., 2008; Gronn, 2008; Jones, Lefoe, Harvey & Ryland, 2012; Knight & Trowler, 2001; Middlehurst, 1993). Many researchers have attempted to frame university leadership styles within various models in order to understand better the complex culture of university leadership and the power dynamics within various approaches. Bergquist and Pawlak (2008) name six categories of university culture: collegial, managerial, developmental, advocacy, virtual and tangible. Bolden, et al., (2008) structure academic leaders within the categories of managerial, servant,

transformational or collective. In turn, Bolman and Gallos (2011) use corresponding terms when reframing academic leadership within four categories: structural, political, human resource and symbolic views. Tierney (1991) divided the categories as environment, mission, socialization, information, strategy, and leadership. Each of these models presents the functioning of leadership specifically within an academic culture and the role of power relations within the university culture. Below, the models are examined in further detail.

Bolman and Gallos' approach (2011) to framing academic leadership styles is pragmatic. They use the following four terms when describing the styles: structural, political, human resource and symbolic views. The *structural* role views academic leadership somewhat like a factory, in which collaborators divide the work, plan the changes and coordinate its completion. The system is more formal in nature. The defining and respect for rules are paramount. The *political* view is viewed as a jungle; networks are set, negotiations made and the leaders empower others to advance the work. Agendas positioned and power plays a key role within the organizational dynamics. The *human resource* perspective treats colleagues like an extended family; leadership is relationship-based, and care is central to productivity. Leaders facilitate change, often communicate, and support the right people to advance the work. Finally, a more *symbolic* approach is somewhat spiritual in nature; leaders focus on symbols and meaning-making through building a vision based on a solid foundation of tradition. Bolman and Gallos' (2011) framework of leadership styles, while somewhat simplistic in nature, provides an outlook to viewing leadership styles within an academic setting.

From a different perspective, Bolden, et al., (2008) explain academic leadership styles according to various conceptions of leadership. They are framed within the following groupings: managerial, servant, transformational and collective. Each of the styles is examined below.

Within a more bureaucratic university, Bolden et al. (2008) predict a *managerial* or hierarchical leadership style. Leadership happens from the top-down, with procedures and rules that are inflexible and respected, and a strong resistance to change prevails. A top-down university is one where decision-making and planning for the future are primarily determined by upper management. These universities are very procedural-based with rules and regulations that are strictly adhered to and respected. There is a sense of stability at the base of the organization accompanied by a strong resistance to change at all levels. This traditional model of leadership focuses less on the human qualities of leadership, and much more on the functions and tasks within the role (Bolden et al., 2008). Bolden (2007) refers to this managerial culture as one where the management assures a sense of order and consistency within an organization's goals and processes. Despite significant efforts to develop non-hierarchical commitments on university campuses, Roberts (2005), indicates that most North American universities are still being operated from a hierarchical/managerial model. On the other hand, a collegial environment is one in which *servant* leadership is present, and decisions made in a consensual manner. Within this leadership style, there is a sense of openness and ownership, and innovation occurs from the bottom-up. The servant leader represents the image of a religious leader (Bolden, 2004) who puts the organization first in serving others. Academics often support the collegial model because professors are at the heart of the decisional arena. This community of scholars, along with other key stakeholders, set and advance institutional goals.

In cultures where servant leadership is predominant, academics might often assume an administrative role due to their pride in and commitment to the organization. This organic and autonomous model is not power-based; the authority exists within the people as a community. Servant leadership ensures the cooperative engagement of members of the university community and encourages institutional commitment through a sense of ownership and pride in the university (Bolden *et al.*, 2008). On the other hand, the business-corporate university is often led by a *transformational* leader who is strategic. Within this style of leadership, the university president is seen more like a private-sector CEO (Bolden, et al., 2008). This adaptable and tactical leader evaluates with performance indicators, yet change can be seen as unpredictable because key decisions lie with the senior management team (Bolden et al., 2009). Brown and Moshavi (2002) suggest that a leader needs charismatic influence, a key characteristic of transformational leadership. This is even more important for academic leaders than for individuals acting in more traditional cultures. Finally, the innovative and enterprising university adopts a *collective* or distributed leadership model in which decisions are made in a flexible and decentralized manner (Bolden et al., 2009; Gronn, 2008; Knight and Trowler, 2001; Middlehurst, 1993). Stakeholders are at the heart of the university community, and they are empowered to share the leadership by distributing the power and accountability across a campus. Middlehurst (1993) concludes that leadership within a university setting is most often distributed. Knight and Trowler (2001) support this hypothesis by commenting on the effectiveness of higher education leadership within a shared model of leadership. Distributed leadership is predominantly viewed as a political term that can influence perceptions and mask power dynamics within universities (Bolden et al., 2009). In this sense, distributed leadership

moves beyond the conventional trait or behavioural theory of leadership and empowers organizations to share the purpose and the process of leadership by attempting to distribute the power and accountability across a campus. Within this dynamic process, the leadership becomes more collective and less individualistic. Bolden et al. (2009) reveal two integrated manners, one intentional and the other essentially unplanned, for the distribution of leadership. They adopted the term devolved to represent the more traditional and hierarchical top-down leadership and the term emergent to describe the more organic, dispersed and bottom-up leadership. Within the devolved representation, the process of leadership distribution orchestrates from the top of the organization. The president delegates and formalizes roles and strategies within the university structure. On the other hand, the emergent approach is much more informal, creative and collaborative. Within this system, a formal leadership title or role does not necessarily advance new ideas and key initiatives. Gronn (2008) describes distributed leadership as a group process where the functions are carried out by the entire group. This redistribution of power does not formally create more leaders; it encourages a sense of campus-wide engagement by facilitating jointly-coordinated action. The organizational model provides a coherent representation of four different models adapted to suit university culture: hierarchical or managerial, servant, transformational and collective leadership (Bolden et al., 2007). Within each of the models discussed, the style has been specifically adapted to represent and portray the values present in a university culture. A model of collective leadership puts more control and innovation within the departments and faculties while maintaining and pursuing a solid vision at the leadership level. The review of literature regarding leadership styles is vital in order to set the stage and context for the forthcoming

discussion. The importance of relational leadership within the university context and the roles of these contacts play a critical in all of the above leadership styles.

2.7 Relational leadership

When discussing each of the models and corresponding leadership styles, relationships, or developing one's social capital, are of critical importance. Relational leadership is a cross-cutting theme within all leadership styles (Fairhurst & Uhl-Bien, 2012). Mendez (2009) describes relational leadership as the lens used when pursuing a specific style of leadership. McMurray (2010) devotes his research to relational leadership specifically within the context of the role of university president. He describes relational leadership as essential for university presidents, as cultivating and stewarding authentic relationships between the leader, and members of the university community are essential to the role. In his research, McMurray (2010) shows how relational leaders share a common passion for higher education, a commitment to the mission of their particular universities and have a transcendent understanding of themselves as individuals. The successful university presidents see themselves as being entrusted with a sacred role and taking that role very seriously. He also shows the importance of the integration between self-transcendence and leading through authenticity in the role of university president (McMurray, 2010). Kezar (2004) views relational leadership as cultivating relationships with constituents. Trachtenburg (2005) states,

...aside from all of the schools and departments, there are administrative divisions, libraries, laboratories, faculty members, students, parents, alumni, neighbors, the board of trustees, donors, and the news media – all of whom have a claim on the president as constituents” (p. 10).

The president is constantly negotiating and nurturing each of the stakeholder relationships noted above.

Relational leaders have the attributes that empower them to leverage their influence within the organization (Yukl, Gordon & Taber, 2002). While influence is important and necessary for leadership, it is insufficient by itself (Munduate & Medina, 2004). In fact, the power lies in the relationships between people more so than the control that resides within one individual. McLaughlin (2004) describes the three roles of presidential leadership as leadership, management, and governance. McLaughlin views issues of governance at the heart of relational leadership. Relational leadership includes enlisting the right people, balancing interests, respecting processes involved in decision-making, creating engagement, developing ownership, and eliciting support and collaboration (McLaughlin, 2004). Relational leadership is also referred to as a leader's personal interactions with others. It is based on the trust that leaders place in others and their competencies. The operationalization of this becomes a greater degree of delegation (Brower, Schoorman & Tan, 2000). Relational leadership is a key aspect of presidential leadership, as personal connections with a host of diverse stakeholders are essential in the role. When looking specifically at the transitional process, this learning network helps to introduce the culture and present the university history to an incoming president and create meaningful relationships with the members of the executive (Sanaghan, Goldstein, Jurow & Rashford, 2005). Relational leadership is a critical lens as it has a direct impact on the leader's interactions with its university community. It also underlies the approach of the president in terms of understanding the university culture and building their social capital.

Trust, ethics and leadership intersect at all times, on a daily basis, and within each interaction or relationship that a leader has with another person (DePree, 1992). For this reason, in many ways, both trust and authenticity become the foundation of relational

leadership. Tansley and Newell (2007) view trust as both an “antecedent and a result of, successful collection action” (Tansley and Newell, 2007, p. 353). Additionally, Avolio and Gardner (2005) define authentic leadership as one that is genuine. A leader sets the example for the organization, acting as a role model who is true to oneself, who learns at all times and, who builds and fosters relationships. Astin and Astin (2001) explain that trust and authenticity are critical for university presidents, particularly the qualities of authenticity, competence, and self-understanding. Wilson and Ferch (2004) see leadership itself as a process of trust-building through empowerment, the outcome being the growth of self and the organization. In the specific context of university presidents, Basham (2010) underlies the importance of authenticity within the acumen for university presidents; he describes this as values-based leadership. Authentic leaders are honest with themselves about their motivations and convictions, their individual passions, and the need for improvement. Avolio and Gardner (2005) describe authentic leaders as those who make decisions and encourage change in a transparent manner. Their words and actions are in line with each other and they lead with a sense of self-assurance, optimism, and hopefulness. Bass and Steidlmeier (1999) argue that genuinely transformational leadership must have a foundation in morality. This leadership ethic is composed of three cornerstones: the ethical nature of the leader; the values rooted in the leader’s vision, and the morality of process and actions of the leader and those that make up the organization. An authentic leader creates an environment that encourages learning, ensures accessibility, and engages and supports team members. Because of this openness and supportive nature, an organization led by an authentic person is always evolving and growing (Avolio & Gardner, 2005). In addition, the actions of authentic leaders reflect their values and

beliefs, and they understand the moral implications of their behaviour (Avolio & Gardner, 2005). The president's network of relationships guides and influences the presidency in many important ways, as seen in the research reviewed above. Because such a strong foundation of relationship building is an integral aspect of academic leadership, it is important to examine both the positive and negative aspects of relational leadership through an examination of leadership and ethics.

2.8 Leadership and ethics

While much of the leadership literature is positive and boasts the advantages and necessity of strong leadership, an emerging body of literature questions the entire pretense of leadership (Astin & Astin, 2001). Ethical situations arise when an organization's ideals and values misalign with those of the leader. Through a discussion regarding the ethics of leadership, it becomes clear that our society is at risk when it puts too much control, power or even hope in our leaders. Smith and Adams (2008) note an unfortunate "crumbling trust in university leadership" (p. 343). Leadership is often seen as ingrained functioning of our organizations (Gemmell & Oakley, 1992). However, some literature debunks this system of thinking. In fact, many researchers are critical of the work of leadership theorists and are particularly interested in the ethical dilemmas that arise from roles of leadership. This encompasses the leadership myth (Gemmell & Oakley, 1992), the ethics/effectiveness framework (Ciulla, 2005), non-ethical transformational leaders (Howell & Avolio, 1992) and narcissistic leaders (Maccoby, 2000). Each of these concepts are discussed below.

When examining the myth of leadership, Gemmell and Oakley (1992) compare leaders to parental figures in whom we are taught to trust unconditionally. Society leads us to believe

that leaders are inherently good, their intentions are honest, they are here to protect their team and they have the best interests of the organization at heart. The leadership myth describes as a socially-constructed parable that society has created in order to have an excuse or a justification to hide uncomfortable emotions that naturally appear when individuals have challenges working together (Gemmell & Oakley, 1992). Our society uses this myth in order to reattribute dysfunctions within a team, imperfections and feelings of powerlessness towards a larger systemic problem. The myth enables team members to transfer blame and not to be held responsible for their actions and behaviour. This disproportionate reliance on leaders within a society can diffuse fault and discourage people from being empowered to make changes, to think critically or to take risks or initiative within the larger system (Gemmell & Oakley, 1992). From another angle, Ciulla (2005) presents the ethical/effectiveness framework, which she describes as being at the very core of leadership ethics. The question for her debate is quite straightforward: is it unethical to be an incompetent leader? Ciulla (2005) posits that leaders require a certain level of competence and effectiveness in order to be ethical within one's role as a leader. In explaining how self-reflection plays a key role in ethics, Ciulla explains how effectiveness and ethics are so closely intertwined.

Another view criticizes transformational leadership. Non-ethical transformational leaders can be self-centered and self-serving individuals who use their power and position to promote their personal vision or gain (Howell & Avolio, 1992). As leaders, they will communicate frequently; however, it is often one-way, and their listening skills are not strong. They may reprimand opposing views and are often insensitive to followers (Howell & Avolio, 1992). Environments led by non-ethical transformational leaders are fear-driven, and

subordinates are often obedient and dependent (Barling, Christie & Turner, 2007).

Transformational leaders can be risk-takers that inspire others and dream big. Unfortunately, the costs of these powerful, charismatic and sometimes arrogant leaders can be significant.

Arriving boldly on their white horse, these narcissistic leaders instill confidence through their articulate language and poised approach. Maccoby (2000) highlights some of the key advantages and disadvantages of these inspiring, ego-filled leaders. Narcissistic leaders are those that have a strong need to dominate, be recognized and be powerful. The need to be admired by others motivates them. They often lack empathy, are sensitive to criticism, listen poorly and compete fiercely. Narcissistic leaders are creative, big-thinking strategists who are stimulating and exciting. Maccoby observes,

They [large corporations] are finding there is no substitute for narcissistic leaders in an age of innovation. Companies need leaders who do not try to anticipate the future so much as create it. But narcissistic leaders – even the most productive of them – can self-destruct and lead their organizations terribly astray. For companies [or universities] whose narcissistic leaders recognize their limitations, these will be the best of times. For other companies [or universities], these could turn out to be the worst” (Maccoby, 2000, p. 12).

As Grint so aptly notes, “leadership, in effect, is too important to be left to leaders” (2005, p. 4). The research shows that while leadership theory can help to improve the understanding of an organization and the people that make up a leadership team, one cannot allow a blind trust. Both ethics and ego play a key role in creating questionable situations where the power and trust that our society puts on leaders might very well be at risk (Maccoby, 2000). A layer of complexity contributes to the issue of ethics when examining the research regarding fit, specifically when discussing the relationship between the leader and the organization. These

relationships are managed via an individual leadership style that acts as a vehicle for building relationships and overseeing the advancement of the organization.

2.9 Leader-organization fit

The transitional process for university presidents is the process that leads to an intended sense of fit between a leader and a university. There is a significant body of research that discusses the premise of person-organization fit, but not as much from the perspective of the leader. Schneider (1987) refers to person-organization fit as a match of expectations in terms of personality, attitudes and values. Chatman describes it as, “the congruence between the norms and values of the organizations and the values of person” (Chatman, 1989, p. 339). Value congruence becomes the operationalization of person-organization fit (Kristof-Brown, Zimmerman & Johnson, 2005). Fit is a pressing issue for all organizations as it can lead to better performance, less turnover, increased productivity, a higher level of personal satisfaction, and more commitment to the organization (Borman, Hedge, Ferstl, Kaufman, Farmer & Bearden, 2003; Cable & Judge, 2007; Chatman, 1989; Cooper-Thomas, van Vianen & Anderson, 2006; Kristof-Brown, Zimmerman & Johnson, 2005; O’Reilly et al, 1991; Ostroff & Rothausen, 1997). A positive degree of person-organization fit is desirable, as the outcomes for the individual are positive (Morley, 2007). An overall compatibility between individual characteristics and those of the work environment leads to less personal stress, a higher level of career enjoyment, an increase in performance, and a higher retention rate (Borman et al., 2003; Cooper-Thomas, van Vianen & Anderson, 2006; Kristof-Brown et al., 2005). Cooper-Thomas et al. (2006) distinguish within Schneider’s theory (1987), between objective, actual fit and subjective, perceived fit. They explain how, over time, fit may either improve or deteriorate. The values of the individual

did not necessarily change but rather, one's perception of the organizational values are influenced. The issue of leader-organization fit is particularly relevant within the context of leadership selection and transitions.

The research provides multiple perspectives to analyze and comprehend the phenomenon of fit. The research examines person-organization fit from four perspectives (Lindholm, 2003; Piasentin & Chapman, 2006). Supplementary fit is when the leader has the characteristics or values that are common to the organization. This might happen when an inside candidate is hired into a leadership position. A complementary fit occurs when the leader has the characteristics that the institution requires or is missing. This might occur when a candidate's attributes meet the needs of the institution (Lindholm, 2003). In this situation, an organization might desire a leader from a specific field of study, with a specific expertise or holding a key characteristic that the institution feels they need. The third subcategory refer to needs and supplies. In this predicament, the institution offers something to the individual that she or he requires, a specific role that the leader in question is looking for in order to suffice their personal profile. The final subcategory is the grouping of demand-abilities where the abilities of the leader meet the demands of the organization (Lindholm, 2003). Each of these four sub-sets shows the attraction between the organization and the leader. This is the reason for the attraction and selection of organization and leader, or vice-versa, in some cases. Cooper-Thomas et al. (2006) discuss various tactics that both organizations and individuals utilize in order to help influence a person's fit within an organization, and they present three related tactics. The first is that the employees' values may change due to organizational socialization. The second tactic is that the actual or perceived organizational value may change;

this is particularly the case at the leadership level when the leader may play a role in helping to change the organizational values. The third tactic focuses on Schneider's (1987) model of Attraction-Selection-Attrition (ASA), where individuals may change organizations. The attraction element is how people select themselves into and out of organizations in order to meet the needs of either side. Selection is how an organization selects individuals who share their values, and the attrition element is seen when those with dissimilar values leave an organization. Unfortunately, each of the above tactics often leads to homogeneity of values within the organization. Those who bring a different perspective, a diverse voice or a creative alternative might leave as the organization is not prepared to change (Schneider, 1987). On the other hand, if diversity of thought is a shared value of the organization, this might be less likely. DeCooman, DeGieter, Pepermans, Hermans, Du Bois, Caers and Jegers (2009) support the need for both attraction-selection-attrition and socialization in order to increase the congruence of values. Their research shows that when fit is low, attrition is more likely and credits socialization as the key to retention. There is research that discusses organizational fit within the university context. This research sheds light on the particular complexities of this concept within an academic context.

Lindholm (2003) examines organizational fit within universities, specifically with regard to university faculty members. Her research underlines the complexities of university sub-cultures and the intricacies of organizational fit within the university organizational landscape. Within Paul's (2011) discussion on the successful mandates of Canadian university presidents, he points to organizational fit as being the key factor leading to the successful mandates of the leaders studied. He states the importance of being the right fit at the opportune time for that

particular community. Lindholm (2003) examines organizational fit within universities, specifically with regards to university faculty members. She uses the term vitality to explain how faculty members see their commitment and engagement, morale, fulfillment and productivity as a faculty member. Lindholm (2003) cites three different stages of relationship development that have an important effect on fit. They include: entry to the organization and hiring; socialization and long-term integration, and consequences, including performance, stress, satisfaction, commitment and turnover. Facades of conformity are prevalent within the academic context. The term describes an individual within an organization which pretends to support the values of the organization when they do not (Hewlin, 2003). Stormer and Devine (2008) show how certain faculty members question the shared values of the organization and yet conform in order to align to commonly-accepted university culture. This issue is particularly relevant as traditional academic values are being questioned, and there is a perception of an increased corporate, market-driven culture within universities (Poovey, 2001). The research shows that some academics conform in order to survive and to succeed (Stormer & Devine, 2008). The issue of facades of conformity is a particularly prevalent issue within knowledge-intensive companies (Alvesson, 2001). Within highly-educated, intellectual environments, identity and knowledge can be constructed or implied. This occurs when the individual is loosely connected to the work. Knowledge and expertise can sometimes become a representation or an image based on beliefs, impressions, assumptions and perceptions of the individual and her or his reputation (Alvesson, 2001). Reputations and perceptions are either representative or unrepresentative of reality. The research shows the importance of this issue of fit within the academic context.

Despite all of the positive literature applauding the importance of person-organization fit, there exist some important concerns. The field of person-organization fit is very complex as the research is often conflicting (Morley, 2007). Morley (2007) observes the multiple perspectives that are interested in the discipline: psychology, human resources, education, management, sociology, and others. Further levels of complexity are attained when researchers compare the analysis or examine the measurement of person-organization fit (Kristof-Brown et al., 2005). Some of the research is subjective or biased opinions and perceptions (Kristof-Brown et al., 2005). Piasentin and Chapman (2006) describe inconsistencies within the literature and much confusion regarding the conception and assessment of fit. Along with complexity surrounding measurement, perception, and analysis, other concerns exist regarding conflicting subsets, conformity and most importantly, diversity. There is difficulty in pinpointing the breakdown related to fit. This is because there are so many complex systems of relationships within the conflicting subsets of the role, group, organization, and culture (Kristof-Brown 2000, Colbert & Jansen, 2002). It is very difficult to compartmentalize the issue of fit, either positive or negative, due to the multiple effects of the particular role, the team in question and the culture within the larger institution or one of its subsets (Kristof-Brown, 2000; Colbert & Jansen, 2002). Piasentin and Chapman (2006) explain how a misfit within one subset may dramatically affect the overall fit. Within a university context, this can easily be explained as there are so many levels of complexity. This includes: fit within one's profession; within their role in teaching or in research; within one's team; within the department; within the faculty, or within the university as a whole. Chatman (1989) cautions against the concerns regarding a person-organization fit that is too aligned. It can lead to ineffective behavior at both the individual and

at the organizational level. On the other hand, some degree of misfit is of benefit in order to avoid conformity, inertia, and inflexibility.

Ostroff, Shin and Kinicki (2005) echo the negative effects of a strong person-organization fit. When an organization aligns too closely, it is not good for organizational effectiveness. There can be a lack of diversity in perspectives and values and an unwillingness to be flexible, adaptable and open to change. Tooms, Lugg and Bogotch (2010) criticize person-organization fit as being founded on measures that are both one-dimensional and empty, filled with labels and prejudice. While diversity yields superior outcomes for organizations, the question of person-organization fit provides many challenges. Diversity refers not only to gender and ethnicity, but also to less visible characteristics such as experience, education, skills and viewpoints. When women and individuals with diverse perspectives occupy senior leadership positions, such as university presidencies, organizations are better positioned to leverage new skills, ideas, and networks. Some of the research points to the negative influences of a work environment that is diverse. Riordan's research (2001) shows how increased diversity may lead to increased conflict, lower performance, lower socialization and higher turnover. Williams and O'Reilly (1998) examine over 80 studies and conclude that diversity decreases person-organization fit and often leads to poorer communication, less satisfaction, higher levels of conflict, and less integration. This research, while worrisome, may help to explain the lack of advancement in terms of diversity and leadership. The talents of women and underrepresented groups need to be maximized and must be part of a new model for leader-organization fit. If levels of fit are too high, the behaviors of both the organization and the individual become ineffective and contribute to conformity, a lack of creativity and innovation, inertia and

decreased flexibility (Chatman, 1989). Some degree of misfit is beneficial as it is important to have high and low fitters within an organization (Chatman, 1989, p. 344). And yet, we should be concerned when person-organizational fit prioritizes creative thinking and diversity (Anger Elfenbein & O'Reilly, 2007). Lindholm (2003) shows how the academic life, even as a faculty member, is more difficult for racial and ethnic minorities and women. Chatman and Flynn (2001) conclude with two opposing conclusions when discussing the value of diversity. Within their research, they show the increased importance of the need to properly communicate and to set cooperative norms in order to succeed within a diverse team. However, their research shows that diversity may have an adverse impact on a team's ability to work together and maintain open communication. The challenges, advantages and risks of leader-organization fit are important to understand the selection and socialization of leaders, in particular.

Within Paul's (2011) discussion on the successful mandates of 11 exemplary Canadian university presidents, he points to organizational fit as being the key factor leading to the successful mandates of the leaders that he studied. He states, from personal observations through his interviews and his own personal experience as a Canadian university president, the importance of being the right person, at the right university at the right moment in time. He goes on to ponder if equally qualified and effective leaders might not achieve the same level of success within the same situation. The ebb and flow of universities means that the university community has different needs in different times. Sometimes, the university searches for a leader who exemplifies a past leader with a successful mandate. At other times, it is the exact opposite; a different perspective and approach to leadership and change. The balancing act is fine, and the role is evolving at the same time (Rosee, 2011). From an organizational-fit

perspective, Paul (2011) notes the success of many presidents who have come from within the institution, specifically from the role of provost and vice-president, academic. Paul's observation, while anecdotal in nature, underlines the advantage of understanding the specific university culture before assuming the role of chief executive. Each of the studies cited above raises significant concern regarding the risks of person-organizational fit. However, in doing so, it also highlights the increased importance of better comprehending the issues of fit within the process of organizational socialization.

2.10 Chapter summary

This literature review shows the many important factors that form a delicate web and have a direct impact on the transitional process for university presidents. This includes: the culture of the university system, along with the more defined culture of a particular university; the influence of social capital on the role of a university president; the role of leadership styles and the development of trust and relational leadership; the question of ethics, and fit between the leader and the organization. This process must not and cannot lead to assimilation but to a safe environment where the president can improve and grow the university through an environment of innovation, creativity, and change. Each of these themes contribute in an important manner to the conceptual framework in Chapter three. They are each influential in the delicate transitional process of university presidents. The current research on academic leadership underscores the pertinence, timeliness and importance of this study. To determine the role that these factors play in the mandates of university presidents, there is a need to describe and interpret leaders' views of the transitional process. This involves the manner of joining a university, the challenges they face, and their integration to the university campus,

and with the university community. This research will be the first study from this particular perspective, collecting and analyzing data from the perspectives of university presidents with unfinished mandates. This unique lens provides the basis for a timely discussion on key insights and significant contributions to leadership theory and higher education research. In Chapter two, the literature review, the objectives of the study were identified as examining views of the Canadian presidents whose mandates are unfinished and, specifically, their observations and viewpoints regarding the transitional process. This creates an opportunity to learn from these experiences in order to attempt to contribute to knowledge in higher education leadership.

In Chapter three, the conceptual framework, these research questions will be incorporated into a model capable of focusing the research on the insights of university presidents with unfinished mandates regarding their transitional process.

Chapter 3: Conceptual framework

The literature review analyses a body of research examining the role of presidential leadership within academic culture. The changing environment of organizations, such as universities, places an increased importance on the development of a sense of shared values between the institutional lead with her or his community (Danielson, 2004). The literature review introduces and presents the concept of unfinished mandates, outlining research from private and public sector perspectives. The higher education leadership research examines the complexities of leading within an academic culture. In particular, the review shows how university culture plays a role in providing an unstable context for the university president, particularly due to the large number of stakeholders competing for the president's attention. The dynamics of social capital and relational leadership within the context of leadership styles reveal an uncertain ground that university presidents need to manoeuvre. The importance of the president's networks, in advancing the university's mission and vision, is of utmost importance. The issue of ethics, specifically within the context of unfinished mandates, is important. Within the Canadian context, ethics does play an important role for both leaders and governors of universities. Finally, the research regarding leader-organizational fit presents both advantages and risks that must balance in terms of leadership selection. In setting the stage for the research, the literature review shows the complexities of the leadership path for university presidents within the current environment. My observations from the research reveal the delicate landscape for new university presidents. In setting forth a plan to study the unfinished mandates of university presidents in Canada, I chose to focus more specifically on the theory of leadership transitions. The conceptual framework hones in on the transitional

period for new presidents and studies the theories of the research on organizational socialization. There is a need for further examination of the transitional process from the leadership perspective. Organizational socialization is the theoretical basis for this conceptual framework as it provides a specific moment-in-time lens to comprehend within the much broader question of leadership. Therefore, this research examines the analysis of several theoretical frameworks of process-based organizational socialization (Danielson, 2004; Fang, Duffy & Shaw, 2011; Feldman, 1989; Fisher, 1986; Jones, 1986; Van Maanen & Schein, 1979). The corresponding, more personality-based processes of sense-making (Louis, 1980; Wanous, 1980; Weick, 2005) also contribute to the theoretical basis of this research. The frameworks act as an anchor to shed light on the perspectives of university presidents with unfinished mandates and their views regarding the process of organizational socialization or transitions.

3.1 Organizational socialization

A leader joining and transitioning to an organization experiences a time of ambiguity and stress. First impressions play a role and relationships develop (Ashford & Saks, 1996). The transition process for university presidents can play a detrimental role to both the president and to the institution (Pierce, 2003). It contributes in a very direct way to the development of experiences within organizational cultures that are both complex and dynamic (Ashforth, Harrison & Corley, 2008). Organizational socialization is,

a learning and adjustment process that enables an individual to assume an organizational role that fits both organizational and individual needs. It is a dynamic process that occurs when an individual assumes a new or changing role within an organization. (Chao, 2012, p. 1).

It is the course that a newcomer undertakes, in this case, the leader, in order to fit into the organization through the alignment of values between the employee and the organization

(Chatman, 1989). Socialization is the “glue” of the organization that becomes the foundation of institutional values, and that holds that organization together (Van Maanen & Schein, 1979), particularly during times of change. The theory of organizational socialization focuses on the premise that organizations are culturally based and stems from organizational theory. Organizational theory focuses on solving complex problems, increasing efficiency and productivity, and being proactive to stakeholders’ needs. Grounded in organizational theory, systems theory describes organizations as open systems that change continuously based on differentiation within the environment (Senge, 1990). Systems theory focuses on the concept of nonlinearity, where fully understanding the effects of the relationships between variables proves to be challenging as organizations are dynamic and ever-changing (Senge, 1990). Within systems theory, organizational socialization is the process that an individual undertakes in order to understand and appreciate the values, expected behaviours, social knowledge, and abilities that are required in order to assume a certain role within an organization (Van Maanen & Schein, 1979). Organizations that pay close attention to their culture and to the articulation of their values appreciate the importance and influence of shared values as the foundation of their corporate culture (Posner, Kouzes & Schmidt, 1985).

The organizational socialization research provides much data indicating both the advantages of a positive organizational socialization process and the disadvantages of the contrary. A selected number of influential and applicable research follows. Within the targeted research on organizational socialization, Chao, Kelly, Wolf, Klein and Gardner (1994) study the decreased vulnerability among employees when there is an implementation of tactics of organizational socialization. Further research shows the direct impact on the bottom line of the

organization as the process of organizational socialization pursues. The socialization process contributes to either increased or decreased stress based on the implications of the process (Ashforth & Saks, 1996). Further, concrete examples of a bottom-line impact include higher levels of job satisfaction and organizational commitment (Ashford & Saks, 1996); lower costs of recruitment, selection, and training (Bauer & Green, 1998); less turnover (Wanous, 1999), and decreased loss of institutional memory (Goodwin & Schuker, 2006). Organizational socialization tactics increase learning and confidence in order to better perform within the role, (Ashforth & Saks, 1996; Bauer & Green, 1998; Louis, 1980) and allow newcomers to adjust quickly and early within their term (Chen & Klimoski, 2003). Balkundi and Kilduff (2006) show how the quality of the individual's social network and the context of the leader have a corresponding effect on the leader's effectiveness. This occurs as credible insiders act as a channel for learning, and as newcomers socially construct their own meaning as they transition from outsider to insider (Grodski, 2010). On the other hand, Cable and Parsons (2001) show how socialization tactics increase the employee's *perception* of fit. Fisher's (1986) research discusses how failed socialization leads to newcomers' departure from the organization, either voluntary or otherwise. And, Louis (1980) examines whether control-focused or flexibly-focused leadership best supports organizational socialization and leadership development. The advantages of newcomer proactivity have received much attention (Ashford & Black, 1996; Bauer & Green, 1998; Wanberg & Kimmeyer-Muller, 2000). And, Shaw, Gupta and Delery (2005) explain how inadequate socialization leads to decreased productivity. Through the communications network, the collective corporate meaning of the organization is not only created but maintained and perpetuated (Pribble, 1987). Pribble (1987) shows how the outsider becomes

an insider through understanding rules of conduct and modes of thinking, and accepting various explanations of reality. Institutionalized tactics have been shown to decrease the desire to leave an organization, and to reduce the ambiguity of the role. Research shows how the employee experiences less anxiety when there is an implementation of institutionalized tactics (Saks & Ashford, 1997). Consistently, institutionalized tactics improve job satisfaction, organizational commitment, as well as task mastery (Saks & Ashford, 1997). Each of the above studies deepens our understanding of organizational socialization and provides a solid foundation for future research in the area.

When examining leadership in higher education, organizational socialization is a pertinent theory to use as a lens in order to examine and further comprehend the circumstance of unfinished mandates of university presidents. Within this particular realm, there is research that supports the need for further study. Grodzki (2010) sheds light on the organizational socialization process through the leadership lens. His findings articulate an appreciation of formal and informal socialization tactics, along with a distinct feeling of unpreparedness for the position. On the other hand, Gross (2011) reveals strategies of social networks of university presidents and shows how a president can build social capital on campus. Further, Lohse (2008) examines sense-making from the perspective of one specific university president. This research confirms the importance of the socialization process for university presidents as a means to decrease disruptiveness and to emphasize action. Smerek (2009) observes sense-making through the eyes of college presidents; he shows the importance of networks, and more specifically, the criticality of cohesion with the administrative team. He also highlights barriers to socialization such as isolation, the expectations of presidents to be deliberate and the little time

for retrospection and thinking. Each of these studies underlines the importance of the integration and adaptation process for leaders, the integrity of relationships, and the necessity of a leader who shares common values with the university community (Grodski, 2010; Gross, 2011; Smerek, 2009). The research, primarily situated within the context of higher education, reveals the lack of research in this specific domain and points towards a needed discussion regarding organizational socialization. The relevant models of organizational socialization are presented to support the proposed conceptual framework. While there is extensive research in this area, very little exists within the higher education research specifically and very little from a leadership perspective.

3.2 Limitations

Before reviewing the relevant models, it is important to note the limitations and concerns within the organizational socialization research. The organizational socialization domain remains a somewhat neglected area of research, particularly from a leadership perspective where the costs of failure are high (Saks & Ashforth, 1997). There are many gaps in the research to date. While one notices key surges within the research in the late 70's, mid 90's (Saks & Ashforth, 1997) and in early 2000, there is still an overall lack of organizational theory. The research that does exist is criticized for being primarily descriptive, for lacking testing that is empirical, for methodological weakness and for being conceptually fragmented (Saks & Ashforth, 1997). In addition, there is also a lack of agreement regarding successful organizational socialization. The research focuses primarily on the employee perspective more so than the organizational perspective (Cooper-Thomas & Anderson, 2006). More attention needs to focus on understanding the direct impact on performance and productivity for

organizations when socialization fails (Cooper-Thomas & Anderson, 2006). Furthermore, it is important to comprehend how perceptions of socialization can vary across organizations, cultures and among different people (Bauer & Green, 1998). *Over* socialization, and the fine line between fit and assimilation, is an area of research that has not been fully developed (Cooper-Thomas & Anderson, 2006). Moreover, there is a very limited amount of organizational socialization research within highly complex organizations, such as universities. There exists significantly less research that takes into account perspectives of leadership with regards to transitions. The above-noted risks contribute to underlining the considerable importance for more research in this area and the need to expand perspectives on organizational socialization. Therefore, this study examines the perceptions of university presidents with unfinished mandates through the lens of organizational socialization theory. In doing so, this research will attempt to expand the research on organizational socialization and contribute to the evolution of those frameworks, along with the research on higher education more broadly.

3.3 AMENDED model: A social capital model of the organizational socialization process from a leadership perspective

The model provides an interpretation and integration of the conceptual frameworks that are studied within this review. Further, it is from a leadership perspective and it reflects the research in the area of organizational socialization (Danielson, 2004; Fang et al., 2011; Feldman, 1981; Fisher, 1986; Jones, 1986; Van Maanen & Schein, 1979) and sense-making (Louis, 1980; Starbuck & Milliken, 1998; Weick, 2005), along with relevant literature and theory from the literature review, namely, social capital (Balkundi & Kilduff, 2006; Bollingtoft & Ulhoi, 2005; Day, 2000; Dess & Lumpkin, 2001; Lin, 1999), trust (Astin & Astin, 2001; Basham, 2010) and

leader-organization fit (Cable and Judge, 2007; Kristof-Brown, 2000; Lindholm, 2003). The goals of this study were: 1) to understand the unfinished mandates of Canadian university presidents and 2) to further learn from their early leadership experiences in order to understand presidential leadership within the context of the university culture. Fang, Duffy and Shaw's (2011), along with Danielson's (2004) models become the foundation of the framework, and the differences involve the factors described below. First of all, the model is intended to be used primarily in roles of leadership. That perspective is essential to the approach used. The lens is different and yet many common elements remain. The role of social capital is different as leaders automatically gain a certain level of social capital due to their given role. Key themes from the literature review, such as the importance of team-building (Smerek, 2009), trust development (Basham, 2010) and an understanding of leadership styles (Bolden, et al., 2009; Perquist & Pawlak, 2008) are included as facilitation roles to represent the continuing and constant importance of these themes. Also, the outside circle reflects the complex body of stakeholders that interact with the president. Within Fang et al's model, career success is as an outcome of the organizational socialization process. From a leadership perspective, it is naïve to view career success as a direct outcome of positive organizational socialization, specifically when examining unfinished mandates. A similar comment references Fang et al.'s mention of "assimilation" as a part of newcomer adjustment. This is based on Danielson's (2004) framework of continuous renewal. Within a frame of continuously changing organizations, we evolve from the desire of employees or leaders to assimilate into an organization. Leaders require significant, and successful organizational change before the achievement of a sense of shared values (Danielson, 2004). The use of feedback devices ensures that the leader is

continuously adjusting and adapting to the feedback loops (Danielson, 2004). The most significant change to the model is the addition of shared values (Danielson, 2004) as a core outcome of the entire process. Shared values are not only a desired outcome but an important consideration at each stage of organizational socialization and sense-making. The proposed diagram of the conceptual framework visualizes its importance in a very clear manner. As shared values are an aspect of social capital, along with opportunity and a high level of trust and abilities, (Adler & Kwon, 2002), it was important for the amended model to explicitly state this factor. Porter and Kramer (2011) identify shared values as an important aspect of corporate culture, acting as an intersection between societal and corporate performance, leveraging the expertise and resources of a company to create both economic and societal value. While these two perspectives are not entirely aligned, the underlying message is consistent: common values between an organization and its community create stronger outcomes and help to ensure sustainable, long-term benefits to all parties. The concept of shared values is equally if not more relevant, within a university as within a large corporation. And, the pertinence of shared values through the lens of leadership provides a necessary standpoint. In fact, my view is that in most cases of unfinished mandates, a sense of shared values between the university president and the community or organization has been left incomplete, regardless of the tenure length. Each of the above considerations are implemented into the amended model in order to act as the theoretical foundation for this study. A diagram of the amended model is below.

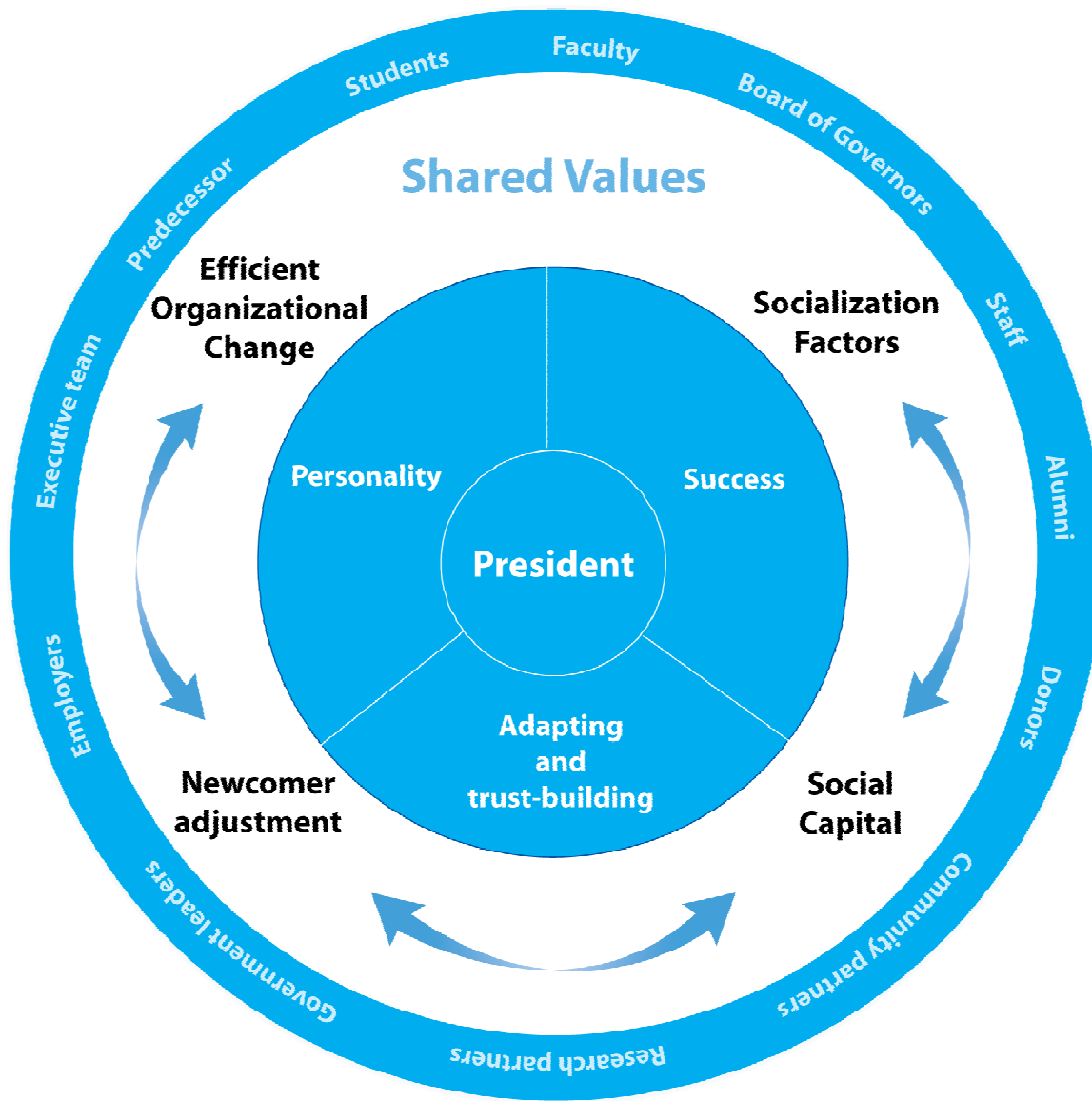


Figure 1: AMENDED model - A social capital model of the organizational socialization process from a leadership perspective (Cafley, 2015)

Summary of key aspects within the conceptual framework

Outer circle: stakeholders that play a role in the president's social network

Middle circle: access to social capital, including:

Socialization factors: formal and informal organizational tactics; active learning and understanding of cultural dynamics; newcomer proactivity (sense-making, relationship building, positive framing, team building, adjustment of leadership style)

Social capital: network structure (internal and external communications), network resources (range and status with each stakeholder group)

Middle circle, mobilization of social capital, including,

Newcomer adjustment: learning, mastery and confidence within role, organizational knowledge, fit, integration.

Efficient organizational change: strategic changes implemented by leader

Inner circle, the leader within the construct

Personality: leadership style, team building, authenticity

Adapting and trust-building: facilitation of feedback, self-monitoring and core self-evaluation

Success: confidence in leadership, trust, difficult organizational changes, momentum and growth

3.4 Theories and models of organizational socialization

A review of the pertinent frameworks that contribute to the amended framework follow.

They provide a historical perspective to show the advancement of the research that forms the basis of the amended model.

3.4.1 "Towards a theory of organizational socialization" (Van Maanen & Schein, 1979)

Van Maanen and Schein in their landmark article, "Toward a theory of organizational socialization" present the theoretical basis for organizational socialization (1979). While the

research in organizational socialization is evolving continuously, their framework is still very relevant. Van Maanen and Schein's framework shows both the structures and outcomes of the organizational socialization process involving six bipolar tactical dimensions, along with behaviours and role orientations. In the model, the organizational socialization process is as a career-long relationship that accompanies each move that a person makes, either inside the organization or when changing organizations. Further, the process views commitment as an important factor in maintaining the spirit of an organizational culture (Tuttle, 2002). The socialization tactics, in figure 2 below, describe the varied strategic approaches to organizational socialization.

Figure 2: Van Maanen & Schein's socialization tactics (1979)

Collective	Individual
Formal	Informal
Sequential	Random
Fixed	Variable
Serial	Disjunctive
Investiture	Divestiture

Tuttle (2002) names five units of theory within Van Maanen and Schein's (1979) socialization tactics as targets, agents, process, content, and role response. The targets unit

involves the *collective versus individual* tactics that describe socialization as taking place either in a group or isolation. When the process is individual, as would be the case in the situation of a leader/university president, the investments are high to the organization as the process is specifically tailored to that individual. However, there is also a direct correlation to a deeper level of engagement (Van Maanen & Schein, 1979). The collective process is more group-oriented in format. *Formal versus informal* tactics represent clearly defined activities for the newcomer within the unit of theory, agents. Within the formal process, individuals are often segregated from insiders and provided with a more formal series of transitional activities for newcomers. The informal process of socialization is much more organic and less predictable in nature. Within this tactic, three aspects identify the individual's role: the functional role, the requirements of the position; hierarchical socialization, the power dynamics within the organizational culture; and inclusion, the way that the newcomer interacts with the social fabric of the organization (Tuttle, 2002). *Sequential versus random* tactics represents the order of activities as is presented to transitioning individuals or the order process. Sequential describes a more explicit process while random is more ambiguous and often changing continuously. The sequential process defines a beginning and an end while the random process is not that overt. The time-frame for the process presents the *fixed versus variable* axis whereby a set time is or is not firm within the socialization period. *Serial versus disjunctive* tactics are on the continuum that represent the role of the predecessor within the transition or content, as described by Tuttle (2002). Within a serial process, the newcomer is groomed by their predecessor and she/he acts as a role model in the process. The disjunctive process is much more independent and at arm's length to the previous occupant of the position. Within *investiture versus*

divestiture tactics, or role responses, one sees the difference between affirming abilities, identity, skills, and knowledge. There is positive support from insiders as opposed to breaking down or rebuilding skills, and knowledge based on new assumptions. The outcomes of the organizational socialization process directly influence the tactics described above. This leads an employee to take on one of two roles: a caretaker, and therefore assimilated and compliant to the status quo, or an innovator, who takes a fresh look at the role and the organization and leads in a process of change and renewal. This is essential within a leadership perspective in order to support change and growth.

The primary criticism of the Van Maanen and Schein model (1979) is that it does not directly acknowledge the key role that the existing members play in the organizational socialization process (Tuttle, 2002). The focus of Van Maanen and Schein's theory is primarily objective and focuses on the aspects of organizational socialization that surpass individual, cultural, and societal differences. The researchers do not take into account the individual, personality-based or environmental factors that influence organizational socialization (Jones, 1986; Louis, 1980; Ostroff & Kozlowski, 1992). This model does not allow for feedback loops, either negative or positive, to influence the transition and change (Danielson, 2004; Senge, 1990). Despite these criticisms, this model remains the most frequently-cited model and is the basis and foundation of most models that follow, including the proposed conceptual framework.

3.4.2 Jones' (1986) model of organizational socialization tactics

Jones' model (1986) focuses on a continuum of individualized socialization where character-based differences in background and approach are significant in the organizational socialization

process. Jones posits that the *interactionist* perspective, combining both individual and organizational-based aspects of socialization, must be integrated and that individual variables must not be ignored. Organizational newcomers play an active role in living and constructing their socialization process and their relationship with the community and its culture. According to Jones, the four significant factors influencing the human experience include: background; individual differences; attribution processes (or how an individual interprets reality), and self-efficacy. Due to these factors, the effects of individual differences, the process of organizational learning, and the experiences lived by individuals as active partakers within the process, are all important perspectives to consider. Theories of sense-making, which will be discussed later, further support this paradigm shift that focuses on the individual within the transitional process. The model follows.

Figure 3: Jones (1986) model of organizational socialization tactics:

Tactics mainly concerned with:	Institutionalized:	Individualized:	Measures:
Context	Collective	Individual →	Provision of common learning experience
	Formal	Informal →	e.g. set training programme
Content	Sequential	Random →	Structured career programme
	Fixed	Variable →	Timetable for career progression
Social	Serial	Disjunctive →	Provision of role models
	Investiture	Divestiture →	Support from experienced org. members

Jones collapses Van Maanen and Schein’s six continuums into one. In doing so, there is an introduction of the institutionalized approach (collective, formal, sequential, fixed, serial, and divestiture), and the individualized approach (individual, informal, random, variable, disjunctive, and investiture). Jones switches sides for two of the tactics: *fixed versus variable* and *investiture versus divestiture*. Jones’ modifications display a change of perspective where the personal differences between individuals influence, and play a role. Further, the effects of

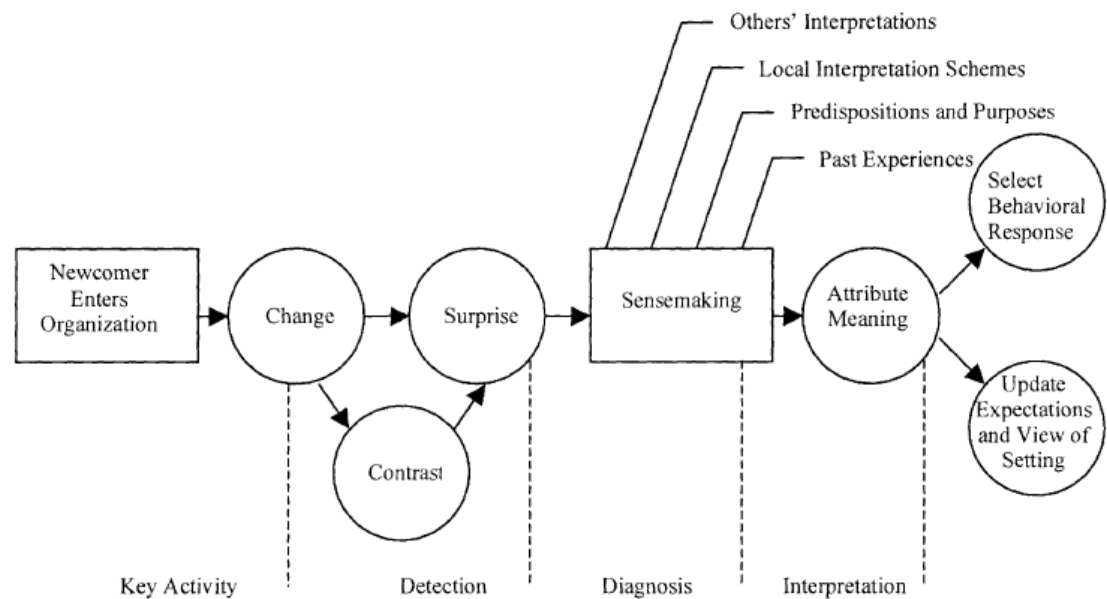
the attribution process have a direct impact on both experiences and learning. Jones's three subgroups include: context (collective and formal), content (sequential and fixed) and social (serial and investiture). Jones' model demonstrates how social tactics have more positive effects than either content or context tactics (Chao et al., 1994; Jones, 1986; Saks & Ashford, 1997). Further, Jones develops a scale in order to measure the role responses of custodian versus innovator. This scale is continuously improving through testing (Ashforth & Saks, 1996; Ashforth, Saks, & Lee, 1997; Baker & Feldman, 1991; Cooper-Thomas & Anderson, 2002). Jones' model provides an evolved perspective to that of Van Maanen and Schein (1979) by focusing more on the individual, and not solely on the organizational perspective. However, the model is under critique for collapsing the six continuums into one. Researchers object that by simplifying the Van Maanen and Schein (1979) model, it may become too diluted and lose conceptual richness (Allen, 2006). Jones' (1986) model is complementary and an advanced model to that of Van Maanen and Schein (1979). At the same time as the development of this model, the parallel process of sense-making emerges within the literature, representing a more personalized perspective to the organizational socialization process.

3.4.3 Louis' (1980) sense-making in organizational entry

Continuing with the emphasis on the human experience, Louis (1980) refers to the organizational socialization process as sense-making. Throughout this process, the individual creates explanations, often retrospectively, and forms both conscious and unconscious assumptions that influence future interactions. Louis' process of sense-making involves a model with four key, consecutive steps. The first step is the *arrival* at the institution and the initial contact that is had. The second step is the *detection* and involves changes, surprises, and

contrasts with perceptions. *Sense-making* is the third step and involves the integration of others' interpretations and predispositions of the newcomer. Finally, meaning and reality update the final step, *attribution of meaning*, by a renewal of expectations and a change of behavior that suits the situation at hand.

Figure 4: Louis' (1980) sense-making in organizational entry



Louis, 1980, p. 242, Figure 3, Sensemaking in Organizational Entry

Louis' sense-making framework places the key priority of organizational socialization on communication and making sense of relationships through one's individual perspective. This personalizes the organization for the leader as he/she makes sense of nuances, surprises, and learning while constructing their meaning to represent this reality. These conscious and unconscious suppositions and expectations play a role in predicting future interactions for the leader. The sense-making process is an individual process of adaptation that includes the

following stages: stages of change; contrast in mental schemes and objective experiences; surprise; coping, and sense-making. This framework places a high value on the influence of the organizational culture and learning. While the process is not clearly defined or even well understood, this theory promotes the importance of value appreciation, related to both the abilities of the leader and the mission of the organization as a whole. Weick's (2005) research is grounded in identity construction as he sees this individuality as part of social construction. His seven properties of sense-making show how individuals become authors of their experiences. They include: retrospectives; the reflexive process of learning after the completion of actions; the enactive of sensible environments, the fact that you are a product of your environment and your environment is a product of you; the social context, the ongoing nature of sense-making; the focus on extracted cues in order to justify, confirm analysis and influence outcomes; and, finally, that sense-making is driven by plausibility rather than accuracy (Weick, 2005). Weick's model complements and enhances the work of Louis in the field of sense-making (Weick, 2005). Weick (2005) uses a metaphor when describing sense-making by referencing the need for the newcomer to "author" as well as "read" the culture when joining an organization and create meaning within the organization. From a different perspective, Starbuck and Milliken (1998) created a specific sense-making framework for executives. The four categories include: retrospection; perceptual filtering; influences on the filtering process; and living with complexity. They note that if leaders see themselves as playing a role in retrospective perceptions, they are more likely to improve results. Within complex environments, such as universities, perceptual filtering allows leaders to focus on what is important while amplifying what is critical and diminishing what is not imperative (Starbuck & Milliken, 1998). However,

the sense-making model is criticized as certain researchers have controlled the field. This has created a dialogue that is narrow and somewhat prescriptive (Lohse, 2008). Also, certain models, including Weick's (2005), are criticized as further testing is required in order to fully substantiate the models (Lohse, 2008). Finally, the sense-making approach focuses on information-seeking behaviours as opposed to cognitive processes and interpretations (Saks & Ashforth, 1997). Despite the concerns noted, the sense-making perspective provides an effective framework as an adaptation of organizational socialization. This model is character-based, accessible, and practical as a theoretical perspective, with much room for future exploration and research in this area. Contrary to models previously discussed, Danielson's model (2004) introduces a circular presentation, encouraging and allowing for feedback and adaptation within the organizational socialization process.

3.4.4 Theory of continuous socialization for organizational renewal (Danielson, 2004)

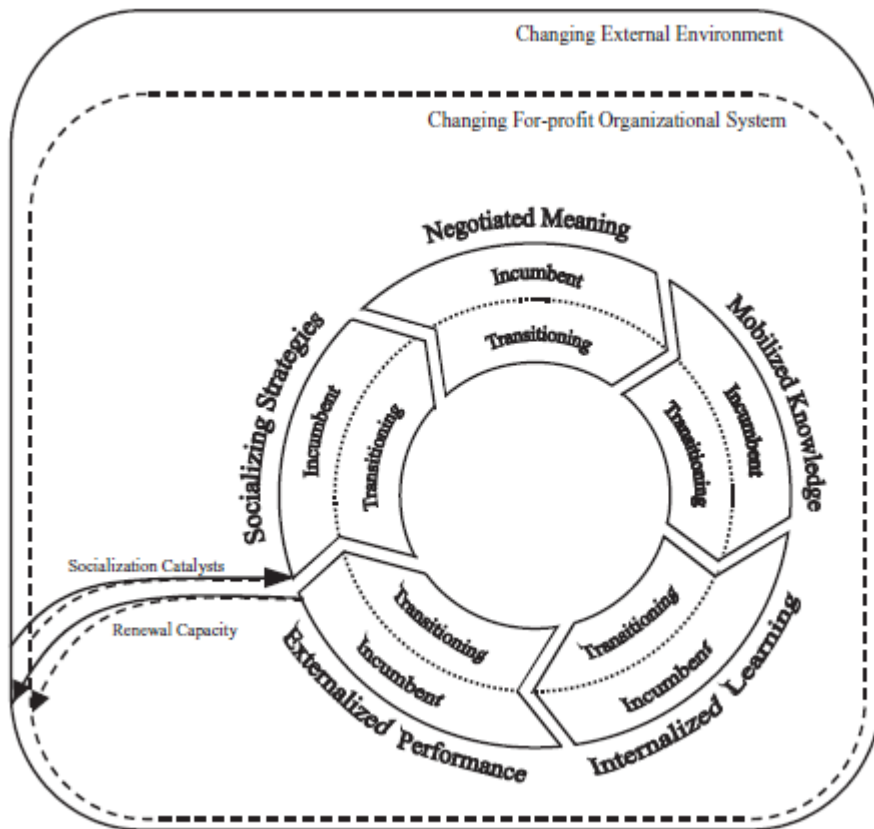
Danielson's (2004) model of continuous socialization is one that is circular as opposed to the continuum approach. It is based on the premise that organizations are flexible and open systems; that each environment is rapidly evolving; that renewal is a challenge; and that socialization is a conscious structure. Her theory of continuous socialization encourages change and renewal as the cyclical nature of the model indicates a model with no beginning and no end, unlike the traditional linear models. This constant movement of the organization ensures agility, constant growth, and organizational innovations. Because Danielson's model is cyclical, it is always transitioning. Her five units of theory include socializing strategies; negotiated meaning; mobilized knowledge; internalized learning, and externalized performance. *Socializing strategies* include negotiating expectations, learning and evolving, as well as the promotion of

interactions between transitions and those engaged. *Negotiated meaning* includes communicating and managing symbols so that individuals actively participate in exchanges in order to settle on accepted roles and identities. *Mobilized knowledge* is not only the transferring of knowledge, but the creation of knowledge that must continuously occur for organizational renewal. A culture of risk-taking, problem-solving and constant learning from past experiences are integral to this unit. The fourth unit includes *internalized learning*. This involves implementing knowledge and the development of shared values, and creating a culture driven by intrinsic values, and a genuine commitment to the organization. Danielson names six basic elements of internalized learning as history, people, politics, language, systems and processes, and components necessary for task performance. The final unit names *externalized performance*; this development of outcomes is essential for true organizational renewal. The two primary drivers of externalized performance are the proactive use of socializing strategies, along with purposeful participation in knowledge mobilization.

This model is one of the first attempts to truly marry organizational socialization and sense-making theory, providing both organizational and individualized perspectives. Danielson cites four underlying premises that are central to the model. They include: organizations as open systems; the reality of rapidly changing work environments; the challenges of human capital within today's organizations; and the core epistemological belief that socialization is socially constructed. Danielson (2004) criticizes other models for being focused on unhealthy outcomes such as enculturation, assimilation and ingraining the existing culture of an organization in newcomers. The difference between appreciating and accepting certain organizational cultural norms and perpetuating the sense of sameness is on a very fine line. Tuttle (2003) describes the

outcome of traditional socialization as merely the perpetuation of a culture. Danielson (2004) argues that either conscious or unconscious socialization could be a factor holding back real change as organizations reward behaviors that perpetuate the expectations of existing values, beliefs, cultural norms and systems. This model provides an interesting perspective particularly due to the integration of the response mechanisms referred to as the feedback loop. This ensures that shared meanings are contextualized within a changing organizational context, and the outcomes of the previous cycle. Therefore, continuous learning is integrated into the socialization cycle as the organization evolves.

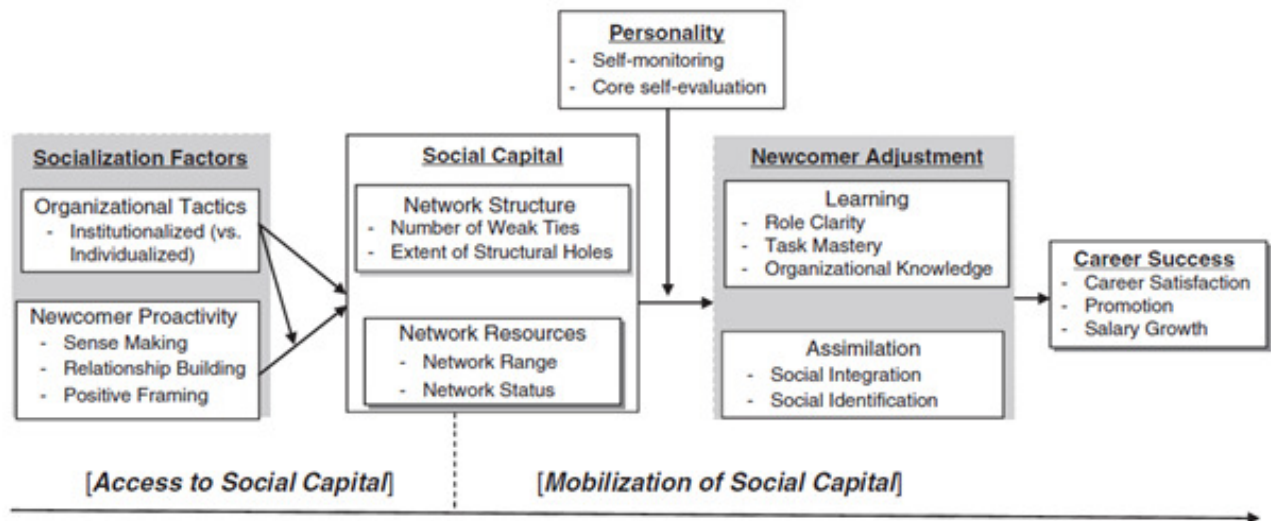
Figure 5: A theory of continuous socialization for organizational renewal: fully conceptualized model (Danielson, 2004)



3.4.5 A social capital model of the organizational socialization process (Fang, Duffy & Shaw, 2011)

Fang, Duffy and Shaw's (2011) framework of organizational socialization marries the notion of social capital (Balkundi & Kilduff, 2006; Bollingtoft & Ulhøj, 2005; Day, 2000; Dess & Lumpkin, 2001; Lin, 1999) with both organizational socialization, (Cable & Parsons, 2001; Kim, Cable & Kim, 2005; Van Maanen & Schein, 1979) and sense-making (Louis, 1980; Weick, 2005). Within this model, organizational socialization presents three perspectives or approaches: organizational, individualistic, and interaction (Cable & Parsons, 2001; Kim et al., 2005; Van Maanen & Schein, 1979). The organizational perspective involves the coordination of formal tactics, methods and processes by an institution to its employees. Further, the individualistic perspective speaks to the newcomer's own personality and attributes and the ability to connect with the institution due to the proactivity and personal networks and relationships created (Saks & Ashforth, 1997). Subsequently, a third perspective, interactional is when both organizational and individualistic outlooks interact in order to contribute to the socialization process (Kim, Cable & Kim, 2005). This tandem approach is the perspective most frequently employed. When working together, transitions and adaptations are made both inside the organization, and also by the individual that is in transition (Jones, 1986; Wanous, 1980). In doing so, the sense of shared values becomes apparent for both entities of the relationship. This interactional approach is the perspective of this study, taking into consideration both the organizational and personality-based factors that contribute to the organizational socialization process in an influential manner. Fang et al's (2011) model follows.

Figure 6: Fang, Duffy & Shaw's (2011) social capital model of the organizational socialization process



The tactics divide into two subcategories: institutionalized and individualized.

Institutionalized tactics include collective, more formal in nature; sequential, fixed in terms of process; serial, and based on investiture, involving support from insiders. Individualized tactics tend to be individually-coordinated, informal; random, variable; based on the leader's social capital, disjunctive, and based on divestiture, or support from outsiders. Both institutionalized and individualized tactics contribute positively to and, for this reason, build the leader's social capital (Fang et al., 2011). Before the introduction of this framework, the research discusses the issues of organizational socialization and social capital as separate entities. Within Fang et al.'s socialization framework, two larger categories are determined – access to, and the mobilization of social capital. Within this framework, it describes how social capital develops for newcomers. Within the category of the model, “access to social capital,” two socialization factors are named: one being the development of organizational tactics, institutional methods and practices that are more formal in nature. The second is with newcomer proactivity, the role of the individual in

creating networks and relationships on a more informal level. Social capital is the second part of this model and includes the creation of a communication network, along with factors such as the strength of relationships, access to informal resources and status given to the newcomer. Within the second stage, the term “mobilization of social capital” is used. This is where the individual’s personality and social skills play a role in monitoring, self-evaluating and properly understanding the missing links. For this stage, a time of adjustment is typical. This stems from learning about the task at hand, the clarity regarding role and knowledge, along with assimilation, and the identification and integration within the community. The accomplishment of the initial stages leads to the final step of socialization that is considered success within the role, defined by both satisfaction and growth. This model underlines the importance of social capital within the organizational process. Within this particular model, social capital is not only beneficial but necessary and required within the transitional process. A leader’s ability to maneuver effectively, efficiently and authentically through the process of organizational socialization is essential. The support of both their human capital, and their degree of social capital as they impart and grow as leader, while familiarizing themselves with the university culture, and engaging with stakeholders (Fang et al., 2011). Fang et al.’s (2011) model is not cyclical in nature and based on the more traditional approach to organizational socialization. The cited theories of organizational socialization and sense-making contribute in a direct manner to the development of the proposed conceptual framework.

The frameworks of organizational socialization, sense-making and social capital explored in this review contribute to the development of the proposed amended model below. The model

will provide the conceptual foundation for the study that will attempt to answer the following research questions:

Research questions:

Question one: How did the leader's relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?

Question two: How was the leadership transitional process perceived by presidents within their respective university cultures? And what role, if any, did the transitional process play in their shortened mandate?

3.4 Chapter summary

From the second chapter, the literature review, I determined that this study examines organizational socialization and the search for shared values among presidents and the universities that they lead. The organizational socialization and sense-making processes for presidents with unfinished mandates set an important stage for this discussion. In this chapter, the conceptual framework, I examined the literature on theoretical models that would be sufficiently robust and vigorous to organize a study on leaders' views of organizational socialization. Within Chapter three, there is a presentation of several pertinent models, including those of Van Maanen and Schein (1979), Jones (1986), Louis (1980), Danielson (2004), and Fang, et al. (2011). After examining several significant models, the preferred model integrates elements that are important from a leadership perspective. *Amended model: A social capital model of the organizational socialization process from a leadership perspective* focuses on organizational socialization, sense-making and social capital within the context of a complex culture and from a leadership perspective. It provides the foundational knowledge regarding

the key theoretical underpinnings of this research. Within the forthcoming chapter, the methodological framework for the impending study will be presented and justified. The selection and justification of a qualitative research design, based on a case study model, follows in the fourth chapter.

Chapter 4: Methodology and Method

There is an important distinction between method and methodology. *Methodology* refers to the philosophical or theoretical approach to the research, along with the principles used. The *method* refers to the technique or approach that is taken to undertake the research or the procedure. I will examine both the methodology and the method for my research below. This chapter provides the rationale for using a qualitative-inquiry research approach. I will show why using a case study method and methodology best meets the purpose and objectives of this study. This chapter also discusses the ways that reliability and validity are achieved within this study. It provides details regarding the selection of participants and their profile, the instruments used to obtain data, along with the means used for the data collection and analysis.

4.1 Methodology: Case study approach

O’Leary (2009) defines the case study methodology as a means of studying social elements, using comprehensive description and analysis of a particular case or situation. In this piece of research, the case is based on the group of Canadian university presidents who share a common experience. There is an important emphasis on understanding the case as a unit, or as a whole (O’Leary, 2009). Yin defines case study research as, “an empirical inquiry about a contemporary phenomenon, set within its real-world context – especially when the boundaries between phenomenon and context are not clearly evident” (Yin, 2009, p. 18). The essence of these definitions shows the importance of case study research being an up-close discovery of a

singular or a small number of cases. In doing so, the context of the cases is very important in helping to paint a clear picture of the situation or circumstance being researched. It is very importance to examine the case as an interconnected whole, and not as singular variables (Yin, 2009).

Based on my research questions, and the need to comprehend the how and why of unfinished presidential mandates, the case study approach was chosen to understand these questions. Case study research is a very effective in helping to describe or explain a phenomenon in detail. The rich, descriptive data, along with insightful explanations, as seen within this research, are best derived from case study research (Yin, 2009). Yin (2009) describes three main types of case study research: explanatory, exploratory, and descriptive. My research would best be termed as explanatory, as it helps to explain complex interventions and relations within a given context. While, exploratory centers on an exploration, with no set or predicted outcomes. Further, descriptive focuses on re-counting a situation in a real-life context (Yin, 2009).

They are, of course, principles that underlie case study methodology. The four central principles include: a wish to describe a phenomenon of interest in great detail; a desire to capture the participant's voice and perspective; an interest to respond to questions of how or why, and a willingness to consult multiple data sources, such as interviews, archives, documents, or observation (Creswell, 2002; Yin 2009). The research methodology used within this research on unfinished mandates places an incredible degree of importance on the individual's stories, within their particular context. The relation and common patterns drawn

between each of these cases is also of importance. Case study research enables a nuanced perspective of reality of human behaviour and interaction, both as an individual and within a group, or, in this case, the university community (Yin, 2009).

As within each perspective, there are some important criticisms that must be well understood while building a research methodology. Some researchers criticize case study research for its sample size. However, it can be argued that a well-designed case study based on a singular case, and grounded in theory, provides a comprehensive illustration of an occurrence or phenomenon to a wide range of readers (Stake, 1995). While the popularity and interest in qualitative research continues to grow, many researchers criticize the work of qualitative researchers from many dimensions (Bryman, 2004; Bryman, Becker & Sempik, 2008; Morgan, 2008; Shaw & Corley, 2006). The most prominent criticism is the lack of accepted criteria for assessing its quality (Bryman, 2004). A qualitative researcher's definition of rigour, validity, transferability, and generalizability is a subject of frequent discussion and debate. There is not yet an accepted definition of these terms (Bryman, Becker & Sempik, 2008). Another chief criticism is regarding the unsystematic approach to qualitative work (Shaw & Corley, 2006). Because ground rules definitions are not set, much of the work is based on a lack of specified hypotheses that become more like *leads* or *hunches* (Bryman, 2004). Further, certain researchers find that due to the loose and unstructured nature of qualitative research, it cannot stand on its own, and should only be used as a precursor to quantitative work (Bryman, 2004). This view sees qualitative work as one that should exist primarily to raise important questions that should be verified or solved through quantitative research (Morgan, 2008). Collaboration can be effective and lead to a mixed-methods approach, qualitative researchers

object to this criticism as it places them on a lower rung of the epistemological ladder (Bryman, 2004; Howe, 2009). Qualitative researchers prefer to take a different approach to viewing experiences and phenomena and, while they may collaborate with quantitative researchers, their research stands alone and provides important and significant contributions to knowledge as seen within this body of research.

Remaining aware and cautious of these concerns, this research, discussing the experiences of Canadian university presidents with unfinished mandates, suits a qualitative framework, adopting a case study methodology. In the 1920s, researchers at the “Chicago School”, first adopted the qualitative approach. The city itself become a laboratory for a group of sociologists. Later, Thomas Kuhn’s *The Structure of Scientific Revolutions*, published in 1962, was a turning point in a very important paradigm shift that questioned the traditional, objective view of conventional science and made way for a new way of seeing the world. Kuhn (1962) refers to irregularities or “crises” in tradition that make way for a new way of viewing research and the generation of knowledge within communities. Qualitative research is exploratory research, where researchers seek insights regarding reasons, opinions or motivations to understanding a problem or a hypothesis. The qualitative research data and the accompanying analysis is often an outcome of open-ended questioning. Further, the research is holistic, engaging the complete perspective, within a complex system. Personal contact and insight are important in order to engage participation and build trust with the informants. Unlike quantitative research, the findings are not generalizable as the research is context-sensitive (Patton, 1990). Lincoln and Guba (2000) refer to the qualitative approach as naturalistic inquiry. Researchers describe knowledge as something that is based on multiple social realities and

meanings through a divergence of intangible views and interpretations of phenomena. The approach is all-inclusive, and the fundamental instruments for the research are, of course, people. This creates a system where knowledge is a series of “working hypotheses” (Guba & Lincoln, p. 238) that are rarely considered real or tangible truths. In line with the social constructivist approach, qualitative researchers view knowledge as not being acquired or discovered but rather developed. The individuals contribute to the process of knowledge construction through questioning, probing, reflecting, making errors, and growing (Crotty, 1998). This paradigm explains the acquisition of knowledge as an adaptive process involving development, dialogue, observation, reflection, interaction, abstraction, and interpretation. These aspects influence new ideas, experiences, events, perceptions, and relationships with others (Lambert, Walker, Zimmerman, Cooper, Gardner & Ford-Slack, 1995).

Leadership, when viewed from a social constructivist lens, is dynamic and ever-changing. In fact, it is impossible to perceive a person through a common or static lens. The naturalistic approach is best-suited to a study of leadership as it encourages those involved in the research to be authentic and at ease within one’s environment and experience. By developing a sense of trust and closeness within a person’s own context, the researcher describes in a rich manner their observations, perceptions, context, and players involved. In doing so, the researcher, who plays the role of a “passionate participant” (Lincoln & Guba, 2000), is often able to uncover something that may not be seen through a more objective and rational, quantitative lens. Lambert (2002) states:

...all humans bring to the process of learning ... formed by prior experiences, beliefs, values, socio-cultural histories, and perceptions. When new experiences are encountered and mediated by reflection, inquiry, and social interaction, meaning and knowledge are constructed ... The concept of constructivist leadership is based on the same ideas that underlie constructivist learning: Adults, as well as children, learn through the processes of meaning and knowledge construction, inquiry, participation, and reflection. Leadership can be understood as the enactment of such reciprocal, purposeful learning in community (p. 423).

Bryman et al. (1998) describe the value of using a qualitative approach, specifically when studying leadership. The qualitative approach allows sensitivity to unique factors present in an individual context and ensures flexibility by enabling the exploration of unexpected themes or ideas. The subsequent observations become more relevant and interesting within this context.

4.1.2 Researcher's position

The ideological debate regarding the acquisition of knowledge and the notion of truth is a contentious discussion as it questions a person's fundamental beliefs regarding their philosophical values. St. Pierre (2006) posits that our role as researchers should be to, "produce different knowledge and produce knowledge differently (p. 259)." This research adopts a social constructivist approach. Social constructivism examines society by means of a social mechanism or a phenomenon constructed in collaboration with perceptions of individuals or a group through cultural or social practice. A crucial, underlying theme of constructivism is that one never arrives at a level of complete truth. As Fleck states, "Every thinking individual, insofar as it is a member of some society, has its own reality according to which and in which it lives (Fleck, 1935, p. 426 as cited in von Glaserfeld, 1989)." At this point, many researchers sought meaning while attempting to discover knowledge through a positivistic and noble quest for objective

truths. However, a small group of academics questioned that concept and preferred the idea of making meaning and constructing knowledge through a dynamic process engaging researchers and creating knowledge through a more subjective lens. As Adler and Adler (1994) suggest,

Quantitative observations, conducted in situations deliberately designed to ensure standardization and control, differ markedly from observations framed by the qualitative paradigm. Qualitative observation is fundamentally naturalistic in essence; it occurs in the natural context of occurrence ... it enjoys the advantage of drawing the observer into the phenomenological complexity of the world, where connections, correlations, and causes can be witnessed as and how they unfold. Qualitative observers are not bound, thus, by predetermined categories of measurement or response, but are free to search for concepts or categories that appear meaningful to subjects (p. 40).

Within a social constructivist paradigm, interpretations and meanings have a direct effect on how reality is viewed and the ways that political and social factors such as power, ideologies, religion and the economy affect a person's understanding of society and more specifically, of knowledge (Vygotsky, 1978). Von Glaserfeld (1989) explains how knowledge becomes the result of a person's individual construction. Knowledge is not a commodity that exists outside of the "knower;" it cannot be transferred or instilled through communication or perception. Yilmaz (2008) supports this notion by explaining that learners are simply not "empty vessels waiting to be filled (p. 162)." Based on this social constructivist epistemological approach, a qualitative research design was chosen as the basis of this research study. This lens encourages the researcher to be cautious yet critical when looking at leadership. Further, it views knowledge as a process that is constantly growing and changing through our views of the world based on past experiences and inherent biases.

From my perspective as researcher, I underwent this research with a certain level of bias. Having worked in a president's office, I did share a significant level of respect for university presidents and their roles. Further, I shared a deep level of empathy for the presidents with unfinished mandates. This genuine reverence and esteem for the presidents with unfinished mandates played a both positive and negative role in my research. It helped me to gain the trust of the university presidents with unfinished mandates. However, it also put me at risk due to a heightened level of compassion for their individual predicaments.

4.2 Method: Case study research

Within the case study method, the researcher examines a specific group or case, using in-depth study and analysis. As such, the reader becomes closely linked to the experience lived by the interviewee (Merriam, 2002). This body of research intends to shed light and increased understanding regarding a specific phenomenon discussed in the section on methodology. This section will now examine the case research itself – the procedure and the actions taken within the research. Open-ended, semi-structured interviews are chosen as the research method (Hopf, 2004). They enable a discussion where statements can be clarified and additional information is obtained in a detailed and thorough manner (Merriam, 2002). The reader links closely to the experience of the informant and encourages an in-depth analysis of a series of social situations (Merriam, 2002). This method allows an understanding of complex social phenomena as researchers maintain the complete and significant characteristics of real-life events within their contexts (Yin, 2009). This type of research enables a rich level of information sharing. By capturing as many variables as possible, this impacts how a complex set of circumstances produce certain manifestations (Yin, 2009). Within this process, there is a close

collaboration between the researcher and the participant. The participants' stories describe their views of reality and help the researcher to understand the participants' actions within the given context.

For this research, I use the form of semi-structured interviews. This puts the focus on the internal validity of the study, with an emphasis on the understanding of naturally occurring social events and processes. Due to this circumstance, the generalizability of findings is secondary to clarifying theoretical understandings (Singleton & Straits, 2005). The outcome is to provide a deeply detailed description of this aspect of the social world (Singleton & Straits, 2005). The focus of naturalistic inquiry is important as the experiences are "real world" (Patton, 1990). Further, the experiences are not considered obtrusive; there is a sense of openness to what organically emerges from the research, and there are no predetermined outcomes (Patton, 1990). The purpose is to describe the particular experience in much detail and to develop a theory based on the learnings while taking into account the contextual and particular aspects of each experience. The research is inductive in nature as opposed to deductive and while truths may be suggested, they are not ensured. This creates more of a bottom-up process to knowledge construction. In most cases, each and every inquiry leads to more questions than answers. One's value set both burdens and enriches the research as the research question, theory, method, and context are unavoidably influenced by the researcher, the context, and the inherent biases (Lincoln & Guba, 2000). By using inductive analysis, the researcher immerses him or herself in the details, categories, dimensions, and interrelationships of the qualitative data.

The use of inductive coding in analyzing the texts enables a discovery of concepts and relationships within the raw data. An organization of the data into a theoretical explanatory scheme enables an elaboration and extension of existing theories and concepts of the literature review and the conceptual framework (Ryan & Russel, 2000). This method treats text as a window into the human experience (Ryan & Russel, 2000). The research focuses on building a general, more abstract understanding of a single, social phenomenon that interacts and is relationship-based (Singleton & Straits, 2005).

4.2.1 Units of analysis

The units of analysis for this study are the perspectives of six of the 16 university presidents with unfinished mandates in Canada over the past ten years. Each of the presidents is mid-late career and all are from an academic background. All are white, and there are an equal number of male and female presidents. Confidentiality is of utmost importance, and the invocation of certain measures ensure the confidentiality of participants. The lack of disclosure of pertinent information ensures the confidentiality of the interviewees. While the views of the presidents only present one perspective of the context surrounding their unfinished mandate, this was the only option due to issues of confidentiality. Please note that the informant names are changed to protect their privacy and personal identities of the informants. Pseudonyms keep the personalized nature of the relationships discussed, as well as inter-relationships between the individuals and institutions of reference in the interviews, confidential. The consultation of background, biographical information and media information concerning the unfinished mandate was consulted in advance of the interviews. Field notes taken before and after each interview, and throughout the research process are used as a part of the research.

This segment of informants is small in keeping with the qualitative research tradition (Ryan & Russel, 2000; Singleton & Straits, 2005).

4.2.2 Instruments and procedures used for data collection

The instruments used in this study consist of the following:

- Letters of invitation sent by email (see appendix 3)
- Participant consent forms (see appendix 4)
- An open-ended interview framework (included in section 4.9 and appendix 6)
- Audiotape and Skype recording devices
- NVivo software for coding
- Full transcription of all interviews (exists separately to this thesis as a 206 page document)

Upon full approval by the Ethics Committee, I sent email messages to all 16 presidents on the list of Canadian presidents with unfinished mandates. The list of presidents with unfinished mandates was a list that was compiled primarily from media articles over the past 10 years (see appendix 1). However, the list was sent for approval and additions to the Association of Universities and Colleges of Canada, as well as key academic researchers in higher education to confirm its completeness. In a short time, some presidents responded positively, others negatively, and some requested phone discussions to discuss further. Only three of the presidents did not respond at all to my email or my follow-up message. In all, I was able to contact 13 of these presidents via email. Six presidents accepted my interview request. Of the six interviews, one of these interviews took place in the president's home, one on a university campus, one in a library meeting room, and three took place via Skype. The interviews were scheduled according to the availability of the leaders. All participants signed an informed

consent form in advance of the meeting (see appendix 4). I reviewed important background information before each interview in order to help explain the context of the unfinished mandate.

A level of comfort is essential for understanding an individual's experience and their perspective. The process of data collection requires a safe and trusting context as a means to understand behaviour (Seidman, 2006). The strengths of in-depth interviewing include an interaction with a given individual, along with important, influential social and organizational factors in order to understand the interconnections among people (Seidman, 2006). I conducted primary data collection through in-depth interviews with informants both in person and by Skype using a life story approach in order to engage the participant in storytelling about their experience and reflections (Tedlock, 2000). The building of theory or patterns is based on the specific situation within a unique context. The individuals, both myself as researcher and the informant, play a supportive role in the co-construction of reality (Creswell & Plano Clark, 2007). The development of a semi-structured interview guide (see appendix 5) provides focus for the interviews (McCraken, 1988). The guide informs the interview based on the research from the literature review and conceptual framework. Through open-ended questions and relaxed conversation, I encourage the presidents to tell their individual stories in a reflective and thoughtful manner (Crandall, Klein & Hoffman, 2006). Through the process, I understand their points of view presented; thus being able to uncover information that leads to a better understanding of their experiences. All of the interviews were taped using an audio recorder. I also took extensive notes during each of the interviews. Follow-up for clarification and deeper descriptions of the data and key themes were enabled, particularly when describing complex

interactions and relationships (Marshall & Rossland, 2006; Weiss, 1994). Understanding cognitive maps and schema that the presidents are working from, and how these maps change and adapt in response to unexpected events, are important aspects of understanding personal experiences (Crandall, Klein & Hoffman, 2006). The discovery of nuances is also important, as are the facilitating analysis, validity checks, and triangulation in order to analyze a large amount of data in a relatively short time period (Marshall & Rossland, 2006). The verbatim transcription of each conversation ensures a high level of rigour for the qualitative research. Finally, NVivo software is used to sort the transcripts and analyze the data by nodes.

4.2.3 Development of the interview framework

Based on the research questions, and the supporting theory from the conceptual framework and the literature review, the key themes of the interview guide include:

1. Path to becoming university president
2. University and organizational culture
3. Transitional process
 - Role of university president
 - Leader-organization fit
 - Diversity
4. Social capital and relationship building
 - Role of predecessor
 - Board relations
 - Leadership styles
 - Team-building and role of the executive
 - Trust and ethics
5. Practical recommendations

The development of the final interview framework, with support and consultation from other researchers follows.

4.2.3.1 Framework—themes for interview questions for university presidents

1. Introductory comments from researcher
 - Overview of myself and my research
 - Guidelines in terms of trust and confidentiality
2. Introductory comments from interviewee
 - Overview of self, personal history and career path more broadly
3. Discussion regarding **university culture**
 - Reflections on your transitional process and the adaptation to the role
 - Do you feel that the character of this organization reflected your values as a person/as an academic/as a leader?
 - Reflections regarding “leader-organization fit”
 - Culture of this university versus others (if applicable)
4. Discussion regarding how the **relationship** between the organization and the leader influenced their experience as a leader, as well as their adaptation to the university that they led
 - Within the role of president—your role and the varied expectations and relationships on campus
 - Role of predecessor to your transition
 - Reflections on your leadership style
 - Reflections regarding team building
 - o Specific comments regarding the role of the University Secretary in your transition (role in relation to Board, Senate and within the executive team)
 - Reflections regarding trust
5. Reflections from the interviewee regarding their unfinished mandate
 - What would you have done differently?
6. Role of diversity within the lens of fit
7. Practical outcomes and systems issues:
 - Recommendations in terms of leadership transitions in order to assist future practices within Canadian universities?
8. Key lessons learned that could assist the system as a whole?

The framework above acts as an informal guide to set the stage for the in-depth interview and guide the discussions between myself and the informants over the period of one to over two hours.

4.2.4 Data analysis

Interviews varied between one and just over two hours in length, with an average time of 94 minutes for a total of over 566 minutes of digitally recorded and data. I used inductive analysis to enable full immersion in the details, categories, dimensions, and interrelationships of the qualitative data (Ryan & Russel, 2000). Auberbach and Silverstein's (2003) steps to code data from the units of analysis acted as the model of data analysis. The steps were as follows:

- 1) Data management: I compiled the raw text, including field notes, interview transcriptions, and background material, and organized by date of collection.
- 2) Transcription: Interviews transcribed verbatim and verified. A total of 73,569 words were extracted for analysis, or an average of 12,262 words per interview.
- 3) Transfer of documents to NVivo: I transferred the raw data to a software analysis program, NVivo.
- 4) Review research objectives and theoretical perspective: I spent some time reflecting on the objectives in relation to the data and my theoretical position and approach. This explanatory scheme elaborates and extends theories and concepts explored in my literature review and my conceptual framework (Ryan & Russel, 2000).

- 5) Initial coding: While listening to the narratives, and using inductive coding to analyze the texts, there was a discovery of concepts and relationships within the raw data. I pulled out commonalities, differences, patterns and structures (Coffey & Atkinson, 1996) in order to make sense of the data and represent the shared experiences of the leaders (Merriam, 1988). I analyzed free-flowing text that was transcribed verbatim from interviews with informants, each interview forming a unit of analysis (Ryan & Russel, 2000). Content analysis of each interview was conducted using NVivo software that provides structure for the analysis and the inductive coding process. I started by organizing the information by questions asked. The themes uncovered in the raw data and outcomes were interpreted through the selection of themes (O'Leary, 2009). I developed ideas around emergent patterns and categorized them by themes. The generation of themes was based on the research questions (Merriam, 1998).
- 6) Reviewing and revision of coding: I read and coded each interview twice in order to increase the quality and consistency. The review of each grouping of text under each construct and concept ensures similarity of texts coded. The establishment of an initial coding architecture based on nodes, or meaningful constructs, ensures a clear understanding of the data. The refinement of the architecture coding through the process of analysis results in certain conclusions. This iterative analysis process forms the foundation of the findings and discussion sections of the research project (Singleton & Straits, 2005).

- 7) Within the findings section in Chapter five are the main nodes developed as a result of this detailed coding and analysis process, node by node. Select data supports the conclusions, while the complete data set constitutes a 206-page report that exists separately from this document in the interest of space. Theoretical constructs are delineated, and themes grouped into units that are consistent with the study's conceptual framework.
- 8) Constructing a theoretical narrative: The theoretical constructs must fit together in order to tell a coherent story.
- 9) Feedback on findings: The process of interview transcription, compilation of field notes, informant feedback, as well as feedback from my supervisor enabled a scrutiny of my work in constructing the story told within my research.

4.2.5 Criteria for interpreting the findings

As a qualitative researcher, I am the primary tool used with my research. Due to this circumstance, there are threats to the validity of my research based on my own attributes and the accompanying paradigm (O'Leary, 2009). Within this qualitative paradigm, many debates exist regarding the definitions of quality and the establishment of criterion. Certain qualitative researchers, such as Lichtman (2011), strongly oppose the instillation of common quality criteria among qualitative work; they feel that qualitative work is far too diverse with dramatically different philosophical and methodological approaches to allow defined and widely accepted criterion. Others feel that ensuring a highly-disciplined level of trustworthiness is of great importance (Denzin & Lincoln, 2008; Lincoln & Guba, 2000). Unlike quantitative work, generalizations are virtually impossible, as the research is never time- or context-free

(Lincoln & Guba, 2000). Based on some suggested strategies by Patton (2002), I adopted key approaches to increase the internal validity of my research. This includes collecting data from multiple sources (from leaders themselves and by researching background information); checking interpretations with the individual research informants; asking peers to comment on findings; involving informants in all phases of the research process and, clarifying researcher biases and assumptions. This research follows validation procedures to address standards of reliability and validity, and to ensure the quality of my methodology: triangulation, respondent validation, and dependability.

4.2.5.1 Triangulation

From a qualitative perspective, triangulation is a process of supporting evidence from different individuals, types of data, or methods of data collection. I gained information primarily from the interviews; however, some presidents provided supporting documentation to assist in my research. I also reviewed the presidents' biographical information and previous writings, in some cases related to their unfinished mandate, in advance of the interviews. Further, in some cases, I had follow-up meetings or phone calls with the informants. One informant prepared a written statement following the interview. The triangulation of data is of utmost importance and within my semi-structured interviews; I enabled key tactics such as reviewing background material, posing follow-up questions, and transcribing and reviewing all data (Patton, 2002). I also had frequent debriefs with other researchers (Lincoln & Guba, 2000). I wrote in a journal throughout the process and debriefed with my supervisor following each interview using the recommendations of the member check process. I also reviewed the process with fellow

graduate student colleagues. From the perspective of external validity, my methods focus on process while understanding and interpreting a unique situation (Rutherford, 2005).

4.2.5.2 Engagement of the informants

Throughout the process, important steps ensure a high level of trust with the informants. This includes: pre-interview discussions and emails; traveling to the location of choice to meet with the presidents in person when possible, and ensuring ample time for a comfortable and unrushed discussion. All of the informants were given the questions, along with the interview request, and many had prepared notes in advance of the interviews. The informants spent time reflecting on their thoughts and describing their experiences in much detail. The time of engagement was significant in order to properly represent the situation, to present my personal biases to the informants in advance, and to follow up with additional questions at the end. I was also transparent in clarifying my biases and assumptions with both my committee members and the informants themselves. Within my introductory letter and at the beginning of each interview, I disclosed my personal background and my motivation for the given research to the informants. I also conducted a “member check” so that the data and accompanying analysis were presented back to the informants (Lincoln & Guba, 2000). I offered to meet with each of the informants upon presenting my study findings.

4.2.5.3 Dependability and authenticity

In order to represent constructions in a trustworthy manner, I adopted methods in my research that were consistent, using a neutral approach, and making the research applicable (Lincoln & Guba, 2000). I left an audit trail by transcribing interviews, the coding used in NVivo, my field notes, along with the liberal use of direct quotations within my thesis. Further, I

increased both the credibility and transferability of my research by allowing readers to see the clarity of constructions. I describe the situations in a manner that is intended to be recognizable by the reader due to a high level of richness within the data and the use of direct quotations (Lincoln & Guba, 2000).

Guba and Lincoln (2000) add a fifth criterion to consider when looking at the quality of one's naturalistic inquiry. Authenticity enables researchers to examine critically whether the range of realities within their research represents a fair and genuine way. Authenticity stresses the importance of ensuring that the qualitative research is true to one's self and one's word. This research and the data collection process were very authentic, enabling real conversations without pre-set agendas. The time allowed for each interview was open and, in some cases, follow-up interviews were done in order to clarify key questions. Follow-up questions within the interview process were routine and frequent. The presidents were at ease and showed confidence and a general comfort with the given process. Each of the dimensions of trustworthiness is essential to examine when building a qualitative research design. My qualitative research was designed and developed in order to support these factors, raising key questions in order to ensure a superior level of quality within one's qualitative research.

4.3 Chapter summary

This chapter outlines the methodology and method for the study, the participants of the study, the interview framework, the data collection and analysis, and the criteria for interpreting the findings. The fifth chapter will present the qualitative data that the leaders provided.

Chapter 5: Research findings

This chapter presents an analysis of the data provided by the interviews with Canadian university presidents who experienced unfinished mandates and who chose to participate in the study. Drawing on higher education, leadership, sociological and human resource literatures reviewed earlier in this paper, and by adding the qualitative primary data, this research describes a dynamic transitional process, in which presidents interact, in the early times of their presidency with a multitude of stakeholders. What follows in the findings section of this paper are the main themes developed as a result of this detailed coding and analysis process, node by node. Table A references an overview of the interview details, including word count for transcription, length of interview and location. Select data is used to support the conclusions, while the complete data set transcription constitutes a report that exists separately from this paper in the interest of space. In Table B, the number of informants who referred to the construct is noted, as well as the number of references to the construct itself. When addressing the findings of this research project, it was necessary to look first at the individual findings of each research question, node by node, and then to integrate them in a meaningful way. I referred back to the research questions to provide a structured approach to the discussion. Ultimately, the purpose of this research, in keeping with its research methods, is to use informant narratives to illuminate the understanding of the experiences of university presidents with unfinished mandates, and to answer the research questions. The theory of the conceptual framework and the literature review supports the analysis.

5.1 General analysis of the participants

Over a period of four months, I interviewed six Canadian university presidents with unfinished mandates. Below, I will provide an overall analysis of this group of leaders. The total

sample size of the presidents with unfinished mandates in the past ten years in Canada is approximately 16. In all, I was able to contact 13 of these presidents with a letter of invitation sent via email. Six of these presidents accepted my interview request. It is important to note that within the 16 unfinished mandates in Canada, all of the presidents were recruited from outside of the given university. In the case of my sample selection, all but one were recruited from another university. One was recruited from the private sector; however, for this individual, there was extensive previous experience within academia earlier in the career. For this reason, the six leaders whom I had the opportunity to interview were recruited from outside of the university where they experienced the unfinished mandate. Each of these presidents was keen to share their experience of an unfinished mandate and showed little hesitation or apprehension regarding the interview process. In half of the cases, a telephone conversation was organized in advance of the interview in order to discuss their experience and my research. This discussion was not recorded. Half of the sample size was male and half was female. All of the presidents would be considered mid or late career when assuming their presidential role. All have completed leadership mandates before, after, or both before and after the specific unfinished mandate that was discussed in the interview. The presidents had varying years of leadership experience, both within and, in a few cases, outside the academic context. The presidents each shared an impressive biography with positive leadership mandates, awards, and past successes. In all but one case, the president was warmly welcomed to the institution by the Board, faculty members and the student population. In one case, there was speculation and rumour as to the intentions of the presidents' before their arrival on campus. In all cases, there was no sign of any great scandal related to the presidential mandate.

For each of the presidents, this was their unique experience with an unfinished mandate. In fact, all of the presidents revealed the uniqueness of this experience within their careers.

Martin, in particular, commented on this phenomenon.

Martin reflects,

You realize you do have a problem when these are periodic blips but that they occur enough with different people in discrete situations that you have a systemic problem. It's quite different if you had a person who had been president of three institutions and they were disastrous in each one of them, you think oh really this is a personal issue. But if you look at a number of them and they are transitional presidents or senior officers in an institution but have been successful in others, then you have to ask the much more uncomfortable question of what the heck happened here and why was the synergy not there and, how does it play itself out in the end (personal interview, May 12, 2014).

This sets the context for a discussion that is unique as, in the case of the presidents with unfinished mandates that I interviewed, this was their singular unfinished mandate. This provides an overview of their career paths of the informants as a group.

In terms of the physical context of the six interviews, one of these interviews took place in the president's home; one on a university campus; one in a library meeting room, and three took place via Skype. The interviews that took place in person provided a deeper connection and richer data due to the human connection factor, and the ability to communicate on a more genuine level with a deeper conversation. The in-person interviews were also substantially longer. As described in detail in Chapter four, confidentiality is a key issue in this study. While some presidents were willing to openly use their name in the interview, I felt that the identity of the interviewees would limit my ability to reach other potential informants. Because of my concerns and commitments regarding confidentiality, and that of the Ethics Committee, I will

use pseudonyms in referring to the presidents within the paper. In some cases, I have changed the gender and location of individuals, or certain key facts. I have also replaced the names of other individuals, along with university names. The stories of the presidents will be explained by theme, along with a short narrative for each president as a means of protecting the confidentiality of the informants.

While all presidents did reflect their experiences, through their lens, most presidents were quick to admit their shortcomings and how they might have played a role in the shortened mandate. They were self-critical and frank in reflecting on their individual situations. It was clear to me that they had spent a great deal of time reflecting on this experience. Their stories were rich with analysis. Further, each of the presidents showed a great deal of interest and enthusiasm in my research. They had, of course, reflected greatly on the trend of unfinished mandates within Canadian universities. They were supportive of the work and keen to read the results. While they lived the experience, they appreciated the system-wide issue of unfinished mandates and were eager to read more about the outcomes of my study. As Martin reflects,

Of course you're hearing the side of the grieved presidents, that's part of the story, but I think that we're likely to be the most honest and telling because we have the least to lose." He continued, "We're academic CEO's if you like, are in better position for that type of self-scrutiny because of the nature of our training (personal interview, May 12, 2014).

This tone, reflects most interviews and helps to contribute to the validity of the research.

Below, Table 1 provides a summary of key characteristics of the interviews.

Table 1: Overview of interview details

	Samson	Belisle	Martin	Smith	Wilson	Leblanc
Transcription	10,462	22,516	12,588	7,427	6,538	14,038
Length	1hr, 25min	2hr, 23 min	1hr, 23 min	1hr, 3 min	1hr, 2 min	2hr, 9 min
Location	Skype	Home	Campus	Skype	Skype	Library

Table 2 provides a summary of the reference nodes coded within NVivo. NVivo is a computer software coding program that provides a mean for identifying themes and patterns within the interviews transcripts in a rigorous manner. This process is discussed in Chapter 4.2, explaining the methodology and method used for this study.

Table 2: Reference nodes coded within NVivo

Nodes	NVivo References
<i>Question one: How did the leader's relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?</i>	
Path to becoming university president	10
Hiring process	56
University culture	47
Role of predecessor	34
Relationship with executive team	64
Board relations	122
Gender and diversity	35
<i>Question two: How was the leadership transitional process perceived by presidents within their respective university culture? And, what role, if any, did the transitional process play in their shortened mandate?</i>	
Transitional process	42
Role of university president	24
Organizational fit	37

Table 3 provides a summary of pertinent themes by research question that are particularly relevant in the data.

Table 3: Summary of pertinent themes within data

	Samson	Martin	Belisle	Smith	Wilson	Leblanc
Question one: <i>How did the leader’s relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?</i>						
In applying for the position, the candidate felt confident that he/she was a “good fit” for the university	X	X	X	X		
Experienced communication challenges with members of the Board	X	X	X	X	X	X
Experienced a significant level of mistrust with at least one member of the executive team	X	X	X	X	X	X
Felt board members were misinformed and unaware of role and responsibilities	x	X	X	X	X	X
	Samson	Martin	Belisle	Smith	Wilson	Leblanc
Question two: <i>How was the leadership transitional process perceived by presidents within their respective university cultures? And what role, if any, did the transitional process play in their shortened mandate?</i>						
Felt that vital information was not disclosed (or possibly hidden) during the hiring process	X	X	X	X	X	X
Little transitional support offered	X	X		X	X	
Predecessor was not particularly helpful within the transition process	X	X	X	X	X	X

Table 4: Pertinent biographical information of the informants

	Samson	Martin	Belisle	Smith	Wilson	Leblanc
White	x	X	x	X	X	x
Considered mid-late stage of career at the time of the presidency	x	X	x	X	X	x
Highly educated	x	X	x	X	X	x
Is an academic	x	X	x	X	X	x
Hired as an external candidate to the university when they became president.	x	X	x	X	X	x
Leadership experience at another university before assuming presidency.	x	X	x	X	X	X
Potential presidential leadership style (based on opinion of researcher), based on Bolden et al, (2009)	Servant	Servant	Collective	Managerial	Transformational	Managerial

5.2 Linking the research questions to the conceptual framework

Below, I will link each research question to the related aspects within the conceptual framework and then indicate the related themes that were coded in the qualitative data using NVivo.

Question one: How did the leader's relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?

The first research question ties directly to related aspects within the conceptual framework. The relationship between the organization and the leader, and the related transitional experience, is best linked to the middle circle in the conceptual framework, “access to social capital” (adapted from Fang, Duffy & Shaw, 2012). This aspect of the conceptual framework includes the socialization factors enabled to ensure that the president transitions and advances in accessing their social capital. This includes socialization factors, such as: formal and informal organizational tactics; active learning and understanding of cultural dynamics; newcomer proactivity, including sensemaking, relationship building, adjustment of leadership style, and team-building (Fang, Duffy & Shaw, 2011). There are many concrete examples of the above themes within the findings section of this chapter. Within the coded nodes related to this research question, the following codes are explicitly included: hiring process, path to becoming university president, transitional process, and university culture. Also, within the first research question, the theme of social capital is key in the data. This encompasses the network structure related to the strength of the internal and external communications network, and network resources, related to the range and status with each of the key stakeholder groups. The related nodes coded within data include the role of the predecessor, the relationship with the executive team and the large theme of board relations. Further, within this research question, the inner circle of the conceptual framework, related to the leader within his or her construct, is also very important. This includes aspects directly related to the leader, such as the subcategories of personality, adapting and trust-building, along with the theme of success or successful organizational change. Personality includes the understanding of one’s self and their leadership style, the leader’s ability to build team and the authenticity of their leadership.

Adapting and trust-building includes the facilitation of feedback, self-monitoring, and core self-evaluation. The third theme of success includes momentum, career satisfaction, growth, confidence in leadership style, and mutual trust. Within the qualitative data, this includes the nodes of trust and non-disclosed information.

Question two: How was the leadership transitional process perceived by presidents within their respective university cultures? And what role, if any, did the transitional process play in their shortened mandate?

Within the second research question, there are related aspects within the conceptual framework. The second research question grounds within the middle circle of the conceptual framework, “mobilization of social capital” (adapted from Fang, Duffy & Shaw, 2012). This includes the two subcategories of newcomer adjustment and successful organizational change. Newcomer adjustment includes aspects such as active learning; confidence and mastery of the role; organizational knowledge and commitment; development of “fit,” social integration and identification. The related nodes coded within data include transition; the role of university president; fit or perceived fit, and gender or diversity. Efficient organizational change encompasses the strategic changes implemented by the leader. Based on these parameters of the conceptual framework, a discussion of the synthesized findings follows.

5.3 The narratives of presidents with unfinished mandates

In linking to the research questions, I will provide an overview of the general themes raised by each informant. As often as possible, I have relied on the leaders’ words in describing their experience, observations and reflections regarding their unfinished mandate. The information has been simplified and condensed to maintain the confidentiality of informants.

5.3.1 Samson's unfinished mandate

Samson and I connected by Skype. After a brief conversation by phone, Samson was keen to discuss and share his story. He showed great emotion in recounting his story, and remembering *moments in time* of his unfinished mandate that he recounted in much detail. He had prepared some of his thoughts in advance regarding his time as a university president; he was thoughtful and articulate. Samson enjoys an impressive career today, and his unfinished mandate has not discouraged him from holding another leadership position. Samson is a white male, who would have been considered mid-late career at the time of his presidency. A highly educated professional, Samson's CV is bursting with both academic and teaching awards and an impressive list of academic publications. Having held leadership positions across the country at prestigious universities, the role of president was a natural next step in his career progression. While his mandate ended before the 2-year mark, Samson was proud of key successes that he was able to advance in his short time as president. From fundraising to debt-reduction, Samson confirmed some early wins at his new institution; however, Samson announced his resignation to the university board, citing a misalignment in management styles.

Samson should have seen the red flag when the board rushed him to sign the presidential contract. He should have reviewed it in more detail, shown more skepticism. However, he signed in good faith and returned the contract in a timely manner. After all, he was going home, to a region where he grew up, and he felt confidence in the new leadership role and the fit with the university that he was joining. "I was very excited because I was coming home, and I was sure there was going to be no cultural problem, I was just sure of it (personal interview, April 4, 2014)."

As an academic with previous experience in other universities, he understood the challenges of the presidential role and the complexities of university culture. He felt that the Board was making a positive sign by choosing an outsider, a sign that change was needed and welcomed. Samson's perception did not reflect reality. On discussing his shortened term as a university president, Samson shared many themes that he had reflected on extensively. A strong theme in his comments was the need for the university board to set clear expectations with the president and the absolute importance of the relationship between the board chair and the university president. He compared the role of university president to that of an "office" and the importance of the board placing their trust and full support in their chosen candidate. This constant support by the board is very important in ensuring the success of a president. He reflects,

I always thought of a university presidency as an office, not as a job.....but it's more a job like being a hockey coach, or being CEO of a tech company where you could be here today and gone tomorrow and you better look out for yourself (personal interview, April 4, 2014).

Samson regretted not spending enough time courting the board and building up some good faith and strong communication with his board president, in particular. He felt a sense of imposed over-accountability in the early stages of his presidency. He reinforced the importance for the board to view the transitional period as more than the first six months, and possibly up to the first two years of the contract, particularly for a leader who is recruited from outside the given university. Samson explains board relations, "I would have spent more time on that, to the detriment, I believe, of other university matters (personal interview, April 4, 2014)." The president-board relationship is particularly important in those first two years. Samson stressed

the need for coordinated expectations with the board. He also highlighted the importance of the selection of board members and the importance of the skills of board members underestimated.

Samson's transitional support was, in his opinion, substandard. From basic logistics to incomplete briefings, the entire process was untimely and weak. Samson was also disappointed by the issue of disclosure and was shocked to learn of the significant financial issues of the institution, only after he started his tenure. An advanced notice regarding the realities of the fiscal situation was an important expectation for him, especially when assuming a leadership role. This created a sense of distrust with the board from the outset.

Samson discussed the tensions between the unionization of the professoriate and the collegial atmosphere of academia and explained the current context as a challenging time for academia. The culture of collegiality has eroded, and this causes challenges for leaders. "So, it's a pretty black picture but I don't think this is a golden moment in Canadian universities (personal interview, April 4, 2014)."

Further, Samson shared a negative relationship with a key member of his executive, a controlling colleague who, from the outset, created conflicts, hid information and communicated directly with the board. This particular colleague had plans of becoming president. While Samson tried to make peace, he regretted not dealing with issues such as these straight on, in a more forthright manner. "The old team has such a vested interest in the old way of doing things," explained Samson (personal interview, April 4, 2014). However, the

Board had made clear that changes were unnecessary within the executive team. This lack of support from the board in this vein was another early sign that caused concern.

Samson raised issues of caution around executive search firms and felt that the objectives of the executive search firms, and the goals of the university might misalign sometimes. In many cases, he feels that they might avoid a risk and make easier choices in order to fill roles efficiently. He explains, “I’m just concerned that headhunters distort the process a little bit (personal interview, April 4, 2014).”

In discussing the unhelpful role of his predecessor, Samson explains, “the exiting president hardly briefed me at all (personal interview, April 4, 2014).” Samson underlined the importance of mentorship in senior leadership roles. It is lonely at the top, and a trusted mentor could have helped him to navigate the complexities of this situation in a more effective manner. Samson was fortunate to have a trusted mentor who provided a great deal of unconditional support. Samson described this experience of an unfinished mandate as a scar, which is always there, however, fades with time.

5.3.2 Martin’s unfinished mandate

Martin and I met in a quiet and formal university boardroom, a few months after our first conversation by phone. Decisive and articulate, Martin presented his story to me with great detail and precision, and with poised emotion. Martin is a white male, who would have been considered mid-late career at the time of his presidency. A highly published academic, and the recipient of the most prestigious awards, Martin has received honours both inside academia and beyond. He enjoyed successful leadership mandates in various universities both

before and after his unfinished presidential mandate. His impressive communication skills have enabled him to transfer his academic specialty to mainstream audiences, and is a frequent commentator on radio and television. Having spent a productive career devoted to academia - research, teaching, editing, and leading a multitude of university departments, at varying levels of responsibility, Martin was unsurprisingly head-hunted for a presidential position.

While a leadership role had not necessarily been a career goal for him, Martin saw the experience as an interesting challenge. Coming from the world of academia, Martin strongly supports the tradition of the academic leader, and felt some sense of loyalty in putting his name forward to serve in the role of president. Martin commented quite extensively on the complexities of academic culture and the role of university president,

I still subscribe to the view that the chief, the leader of the institution should be an academic of established reputation in his or her field, you know. And that adds luster to the university, inspires the faculty rather than demoralizes them, and provides some sense of what really goes on within the engine of life in the university (personal interview, May 12, 2014).

Further, Martin understood well the complexities of university culture. He had spent his full career in academia and was not surprised by the challenges of leading within a complex system such as a university. He explains,

I think university cultures are difficult to define, they're difficult to control. And that actually speaks to their genius. I think university environments are, hot places, they're places where ideas are gauged, ideas are generated, politics is petty, and therefore perhaps more vicious (personal interview, May 12, 2014).

Martin enjoyed a thorough and engaged recruitment process, led by an executive search firm. From early meetings on campus, he recognized a tension in this air and tried to

understand the anxiety on campus. He viewed this as a challenge and decided that he was the right person to step in as leader of this institution.

In retrospect, Martin felt misguided and was very disappointed regarding issues of disclosure and criticized both the executive search firm and, more importantly, the board. Martin reflected on the risks to executive search firms in filling their mandates. Their ultimate goal is to fill positions, and this requires a promotion of the university in question. Of course, fully briefing an incoming leader on risks, both big and small, should be an ethical requirement of any selection committees. Martin's first greeting at the airport signaled the realities of the campus tensions; the red flags raised immediately. Upon arriving in his new office, further surprise announcements and significant disclosures ensued. It was evident that there was no honeymoon period. Upon his arrival on campus, he was immediately questioned, and his ideas resisted. Understanding the importance of shared leadership on campus, he navigated carefully, trying to engage others while focusing on a consensus-based agenda. The tensions permeated at the leadership level, and a culture of mistrust was present on day one.

Martin's relationship with the board was not ideal from the outset. He described his board as highly inexperienced and uninformed regarding roles and responsibilities, in particular. "And part of it again was," Martin explained, "not hostility, but massive inexperience and dysfunction (personal interview, May 12, 2014)." Martin felt that the majority of the board was not aware of the toxic environment on campus and rather removed from the tensions that existed, from the reality on campus in terms of both culture and mood. As the relationships on campus developed, Martin felt a sense of distrust even within his executive team. He explained,

It was an environment of quite serious control. Information was controlled. People were controlled. It was done with the best of motives. One of the senior administrators, he wasn't evil or maleficent, he wasn't after his own good, sacrificing the collective good for his own career. He was a loyal servant of the institution. He just didn't know what he was doing (personal interview, May 12, 2014).

Within the first few months, Martin decided that one term would be enough. He persisted with full intentions of honouring his commitment. However, at mid-point in his tenure, Martin reflected on the campus tensions that were simply endless. He explains, "If morale is in the pits, and distrust is rampant, and dysfunction within administration itself, and the board had not been kept fully informed, then you have all the conditions for a perfect storm (personal interview, May 12, 2014)." He accepted that his integrity was in question as he no longer believed in the institution. To the surprise and upset of the board and the university community, Martin resigned. Martin did note that the Board undertook a governance review upon his departure, and this unfortunate experience served as a catalyst for change.

5.3.3 Belisle's unfinished mandate

Belisle and I met at her home after a brief telephone conversation. Belisle was quite open in sharing her leadership experiences and both confident and reflective in her well-articulated remarks. Belisle is a white female, who would have been considered mid-late career at the time of her presidency. A seasoned academic and an experienced leader, Belisle enjoyed an impressive career as an academic, being progressively promoted. She also continues to enjoy much success beyond her unfinished mandate. Belisle is decorated with many prestigious awards and honours, and her CV reflects a consistent career growth, significant community

outreach, and international experience. Her unfinished mandate came in the second year of her first term.

A trusted search firm approached her for the presidency. Her response was more neutral than enthusiastic, “well, I’ll think about it because I’m not sure (personal interview, April 25, 2014).” After doing some necessary research, and speaking to insiders, Belisle decided to apply for the presidential role. After successfully jumping through the hoops of the selection process, there was a public presentation. The board members showed great support. The committee members were placed strategically and supportively on stage, and the other board members seated in the front row. Belisle is chosen as the successful candidate. She reflects, “It was very, very positive, I came in with this sort of welcome, everybody was so happy, the board was happy, the faculty was happy, and it was great. And then, it went off the rails...” (personal interview, April 25, 2014).

The transition was easy. Belisle was highly-skilled and understood the complexities of university governance and collegial leadership. Having a very different leadership style from that of her predecessor, Belisle moved quickly to bring about positive change and make her mark. Surrounded by a solid team, she received excellent and complete briefings from those who made up her immediate team. In retrospect, Belisle questioned whether she put too much trust in her executive team. “Nobody is your friend when you’re president,” she explained (personal interview, April 25, 2014).

The major challenge from the outset was board relations. There was an immediate disconnect and a lack of trust that quickly ensued. “I think the transition was pretty quick and

pretty smooth. But the problem was I didn't get the board, I didn't (personal interview, April 25, 2014)." Issues such as the selection and role of board members, board ethics, and the presidential-board chair relationship became increasingly prominent. The board wanted to get involved with the operations of the university. Belisle's communication with the board became increasingly difficult. "I underestimated the power of the board and my ability as president to make my decisions, the operational decisions" (personal interview, April 25, 2014). Before long, a member of Belisle's executive was briefing influential board members in advance of the president, and the lack of trust within the executive team became apparent. Belisle's role as president was becoming undermined by her executive team. "A president should be entitled to build her own team, and within a year should be able to make decisions about whether to keep or get rid of the senior team," explained Belisle (personal interview, April 25, 2014). Belisle did have the courage to make some internal changes; however, the repercussions of these changes were complex. The relations with the board worsened, and, in the end, the board president stopped accepting her calls.

Despite these challenges, Belisle lived many successes in her short time as president. She was encouraged to resign by a few board members who came to meet with her. She found this odd as, at this point, she had received no formal feedback or a performance review. Belisle resigned. The university then undertook a comprehensive governance review.

5.3.4 Smith's unfinished mandate

Smith and I connected via Skype for our interview together. Smith has held leadership positions across the country and spend her whole career in academia with significant

accomplishments and continuous career growth. Smith is a white female, who would have been considered mid-late career at the time of her presidency. Smith hesitated to apply for a leadership position as Dean earlier in her career. But, she quickly grew into the Dean's job and was surprised by how much she enjoyed it. She was cautious about the prospect of becoming the Chief Executive of a university; however, she felt that the university seeking a leader was a strong fit. She knew the institution she was going to face a lot of challenges and, as an outsider, things were not going to be a walk in the park.

In retrospect, the presidential selection committee kept an uncomfortable distance to the Board. This should have been an important red flag. She showed some early concerns regarding the culture of the prospective university; however, her concerns were transformed into a sense of curiosity and challenge.

Met with a very limited, formalized transition process, Smith created her own transition process, seeking out required information and meeting the people that she felt she needed to connect. "But there was really not a lot of thought given to how to bring in a new president on the campus," she explained. "Aside from a lot of meeting and greeting, which is an important thing, and they did give that good thought" (personal interview, April 23, 2014).

Quickly, she learned that the board was well aware of university traditions and culture. However, significant issues of importance for the good governance of the university were not necessarily shared, and had not been disclosed during the interview process. "The board chair never told me about this," she explained (personal interview, April 23, 2014). Over time, she realized that the Board was rather uninformed regarding important governance practices. She

also began to understand that the expectations from the board had not been communicated clearly to her. It seemed uncertain if the board had a shared idea of their expectations of the new president. This, of course, created a sense of misalignment from the outset.

A dramatically different approach from that of her predecessor, who remained engaged in campus life, Smith attempted to welcome some past traditions, while recreating the role in a way that suited her leadership style and approach. “Some people were gratified by that attention to the administration and finances of the university. Of course for others who had done well under the old regime that was a bit alarming” (personal interview, April 23, 2014). Smith did have some success in modernizing some key governance practices, and completing an administrative agenda that the institution was required to pursue in her short time as president.

In terms of her executive team, a level of distrust did occur within her inner circle, and there were repercussions to this discord. Trust became an issue not only within the executive team, but within the Board as well. Issues of board ethics and confidentiality became more and more apparent. Smith persevered, modernizing governance practices, and continuing to work with the Board.

The announcement of the impending mandate end was a complete surprise to Smith, reflecting the communication breakdown with the board. Given no chance to respond to criticism or feedback given in the final hour, Smith resigned. It was clear to Smith that the expectations for the presidency were not clear to the board or her. Smith’s departure sparked a significant Board governance review upon her departure.

5.3.5 Wilson's unfinished mandate

Wilson and I connected via Skype for our discussion. Wilson enjoyed a successful career in academia, with a full and impressive history at universities across the country and much leadership success. She loves leadership roles, team-building, and administration. Wilson is a white female, who would have been considered mid-late career at the time of her presidency. She is action-oriented and prides herself on moving forward initiatives, within the constraints of collegial governance, and in a timely manner. She has enjoyed fabulous mentors, who have helped to build her career. She has experienced continued career success since her unfinished mandate.

When approached for a university presidency, Wilson was immediately cautioned by her then-president about its' unique culture and the possible mismatch between her style and that of the university. By the end of the mandate, this lack of fit was clear. Wilson felt that she should have asked more questions, and dug deeper regarding certain issues in advance of being hired. The university gave the impression that they were recruiting a change maker; however, this was inconsistent with the reality on campus. The transitional process was non-existent, according to Wilson and this became the root of many of her difficulties. "There was no transitional process. That was part of the huge problem," she explains (personal interview, April 24, 2014).

The challenges with the board existed from the very beginning when the board chair refused to meet with the president on a monthly basis. "Oh, there is no need to do that," he

said (personal interview, April 24, 2014). Of course, Wilson later learned that he was meeting with a member of her executive team on a regular basis. This member of the executive team had also been on the selection committee and had not supported the appointment from the outset. This filled the executive team with a sense of distrust that became difficult, if not impossible to surmount. The Board clarified that changes within her executive team were unnecessary. In several situations, executive members worked at odds with the presidency, and a lack of confidentiality and professionalism with the executive team became problematic.

Parallel to the challenges with board relations, Wilson started to believe the words of her previous boss. She had explained a cultural mismatch between her style and that of the university, "...it's the culture there and you won't suit it" her former president stated (personal interview, April 24, 2014). As time progressed, this reality became increasingly evident. Wilson felt that the executive search firm could have better supported her transition. "Your headhunter should stay with you for the next year or so and be in contact with the board and the president. Mine did not (personal interview, April 24, 2014)." Wilson also noted the issue of gender and observed, from her experience, that female leaders are more often open to personal attacks than those of her male colleagues.

In Wilson's case, her predecessor was particularly unhelpful with the transition. A mentor might have helped to guide her through this relationship and other challenges of a new presidency. In retrospect, Wilson would have been more careful regarding the speed of change and set clearer expectations from the outset with her board members, specifically, the board chair.

5.3.6 Leblanc's unfinished mandate

Leblanc and I connected in a library meeting room for a long and engaged discussion. Passionate, frank and articulate, Leblanc described in great detail and with raw emotion, the details of his unfinished mandate. Leblanc is a respected academic with broad leadership experience both in Canada and beyond. Leblanc is a white male, who would have been considered mid-late career at the time of his presidency.

Leblanc called the executive search firm after seeing an ad in the national newspaper announcing the position for a university presidency. Within a very short time after submitting the application, the search firm had called for an interview time. From the beginning, the issue of fit seemed awkward; however, both sides persevered the discussions. While not the first choice, Leblanc was called back in a short time to offer him the position. Leblanc was enthusiastic to bring about change, and he had the impression that the campus community was welcome of this change. This desire and passion for transformation was explicitly stated and risks taken by Leblanc to set out his clear intentions early in the relationship. "And they thought it was words, it was not words," Leblanc explained (personal interview, July 30, 2014). The university was much more modest in its goals; however, they pursued the discussions. "I should have said, *my game is thriving, not surviving*" (personal interview, July 30, 2014).

"So finally, I was hired. There was already a lot of what I would call bad blood (personal interview, July 30, 2014)," explained Leblanc. Leblanc's candidacy was questioned by the community, and the welcome was not warm. Rumours and personal attacks started shortly after his arrival on campus. The mood was not one of trust, from the very outset. "It was

already really polarized,” Leblanc explained. This culture of opposition transcended many relationships with the new president, “there was a complete lack of trust and there was nothing I could do about it” (personal interview, July 30, 2014).

On his executive team, there was a leader who had wanted to be president. From the very beginning, this created uncooperative relations and a lack of shared leadership. Leblanc described his approach as a “pull strategy,” as opposed to a “push strategy,” attempting to create opportunities out of the university’s inherent strengths. Leblanc also focused on issues of governance and worked with a committee to review structures. The predecessor showed initial support to the incoming president; however, later, proved to be largely unhelpful in supporting the transition. Further, decisions were made at the end of the predecessor’s mandate that were not supportive of the newly-appointed president.

While the president advanced on modernizing governance, and re-examining university financing, a misalignment with the board became considerable. A change in board chair increased the already-tense relationship with the board. From initial meetings, it was clear that the new board chair was in opposition to the approach of the university president. “They decided because there was unrest on campus that I was the problem. If they got rid of me, they would get rid of all the problems.” Before long, the president was dismissed. “But given their culture; they were right to fire me,” Leblanc reflected, “....not that I enjoyed being fired” (personal interview, July 30, 2014). Leblanc left the position over a year in advance of his end of term.

5.4 Research findings by thematic node

What follows is a discussion of the synthesized findings, structured against the research questions and based on the theory within the conceptual framework. This culminates in a discussion regarding transitions for university presidents and the role that these transitions play in unfinished mandates of university presidents in Canada. The constructs are not mutually exclusive. For this reason, referencing one construct does not mean that it is excluded from another. There are passages from the interviews coded to multiple constructs. Themes are developed based on the findings and grounded in the conceptual framework (based on Fang, Duffy & Shaw, 2011; Danielson, 2004), responding directly to the research questions. I will summarize the qualitative data by themes revealed by the data. The perspectives of the university presidents with unfinished mandates are essential in better understanding the importance of transitions in the higher education landscape. As often as possible, I rely on the leaders' words in describing their experience, observations and reflections regarding their unfinished mandate. While each experience is unique, I have compiled patterns and trends from the data and organized by nodes, based on each research question. In research question one, the presidents commented on two common overarching themes: the process of becoming university president and relationships. These nodes reveal information regarding the relationship between the organization and the leader, as well as their adaptation to this university.

5.4.1 Process of becoming university president

(Nodes coded with the qualitative data: path to becoming university president, hiring process, non-disclosure of information)

Within the data, the path to becoming university president stood out as a theme of importance. This was primarily because the path to becoming university president is, most often, atypical to the path to many other leadership positions within private, public or non-profits sectors. Each of the presidents shared their experience of becoming university president and discussed different aspects of this process. This includes their career path; early leadership experiences; relationships with headhunters and search firms; first contacts with the board; contract negotiations, and expectation-setting. In all, there were 66 references specifically within this themed node. The data reveals the stories of presidents with unfinished mandates and certain common themes, along with red flags regarding issues such as disclosure and expectation setting, in particular. As is the case with many academic university administrators, some of the presidents revealed a more passive interest in a potential leadership role. The culture of academia has a strong history of viewing leadership as a demotion as opposed to a promotion. The higher-education research related to this theme cites the unpopularity of the notion of advancing in the ranks of university leadership. In fact, some researchers suggest that an overt desire to advance in the leadership ranks of a university might dramatically decrease your opportunity to be chosen for management position (Bolden, Petrov et al. 2009; Brown 2001; Bryman, 2008; Rowley & Sherman 2003). As Smith reveals, "I was a very reluctant university administrator (personal interview, April 23, 2014)." Some of the university presidents expressed similar sentiments. Contrary to the private-sector culture, academic cultures are

often known to be ones where future leaders do not share their interest or desire to assume these roles. In fact, most of the presidents interviewed did not overtly declare the role of university president as a predetermined career goal. Each of the experiences presented a more roundabout process where an opportunity for advancement, in each case outside of their home university, arose. In many cases, the presidents sought advice, mentorship, and guidance regarding their potential role at a given university.

The hiring process within universities carries a reputation for being demanding and very public, with large committees that involve members of the university community in a collective, proactive, and engaged manner. As Smith expressed, “So I did, and went through the gauntlet that now represents the presidential hiring process, (*laughing*) and was the successful candidate.” Many of the presidents showed concern from the outset regarding the choice to enter this highly public and involved process. They questioned how their engagement might have indirect repercussions on their career path forward, regardless of the outcome of the selection process. From early interactions with the prospective university, presidents shared how communications with both the selection committee and the executive search firm played a key role in developing their early relationship with the university in question. In all of the experiences recounted, each of the presidents revealed a disappointment and an acknowledgment that pertinent information was not disclosed to them as candidates in advance of their acceptance of the offer of employment. Much of the undisclosed information might have reflected negatively on the institution, or involved issues to be kept in strict confidence. However, it was information ethically requiring disclosure in advance of the contract-signing. It might not have been appropriate to disclose the information before the

interview process. However, an expectation of full disclosure before making a significant commitment to employment as leader of an institution, is simply good and ethical business practice. For Martin, full disclosure was a key issue in his hiring process. As Martin expresses,

I think you know, if a search company comes to you, they have to move beyond the usual business marketing recruitment strategy. And they have to tell you the truth. You know, I know it's going to maybe deplete the pool, but it means that those who are left in the pool know exactly what they are going to be dealing with (personal interview, May 12, 2014).

Each of the presidents interviewed reveal that significant issues regarding the financial situation, the climate, or human resource issues had not been openly explained to them in advance of accepting the role. They felt that these issues had not been addressed or represented in a forthcoming and honest manner. For this reason, significant surprises arose quickly upon joining the institution as its president. A lack of disclosure was highlighted by Smith, "The board chair never told me about this..." (personal interview, April 23, 2014). The head of the selection committee, most often the board chair, is the appropriate spokesperson within this predicament. Some former university presidents pointed to the role of executive search firms in ensuring and promoting this communication and disclosure. Samson, in particular, raises some concerns regarding the culture of executive search firms who want to place candidates in positions in an agile and effective manner. In some cases, the search firms themselves might not be aware of the situations that are not being disclosed. However, the executive search firm can play a leadership role in seeking out red flags that are important to reveal in an open and accountable manner to incoming leaders. Samson comments, in particular, on this relationship,

... in the search process the headhunter's objectives don't always line up with the objectives of the university.... Headhunters are anxious often to place people ... they very often look for a candidate ... someone who won't get into trouble but might be, let me put it this way, someone with less risk but someone who might not offer as much dynamic potential in a change situation.... (personal interview, April 4, 2014).

Martin expressed similar concerns, focusing on the role of both boards and executive search firms related to disclosure to potential, incoming leaders,

Boards are not entirely forthcoming. Search companies are not entirely forthcoming with problems on the horizon. And that's okay when the problems are manageable, but if the situation is potent and serious then the person who's coming in needs to be entirely briefed and not on the first day of the job but briefed in advance. And the fear is that they will withdraw their candidacy ... (personal interview, May 12, 2014).

In some cases, the initial meetings and interactions with the selection committee revealed a certain level of concern from the perspective of the incoming president. Smith remarked on this initial hesitation,

It was clear to me when I was hired that the members of the hiring committee wanted to keep a distance between themselves and the board. And at the time I thought that was sort of cute and amusing. Looking back on it that should have been a major red flag (personal interview, April 23, 2014).

The ongoing relationship between the executive search firm, selection committee, and the candidate was a question discussed extensively in the interviews. A recurring theme was related to expectation setting, and ongoing support and communication within the early time in the new tenure. When does the relationship with the search company begin and end? How and when are expectations set within a new presidency? How does the selection committee stand behind their candidate (or not)? Samson comments on this theme,

...we went through an exhaustive search process, hugely exhaustive search process, we selected this person, now a year later or whatever it is, six months or 18 months we're saying no, I think the board should be saying to itself: *is this person not the right person? Are they making mistakes? Or did we the board make a mistake in selecting the person?* And I think that is a very serious question that many boards don't ask. I think if they did ask it, they'd be a little more cautious (personal interview, April 4, 2014).

Each of these questions met with varying responses that reflect an overall unevenness in the process of becoming university president. Samson expressed concerns regarding the setting of expectations,

... it is very important for the board and the candidate, and particularly a candidate that was prospectively been offered a position, to coordinate their expectations. ...if the board is asking for someone to make changes, the candidate should understand what they are, what the priorities with respect to those changes are, the timelines for implementing those changes, the decision-making process by which those changes are going to be implemented (personal interview, April 4, 2014).

Further, within the theme of expectation-setting, the question regarding the support offered to the new president was raised. Are boards committed to working through challenges with the incumbent president to back their decisions, and, in some cases, back their failures? Samson observes,

...there's an obligation, a very, very serious obligation on the board to give the new person a chance. ...when I was a student and through my whole young academic life, I understood that selecting a university president was a bit like selecting a spouse, or a bit like selecting a bishop, *it was an office, it wasn't a job, and that there was a commitment to make that office work through thick and thin in some ways* (personal interview, April 4, 2014).

The question of the role of the university president as an "office" is personal, and it is argued that fewer positions are given this type of protection or job security. However, the underlying and continuing role of the board in supporting their president is an important one. Finally, several presidents raised concerns regarding the contractual process for new presidents

and the need to protect oneself should a serious conflict arise. The rise of unfinished mandates of university presidents in Canada has changed the legal landscape regarding hiring contracts, requiring all presidents to provide a degree of financial protection in the case of an unfinished mandate.

In most of the interviews with university presidents, some flags were raised quite early in the process of being chosen for the given position. Within the interviews, the presidents outlined their concerns regarding the hiring process more broadly, issues of transparency and disclosure, expectation-setting, and the early relationship built between the board and the new president. In many cases discussed, cause for concern was raised quite early in the transitional process. In some cases, the red flags arose as early as within the interview process. The qualitative data regarding a president's career path was not overly significant to the research. The process for becoming a university president and for hiring did reveal some key areas of concern. Of course, the qualitative data revealed by the theme of the "process of becoming university president" overlaps in a very important manner with the discussion regarding board relations more broadly. As revealed in the forthcoming section discussing relationships, the theme of board governance and board relations is significant within the data presented by Canadian university presidents with unfinished mandates.

5.4.2 Relationships

(Nodes coded: role of predecessor, relationship with the executive team, board relations, trust)

Within the node of relationships, four very significant sub-nodes were revealed. Board relations were, by far, the most significant themed node within the data. Another very important node was relationships with the executive team, and at a much smaller, but

significant level, the relationship with the predecessor was revealed by the data. Trust was also an underlying theme within each of these sub-nodes, and throughout the interviews more broadly. A lack of trust was consistently viewed as an impediment to relationship-building, advancing on key objectives for the organization, and decision-making.

Martin, when speaking of an earlier leadership role held in an effective team built on trust, succinctly described a “mosaic” of empowerment where each of the stakeholders within a community work together and share a common sense of trust and shared values. Martin states,

That’s right, and that’s why it thrived, and all the parts thrived in that. If everybody who makes up this mosaic is empowered, and is kept as part of the larger community, and you don’t allow any particular group to become alienated or disengaged, then in the end, everybody benefits. Everybody moves forward, the community moves forward, the student body moves forward ... because we’re all on the same trajectory (personal interview, May 12, 2014).

Martin’s positive leadership experience cited, underlies the importance of a team built on trust, shared values and diversity of thought. The analogy of the mosaic is very powerful in describing a university culture that prides itself on both independence and shared leadership. The theme of relationships is subdivided into three groupings including board relations, the executive team and the predecessor.

5.4.2.1. Board relations

Board governance and board relations were, by far, the most significant theme within the qualitative data revealed in this research. In fact, within the six interviews, the word “board” was repeated 413 times. Each of the interviewees went to great length explaining many key barriers within their relationship with the board. These include:

- Limited communication between president and board, as expressed by:
 - A lack of disclosure of key issues by the board throughout the hiring process
 - A lack of mutual trust between the board and the president
 - Unclear expectation-setting between the president and the board
 - Unsatisfactory transitional support offered
 - A lack of regular communication or meetings between the president and the board
 - A lack of performance feedback
- Limited board orientation, as expressed by:
 - A sense of confusion regarding roles of management versus board
 - A lack of experience and knowledge on board governance
 - Conflicts of interest at the board level
 - A misunderstanding at the board level regarding the academic enterprise

Each of the presidents with unfinished mandates reflected extensively on a troubled relationship with their Board of Governors. In some cases, this relationship was negative in the early moments of the tenure. Martin reflects,

So it meant everything, there was no firm footing, welcome footing; everything was in a state of turmoil when I arrived. And if I had had a transition team with the board, if the board had come to me and said to me, look we have got some issues here, even if they hadn't have been entirely forthcoming beforehand, I could forgive them, you know you're selling yourself you don't emphasize the negative. Even having said that, if you had of come to me and said you have some really serious issues here, and you should know them, because you're going to be blindsided, and here's how we think we can help put this together, and here are our recommendations for change and here's how we can begin to liaise and maybe set up committees, and communication, nothing, absolutely nothing. And part of it again was, not hostility, but massive inexperience and dysfunction at the board level (personal interview, May 12, 2014).

The lack of experience and a solid understanding of responsibility on university boards was a thread in all of the discussions. Martin continues, "None of them had ever been on a university board before. So I realized the board itself had to be educated to its own task. ... they did not know what a board did." Is it a coincidence that each of the presidents with unfinished mandates pointed directly at board relations as a common area of concern? Of course, within this current research, it was not possible to meet with both the presidents with unfinished mandates, and their Board chairs, due to confidentiality agreements. However, the prevalence of this particular concern raises some important issues. It is clear from the qualitative data that there is a strong need for further board orientation to improve governance practices more broadly. This includes particular themes raised such as communication, expectation-setting, and role functions. Martin reflects,

I think some knew, I think the majority did not know. And it's not that they were incredulous, it's just that they were uninformed. And I think what happened in that particular case is that they just didn't know what to do, they were as surprised by the dysfunction as anyone else (personal interview, May 12, 2014).

Acting as volunteers, university board members are elected from a diverse group of stakeholders. This includes students, faculty members, alumni, staff, community members and representatives from government. With varying levels of training and orientation, presidents felt that many board members were largely unprepared for the vital roles and responsibilities of governance. This role uncertainty, coupled with the complexities of a university campus, creates a significant risk to the governance of institutions of higher education. Role confusion was as a key concern from Belisle's perspective,

And it gave them a sense of power and authority and that's what they wanted from being on a university board, they didn't see that their job was to govern and to support the academic enterprise, you know. They didn't understand the academic enterprise at all (personal interview, April 25, 2014).

The lack of understanding regarding the key principles of academia was an underlying theme in many of the discussions. Belisle also raises concerns regarding role confusion. She continues,

So that was a bad thing, and it went on like that. The board members getting into the operations and trying to dictate the things that I should be doing. So that was bad. And I underestimated the power of the board and my ability as president to make my decisions and the operational decisions (personal interview, April 25, 2014).

Smith underlines the importance of drawing a clear understanding of the role of the president with the Board,

So it's very important I think that the board understands what the president's job is, as much as possible. And that that happen, that certainly didn't happen in my case. So I think it was the case among that board is that they were not on the same page of what they expected of the president. So that's the other thing, is the board needs to have a conversation with themselves (personal interview, April 23, 2014).

One president shared his concerns regarding the issue of role confusion as a system-wide issue and not simply within his particular circumstance. Martin comments on a conversation with a board chair of another university,

I remember sitting down the chairman of the board at one board ... what is the job of the chairman, nobody explained it to me. And I said as the chairman of the board you have several jobs, one of them is that you hire and review the president. And board has a very important role in that, a defining role. Number two is fiduciary; you make sure that it maintains its market strength and its budget health. And thirdly, mission focused. The institution must look to its board trustees as ambassadors for its mission. You must be in agreement with the direction the university is taking and support its officers. I said those are your duties. ... Never heard of them [the board chair responded] (personal interview, May 12, 2014).

While role uncertainty for board members was a factor raised by the presidents, the presidents also admitted to underestimating the value that they placed on the importance of dedicating time to nurturing and communicating with their Board members, and more specifically the Board chair. Four of the six presidents raised an explicit concern, noting that they had not realized the significance of the time needed for board relations. They admitted that this should have been a larger priority for them in terms of their own time utilization as president. In some cases, the presidents blamed themselves for the lack of time that they invested in this relationship, due to a high-number of conflicting responsibilities. In fact, as Samson notes below, there was a belief that calling on the board too often might have been seen as a sign of weakness. Samson discusses,

And what I should have done ... and I thought the board was fine ... I should have courted the board, I should have seduced the board, I should have spent a third of my time, you know. I thought they were already there and committed, but in fact they weren't, they wanted to be, they wanted presidential attention And I understand that now, and you know, then again I wouldn't make this mistake again ... I just didn't, want to call on the board.... (personal interview, April 4, 2014).

Samson continues, "... I would have spent more time on that, to the detriment I believe of the university (personal interview, April 4, 2014)." Closely related to confusion regarding board roles and responsibilities is the recurring theme of board communications.

Many of the presidents explained their challenges in connecting with their board members, and particularly the board chair in a timely manner. Wilson discusses the lack of ongoing communication with the Board, "So there was no connection between me and the board, I never had any feedback about what I was doing right, what I was doing wrong" (personal interview, April 24, 2014). Two presidents noted a challenge in getting face time with board members, particularly the board chair. In one case, the board chair refused or avoided meeting with the president. In another case, the president noted the difficulty in booking time with their board chair. Samson adds,

The cost to me personally was that I didn't closely get to know my board members in quite the same way, that when trouble developed with them, I couldn't draw a well of, a reserve of goodwill would have been built up. Again, patience from the board, the board giving the president time here will make a difference (personal interview, April 4, 2014).

The time required to manage effective board relations may vary from leader to leader and depend on the circumstance. It is clear that an important investment of time is essential in order to nurture and maintain the president-board relationship. In many of the experiences explored in this research, further time would have enabled a greater degree of communication

and might have avoided certain misunderstandings. This is particularly important in terms of the president-board chair relationship. Wilson's chief concern was the fact that she placed too much trust in her relationship with the board, early within her mandate. "I was very trusting, I assumed I'd been hired, that if there had been any discussion, I was clearly their first choice, I knew that, the headhunter had said that. So, I was way too trusting" (personal interview, April 24, 2014). Relationship-building might seem to be a soft term when discussing board governance issues, it is clear in the above examples, how it plays a determinant role in the president's transition. Further, it forms the basis of good governance practices.

At the root of ineffective governance practices, board leadership is often referenced. Several presidents commented on this issue through the lens of their particular experience. Samson shares concerns about board leadership and reflects on both that issue and knowledge of university management and culture within his comments,

I think more care has to be taken in choosing board members. There will be board members with different strengths and different areas, and some will be chosen because they are representatives of different constituencies within the geographic area, and some will be chosen because of their political affiliation. But I do think that overall the board has to be a board that understands and is experienced in running a university and university affairs. Universities are unique institutions (personal interview, April 4, 2014).

In fact, Martin felt that his early departure was instrumental in encouraging his past university to take the issue of board leadership more seriously.

And I think you know, the departure, my departure did actually serve as a catalyst. I've been told by several members of the board they got much more serious about leadership on the board (personal interview, May 12, 2014).

Each of the above comments raises the importance of the time, energy and leadership needed by the president to encourage board orientation and training, to commit to board communication, and to invest in positive board relations. Ideally, this process will be led by the board itself; however, the president needs to play a proactive role in ensuring a positive relationship with board members, and committing the required time, regardless of circumstance. This relationship can never be taken for granted.

A couple of the presidents revealed a perceived conflict of interest within the board of governors. While they became aware of these conflicts, they felt that confronting these issues would place them at greater odds or even at risk in their relationship with their board.

Belisle comments,

...you have too much conflict where there are people on the board that are on each other's boards. ... So there's all these relationships, those people who were on his board, he was, he owed them because they raised money for him. So he did what they said. And then other people had business connections with board members, and this is very unhealthy because then they're kind of cliquish, and everybody tows the line of the board chair or the influential people on the board want to go in a certain direction and everybody says *yes of course* and nobody speaks up because they all have vested interests. And big financial interests, like big ones (personal interview, April 25, 2014).

In Belisle's situation, the alleged conflict of interest issues on the board were quite serious. Belisle continues and questions, "Should I have gone along with all of this stuff I thought was illegal or immoral?" (personal interview, April 25, 2014). Of course, the ethics of board governance is a very difficult issue for a president to manage and influence. Belisle was not the only president with an unfinished mandate to report this type of circumstance related to conflict of interest. As is vastly apparent, a lack of trust underlies much of the qualitative

data gathered from university presidents with unfinished mandates. Smith pointed out her concerns about trust, specifically on her board. "Trust was difficult, and one of the major sources of distrust, and I have to say it was mutual, were with a couple of members of the student executive...and they sat on the board of governors" (personal interview, April 23, 2014). She further highlights the fact that a code of conduct did not exist for board members at the time. Leblanc reflects on issues of trust within his unfinished mandate, "But it shows you the extent to which, that's what I call intellectual dishonesty" (personal interview, July 30, 2014). He continues, "There was a complete lack of trust and there was nothing I could do about it" (personal interview, July 30, 2014). Samson also reflected on the lack of trust between the board and faculty, "...working with fractured elements within the board as well as within the faculty, they actually all distrusted each other profoundly, there was no trust. The only trust that worked was at the level of middle management" (personal interview, April 4, 2014). While speaking of this lack of trust, Samson also revealed his perspective regarding the underlying integrity of the Board. "I think the majority of the board *did* want to do the right thing and I think they had a lot of personal integrity as well as collective integrity. I think they were being manipulated" (personal interview, April 4, 2014). The issue of the ethics of board governance was raised in many of the interviews, albeit from varying perspectives and in different degrees of severity. Presidents walk a very fine line in helping to manage and influence issues of ethics on their own boards. This highlights and underlines the importance of proper governance training, orientation and education in order to ensure that a board can self-manage these issues so that they simply do not occur or continue. In terms of board governance, a board

member reflects on the unfinished mandate of the university president in a discussion months following his departure. Martin reflects,

I couldn't, I couldn't move the institution forward, and in great measure, I mean I remember ... one of my strongest allies [on the board] and he said to me, ... you should sue us. As a board, we did not do our job. We did not do our job. And he said to me, all the things that you know now, would you have come here? And I said no, I would not have (personal interview, May 12, 2014).

It is clear in the above comments how the board member recognized the lack of good governance on their part.

Perhaps the most telling comments related to the challenges of board-president communication were the presidents' reaction to the news of their mandate end. While some anticipated the news, others shared their experiences when learning of the ending of their mandate. "No I didn't, I had no idea! I hadn't a clue! I was totally blindsided," explained Smith (personal interview, April 23, 2014). Or Wilson, "... and then was fired as a huge surprise in ... I had no idea that was coming" (personal interview, April 24, 2014). Martin came from a contrary perspective when his resignation was announced, "Well it was a surprise. It was a surprise to everybody but me" (personal interview, May 12, 2014). These exclamations are representative of the ineffective communications that encapsulate the presidential mandate and may surround certain a presidents' end of mandate more precisely.

The data reveals a web of troubled relationships between board members and their presidents. A lack of disclosure, commitment, communication, feedback, and trust appear to plague each of these situations leading to an unfinished mandate. Further, there is a strong need to ensure competent board leadership. This includes training and orientation about the

role and responsibilities of board members, and the realities of the academic enterprise, along with a solid awareness regarding conflicts of interest. Within the next section, the findings raised regarding relations with the executive team are highlighted.

5.4.2.2. Executive team relations

Along with issues of trust on university boards, the underlying theme of trust and communication within the executive team was also quite prevalent. In fact, each and every interview with a president with an unfinished mandate indicated a very clear lack of trust with at least one member of the executive team. This rupture occurred with either the provost, the university secretary, the VP external or the VP Finance. This broken relationship, in each case and over time, seemed to contribute in a related manner to the president's unfinished mandate.

In some cases, the presidents regretted not making a change within their executive when they knew the relationship was troubled. In one case, a senior leader had just been hired shortly in advance of the president's hiring. "I said my preference would be to be part of the hiring process. And they said well it's not going to happen." recounted Belisle (personal interview, April 25, 2014). In another case, the executive had held the role for a very long time and held great corporate memory. Once again, the board inferred that a change would not be encouraged. In other cases, a member of the executive had competed for the role of president, or had not competed, but shown great interest in the role. Samson recalled, "...and the VP academic was anxious to become president" (personal interview, April 4, 2014). Belisle referred to a common sentiment, "he was loyal to me because I think he wanted my job too" (personal interview, April 25, 2014). For Leblanc, the situation was much more overt. He reflects, "So the

first time I saw her, I said “Franklin, what do you want”? She said, “I want to be president.” I said “well you cannot be president, I’m the president” (personal interview, July 30, 2014). In some cases, the Board made clear indications to the president upon hiring that certain changes within the executive would not be encouraged, supported, or recommended. “I would have loved to get rid of him, but no way that was going to happen. I could just feel it with the board, they just adored him.” (Wilson, personal interview, April 24, 2014).

In more than one situation, it was revealed over time that certain members of the executive team had direct contact with the Board and worked against the president in a very direct and concerted fashion. Belisle expressed her disappointment when the communication visibly broke down within her team and there was information sharing with the Board, “So they heard it because ... there was a leak from my executive team ...” (personal interview, April 25, 2014). She continues, “so that was bad, that was bad that they were undermining my authority that way.” (Belisle, personal interview, April 25, 2014). Wilson’s advice to a future president was clear, “Not to be so trusting. Get your own team together” (personal interview, April 24, 2014). While Belisle cautioned along the same lines,

I shouldn’t have trusted my team quite as much, but then again you know, I had weekly meetings with them, we had dinners together. I had retreats with them; I did my best to build a team. I thought I had their trust, or that I could trust them. But it’s, I know now that nobody is your friend when you’re a president (personal interview, April 25, 2014).

The reflections from the presidents with unfinished mandates send a strong message regarding the importance on the part of incoming presidents to build their own team and to the boards to empower, trust and encourage their presidents to do so within the confines of collegial governance. While strong leaders may exist and hold leadership positions

within the executive, the complementarity of skills, or fit might not exist. Presidents should be encouraged to grow their team without any predetermined expectations or unnecessary pressures from the board. Samson reflects on his experience building his leadership team,

...the board instructed me very clearly that they thought highly of this senior leadership chain and wanted me to make no changes. ...I should have looked at the board at that point and said you've got to find another president. A board has to understand that a president will, even I would think a president who has come up through the institution, will need to put together his or her own team, and indeed I would have thought the first six months to a year would be about putting together their own team. And in that you might expect, but not always, that some of the old team will be retained, some of the old team, even perhaps fairly good members of the old team won't be retained (personal interview, April 4, 2014).

This comment, and others, reflects the importance of the president to be empowered and encouraged to build a team to best suit their competencies, the priorities of the mandate, and their leadership style. "A president should be entitled to build her own team, and within a year should be able to make decisions about whether to keep or get rid of the senior team." (Belisle, personal interview, April 25, 2014). While not generalizable, the fact that all university presidents with unfinished mandates experienced a significant lack of trust with at least one member of their executive is significant. This does not necessarily reflect that this member of the executive was incompetent or untrustworthy; it could simply highlight the ineffectiveness of the fit within the executive team, or a mismatch in terms of skills. This observation subsequently contributes to a culture where trust is not prevalent.

5.3.3.3 Role of the predecessor

While less significant than relations with the board or the executive team, each of the presidents reflected on the relationship that they had with their predecessor, the outgoing university president. The prevailing importance of this relationship is not highlighted by the

initial research and was not a key priority within the first draft of the interview questions. In many cases, and consistent with the literature, these individuals play an influential role in setting the stage for the transition to the incoming president. As seen within the research that will be discussed in Chapter six, an effective comparison in terms of the role of the predecessor in a university environment is a change in leadership that might be experienced in a family-owned business. While this might seem like an awkward comparison, many family-owned businesses place a high amount of importance on the culture of the organization. This is consistent with university culture. The presidents with unfinished mandates commented on various aspects of the relationship with the predecessor: the decisions that were made during the end of tenure; the role played once the tenure was complete; the presence on campus post-mandate, and the frequency of interactions, communication, or briefings with the incoming president, or the lack thereof. Leblanc reflects on one of the final decisions made by his predecessor, "Yes, he knew was leaving. So it's like he was trying to buy love so to speak" (personal interview, July 30, 2014). In some cases, presidents reflected on the contrast of their leadership style compared to that of their predecessor. It is observed, that through deliberate or subconscious decision-making, a university president selection committee will sometimes hire an incoming president to either contrast, or mirror a past leader. For example, a university led by a more inwardly focused leader might choose a more externally focused leader in order to balance out past leadership. Smith comments on the relationship with his predecessor,

Yes and his way was very, very different from mine. (*pause*) Sam was not somebody who was comfortable with, in my, just I would infer, with the more administration functions of the role. And in fact it was fairly clear to me that I was hired because the expectation was that I would bring, again more attention to a lot of administrative stuff that had been allowed to lapse" (personal interview, April 23, 2014).

Samson speaks directly about the different roles that a past president may play on campus. In fact, it is quite difficult to manage effectively the balancing act as past president. While some are criticized for being too engaged and present, others are questioned for leaving too quickly. The role of predecessor is a sensitive role that requires a plan, as opposed to the more typical serendipitous relationship that often develops. In one of the interviews, the example of McGill University was noted. At McGill University, each of the former living presidents attends the new presidential inauguration. In doing so, this is a visual and very public sign of support to the incoming president. While it may not directly reflect reality, this symbolism and physical demonstration of support helps to create a culture of acceptance and support for the incoming president. Samson reflects,

The past president in that regard to mentorship is tricky. ...some past presidents leave town and they're just not available. Some past presidents for whatever reason stay in town and of that group; some are very helpful by privately talking to the president when the president wants to talk, but otherwise being invisible. And some past presidents are very destructive by carrying on kind of a closet presidency, talking to old senior executives, talking to opinion leaders in town, offering their opinion. It's just not professional and I think care has to be taken and you know if that kind of thing is going on, it shouldn't be encouraged by board members going to the old past president, (personal interview, April 4, 2014).

The role of the predecessor leads, to some extent, to a discussion regarding mentorship more broadly. Mentorship is not always as evident for the leader of an organization. In fact, the mentorship research that will be presented later in this thesis shows a bias towards mentorship

for female leaders and focuses primarily on the path to leadership. It does not place as much emphasis on the need for mentorship for a leader when assuming a leadership role. Samson comments,

I think it takes...mentors are people you have to really profoundly trust. A good president will find those people, but they may not be there the first day or the first month or even the second month. It may take a cycle or two to find proper mentorship (personal interview, April 4, 2014).

Wilson also comments along the same lines, "I would have benefitted from a senior woman taking me under her wing" (personal interview, April 24, 2014). This theme was not a core part of the interview framework or focus; however, it was an issue raised by over half of the informants throughout their interviews. While rare, a predecessor might play a role of mentorship to an incoming president.

Within each of the subthemes focused on relationships, trust is an underlying theme of many of the remarks by informants. Trust is at the core of leadership. Relationships with the board, the executive team and to a lesser degree, the predecessor can and do play a central role in the president's transition process. Within the conceptual framework, these relationships are central to the health and strength of a president's transition. And supported by the data from presidents with unfinished mandates, the significance of these relationships is clear. Within research question two, the presidents commented on four common themes: transitional process, university culture, role of university president and fit. The data for these themes follows.

5.4.3. Transitional process

Nearly all of the presidents underlined the lack of transitional support offered from the onset of their transition. As all presidents were in the position of coming to the university from an outside university, the presidents felt that there was much to learn and little support offered. “There was no transitional process, this was part of the huge problem,” reflects Wilson (personal interview, April 24, 2014). Smith concurs, “Well there was no process, so let’s just be clear about that.” She continues,

But there was really not a lot of thought given to how to bring in a new president on the campus. Aside from a lot of meeting and greeting, which is an important thing, and they did give good thought to that (personal interview, April 23, 2014).

The lack of transitional support is also communicated by Samson. Samson reflects,

I was inadequately briefed, in a number of ways. The exiting president hardly briefed me at all, the senior leadership team was very late in providing me with briefing notes that I described them to you, they were appalling in fact, when I got here. ... So the requirements just weren’t in place for transition (personal interview, April 4, 2014).

While not all presidents showed direct concern regarding their transition support, those presidents who did, reflected on the lack of support both at the board level and within the university community. I observed that some of the presidents who were unhappy with their process did not always reflect a high level of ownership for their transitional process as is evident within the sense-making approach referenced within the conceptual framework. This might have occurred simply due to a lack of time for reflection. They were critical of others; however, it is not clear whether the presidents themselves did enough to seek out the transitional support that they needed. Contrary to the comments above, some presidents felt very well supported and were offered a solid transition process by both the board and the internal team. What becomes apparent from the feedback from presidents with unfinished

mandates is the subjectivity regarding what a transition process entails. Many of the presidents had different expectations regarding this process and that their needs were not met. The feedback also reflected a lack of transitional support regarding the context of the university, as opposed to more concrete knowledge and content. While culture was discussed in the interviews, as were transitions, the issue that was not discussed directly was the actual learning during the transition process regarding the specific culture of the university. While the issue of culture is highly subjective and, not easily summarized or communicated, future research might be able to uncover the importance, and even the manner in which the whole issue of organizational culture can be more clearly communicated and presented to incoming leaders.

5.4.4. Role of the university president

The role of university president reflects throughout all of the discussions. The position of president is changing and growing, and competing responsibilities are the norm. This reality was not a surprise to the presidents. As each of the informants is an academic within the system, the shared governance model was also a surprise to no-one. Martin comments, "I think presidents also are stewards, it's not their job to just simply implement their view, and it's their job to implement the collegial view." Concerns were highlighted, such as a lack of understanding from the board perspective on the changing expectations of the president. Martin reflects his perspective on the tradition of hiring an academic CEO,

And I've actually always prioritized scholarship above some of the other presidential duties because I think it's very important, Julie that the reputation of the university and also grounded in the scholarship of the lead officer. That's not a view that's shared by many and with the increased corporation of universities and drawing people from outside the academic center or drawing people who are not published academics but really keen on public administration, that's actually gone increasingly to the margin (personal interview, May 12, 2014).

Samson reflects on the changing nature of the role,

And on that point, as I said I always thought of a university presidency as an office, not as a job, all the trust and the moral implication of that, but now I think given the presidents, the former presidencies you're now studying, given the number that have happened I think a thoughtful candidate would say maybe it's an office maybe it's not, but it's a job and it's more a job like being a hockey coach, or in the NHL, or being CEO of a tech company where you could be here today and gone tomorrow and you better look out for yourself (personal interview, April 4, 2014).

Contrary to my analysis from the literature review, the role of the university president did not stand out as a key challenge or issue for the university presidents with unfinished mandates interviewed for this project. University presidents were well aware and prepared for the challenges of this complex role. As presented earlier within the report on findings, the misunderstanding related to the role of the university president is better understood around the theme of board relations. As reflected in section 5.2.2.1, the issue of the role of the university president was raised as an issue by the presidents with unfinished mandates. However, it was in relation to a misunderstanding regarding the perceptions of the role as seen by the board and the president. The presidents themselves appeared to be quite at ease within their roles and not necessarily surprised by the complexities of these positions. The perception of the role of university president for the board and the president did not always align. This

issue remains significant. The presidents with unfinished mandates did not pinpoint the issue of the role of the position as a perceived contributing factor to their unfinished mandate.

5.4.5 University culture

University culture was a theme discussed in each of the interviews. While each of the presidents is from backgrounds within the academy, there was no sense of surprise or intrigue by the complexities of university environments. The presidents reflected an overall acceptance regarding the particularities of university cultures. In fact, Wilson was warned directly by her own president before accepting her assignment as president, "...it's the culture there and you won't suit it" the current president stated (personal interview, April 24, 2014). Leblanc states with confidence in his reflections of his unfinished mandate, "So I would not have gone. But given their culture; they were right to fire me, you see what I'm saying ... not that I enjoyed being fired" (personal interview, July 30, 2014). This statement begs the question as to whether, in some cases, university selection committees choose presidents who reflect their culture, and if they might, in some cases, select leaders who represent their aspirations, only to find out that the university community was not able to adapt as quickly as the selection committee might have hoped. A few presidents referred to the changing nature of university culture within universities. Samson reflects, "So when you ask about culture, the first thing I want to say is that there's just no doubt that the culture of collegiality has eroded ... of course as a result made them much more difficult to administer (personal interview, April 4, 2014)." Belisle comments on her views regarding university culture,

So I think the board members have to be educated into what, what is appropriate in an academic institution just like I think academics have to be more sensitive to the fact that universities are like a business, we have a bottom line and can't go broke, and need to be marketing and recruiting, and all those words they don't like in academic, they are allergic to the word marketing (personal interview, April 25, 2014).

Martin, having spent his entire career in academia in various universities, comments quite extensively on academic culture,

I think university cultures are difficult to define, they're difficult to control. And that actually speaks to their genius. I think university environments are, hot places, they're places where ideas are gauged, ideas are generated, politics is petty and therefore perhaps more vicious (personal interview, May 12, 2014).

He continues,

So I think that when you move into an academic culture you should know that's the nature of the beast. I think that's one of the reasons why some people have some difficulties coming from outside and they come from a business model or a different kind of a corporate model or indeed from a government model, much of what university life is about seems inefficient. Decisions seem to get constantly postponed, nobody ever seems to achieve any kind of consensus, there's no uni-directional role that's played, other criticisms are invalid in my view. And they're invalid because what you're doing is you're judging the university by a comparison which is itself invalid; universities have their problems but those particular qualities are not the problems. It's the way they operate, and the way they work and the way they should work (personal interview, May 12, 2014).

A sub-node within the data on culture is the reference to change. Interviewees reflected on the pace of change through many lenses—too slow, too fast, too much, not enough. Much of the discussion reflects a mismatch in terms of expectations. "They wanted change, I gave them change," explains Wilson (personal interview, April 24, 2014). While most of the presidents would describe themselves as change makers, it was not always clear that the university was open to the changes or an elevated pace of change. Samson cites, "Change in university is going

to ruffle feathers and ruffle them seriously.” This is particularly relevant in the cases of unfinished mandates as 100% of unfinished mandates of university presidents in Canada over the past ten years have been hired from outside the given university. Samson explains,

So one observation I have, generally about the system, is if you go out to get an outside person, you are signaling, and maybe you even signaled it in the interview, you probably did, that you want a change agent that you’re looking to explore new areas that you want to move to the next level, whatever. You are sending those signals and when that starts to happen, I believe there’s an obligation, especially in the board, to stand by its commitment both explicit and implicit in going and getting an outside person (personal interview, April 4, 2014).

Martin reflects on the shared governance model within universities that encourages a certain level of collegiality,

But in the academy it seems to me that if you work that way you engender a measure of distrust in the faculty that you’ll never get around, because they will always see that, they won’t read that as strong leadership. They’ll read that as autocratic. The boards might see it differently, and the administration, your staff, may see, well that’s real strong leadership, but faculty are trained to be deeply suspicious of that. So you’re going to have them working against you for the rest of your tenure. So I think it’s always better to be collegial (personal interview, May 12, 2014).

Culture acts as the envelope that affects all aspects of the presidents’ experiences. As the perceptions regarding culture are so subjective, it is very difficult to pinpoint the direct influence of culture on the experiences of presidents with unfinished mandates. Culture touches virtually every theme within this dissertation, and every aspect of a presidential transition.

5.4.6. Fit

The role of fit is an issue raised in the context of the interviews. In many cases, the university presidents with unfinished mandates felt that they had a very good fit with the

chosen university. Half of the university presidents were going back to a region or a university that they felt they knew well, a place where they had worked or lived earlier in their career. There was a perception of the university being an excellent fit. This theme was prevalent enough that I have placed it in the future areas of research as I question whether the issue of perceived fit might play a somewhat negative role in the transition to an organization. Could “going home” and the implied expectations and perceptions play a more negative role than positive within some transitions? This theme requires further study. Samson specifically comments on the theme of coming home when referring to another presidential colleague,

Joe was able to do amazing things for two reasons... one is that he’s an extremely talented man, two he was an outsider but he wasn’t really an outsider. And so Joe went in with almost certain knowledge that he wasn’t going to be butchered, and I’m sure some days he must have wondered. But the reality was he was returning home, which was significant to me because in a sense coming to Toronto, *I was returning home* (personal interview, April 4, 2014).

Beyond the above theme, the most significant issue related to fit was the discussion surrounding gender. While not the focus of this research, the data regarding gender and leadership was significant. The question of gender was raised within all of the interviews, regardless of their sex. Unfortunately, many of the responses were consistent, regardless of the gender of the interviewee. Both men and women discussed the issue of gender in university leadership and related to their unfinished mandate, in particular. For one president, the issue is viewed as central to her situation. Wilson reflects, “The word is gender. There is no question, at least in my mind, that it was a complete gender issue. It took three of them to bring a girl down” (personal interview, April 24, 2014).

Both male and female presidents referred to the “old boys club” without question or surprise. Martin comments, “...and mostly driven by really narrow men’s club. The boy’s club.”

He continues,

...we didn’t have any [women] in senior management; it was a very, very male world. It was my, it was a very distasteful experience for me because it was my first real encounter with old boy’s club and all the negative connotations that that meant. We control, we operate, and we know, *wink wink wink*. I hated it. But I thought, I thought I could dismantle it, but it was stronger than me, it’s built into the culture (personal interview, May 12, 2014).

Wilson reflects on the final days of her mandate,

...the old boys, a few of them, yea, got together ...I just didn’t have the skills to deal with that. I had no idea that all of this was going on behind my back and I should have, that’s one of the things I’ve learned (personal interview, April 24, 2014).

Belisle also comments from her perspective on the male culture within universities, “I was the first woman and that was a real breakthrough but it was also challenge ...a very male culture.” She continues,

...that gender’s a factor and people don’t take you seriously. They don’t think, in particular they don’t think you know about the numbers and the money. ...But they assume that if you’re a girl you don’t know that stuff. And I think they think they can bully you a little bit more, they can push you around a bit (personal interview, April 25, 2014).

Many of the interviewees referred to both expectation management and personal attacks related to gender. Wilson reflects, “Yes the issue is greater, but there’s no doubt, it’s almost like being female allows you, opens you up to personal attacks” (personal interview, April 24, 2014). In terms of expectations, Smith comments, “I don’t know whether it was that

they expected a woman president to be a bit more motherly (personal interview, April 23, 2014).” As did Belisle, “...they said you shouldn’t do that because you should try to appear feminine. A man would never say that. You don’t want to look like a mother” (personal interview, April 25, 2014). The issue of women and leadership and diversity and leadership more broadly is evidently far from being solved based on the feedback revealed by these interviews.

Despite the negative climates described, a sense of optimism remains, “I would have benefitted from a senior woman taking me under her wing,” commented Wilson. She continues,

I was not going to descend to that level, and I needed to show all the young women coming up behind me that there are ways to handle this. And you don’t, you’re not a change maker, and you don’t become a woman of wisdom and experience without running into some glass ceilings (personal interview, April 24, 2014).

The question of gender within unfinished mandates of university presidents and the question of returning home to an institution that is familiar to the presidents, are both subjects closely related to organizational fit. They are also areas that demand future research. The overarching theme of fit raises many concerns. The data within this research tells a cautionary tale regarding the reality of gender and leadership more broadly, and within the university sector, in particular.

5.5. Summary of findings

Pursuing this analysis of the findings, I summarize below the perspectives of the presidents in alignment with the six common themes stated above and organized by research question.

Question one: How did the leader's relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?

Process of becoming university president: The lack of disclosure within the interview process is a key issue raised within this node. A concern regarding too much delegation of responsibility to search firms is also important. Finally, the early relationship established between the board and the president, in some cases, may signal future concerns.

Relationships: Relationships and trust are at the core of all discussions within the interviews. In particular, the theme of board shortcomings and a lack of ongoing communication between the president and the board. All interviewees expressed a significant lack of trust with at least one member of their executive team. Many of the presidents with unfinished mandates reflected on a more negative, or non-existent, experience with their predecessor upon assuming the role.

Research question two: How was the leadership transitional process perceived by presidents within their respective university cultures? And what role, if any, did the transitional process play in their shortened mandate?

Transitions: Some presidents shared concern regarding the quality of their transitional process to the university and offered suggestions for improvement. The expectations regarding transitions are highly subjective. A need for presidents to actively own their transition process and to seek out information regarding university culture in particular. A deep understanding of the culture of the university that they are joining is critical. This is particularly relevant for presidents that are being hired as outsiders to the given university, and even more so to non-academics assuming leadership roles.

Role of university president: While the role of the university president is challenging and involves juggling relationships with multiple stakeholders, most of the presidents did not show much surprise regarding the significance of the role. While this issue is an item of discussion in all interviews, the issue did not present itself as being a significant barrier. The challenges noted were the communication issues and expectation-setting between the board and the president regarding the role of university president.

Culture: While the complexity of university culture is critical, the presidents did not show significant surprise to this theme in relation to their unfinished mandate. In terms of culture, the organizational culture was the one that proved to be most challenging, when compared to university culture more broadly stated. As all of the informants were from an academic background, they were well informed about the realities of university culture.

Fit: An observation made as half of the university presidents were returning “home” to a university where they had previously studied or taught. The issue of perceived fit requires further study. The theme of gender was the one that was the most prominently raised within this node. Many of the presidents, both male and female, expressed their concerns regarding a highly dominant male culture within the leadership and boards of their universities.

5.6 Chapter summary

Chapter five presents an analysis of the interviewees, and the findings of the research. The findings are organized by research question and using the foundation of the conceptual framework. Data tables reference key findings. Chapter six will present a synthesis, discussion and analysis of the findings.

Chapter 6: Analysis, interpretation and discussion of findings

This chapter discusses the findings with respect to the research literature reviewed for the study and grounded in the conceptual framework. The research sets out the following two objectives: 1) to understand the underlying reasons behind unfinished mandates of Canadian university presidents and 2) to further learn from their early leadership experiences in order to understand presidential leadership within the context of the university culture. This chapter examines the findings and implications of the study and its practical and theoretical contributions to the higher education literature. The limitations of the study, along with future areas of research follow in this chapter.

6.1 Findings of the study

On this basis, two research questions were established for this study. These questions asked about the leader's relationship with the organization and how it influenced their experience and adaptation as a leader. The second question probed the perceptions of the leadership transitional process and the potential role the transitional process played in their shortened mandate. The questions and the accompanying analysis resulted in these six findings. Below, each of the findings is enumerated.

1. The presidents with unfinished mandates each shared significant concerns regarding board governance in universities. This issues regarding board governance and communication encompass the following findings and related challenges.
 - a. Six of out six informants felt that their board members shared a lack of knowledge regarding university governance. There is a need for orientation for

members of the Board of Governors, specifically focusing on the roles and responsibilities, along with the limitations of the role and issues relating to potential conflicts of interest. Further, the context of the university culture and the principles of academia, such as academic freedom and collegial governance, need to be an essential part of board training.

- b. Full engagement and an ongoing commitment from board members related to the hiring process for university presidents are essential. This responsibility cannot be left to the executive search firm to lead independently.
 - c. Six out of six informants observed a non-disclosure of key information during the hiring process. Full disclosure in the hiring process regarding the current challenges and risks of the university is necessary.
 - d. Six out of six informants felt that the communication between the board and the president was not effective. The importance of relationships of trust along with consistent, ongoing communication and feedback between board members and the university president is a necessity.
2. Six out of six of the informants shared a deep level of mistrust with at least one member of their executive team (Provost, VP finance, VP external or Secretary). The presidents with unfinished mandates shared a common concern regarding the importance of building strong executive teams and establishing relationships of trust within the leadership team. This includes ensuring that incoming presidents are encouraged and

supported to choose and build their team, without predetermined expectations from the board or existing executive teams, and within the confines of collegial governance.

3. Many of the university presidents with unfinished mandates expressed the importance for university presidents to be encouraged to find a wise person or a mentor to provide unbiased advice and feedback to the university president on an ongoing basis.
4. Six out of six of the informants shared an unhelpful or non-existent relationship with their predecessor. The relationship with the predecessor is important and can be influential. This relationship should be nurtured and valued.
5. Four out of the six presidents reported significant disappointment in their transitional process. There is a need for presidents to own this transitional process and to seek out missing information and support required.
6. Five out of six presidents (three females, two males) reported a strongly dominant male culture within Canadian universities, specifically at the board level and within university leadership teams. Board diversity is essential in order to promote diversity in the presidential suite.

6.2 Enumerated findings, analysis and supporting research

The findings of this study, documented primarily through the narratives of Canadian university presidents with unfinished mandates, indicated six general themes that lead to reason for both question and concern regarding the unfinished mandates. This qualitative research tells the story of six university presidents. The findings are not necessarily

generalizable. However, their experiences, when told within the same context, reveal interesting patterns, and tell a compelling story. There is an analysis and discussion of each of these themes in the sections below, coupled with the relevant research. This includes: board governance and communication; social capital and relationship management within the executive team; leadership support; the role of the predecessor; the impact of transitions, and diversity and leadership.

6.2.1 Finding 1: Board governance and communication

The presidents with unfinished mandates in this study each reveal significant concerns within the qualitative data regarding the issue of board governance within universities. In relation to the conceptual framework, the Board itself is seen in the outer circle as one of the key stakeholder relationships. The relationship with the Board is influenced by both the inner circle, the president as leader, and the middle circle, representing the university culture. Concerns range from irregular communication to issues of conflict of interest, from inconsistencies regarding performance feedback to a lack of clarity regarding board members' roles and responsibilities. From insufficient briefings or a lack of disclosure during the hiring process, to ethical lapses, the presidents each recounted in detail the broken aspects of their board-presidential relationship. Each of the presidents interviewed reveal an important level of dysfunction related to the board more broadly and in all of the cases, the board chair-presidential relationship played a determining factor. Blame is not simply placed at the feet of the board as a few of the presidents admitted to underestimating the power and influence of the board and not committing enough time and care to this relationship. Within this section, I will examine some of the key information raised within my research, including board

governance, training and orientation, the hiring process for university presidents, and communication.

Trachtenberg, Kauvar and Bogue (2013) adapted the list below to summarize the key responsibilities of university governing boards.

Responsibilities of the governing board:

1. Ensuring the institution's mission is current.
2. Selecting a chief executive to lead the institution.
3. Supporting and periodically assessing the performance of the chief executive and establishing and reviewing the chief executive's compensation.
4. Charging the chief executive with the task of leading a strategic planning process, participating in that process, approving the strategic plan, and monitoring its progress.
5. Ensuring the institution's fiscal integrity, preserving and protecting its assets for posterity, and engaging in fundraising and philanthropy.
6. Ensuring the educational quality of the institution.
7. Preserving and protecting institutional autonomy and academic freedom.
8. Ensuring that institutional policies and processes are current and properly implemented.
9. In concert with senior administration, engaging regularly with the institution's major constituencies.
10. Conducting the board's business in an exemplary fashion and with appropriate transparency; ensuring the currency of board governance policies and practices; and periodically assessing the performance of the board, its committees, and its members.

Source: Trachtenberg et al, (2013), adapted from the Association of Governing Boards (2009)

The research on the nature of board governance in Canadian universities suggests a significant change in the governance perspective that might help to explain the underlying lack of accord. Much of the research focuses on the changes in university governance models, from a more collegial model of shared governance to a more corporate model of governance (Chan & Richardson, 2012). This transformation of some universities creates a moving landscape that causes ambiguity as to the core mission of the university and the subsequent role of the board. Canadian university boards are at a juxtaposition in terms of supporting the academic *raison d'être* of its institutions while ensuring their financial sustainability. The changing nature of the fiscal environment of Canadian universities further complicates the stakeholder relationships for both boards and university presidents. Balancing questions of accountability in the eyes of various funders, from governments and the greater public to students and parents, and to donors and corporations, is a primary concern. As MacKinnon states, “presidents increasingly are held to account for results over which they have little control” (2014, p. 135). In addition, these stakeholders are often volunteers on university boards, and while they do not represent their constituents on the board, they are often elected by these stakeholder groups (Chan & Richardson, 2012). At the same time, there is a sense of fear regarding the move towards the governance of universities based on a more traditional business model. This corporate perspective, in some cases, works at odds with the democratic ideals of universities, traditionally focusing exclusively on fostering learning and knowledge creation (Westheimer, 2010). A concrete example of the impacts of this change is the move away from basic research toward more applied research. This acts as a means to ensure immediate financial returns for the university (Pusser, Slaughter & Thomas, 2006). Of course, fundraising and corporate

sponsorship of buildings, programs and initiatives are other examples. This governance transformation is happening in varying degrees and pace at universities across the country and does play a pertinent role in the current complexity of governance structures and relationships at Canadian universities and beyond. Of course, this transformation influences the role of the university president, the priorities of that position, and the selection of university presidents.

The challenges of university board governance, and more specifically the relationship between the board and the university president, is well supported within the research. Fethke and Policano (2012) explain the difficulty for a university president to “lead assertively from the middle of the hourglass” while facing conflicting powers from their governing boards and faculty. Gross (2011) studied the relationships between university boards and presidents, showing how these relationships can lack in understanding and authentic engagement, particularly during times of transitions. Further, within case study research by Thompson, Cooper and Ebbers (2012) and Maslin-Otrowski and Floyd (2012), the leadership of board members within presidential transitions is highlighted as a determining factor. The research attributes this factor to the complexities of university governance and the fact that board positions within universities are held by volunteers. Board relations and ineffective governance are frequently cited as contributors to unfinished mandates within the research (Campbell, Moy, Feibelmann, Weisman & Blumenthal, 2004; Gross, 2011; Trachtenberg et al, 2013; Turpin et al, 2014). Research also points to presidential attitudes, board shortcomings, and changes in board membership as key contributors leading to challenges between the board and the president (Trachtenberg et al., 2013). The significance of this finding in the context of Canadian university presidents with unfinished mandates further supports this research and the need for

focused efforts to enhance this relationship. This will advance the success and retention of university presidents, and improve the overall governance of universities.

One of the six factors cited in Trachtenberg, Kauvar and Bogue's (2013) derailment themes for university presidents within a US context is board shortcomings. In fact, this was one of the derailment themes that did not appear as prevalent within a private sector context. Consistent with the findings of my research, Trachtenberg, Kauvar and Bogue's derailment case studies point to several issues related to board governance that play a contributing role to an unfinished mandate. This includes examples such as: conflicts of interest on university boards that remain under cover; boards that surpass their governance roles and meddle in management issues; ineffective communications and feedback between the board and the president; ethical lapses by the board or the president, and a misunderstanding on the part of the board as to the institutional or academic culture, often related to the principles of academic freedom. These examples, revealed within their case studies, uncover some common underlying themes that complement my research findings.

In better understanding the findings of my research, it is important to note that six out of the six informants felt that their board members shared a lack of knowledge regarding university governance. While the board members might be apt governors, the complexities of collegial governance, university culture and the principles of academia seem to be less understood. There is a need for orientation and professional development for members of the Board of Governors. In particular, focusing on the roles and responsibilities of board members, the particularities of academic culture and collegial governance, along with the limitations of

the role, and issues relating to potential conflicts of interest. This recommendation is consistent with recent governance reviews led by Concordia University and the University of Virginia. These reviews took place subsequent to the two unfinished mandates at Concordia, and the presidential firing and reinstatement at the University of Virginia. Further, in a recent Canadian survey of university board of governors, respondents gave a mean score of 5.42 (out of 7.0) regarding a question about the effectiveness of the formal orientation program for board members. In terms of ongoing education, the score was reduced to 5.15 (Chan & Richardson, 2012). While the cited survey did not discuss the contents of the orientation programs, the overall perception is that there is room for improvement in this vein.

The presidential hiring process itself raised some key concerns among the informants of the interviews. In many ways, the initial interactions between the selection committee and the potential president can speak volumes about a prospective, future relationship. In some situations revealed by this research, the presidents were able to cite specific examples that occurred as early as during their hiring process that indicated concern regarding their future role and their relationship with the board. In some cases, it was an interview question or comment that in reflection, was ill-placed or worrisome. In other situations, it was the relationship between the board and the selection committee. One informant described an uncomfortable distance maintained between the two committees. In one case, there was a sense of urgency created by the offering of the position and a need to sign documents with a rapidity that led to questioning. Many of the presidents were able to recall seemingly discrete red flags that, in retrospect, should have been taken more seriously, or at least questioned. One cannot help but wonder if the changing nature of university governance function is also playing

out with respect to the hiring of university presidents. While the transformation from collegial to corporate governance is occurring across the country, are selection committees confident about the ideal candidate that they want or need to lead their institution? Are the committees aligned regarding the importance of having an academic CEO, a chief fundraiser, an external ambassador or a mediator? Are selection committees choosing candidates who act as a mirror to the predecessor or who oppose the past leader? Are diverse candidates being treated equally at the hiring table? Are the values or detriments attributed to internal or external candidates fairly balanced and justified?

The hiring process encompasses the beginning of the board-president relationship. The informants of the interviews shared, in retrospect, some concerns that they overlooked too quickly during this process. Hiring a new president is one of the most important roles of a university board and this process, while lengthy and complex, requires the full attention of board members. Trachtenberg, Kauvar and Bogue (2013) offer candid advice to selection committees for university presidents. This includes: undertaking a governing board assessment; being selective in appointing the selection committee; clarifying professional support needed; prioritizing characteristics of next president; sharing information and establishing mutual expectations; screening candidates with care, and speaking with one voice about the appointment (Trachtenberg, et al., 2013). This process is somewhat of a microcosm of the future board-president relationship and cautionary signals on either side of the relationship should not be ignored.

The relationship with the executive search firm is an issue of concern by half of the informants when discussing their hiring process. While the presidents were fully cognisant of

the sales role for the firms, they showed concern when the hiring process was seemingly entirely delegated to the search firm. Of course, engagement and an ongoing commitment from board members related to the selection process for university presidents are required. This responsibility cannot be left to the executive search firm to lead independently. The informants also felt that the executive search firms could play a leadership role in seeking out undisclosed information from the university. Examples cited in the interviews include fiscal and legal difficulties, along with tensions related to union and faculty relations. In fact, six out of six informants felt that vital information was undisclosed during the hiring process. Full disclosure within the hiring process regarding the current challenges and risks of the university is not only necessary, but an ethical responsibility for board members. Executive search firms should play a role in ensuring this disclosure in advance of any employment offer.

Within the theme of board governance, the final and perhaps most important issue raised in the interviews, is related to communication. Six out of six informants with unfinished mandates felt that the communication between the board and the president was not constructive. The importance of relationships of trust along with consistent, ongoing communication and feedback between board members and the university president is a necessity as the basis of a productive working relationship. Items cited in the interviews include a lack of feedback, either informally or formally, through a performance review. Many of the presidents felt that their board chair was not accessible for regular meetings or to seek feedback. In two cases, the presidents unfortunately heard board feedback via other leaders within their executive. Each of the informant interviews revealed an important disconnect between university boards and their presidents. In some cases, there was a signal early in the

hiring process that this relationship was not entirely transparent or effective. This section has outlined key findings and analysis that reflect the nature of this broken relationship and the need for a more reliable alignment between the board and their CEO. In the next section, the analysis looks at the team built by the president and its apparent impact on the presidential mandate.

6.2.2 Finding 2: Social capital and relationship management within the executive team

Effective organizations are built on trust and very little can advance when the underpinnings of trust are not present in a leadership team. Within the conceptual framework, the executive team is a key partner as seen visually in the outer circle. The president's ability to advance a sense of shared values with the team is of utmost importance. The president must manage the confines of the middle circle through effective organizational change, the mobilization of their own social capital, and the adaptation to the university culture. One of the most significant findings of this research reveals that six out of six of the informants shared a deep level of mistrust with at least one member of their executive team. The presidents with unfinished mandates share a collective concern regarding the importance of building strong executive teams and establishing relationships of trust within their team. All six presidents interviewed recounted a common experience in terms of at least one broken link of trust within their executive team, either the Provost, the Secretary, the VP Finance or External. The presidents recounted situations where members of the executive had been hired recently, before the presidential appointment, and had an implied expectation to maintain their role. Or situations where an executive had been a member of the leadership team for a long time, holding valuable institutional memory. In one case, the incoming president was informed

during the interview that this member of the executive should stay on the executive. In some circumstances, members of the leadership team shared a direct relationship with board members and used this connection to work against their president. In one case, a member of the executive had applied for the position of president and was subsequently left working with their chief competitor. This finding should empower boards to question the pressures that they might inadvertently place on university presidents in building their executive teams. It also should give incoming university presidents the confidence to trust their leadership and build their executive team based on their needs, supporting their weaknesses as a leader and complementing their qualities. It is essential to reinvent each team based on the goals and objectives of the mandate, and to ensure an alignment of values within the executive team, while respecting the principles of collegial governance. Trachtenberg, Kauvar and Bogue (2013) in their case study research, point to the related derailment theme as an “inability to lead key constituencies.” The presidents within this body of research each point to a missing link of trust within their executive team. Within each occurrence, there was an ambiguous relationship with this particular executive and a serious concern on the part of the president in terms of making a change. In many of the cases, this lack of trust stemmed from a member of the executive that was not necessarily incompetent or ineffective. However, in most cases, the executive team member was not a leader chosen by the given president.

Trust in both directions was a significant observation by the university presidents with unfinished mandates, the trust given to them as leaders and the trust placed in their leadership teams. Tansley and Newell (2007) examine the role of social capital, trust and leadership. They explore how the development of trust within organizations can directly impact leadership

effectiveness. Contrary to Trachtenberg et al's (2013) findings, the issue of trust is not exposed in dramatic scandals, ethical mishaps or disgraces. The issues of trust were discrete and harder to identify. Some examples include a lack of information sharing, direct contact and communication with board members by executives other than the president or an overall lack of confidence expressed by both sides of the relationship. Within Smerek's (2009) research, he observes sense-making through the eyes of college presidents and shows the importance of networks, and more specifically, the criticality of cohesion with the administrative team.

Presidents who have weak links within their senior management team are at risk for isolation of constructive feedback from insiders (Trachtenberg et al., 2013). While the issue of building a team might seem to be an obvious one, it is evidently not as straightforward as it may seem.

Board members, presidents and executive leadership teams need to play a role in reducing the ambiguities surrounding team building and ensuring that a president is given full confidence and trust. They need the ability to surround themselves with leaders who complement their abilities, strengths, and weaknesses, and who fully support their mandate as president.

Presidents must be cautious to make necessary changes within the confines of collegial governance.

6.2.3 Finding 3: Leadership support

Many of the university presidents with unfinished mandates expressed the importance for university presidents to find a wise person or a mentor to provide unbiased advice and feedback on an ongoing basis. Within the conceptual framework, I see this relationship as one that exists primarily within the inside circle relating to the president as an individual. A mentor plays the role of guide and is often able to work with the president, in an authentic way, to

improve their individual ways to approach problem-solving, leadership guidance, and improving their relationship-building skills. While there is an extensive literature exploring the value and importance of mentorship, this theme within the literature is more prevalent for individuals beginning their career, advancing mid-career or directed at mentorship for women. However, within management literature, the idea of “being lonely at the top” is cited. Ineski and Galinsky (2012) cite five reasons for this predicament. They include the role of power in altering our belief of others’ generosity; affecting our responses to the kind acts of others; reducing trust and commitment, and damaging relationships in the moments when they have the greatest potential. Many of the presidents reflected on the need to share a relationship with another leader who has a strong understanding of the leadership context within universities and yet does not share an interest in the outcomes of decision-making. This person might be a former university president, a past leader who remains a part of the university community or a president from another institution. In some rare cases, it might even be their predecessor. While leaders in these positions may often view their experience as being too advanced to require the need for mentorship, a desire for this support echoes half of the discussions with university presidents with unfinished mandates. The fact that this issue develops is important as it is not a theme raised by the literature review, nor is it a question in the interview guide for this research. This situation amplifies within a university context where succession planning is rarely done, and, when done, is met with much reluctance (MacKinnon, 2014). As a cautionary note, Trachtenberg et al.’s (2013) case study research raises a perspective indicating a risk when a president has an overreliance on a single mentor or advisor. A support network for the university president is an issue that is often overlooked. Of course, in the case of a president

whose mandate is at risk, they often lack support from both the board and the executive team. There is even more reason to ensure proper mentorship and guidance to support through challenging decision-making and organizational change.

6.2.4 Finding 4: The role of the predecessor

Positive or negative, blatant or subtle, the outgoing president's role has an influence on a new presidency. The predecessor is a specific stakeholder identified within the conceptual framework. Regardless of the context of the predecessor, whether an icon or a failed presidency, this individual has a direct impact on the expectations for the incoming president. In any situation that precedes a presidency, a predecessor can offer observations and guidance regarding an institution. This is of particular importance for a president hired as an outsider to the university. The incoming president will evidently bring about change and adopt practises that are different from that of the predecessor. A discussion and transition with the predecessor can undoubtedly lead to some practical information that can assist the new president in their role. All of the informants shared an unhelpful or non-existent relationship with their predecessor. In one case, the president shared information inappropriately to others on campus. Two of the informants reported that the predecessor was unwilling to meet with them. Another acted against the new president's mandate by playing a crucial role in criticizing the incumbent's decisions and choices. The relationship with the predecessor can be influential, and a proactive effort should be made to have a positive relationship. The role of the outgoing leader is a predicament raised within the literature; however, not in a significant manner. The success and the culture created by the previous leader plays an essential role for the incoming president. Both a "successful" and an "unsuccessful" predecessor create expectations among

the community for the incoming leader. In either case, there is an expectation for change (Shaw, 2002). In the case of an outgoing, beloved president, the board needs to offer further support and guidance to the incoming president. This transition is delicate, and often more challenging to manage (Trachtenberg et al., 2013). The board needs to be in regular communication and set clear expectations so that the new president may succeed in replacing an adored predecessor. The research supports the hypothesis, underestimating the role of the predecessor in transitions. If the past leader was iconic, or considered unsuccessful, the way that the leader manages the relationship with their predecessor can play a determinate role in how the incoming leader is viewed by the community (Breuer, 2011). For these reasons, an effort should be made to learn and to connect with the outgoing leader. This relationship sends a sign to the university community regarding support to the incoming leader, and the new president can benefit from lessons learned and information that may assist in their transition and their presidency more broadly.

6.2.5 Finding 5: The impact of transitions

Throughout this research, I have observed that the presidents with unfinished mandates, in many ways, did not ever complete their transitional process as president. Their first term was cut short and they never finished the process of organizational socialization. Within the conceptual framework, the transition period is seen in the middle circle. This circle shows how the university president accesses and mobilizes social capital within the context of the university culture, and ensures organizational change. Four out of six presidents reported significant disappointment in their transitional process. They were critical of the style, content, and approach. One president felt that there was too much time placed on the meeting and

greeting, and not enough time devoted to the content of the position. Two presidents complained about the quality and the timeliness of their briefings from within the university. The time spent with the predecessor in most cases was very limited. Many of the presidents with unfinished mandates felt that the board did not sufficiently guide them in terms of expectations. This is particularly the case for the board chair. There is a need for presidents to own this transitional process and to seek out missing information and support required. As researcher, I felt that many of the boards that hired these presidents did not place their undivided support behind the president from the outset. There were attempts to do so. One president reported the members of the selection committee appearing on stage with her during her first campus event. However, many of the stories exposed a mediocre level of support from the board. In a sense, there is a doubt or a lack of trust from the very beginning. One president described the university presidency as an “office” that requires unconditional support from its board in order to ensure success as the office moves through the challenges of transitions. Of course, a lack of full support from the board becomes very apparent to a campus community and create doubts among stakeholders. It seems that many boards see their primary responsibility as hiring the new president. In some cases, the executive search firms do not remain engaged in the process throughout the transitional period. From the moment that the predecessor announces their departure, right through the first 18-24 months of the new president’s mandate, the president and the office will naturally be under higher scrutiny and observation (Trachtenberg et al, 2013). The board needs to support the president through this time. Some guidelines to university presidents in transitions by Trachtenberg, Kauvar and Bogue (2013) include: managing campus anxieties with care; understanding that each

presidency is different; seizing a presidential transition as an opportunity; emphasizing the ongoing nature of transitions; paving the way with planning; and investing in on-boarding resources and activities. A presidential transitional period is always a time of risk for the organization and proactive planning, authentic engagement, and unconditional support to the incoming president can significantly influence the presidential transition.

Within a private sector context, poor management of transitions is cited as a major contributor to CEO failure (Khurana, 2002). The content of transitions seems to be a relatively well-understood concept; however, the context piece is much more ambiguous. Consistent with university leaders, CEOs are often more context- or more content-oriented. Of course, the best leaders share a balance of both. Content-rich CEOs focus on knowledge, vision, operational execution, intellect, and strategic thinking. Context-rich CEOs care about process, values, change management, culture, relationships, and team-building (Conger & Nadler, 2004). The transitional process puts more value to and favours the importance of context, rather than content. Particularly within universities, the academic culture expects a focus on context, culture, tradition, and process. Finkelstein's (2003) research cites particular moments in transition that often precipitate a derailment. These include: creating new ventures; dealing with innovation and change management; managing mergers and acquisitions, and addressing new competitive pressures. Early changes led by the new president will create tension and questioning, and the president needs to be well-equipped to manage this change.

As described in detail in section 6.3, *Linking the model constructs*, the conceptual framework did prove its effectiveness and pertinence in providing a solid theoretical framework

to the transitional process. Integrating the theories of organizational socialization, sense-making, and social capital, the conceptual framework provides a strong foundation. It outlines a process suitable for complex organizations such as universities, which are constantly engaging with many stakeholders to manage a transitional process. The presidents need to own their transitional process and seek out missing elements of their transition, without dependence on board members, members of their executive team or their staff.

6.2.6 Finding 6: Diversity and leadership

Issues related to diversity have made progress in higher education; however, evidently, not enough, and certainly not at the leadership level. There is substantial work to do in this vein. Within this research, I set out, perhaps wrongly, to avoid the question of diversity. I felt that it was a huge and complex issue, and I felt that the theme might become all-encompassing to my research. I could not avoid it. Within each of the interviews, diversity became a question, and the results were consistent. Within the conceptual framework, a leader's diversity directly influences their social capital – how their leadership is viewed, criticized or applauded. Female presidents make up only 19% of the university chief executives in Canada; however, the last five out of six unfinished Canadian presidential mandates are female leaders. It is important to note that in the past four years, women comprised over 80% (five out of six) of presidents with unfinished mandates. This is up from 33% over the past ten-year period. Further, within my research, five out of six university presidents (three females, two males) report a strongly dominant male culture within Canadian universities, specifically at the board level and within university leadership teams.

In the Canadian leadership context more broadly, a similar story is told. A current historic high, 25% of Members of Parliament are women, placing Canada only 52nd in the world for female leadership by elected representatives (Equal Voice, 2015). Canada has seen but one female prime minister, who suffered from her “unfinished mandate” of sorts, ending her role after only five months. While 2013 showed some hope with 85% of Canadians being governed by a Canadian premier; the numbers have dropped significantly (Equal voice, 2015). We now have but two female premiers. We have also experienced mandates being cut short mid-mandate within the provinces of Alberta and Newfoundland, Alison Redford, and Kathy Dunderdale. The private sector in Canada boasts a tragic 5.1% of female private-sector CEOs, and only one TSX 60 company in Canada is run by a women at present. 29.3% of senior managers in Canada are women (Catalyst, 2015). At the board level, 20.8 board seats on Canadian stock exchange companies are held by women, and 36% of these enterprises have no women on their board (Catalyst, 2015).

Male and female leaders alike were quite brash with their comments reporting the existence of “old boys clubs” that were well and alive on university campuses. One former female president exposed a comment made regarding her physical appearance by a board member. The personal attacks made to women were, by far, more personal in nature. Female presidents told stories about the counselling by board members, faculty members and even their assistants regarding their “femininity” and their given actions as a leader. Other questions of diversity, whether ethnicity or age, were not raised in the interviews as the presidents within unfinished mandates represented a typical demographic—white and middle-aged. While the issue of diversity was not central to the goals of the thesis, it is a significant finding. Marsden

(2004) suggests that there are equally as many differences among female university leaders as there are differences between women and men. This reference was consistent with the female leaders that I interviewed. Each had their style and approach. They did not approach leadership in the same way, nor did they perceive their leadership in the same way. However, there were some commonalities as presented above.

In the research regarding diversity and leadership, certain theories help to understand the above phenomenon. In particular, Kanter's theory of tokenism, and social identity theory (1977). The theory of tokenism contributes to describe the impact of board composition on the tenure of female leaders. It shows how shorter tenures are a reality for "token" leaders, as opposed to "non-token" leaders. Unfortunately, in 2015, within only 19% of female university presidents in Canada, we are still experiencing a sense of tokenism with female leadership. This tokenism creates a higher level of visibility for the leader and performance pressures. When boards and leadership teams are more diverse, there is less pressure placed on diverse leaders, along with an increase in access to networks, success and satisfaction (Cook & Glass, 2014). Social identity theory, or its earlier term, homosocial reproduction, describe how leaders appoint people like themselves in terms of gender, race, age, and background (Kanter, 1977). As a follow-up question to female informants in the study, I inquired about the composition of their board at the time of their unfinished mandate. All three of the female leaders reported a female membership on their board at being under 25% of the group, thus supporting the social identity theory. In fact, one board chair expressed that having a female university president precluded that university board from balancing their board diversity.

Cook and Glass (2014) cite three potential institutional contexts for women and leadership, including glass cliffs, the saviour effect, and institutional diversity. The glass cliff hypothesis shows that women are more likely for a promotion to leadership roles in organizations that are at-risk, and showing low performance (Ryan, Haslman, Hersby & Bongiorno, 2011). Within this body of research, gendered stereotypes, such as emotional sensitivity, strong interpersonal skills, and the ability to take the blame for failure make women the more popular choice when an organization is in crisis. Ryan et al. (2011) also show that men are ideal managers for organizations that are highly successful and profitable. Along the same line, the saviour effect shows that when women are chosen for top leadership positions, and the organizations struggle, they are likely to be replaced by men who act as “saviours.” Thus, the tenures for women in these at-risk organizations are often shorter in length (Ryan et al., 2011). Ryan et al. (2011) coin the term, “think crisis-think female.”

The most positive and forward-looking body of research examines institutional diversity more broadly. Cook and Glass (2014) discuss the effects of firm performance, board diversity, and post-appointment performance on leadership transitions. Using the data of Fortune 500 companies over a 20-year span, Cook and Glass (2014) show how institutional diversity, particularly at the board level, has a direct and positive impact on the hiring, retention, and successful mandates of female leaders. This research does not examine the impact of such decision-making for ethnic/racial minorities; however, their research predicts that a similar trend would perpetuate in a more ethnically diverse environment. Cook and Glass’s important research in the area of diversity and leadership speaks loudly to the need for intentional

leadership. There is a powerful importance in changing the face of leadership in Canada by ensuring diversity at both the board and leadership level.

In the research on organizational fit, there is an important level of concern regarding diverse leadership, as the expectation of a certain image of a leader plays a role within fit, notably male, middle-aged, and white. While my discussions were only with a very limited number of university leaders, the theme cannot be ignored. Danielson (2004) criticizes models of transition for being focused on unhealthy outcomes such as enculturation, assimilation and ingraining the existing culture of an organization in newcomers. The difference between appreciating and accepting certain organizational cultural norms and perpetuating the sense of sameness is on a very fine line. Tuttle (2003) describes the outcome of traditional socialization as merely the perpetuation of a culture. Danielson (2004) argues that either conscious or unconscious socialization could be a factor holding back real change as organizations reward behaviors that perpetuate the expectations of existing values, beliefs, cultural norms and systems. The system of education is one of the most visible institutions in our society. Universities, in particular, need to take the lead on the issue of diversity and leadership. They need to set a strong example of the outcomes, benefits, and advantages of a leadership that represents its student population in ethnicity, gender, and culture. Canadian universities need to do more to ensure that their leaders, their executive teams, and their boards, reflect their communities. To advance this issue, the negative undertones exposed within this research cannot continue. Perseverance, determination, and courage are needed to make that change.

As seen in this analysis, the findings of this study contribute in a meaningful manner by supporting the research and theory to date. The areas of board governance and communication, social capital and relationship management within the executive team, the role of the predecessor, leadership support, the impact of transitions, and diversity and leadership, are the principal areas of contribution.

6.3 Linking the model constructs: Organizational socialization, social capital and sense-making

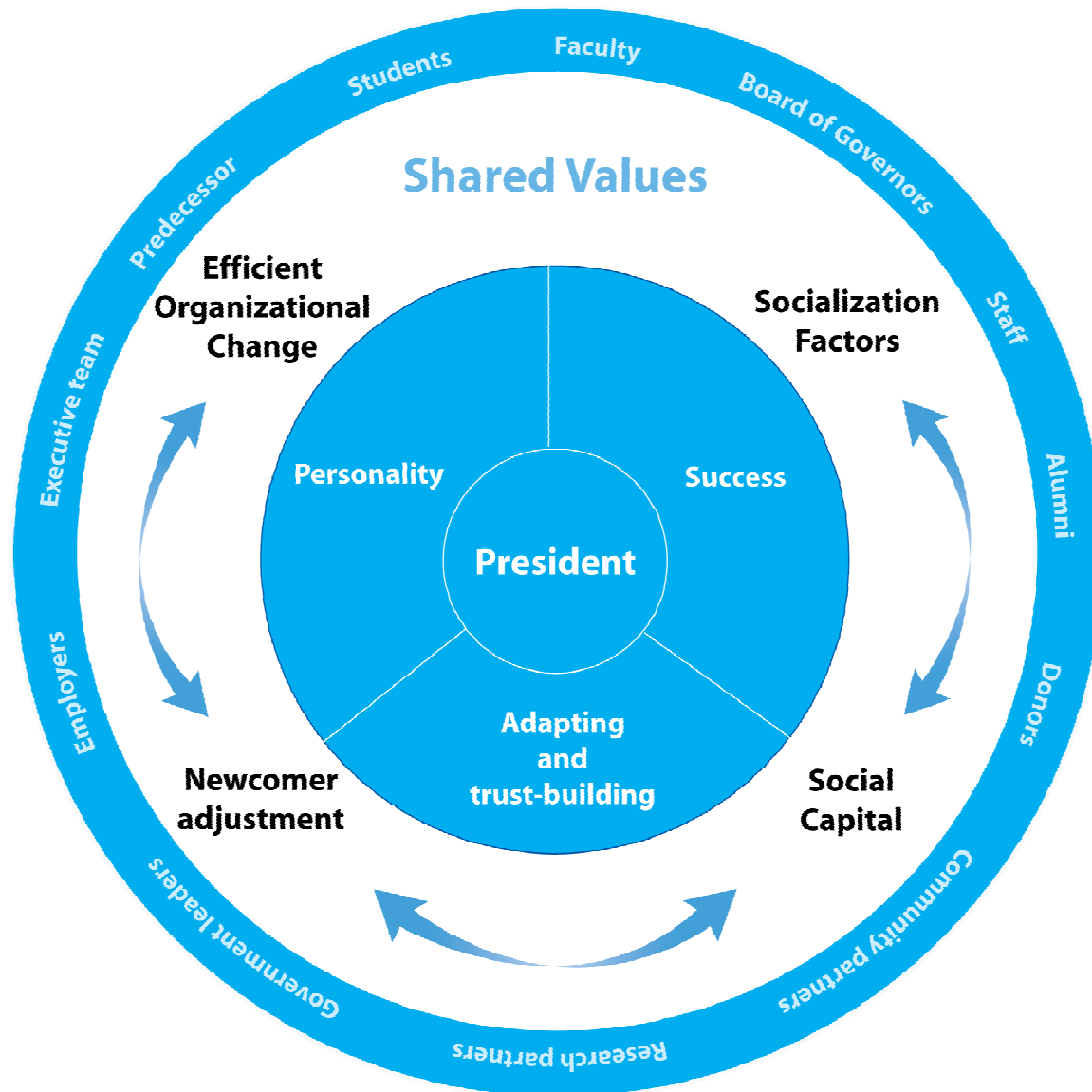


Figure 1: Amended model: A social capital model of the organizational socialization process from a leadership perspective (Cafley, 2015)

Summary of key aspects within the conceptual framework

Outer circle: stakeholders that play a role in the president's social network

Middle circle: access to social capital, including:

Socialization factors: formal and informal organizational tactics; active learning and understanding of cultural dynamics; and newcomer proactivity (sense-making, relationship building, positive framing, team building, adjustment of leadership style)

Social capital: network structure (internal and external communications), network resources (range and status with each stakeholder group)

Middle circle, mobilization of social capital, including,

Newcomer adjustment: learning, mastery and confidence within role, organizational knowledge, fit, integration.

Efficient organizational change: strategic changes implemented by leader

Inner circle, the leader within the construct

Personality: leadership style, team building, authenticity

Adapting and trust-building: facilitation of feedback, self-monitoring and core self-evaluation

Success: confidence in leadership, trust, difficult organizational changes, momentum and growth

The principles of presidential transitions supported by the theories of organizational socialization, social capital, and sense-making can affect new president's onboarding and make a positive impact on their experience as president. Focusing not only on the content of transitions, but on the context of transitions, presidents, in owning their transition process, might feel more empowered within this time of risk and change. The changing nature of governance, from a more collegial view to a more corporate perspective, also plays a role in the changing landscape. Both boards and presidents need to know where they stand on this moving

scale and to be clear and transparent about their mutual expectations for the next chapter of the university, and for the president, the following phase of their career.

The amended social capital model of organizational socialization from a leadership perspective pays close attention to factors that are essential in guiding the transition process for university presidents. It builds on the model of social capital and organizational socialization by Fang, Duffy & Shaw (2011) and the sense-making model by Danielson (2004). It focuses on key aspects that require adaptation within an academic context, and particularly from the standpoint of the leader. These particularities include the role of stakeholders, university culture and context, the transitional process, and gender and diversity. Further, the model advances from a linear one to a more circular format, enabling an ongoing process that is more fluid and continuously changing. The president's role in the center of the model is significant as the president's relations with all groups of stakeholders can be influential and have a direct impact on the presidency. The circular model is in alignment with finding one of the study and the need to ensure open and constant communication. The focus of the concern was the relationship between the board and the president in particular, with a special focus on communication. The model speaks directly to finding two, focusing on the importance of social capital with all stakeholders and the management of this network of relationships with trust in the executive team playing a very influential role. The aspect of culture reflects the "shared values" that exists in the middle circle of the conceptual framework. We cannot ignore culture within universities. While culture can change and grow, it must first be well understood and discovered. Finding four is also accounted for in the model with the predecessor included as one of the many stakeholders that influence the university presidency. The model links directly

to finding five, offering a framework for the university president. This focuses on many of the intangible aspects of the president's transition such as relationships, communications, and the context of the transition. Within this research, we see that transitions appear to be more successful in transmitting tangible content and information while less successful in conveying the more intangible information regarding context, culture, and relationships. With respect to finding five, a proactive and conscious effort must be unforgiving in the persistence and determination needed to influence the question of diversity and leadership. In the conceptual framework, the value of this theme is represented in the "shared values." This needs to be altered in order to make room for a true transformation in the stereotypes and old-fashioned mindsets that plague universities and limit the prominence of diverse leadership. As discussed in my research, the perceptions and expectations of leadership can be partially explained and blamed on the question of "fit" that sets limiting and traditional views on our image of a strong leader. The conceptual framework succeeds in balancing out the findings of this research with respect to the importance of transitions for university presidents. Realizing the importance of the contextual factors of organizational change, along with the content of transitions is a step in a positive direction.

The narratives of the presidents and the common patterns and themes present a telling story of some of the underlying factors in the unfinished mandates of Canadian university presidents. Each of the findings shows remarkable consistency. In doing so, they set forth important factors to consider within higher education leadership and board governance, from a theoretical and practical perspective. Supported by the higher education leadership, these

findings tell a rich story of Canadian leadership within universities and contribute in a decisive manner to future research in this area.

6.4 Discussion

This research does not presume that there is a single type or style of “good university president.” In fact, it supports quite the opposite. It helps to place the importance around the presidential role within the contextual environment that influences the presidency from all angles and through the eyes of a multitude of stakeholders with varying and differing expectations. Further, I did not decorticate the leader based on his or her personality traits, qualities, or even individual weaknesses. In the US context, Trachtenberg, et al. (2013) cite poor interpersonal and communication skills as one of the issues leading to unfinished mandates of university presidents. This research did not attempt to unravel individual personality traits or characteristics that might influence negatively a presidency. The approach of citing specific characteristics to successful leadership is a rather outdated concept that grew out of the trait theory of leadership (Bass, 1990). Based on my research, the most common underlying factor related to personality that was revealed is trust. Trust played a fundamental role in each of the unfinished mandates – trust within the executive team, with the board, with faculty, or other external stakeholders. Trust interplays with leadership at so many different levels and plays a highly influential role in the leader’s ability to advance an organization. This ability trumps all other characteristics that may be seen in either a positive or negative light. Much of the president’s success can be seen in how the presidents manage and navigate difficult waters with conflicting responsibilities, and a multitude of stakeholders, and while maintaining the trust with their key partners.

In reviewing my research, I tended to focus on commonalities and patterns shared with leaders who experienced unfinished mandates. I focused less on the differences in the narratives of those presidents. I will review some of this analysis below. While not highlighted within my research, most of the university presidents did accept an important level of shared blame for their mandate end. As academics, many of the presidents were critical of what they could have or should have done during difficult moments of their presidency. When comparing the level of blame that they accepted for the mandate-end, I envisioned their individual reactions on a spectrum, with each of the six presidents meeting that spectrum on varying degrees in terms of both awareness and blame. When asked about regrets, many of the presidents were quick to name specific aspects of their presidency that they would have managed differently in hindsight. Some of these include: the lack of time they devoted to board relations; their research regarding the university and the position in advance of accepting; their relationship with the predecessor; their management of the “old boys’ club”; their leadership in building their executive team, and their perspective in managing the relationship with the board chair.

Another aspect where I envision that the presidents were not necessarily aligned was focused on their individual career paths. As academics, very few admitted to desiring or seeking out a leadership role. From my research, this questions still remains unclear. I suspect that the presidents that I interviewed might have viewed this issue from a different lens. My sense is that the leaders may differ on their level of interest in pursuing leadership roles, some much more than others. Of course, many of the presidents did not admit to an interest in a future leadership role when asked. Another area that varied for each of the presidents was their

relationship with the Board. In some cases, this relationship deteriorated over time. In other situations, the difficulties were present early in the mandate. In some cases, a leadership change at the Board level aggravated the relationship.

Another clear difference that became apparent in the interviews was the president's perception regarding their role as university president. One of the presidents with an unfinished mandate clearly saw the role as one of chief academic officer or lead pedagogue; another saw the role as external ambassador and champion for the institution; one played the role of corporate CEO, and another focused on the role from the lens of chief financial officer. Each of these role perceptions would play a contributing factor to their role on campus, and how they were viewed by stakeholders.

In reviewing some of the key themes from the literature review, I also returned to the question of leadership styles. While my analysis is not complete after having spent only a certain amount of time with the presidents, I attempted to predict the leadership styles of the presidents with unfinished mandates in order to seek out patterns or trends. As seen in Section 5.1, I used the leadership styles of Bolden et al. (2009) to review each president's style in relation to the research on leadership styles. Two of the presidents fell into the category of servant leaders, another two were managerial, one collective, and one transformational. Thus, the six presidents, from my perspective, adopted quite different styles in their process of leadership. This rather superficial analysis suggests that, within a university environment, there is not necessarily one style that is less-suited to the university presidency. In conclusion, the presidents did share unique circumstances. While the focus of my research was on the patterns

and trends within their narratives, there is also a great deal of difference in their experiences. Themes such as how they viewed their unfinished mandate, their career path, their perception regarding the role of university president, and their leadership styles were quite different when compared to one another.

6.5 Chapter summary

This chapter summarizes the key analysis of the findings and discusses each finding, divided by research question. It also offers an expanded discussion regarding the differences in each of the narratives. In Chapter seven, I will take the main conclusions of this chapter and explore them further by examining the context of this research study and the contributions to research. The practical applications of this research will include recommendations based on the findings discussed in this chapter.

7.0 Summary, conclusion, recommendations and implications

“I would have not gone. It was all a big misunderstanding” (personal interview, Leblanc, July 30, 2014).

As this research advanced, clarity grew as to some of the common patterns that presidents with unfinished mandates shared. This qualitative research paints a rich and vivid story regarding unfinished presidential mandates in Canada and exposes some fundamental matters. This research is unique within the Canadian context, hearing first-hand from the Canadian universities with unfinished mandates. These presidents shared, in full trust, their disappointments, failures, injustices and lessons learned. In doing so, each shared a desire to improve the system and to support other presidents in their mission of leading. Their feedback and experiences shared many common threads. Underlying each of their comments was the importance of building a sense of trust, at many levels. Trust was a common theme within both their successes and failures. Some presidents regretted the trust that they gave; others were never able to give the confidence that they needed to. Some felt weak links within their relationship to their board of governors, others within their leadership team, and many with both parties. Significant issues regarding board governance raise corresponding questions regarding board training and orientation, the hiring process for university presidents, disclosure in advance of hiring, and board-president communication. Relationships with strategic individuals such as mentors and predecessors highlight influential relationships. Presidents with unfinished mandates reflected on their transitional process more broadly, and the inconsistencies and ambiguities regarding the *context* of transitions, as opposed to the *content* of transitions that seemed more effective. Finally, the issue of diversity and leadership was

raised. The data regarding this issue exposed a strongly male dominated culture within the leadership ranks of universities, both at the board and within the executive ranks. The practical applications of this research include recommendations to university boards, leadership teams and presidents themselves based on the findings presented and discussed in this chapter. Each of these recommendations follow.

7.1 Key findings

The central findings include:

1. Concerns over board governance and communication
 1. Six out of six informants felt that their board members shared a lack of knowledge regarding university governance.
 2. Full engagement and an ongoing commitment from board members related to the hiring process for university presidents is essential.
 3. Six out of six informants felt that key information was hidden from them during the hiring process.
 4. Six out of six informants felt that the communication between the board and the president was not sufficient or effective.
2. Six out of six of the informants shared a deep level of mistrust with at least one member of their executive team (Provost, VP finance, VP external or Secretary).

3. Many of the university presidents with unfinished mandates expressed the importance for university presidents to be encouraged to find a wise person or a mentor to provide unbiased advice and feedback to the university president on an ongoing basis.
4. Six out of six of the informants shared an unhelpful or non-existent relationship with their predecessor.
5. Four out of the six presidents reported significant disappointment in their transitional process.
6. Five out of six presidents (three females, two males) reported a strongly dominant male culture within Canadian universities, specifically at the board level and within university leadership teams.

7.2 Theoretical contributions

Much of the existing research on presidential leadership has focused on the “successful” mandates of university presidents. All of the Canadian research to date has taken that approach. With such an escalating trend of unfinished mandates in Canada, the time was ripe to look at a study that examined this issue from an atypical perspective. This study makes a number of theoretical contributions to the higher education field. First, by examining the views of Canadian university presidents with unfinished mandates, this in-depth case study research provides insights into the “why” of unfinished mandates. Second, the creation of an adapted model of organizational socialization based on the principles of social capital and the theories of sense-making as well as organizational socialization contributes to advancing the theory supporting the research on organizational socialization. This research provides guidance to

leaders within academia, to Board of directors and to leaders in higher education more broadly for approaching leadership transitions. Further, it notes a lack of attention to the *context* of transitions, as the focus is often on transitional *content*. The conceptual framework is unique in its acknowledgment of the multiple stakeholders that influence and impact a university presidency. The research also creates some practical links between the theory and the practice.

Third, the research provides concrete data showing the reported concerns in terms of board governance within universities. It also highlights some pertinent areas that are requiring attention, such as: board orientation regarding roles and responsibilities, conflicts of interest, collegial governances and the principles of academia; hiring process for university presidents; disclosure issues in relation to potential candidates; and president-board communication matters. Fourth, the research presents, in a very consistent and concrete manner, the issues of trust within an executive team, and the risks involved when a president does not build his or her team. While not generalizable, 100% of informants recounted a common concern regarding this issue.

This research is a significant contribution to the field because much of the academic literature deals primarily with successful mandates of university presidents and not with reflections from university presidents with unfinished mandates. A clear message to higher education policy leaders stemming from this research is the strong need to comprehend the impacts of change. This includes the changing nature of university governance, the culture of accountability, and the corresponding effects on university leaders. Further, there is a need to invest and support university presidents in their onboarding initiatives. In particular, there is a

need for attention to the more intangible aspects of transition, such as an understanding of culture, context, and relationship management. This investment also means contributing to improving board governance in universities, specifically focusing on training, communication, and roles and responsibilities of governors.

7.3 Practical contributions and actionable recommendations

The practical and concrete recommendations of this research are plentiful. As anticipated, the untold stories of university presidents with unfinished mandates provide a wealth of knowledge and valuable advice for not only presidents, but boards, and all higher education leaders. The actionable recommendations follow.

1. Ensure board orientation and training for all board members, regardless of their background and previous experience. Ensure a particular focus on the culture of universities, the principles of collegial governance and the intricacies of the individual university where the board member will serve.
2. Boards need to pay particular attention to conflicts of interest that may exist on university boards.
3. It is important to consider a board governance review well in advance of an impending presidential hiring process.
4. Boards need to invest time and effort in better understanding both the recruitment process and transition for new university presidents. This process begins when the predecessor announces his or her departure and can continue well into the new president's first year or two of service. The board need to remain intimately connected and engaged throughout this period.

5. Nobody wins when there is non-disclosure of relevant information to an incoming president. Ensure that the full story regarding university finances, human resource issues, or legal challenges are fully exposed to the candidate *before* hiring. This is a board responsibility; however, executive search firms can play a leadership role in encouraging these frank discussions.
6. Communication, both informal and formal, needs to be ensured between the board chair and the president. Regular performance feedback should be a pre-established process that occurs on a regular basis throughout the mandate.
7. The university president must give, gain and earn trust. Presidents must build their team to complement their experiences, strengths and leadership style. No assumptions or pressures should be put on the president to preserve key leaders, regardless of their experience or corporate memory. However, there are hazards to these changes from a collegial governance perspective and the university president but manage this process delicately.
8. Presidents need to find a few trusted mentors that understand the challenges of leading, the role of the university president, and the university culture of the particular institution.
9. Presidents should not ignore the importance and influence of the predecessor and should keep the door open and seek the advice of the institution's past leader.
10. New presidents should be proactive in ensuring that their transitional process is complete and that they are well-briefed on all aspects required. If essential components are missing, the incoming presidents need to search out the required information or

briefings. Most importantly, questions regarding the *context* of the university need to be well understood. Often, the intangible issues of culture and circumstance will not be outlined in a briefing binder.

11. The university presidents should not undervalue the role of effective administrative staff to support the university president during times of transition.
12. University leadership teams and boards of governors need to acknowledge, openly discuss, improve and proactively change the reported male-dominated culture within university leadership in some universities. Diversity and leadership within universities requires a substantial investment and commitment to advance change. The status quo is not acceptable.
13. Ensuring board diversity is a key way to increase leadership diversity at Canadian universities, in terms of both recruitment and retention.

Each of these recommendations carries some common, underlying principles. They include the importance of building trust and leading with authenticity, the essential role of transparency, the need for engagement with stakeholders, establishing a positive network, and ensuring diversity and gender equality.

7.4 Limitations and personal background

This research project presents certain limitations. Awareness and communication of these limitations are significant for discussion and reflection in order to assist in decreasing the adverse impact of these concerns. Researcher subjectivity is of foremost importance. As a result, it is essential that I state my biases in advance and examine my personal sedimentation

(Crotty, 1998) in order to fully understand how my past experiences influence my research. Subjectivity is inevitable in social research. In fact, Peshkin (1998) describes the subjective nature of qualitative research as a garment that cannot be removed. As outlined in section 1.1, my interest in academic leadership as a research area stems from my experience as a senior staff member at a university for 14 years. Within the role, I held the position of Chief of Staff to two university presidents. Over the past five years, since leaving the University, I gained a greater understanding of presidential leadership by observing universities through the lens of an outsider. This distance plays a significant role in this study for me as researcher as it brought clarity to my research. Because of this experience, it is essential that I acknowledge the biases and am transparent regarding their influence, both within my interviews and my analysis. I did ensure that my self-reflection and research was as objective as possible. Through an acknowledgment and acceptance of these preconceptions, my research deepens and becomes more significant. As reviewed in Chapter 4, approaches regarding trustworthiness, including recommendations for member checks, auditing, and triangulation were ensured. Merriam (2002) recommends a simultaneous process of collection and analysis in order to ensure the highest quality of research material. Consistent efforts ensure that the dialogue is as open and as authentic as possible. The number of research samples is also an important item to consider, ensuring that an appropriate number of voices are heard. Among other concerns is the Heisenberg or the researcher effect whereby informants say what they think the researcher wants to hear. Each of these aspects of the research design was examined in detail with my supervisor before advancing and throughout with the research process.

As discussed within the methodology section, I did undergo this research with a certain level of bias. Having worked in a president's office, I did share a significant level of respect for university presidents from the outset. In particular, I shared a deep level of understanding and empathy for the university presidents with unfinished mandates. While this genuine respect helped me to gain the trust of my informants, it also put a certain risk from a methodological perspective. The use of NVIVO software enabled me to step back from the research and analyze it from a more objective perspective and reduce the impact of my ingrained bias.

The impact of subject bias is another limitation of my research. Due to confidentiality agreements and issues of trust, my research only uncovered one perspective of a very complex situation, that being the view of the university president who experienced the unfinished mandate. While I did feel that many of the presidents were self-critical in the analysis, these views were perhaps under-reported in my analysis. As opposed to deconstructing the personal leadership qualities of the leaders, I chose to focus on the more objective and tangible aspects of the presidency, and the system-wide issues that impact other presidential mandates. Further, while I did have follow-up discussions with each of the presidents, I did not record these discussions. Thus, they were not incorporated into my analysis in a formal way. If I were to do this research again, I would have ensured a second, more formal interview to close the gaps on certain themes and clarify certain questions.

7.5 Future practice and research

As is the case with much qualitative research, this research provides the opportunity to ask more questions. There is an interest to expand the research in different directions to

further learn from interconnected subjects. Below is a summary of some of the thought-provoking areas raised as future potential research questions that beg further study.

- 1) Many of the presidents within this study shared a high perception of fit to the university where they were chosen to lead. They reported a return to an organization where they had once worked, studied or lived. Could this perception of fit work *against* an incoming leader when assuming a leadership role?
- 2) The reality of the “old boys club” within Canadian universities reveals an unfortunate within academic leadership in Canada. Board and leadership diversity are the only way to improve this situation and indeed transform Canadian universities, ensuring that they are reflecting the realities of the 21st century.
- 3) Further research is needed to help understand feminist theories such as the glass cliff effect and the saviour effect.
- 4) Trust and confidence was an underlying theme within each of the interviews. The links between social capital, leadership, and trust need to be further explored and understood.
- 5) Relationships between Board of Governors and university presidents were the primary concern for leaders with unfinished mandates. This relationship and the entire issue of board governance within universities requires further attention and research.

7.6 Concluding remarks

In former UBC president, Stephen Toope’s (2014) recent paper, “I love you, please change: universities and their relationships,” Toope discusses the future role of universities

within a Canadian context. Within his work, he reflects on the complexities of the stakeholder relationships and makes bold recommendations towards universities, government and business related to the *university of tomorrow*. The need for a strong and bold leadership within Canadian universities is evident. This is the only way that Canadian universities will transform themselves and compete in the global classroom of higher learning. In MacKinnon's (2014) recent book focusing on university leadership and public policy, he outlines some of the factors that may lead to a precarious presidency. He shares his own experiences as past president of the University of Saskatchewan over a period of 13 years, and the current president of the Athabasca University. "Never has Canadian university presidential leadership been under greater scrutiny than it is today" (MacKinnon, 2004, p. 132). He refers to three reasons that might lead to an unfinished mandate, including corruption, major errors on important files, and embarrassment to the university. These mounting pressures contribute to the complexities of the presidential suite, and create apprehension for potential academic leaders.

I began my doctoral studies intrigued by the paradox of universities. Five years later, the fire is still ignited. As cited in the literature review, universities are "so easily annexed to a range of contrary agendas: conservative and radical, capitalist and socialist, elite and democratic, technocratic and organic" (Marginson, 2010, p. 1). While universities are building, nurturing and developing tomorrow's innovators, many universities are plagued by a conservatism in governance structures that look to impede change and discourage innovation. As I researched the phenomenon and interviewed some of the university leaders themselves, this passing interest became a passion. I am sure that many, if not all, of the university leaders with unfinished mandates, would describe themselves as change makers. In their way, they each

attempted change and were blocked in their journey. The leaders were bold with their approaches and the university communities were not ready to change. With so many moving factors and so many stakeholders with competing priorities, it is impossible to play a game of blame. Samson reflects,

...I'm always aware of it. I mean it's now part of my DNA when there's an unfinished mandate, it all comes right back ... it's not on the front of my agenda anymore everyday but it is part of my past so it comes back, it's like a scar, you know when the scar's there after a while it's just there, but if you have to look at it and say hey, that happened because there was an accident (personal interview, April 4, 2014).

I applaud the courage of these presidents with unfinished mandates, in telling their stories and exposing their scars. They each share a desire to help other leaders, to improve the higher education system, and to reflect constructively on a challenging time in their careers. I am honoured that they shared their stories with me. In reflection, could some of these unfinished mandates be avoided? Likely so. However, in each of the circumstances, there were significant errors in terms of process, attention, and communication. While unfinished mandates will and should occur, this research has exposed a side of the story that, until now, remained untold. The higher education system, and specifically university boards, leadership teams and the presidents themselves, need to reflect on processes and systems. Focused attention, strategic decision-making, and communication can and will reduce the number of unfinished mandates of university administrators in Canada.

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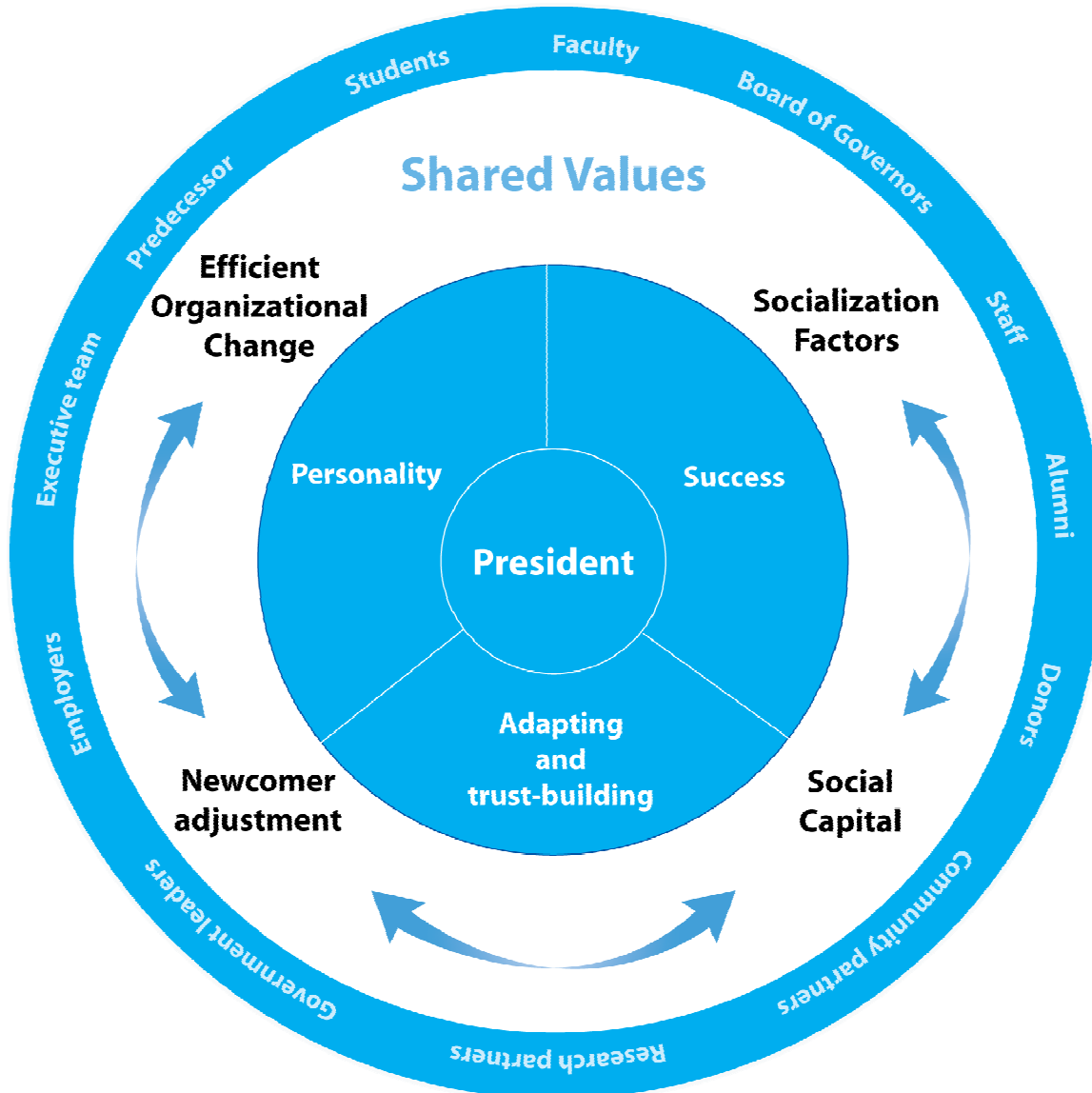
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Appendix 2: Models

Figure 1: AMENDED model: A social capital model of the organizational socialization process from a leadership perspective (Cafley, 2015)



Summary of key aspects within the conceptual framework

Outer circle: stakeholders that play a role in the president's social network

Middle circle: access to social capital, including:

Socialization factors: formal and informal organizational tactics; active learning and understanding of cultural dynamics; newcomer proactivity (sense-making, relationship building, positive framing, team building, adjustment of leadership style)

Social capital: network structure (internal and external communications), network resources (range and status with each stakeholder group)

Middle circle, mobilization of social capital, including,

Newcomer adjustment: learning, mastery and confidence within role, organizational knowledge, fit, integration.

Efficient organizational change: strategic changes implemented by leader

Inner circle, the leader within the construct

Personality: leadership style, team building, authenticity

Adapting and trust-building: facilitation of feedback, self-monitoring and core self-evaluation

Success: confidence in leadership, trust, difficult organizational changes, momentum and growth

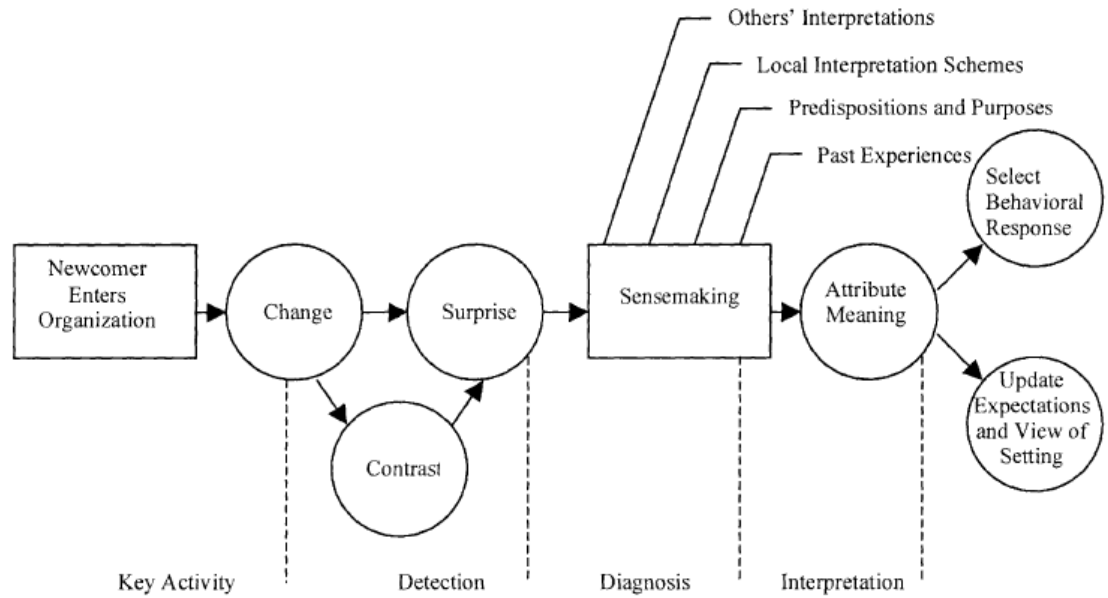
Figure 2: Van Maanen & Schein's (1979) tactics

Collective	Individual
Formal	Informal
Sequential	Random
Fixed	Variable
Serial	Disjunctive
Investiture	Divestiture

Figure 3: Jones' (1986) model of organizational socialization tactics:

Tactics mainly concerned with:	Institutionalized:	Individualized:	Measures:
Context	Collective Formal	Individual → Informal →	Provision of common learning experience e.g. set training programme
Content	Sequential Fixed	Random → Variable →	Structured career programme Timetable for career progression
Social	Serial Investiture	Disjunctive → Divestiture →	Provision of role models Support from experienced org. members

Figure 4: Louis' (1980) sense-making in organizational entry



Louis, 1980, p. 242, Figure 3, Sensemaking in Organizational Entry

Figure 5: A theory of continuous socialization for organizational renewal: fully conceptualized model (Danielson, 2004)

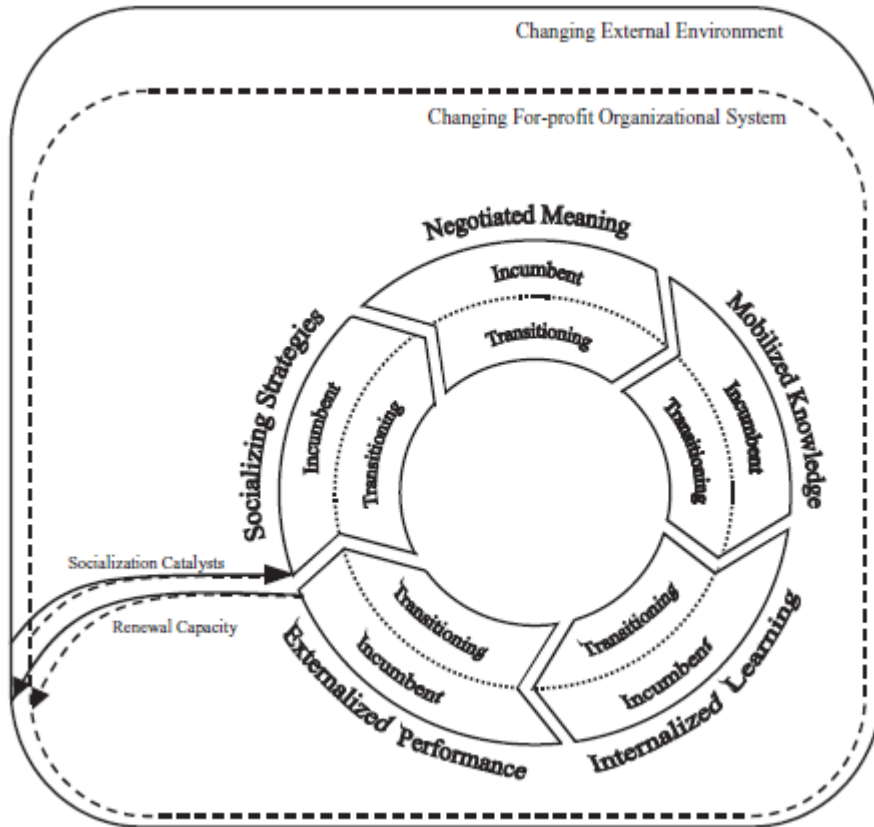
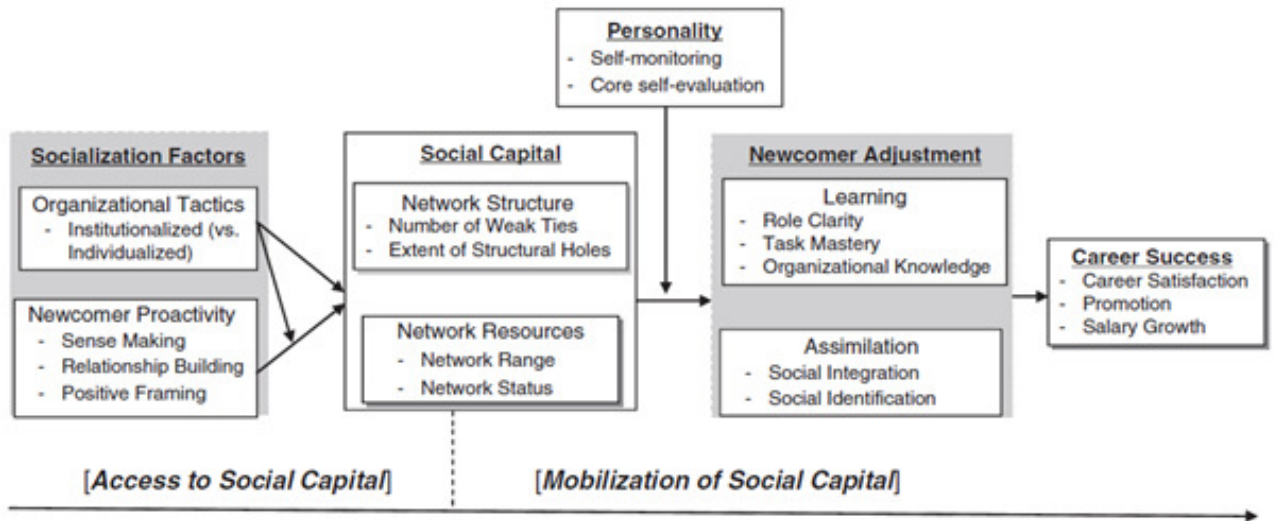


Figure 6: Fang, Duffy & Shaw’s (2011) social capital model of the organizational socialization process



Appendix 3: Letter of invitation to potential participants (English version)

Dear XX:

My name is Julie Cafley. I am currently a PhD candidate at the University of Ottawa, with the focus of my research on higher education leadership. As a researcher, my personal interest in this topic stems from the seven years that I spent as a Chief of Staff to two university presidents at the same institution. Through this experience, I developed a passion and interest for university leadership, governance and change management while witnessing first-hand the complexities of university cultures particularly during times of change. In my current role at a Canadian think tank, I have the opportunity to interact with university presidents from across the country and observe the challenges of university culture and leadership through a different lens. This underlies my implicit respect for the increasing complexities of the role of university president and my desire to learn and advance research in the area of higher education leadership.

As you know well, universities both within Canada and internationally are continuing to face greater complexity triggered by increased competition, globalization, and accountability, along with funding challenges. Both within Canada and globally, the ever-changing context of universities is paralleled by an increased number of unfinished presidential mandates. In Canada, this represents approximately 16 unfinished mandates for university presidents in the past ten years. The mandates of these presidents are either not renewed or terminated before their end. The impending research for my doctoral thesis will study the perspectives of these university presidents with unfinished mandates. I hold a strong belief that these leadership experiences are rich and that, in most cases, the insight and wisdom learned is lost at the president's end of mandate. This unique perspective and acquired knowledge could positively impact the research in higher education leadership.

Therefore, my research has the following two objectives: 1) to understand the unfinished mandates of Canadian university presidents and 2) to further learn from their early leadership experiences in order to understand presidential leadership within the context of the university culture. In turn, two research questions have been developed to support this analysis

Question one: How did the leader's relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?

Question two: How did the relationship between the organization and the leader influence their experience as a leader, as well as their adaptation to the university that they led?

I would very much like to interview you as a part of my research. I believe that your perspective would offer invaluable insight into my research questions. The proposed interview would take place in your location of choice, in person or by teleconference, and last between one and two hours. In order to provide further information regarding this process, I have attached three documents to this letter of request:

- 1) a consent form that underlines the specifics regarding the confidentiality of this research (attached)
- 2) a one-page abstract that provides a general overview of my research (below)
- 3) a preliminary framework that provides a background to the themes for a potential interview (below)

As outlined within the letter of consent, I can ensure you that confidentiality will be of utmost importance throughout this process. Your approval will be sought and ensured in a very rigorous manner at each stage of the research. I look forward to further discussing this opportunity with you. I can be reached by phone at XXX or by email at the address above.

Warmest regards,

Julie Cafley, PhD Candidate

ABSTRACT

Title of the project: Leadership in Higher Education: A Case Study of University Presidents with Unfinished Mandates

Name of the student: Julie Cafley **Degree sought:** PhD (Education)

Within Canada, the ever-changing context of universities is paralleled by an increased number of unfinished presidential mandates, approximately 16 in the past ten years. The mandates of these university presidents are either not renewed or terminated before their end. As the media purports, one Canadian university president “resigns”, another “quits”, he “steps down”, she is “gone”, he is “let go abruptly” and she is “turfed”. The presidencies at King’s College, Nipissing, Concordia and Thompson River universities are the most recent Canadian examples of this trend; however, past presidents at Queen’s University, Carleton University, *Université du Québec à Montréal* and the University of Regina have also lived the experience. Very little research is available to frame these issues associated with academic leadership, specifically within Canadian universities and from the seat of the university president (Paul, 2011). Universities both within Canada and internationally are continuing to face greater complexity triggered by increased competition, globalization, and accountability, along with funding challenges (Finch, Burrell, Walker, Rahim & Dawson, 2010). Changes that are taking place within universities have a direct impact on the roles and responsibilities of their leaders (Goodall, 2006), particularly the university president. Astin and Astin (2001) highlight the importance of the university president to rise above the complexity in order to inspire, direct and guide transformation. In these changing times, better understanding presidential leadership is invaluable (Ekman, 2010). The trend of an increasing number of unfinished mandates of university presidents in Canada leads to some important questions that require further exploration.

The impending research project will investigate the perspectives of university presidents with unfinished mandates. Through an in-depth series of interviews with at least 4 of the 16 Canadian university presidents with unfinished mandates, this proposed dissertation will dive deeply into their leadership experiences and highlight patterns and trends within their individual trajectories leading to their shortened mandate. More precisely, the leader’s transitional process within their presidential role will be examined in order to gain insight into the challenges of transition, particularly for the person at the top of the organization. The president’s individual experience is but one perspective. However, by analyzing within the context of the research and within the broader perspective of other university presidents with unfinished mandates, their individual stories will shed light on both the commonalities of leadership experiences and the challenges of leading. While the learning will not provide universality, the “why” of unfinished mandates will be better understood. Further, the research

will provide analysis in order to support the application of the research into concrete recommendations to improve transitional practices for leaders within the higher education environment.

Preliminary framework—proposed themes for interview questions

1. Introductory comments from researcher:
 - Overview of myself and my research
 - Guidelines in terms of trust and confidentiality
2. Introductory comments from interviewee
 - Overview of self, personal history and career path more broadly
3. Discussion regarding **university culture**
 - How did you perceive the transitional process within the realm of the university culture?
 - Do you feel that the character of this organization reflected your values as a person/as an academic/as a leader? How did the culture of this university compare to other institutions where you might have worked in the past?
 - Reflections regarding “leader-organization” fit
 - Reflections on the transitional process and the adaptation to the role of university president
4. Discussion regarding the **relationship** between the organization and the leader
 - How did this relationship influence your experience as a leader, as well as your adaptation to the university that you led?
 - Within the role of president, talk about your role and the varied expectations and relationships from stakeholders
 - Reflections on your leadership style
 - Reflections regarding team-building
 - Reflections regarding trust
5. Reflections regarding your unfinished mandate
6. Role of diversity within the lens of fit
7. Practical outcomes and systems issues:

- Recommendations in terms of leadership transitions in order to assist future practices within Canadian universities?
- Key lessons learned that could assist the system as a whole?

Appendix 4: Ethics consent form: University of Ottawa (English version)**CONSENT FORM**

Project title: Leadership in Higher Education: A Case Study of University Presidents with Unfinished Mandates

Names of researchers and contact information:

Julie Cafley, PhD candidate, Faculty of Education

Marie Josée Berger, thesis supervisor, professor and former dean, Faculty of Education, University of Ottawa

Invitation to Participate: I have been invited to participate in a research project conducted by Julie Cafley, under the supervision of Professor Marie Josee Berger, as part of Julie's Ph.D. dissertation at the University of Ottawa.

Purpose of the Study: The present study has two objectives. It proposes to 1) to understand the unfinished mandates of Canadian university presidents and 2) to further learn from their early leadership experiences in order to understand presidential leadership within the context of the university culture.

Participation: My participation will consist of participating in an informal interview (audio-recorded) at the location of my choice. The meeting should last between one and two hours.

Assessment of risks: My participation in this study entails very little foreseeable risks. Julie has assured me that she will make every effort to ensure the confidentiality of my remarks. Pertinent information regarding the president and his or her institution will not be included in the thesis in order to lessen the risks of identification. However, based on the very small sample size, this remains a risk. Further she will minimize any psychological or emotional discomfort that might arise throughout the interview. I may decide to stop or leave the interview, postpone the interview at any time, or not answer certain questions.

Benefits: By expressing my ideas and insights about my experience as a university president, I will contribute to an enlarged understanding of the subject of higher education leadership.

Privacy of participants: I have received assurance from Julie Cafley that the information I share will remain strictly confidential. My identity will be protected in a highly confidential manner.

Confidentiality and conservation of data: I have been assured that audio recordings of the interview will be kept in a secure manner in the researcher's locked filing cabinet during the research period, and upon completion of the project, will be stored on Julie Cafley's password protected computer. The data will be kept for five years following the submission of the thesis in the supervisor's University of Ottawa office. In April 2019, all material data will be shredded and electronic data will be erased.

Voluntary Participation: I am under no obligation to participate and if I choose to participate, I can withdraw from the study at any time and/or refuse to answer any questions, without suffering any negative consequences. If I choose to withdraw, the data gathered will remain in the study.

Acceptance: I, _____, agree to participate in the above research study conducted by Ms. Julie Cafley as part of her Ph.D. thesis. I give permission for the data from the interview to be included in her dissertation. The summary of my interview will be returned to me, in a password-protected document, for full approval in advance of the analysis and subsequent publication.

If I have any questions about the study, I may contact Julie Cafley or Professor Berger.

If I have any questions regarding the ethical conduct of this study, I may contact the Office for Ethics in Research, University of Ottawa

There are two copies of the consent form, one of which is mine to keep.

Participant's name : _____

Signature: _____

Date: _____

Researcher's name : Julie Cafley

Signature: _____

Date: _____

Appendix 5: A position profile for a potential president

President and Vice-Chancellor Position Profile

The Search for Our Next President

After 13 years of excellent leadership, our current president is stepping down and the University of Saskatchewan (U of S) is searching for our next president and vice-chancellor. This individual will join an outstanding leadership team at an institution engaged in transformational change, with a well-developed integrated planning process, a clearly articulated set of institutional priorities, and the aspiration to be among the most distinguished universities in Canada and the world. The strategic directions that guide the university are as follows:

- Attract and retain outstanding faculty;
- Increase campus-wide commitment to research, scholarly and artistic work;
- Establish the University of Saskatchewan as a major presence in graduate education;
- Recruit and retain a diverse and academically promising body of students, and prepare them for success in the knowledge age.

Who You Are

The U of S is in an exceptionally strong position. Our growth offers opportunity. Our new president will be able to build on our past success. We want a leader who will enable us to continue growing economically, intellectually, socially and culturally so we can make a difference in Saskatchewan, Canada and the world.

The Presidential Search Committee, in keeping with our university's commitment to collaboration, openness and transparency, has developed the president's position profile following extensive consultation with our partners and stakeholders. The profile includes the background, experience, skills and personal qualities that the committee will consider in its search for the next U of S president and vice-chancellor. We are looking for the person who best personifies these elements.

Leadership and Vision

- Exceptional leadership ability, with an accomplished track record in articulating a compelling vision and successfully leading institutional change while responding to diverse challenges and interests;
- Demonstrated passion to build institutional reputation, both nationally and internationally;
- Established financial and administrative experience in a complex environment, including fundraising and partnership development;
- Outstanding capacity to encourage and inspire all members of a university community and to support a sense of cohesion and common mission.

Academic Experience and Understanding

- Academic credentials and scholarly experiences, sufficient to ensure credibility in an institution of higher learning;
- Demonstrated understanding of, and respect for, a broad range of academic disciplines and programming;
- A deep commitment to students and to the quality of their experience, with a dedication to ensuring that their voices are heard;
- An understanding of and enthusiasm for the opportunities that exist in the provision of university education to Saskatchewan's and Canada's Aboriginal population.

Management and Administration

- An appreciation for the fiscal challenges in the public sector, combined with the entrepreneurial spirit to encourage and prioritize new ideas and opportunities;
- Strong business acumen and demonstrated managerial, budgetary and financial skills, as well as a commitment to fiscal transparency and accountability;
- Experience in building and motivating effective teams, and working with them to establish and achieve institutional goals through appropriate delegation and accountability processes.

External and Government Relations

- Experience in advocacy and in building effective partnerships with important public and private sector entities, such as governments, industry and higher education institutes;
- Demonstrated ability to engage in and provide leadership to all aspects of institutional advancement, from building strong relationships with alumni, friends and benefactors, to fundraising and donor stewardship;
- Demonstrated success in working effectively with a board of governors or directors.

Communications

- The capacity to enhance the reputation of the university by promoting its achievements locally, nationally and internationally;
- The ability to demonstrate the university's importance as a key partner in the economic, social and intellectual vibrancy of Saskatchewan to government, businesses and the public;
- The skills to be both a powerful and engaging speaker and an attentive and intuitive listener.

Personal Qualities

- A demonstrated commitment to openness, diversity, equity, fairness and respect, and a reputation for integrity, collaboration, decisiveness and sound judgment;
- A pride in and passion for the success of the University of Saskatchewan, and for the president's role as an active and committed member of the university.

A great deal happens at the U of S. Our students, faculty and staff, along with our facilities, create endless opportunities, but making the most of those opportunities will be a challenge. Among the opportunities and challenges awaiting our new president are the following:

Strategy and Planning

The university's strategic directions are well established and serve as the pathway to how the university will evolve in the future. We have a national reputation for developing and implementing an

integrated planning process. Many other Canadian universities have emulated the process that is now moving into its third four-year cycle. The third integrated plan (2012-2016) is centred around four focal areas:

- Knowledge Creation: Innovation and Impact
- Aboriginal Engagement: Relationships, Scholarship, Programs
- Culture and Community: Our Global Sense of Place
- Innovation in Academic Programs and Services

Government and Community Relations

Over the years, the University of Saskatchewan has built a solid relationship with the provincial government, which recognizes the importance of the university to the economic, social and cultural evolution of the province. The opportunity to enhance this partnership for the benefit of future generations will be a top priority for the new president. He or she will be expected to build strong ties with all levels of government, with the community, with alumni and with potential funding sources, as well as develop sound financial strategies to enable the university to realize its vision.

Enrolment

The University of Saskatchewan has made significant progress in graduate enrolment in the past decade, growing from eight per cent to 14 per cent of the student population. Today almost 30 per cent of graduate students are in doctoral programs. Graduate enrolment is expected to grow to 20 per cent of the student body by 2015.

The competition for undergraduate students continues. A move to embrace strategic enrolment management will need the support of the incoming president. In partnership with the province's secondary school system, the University of Saskatchewan is expected to take the leadership role in providing university education to the Aboriginal population of Saskatchewan. There are over 60,000 Aboriginal people under the age of 25 in the province. The incoming president will recognize how this sizeable opportunity for Aboriginal university education can impact the economic and social health of the province.

Recruitment and Retention of Faculty

Nearly two-thirds of the current faculty members at the University of Saskatchewan have been hired in the past nine years. The next president must continue to support initiatives that encourage the renewal of faculty. We compete for the best faculty in the world. The facilities and support offered, the market compensation.

The Position

The president and vice-chancellor is the chief executive officer of the university. Under the *University of Saskatchewan Act*, the president is responsible for supervising and directing the academic work and business affairs of the university, its faculty members and student body, and its officers and employees, and for exercising additional powers and duties that are conferred on or assigned to the president by our strong and supportive Board of Governors. In the increasingly competitive, yet necessarily collaborative environment of higher education, the president has both an external focus – looking outwards to encourage and nurture the engagement of external stakeholders – and an internal focus – providing leadership to the university's faculty, staff and students as they work to fulfil the institution's mission and meet its strategic goals.

Presidential accountabilities (expected outcomes) include:

Leadership and Stewardship

- Provide vision and leadership in shaping and promoting the mission, values and goals of the institution;
- Develop and direct a strong, effective and cohesive senior administrative team;
- Stimulate and promote excellence and integrity in the university's teaching, research, scholarly, artistic and service activities, and foster a climate that encourages faculty, staff and students to pursue innovation in these activities;
- Foster a heightened sense of pride in, and recognition of accomplishments among students, faculty, staff and alumni; Cultivate positive and respectful relationships among all members of the university community, promoting and modeling accountable behaviour and conduct based on the values of inclusiveness, transparency, open dialogue and a commitment to the sustainable future of the institution;

Governance

- Support and nurture each of the university's governing bodies in fulfilling its role in accordance with the requirements of the *University of Saskatchewan Act* and the principles of good governance;
- Participate as an effective member of the Board of Governors, the University Council and the Senate, providing each of these governing bodies with a window into the leadership of the university and the work of the other governing bodies;

Engagement with the University's Communities

- Act as an articulate and effective advocate for, and ambassador of, the university within the local, provincial, national and international arenas, maintaining and enhancing the reputation of the university's programs and seeking recognition for its achievements;
- Communicate the achievements and vision of the university to the people of Saskatchewan, and interpret to the university community the aspirations of the people of Saskatchewan for their university;
- Maintain and foster positive linkages with the university's student leaders and alumni;
- Enhance external relations with key officials in government at the municipal, regional, provincial and federal levels, in order to further the university's interests;
- Forge effective links with other educational partners at the provincial, national and international levels, for the purposes of curriculum development and delivery, and research and policy collaboration;
- Engage with the Canadian academic community to address such common issues as post-secondary funding, accreditation, quality assessment and access.

Appendix 6: Framework—themes for interview questions for university presidents

Introductory comments from researcher:

- Overview of myself and my research
- Guidelines in terms of trust and confidentiality

Introductory comments from interviewee

- Overview of self, personal history and career path more broadly

Discussion regarding **university culture**

- Reflections on your transitional process and the adaptation to the role
- Do you feel that the character of this organization reflected your values as a person/as an academic/as a leader?
- Reflections regarding “leader-organization fit”
- Culture of this university versus others (if applicable)

Discussion regarding the **relationship** between the organization and the leader influence their experience as a leader, as well as their adaptation to the university that they led

- Within the role of president—your role and the varied expectations and relationships on campus
- Role of predecessor to your transition
- Reflections on your leadership style
- Reflections regarding team-building
 - o Specific comments regarding the role of the University Secretary in your transition (role in relation to Board, Senate and within executive team)
- Reflections regarding trust

Reflections from the interviewee regarding their unfinished mandate

- What would you have done differently?

Role of diversity within the lens of fit

Practical outcomes and systems issues:

- Recommendations in terms of leadership transitions in order to assist future practices within Canadian universities?
- Key lessons learned that could assist the system as a whole?

Appendix 7: Data tables, summary of findings

Table 1: Overview of interview details

	Samson	Belisle	Martin	Smith	Wilson	Leblanc
Transcription	10,462	22,516	12,588	7,427	6,538	14,038
Length	1hr, 25mins	2hrs, 23 mins	1hr, 23 mins	1hr, 3 mins	1hr, 2 mins	2 hrs, 9min
Location	Skype	Home	Campus	Skype	Skype	Library

Table 2: Reference nodes coded within NVivo

Nodes	NVivo References
<i>Question one: How did the leader's relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?</i>	
Path to becoming university president	10
Hiring process	56
University culture	47
Role of predecessor	34
Relationship with executive team	64
Board relations	122
Gender and diversity	35
<i>Question two: How was the leadership transitional process perceived by presidents within their respective university culture? And, what role, if any, did the transitional process play in their shortened mandate?</i>	
Transitional process	42
Role of university president	24
Organizational fit	37

Table 3: Summary of pertinent themes within data

	Samson	Martin	Belisle	Smith	Wilson	Leblanc
Question one: How did the leader's relationship with the organization influence their experience as a leader, as well as their adaptation to the university that they led?						
-felt confident that candidacy was a "good fit" for the university.	X	X	X	x		
-experienced communication challenges with members of the Board	X	X	X	x	x	X
-experienced a significant level of mistrust with at least one member of the executive team.	X	X	X	x	x	X
-felt board members were misinformed and unaware of role and responsibilities.	X	X	X	x	x	X
	Samson	Martin	Belisle	Smith	Wilson	Leblanc
Question two: How was the leadership transitional process perceived by presidents within their respective university cultures? And what role, if any, did the transitional process play in their shortened mandate?						
Felt that vital information was not disclosed (or possibly hidden) during the hiring process	X	X	X	X	X	X
Little transitional support offered	X	X		X	X	
Predecessor played an unhelpful role in my transition	X	X	X	X	X	X

Table 5: Pertinent biographical information of the informants

	Samson	Martin	Belisle	Smith	Wilson	Leblanc
White	x	x	x	X	x	x
Considered mid-late stage of career at the time of the presidency	x	x	x	X	x	x
Highly educated	x	x	x	X	x	x
Is an academic	x	x	x	X	x	x
Hired as an external candidate to the university when they became president.	x	x	x	X	x	x
Leadership experience at another university before assuming presidency.	x	x	x	X	x	X
Potential presidential leadership style (based on opinion of researcher), based on Bolden et al, (2009)	Servant	Servant	Collective	Managerial	Transformational	Managerial

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