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MATTHEW VEREECKE
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AN ANALYSIS OF LEADERSHIP TRANSITIONS THROUGH THE LENS OF
SOCIAL IDENTITY THEORY

A DISSERTATION APPROVED FOR THE
DEPARTMENT OF EDUCATIONAL LEADERSHIP AND POLICY STUDIES

BY

_____
Dr. Curt Adams, Chair

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Dr. Patrick Forsyth

_____
Dr. Beverley Edwards

_____
Dr. William Frick

_____
Dr. Brenda Lloyd-Jones

Dedication

For my wife, Elizabeth, who taught me how to stand together and set my face against the wind; for my parents, Tom and Carol, who taught me to love, laugh and learn in all that I do; and for my family, who taught me that faith can lead you to achieve great things.

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I am deeply grateful for the three schools that agreed to participate in this study and for the leaders who shared stories, comments, and data with me. Without these leaders support, it would not have been possible to fully understand each context within which this research was conducted.

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Abstract

The purpose of this study was to explore leadership transitions in private school environments through the lens of social identity theory. The study relied on qualitative analysis of in-person interviews with three leaders who had recently (within the previous three to five years) been part of a successful leadership transition. The data from these interviews were connected to surveys of teachers from each of the three schools and used scales adapted from Platow and van Knippenberg (2001) that suggested social identity theory can explain the psychological processes that can lead to successful or unsuccessful transitions. The findings in these real world settings were consistent with social identity theory literature and suggest that leadership transitions can be explained by the theory.

Chapter I: Introduction

Background

The study of leadership has changed dramatically since its inception, and there are now more comprehensive approaches to leadership that better take into account the various contexts and elements within which leadership exists (Avolio, Walumbwa & Weber, 2009). Leadership studies, therefore, are now logically more applicable to specific contexts than they were when, as Avolio, Walumbwa and Weber write, "the primary focus was on studying an individual leader, who was most likely a male working in some large private-sector organization in the United States" (2009, p. 422). Organizations that did not fit this particular profile now have ways of understanding the processes and elements that allow for successful leadership within their particular context. This is particularly relevant for private, religious-based or independent schools where leadership undertakes not only multiple dimensions (including traditional employee-employer relationships, spiritual guidance and social and moral development leadership) but also is often responsible for encouraging group affinity and connection to the organization.[i]

There has been a great deal of work done on leadership, leadership transitions and succession, but many of these studies have been done in high-turnover situations (Cocklin & Wilkinson, 2011) or offer suggestions that by their very nature imply high-turnover is one of the issues (Hargreaves, et al., 2003). Relatively little work has been done on schools with low-turnover and where succession events are a rarity. For private, religious or independent schools, there is a need to better understand succession

events and how those transitions can be managed. The current studies would be of little

utility to them, especially since more than half of the recommendations made to schools

by Hargreaves, et al., (2003), are in direct relationship to the frequency by which

leadership transitions were occurring. This particular study was an exception to these

types of successions; the three private schools all were representative of low leadership

turnover and few succession events. The three schools were transitioning between

leaders who had been in place for at least about a decade; the longest case presented a

school that had never undergone a transition in its first twenty-five years of existence.

From this perspective, these organizations have different needs than those that are being

addressed through the current literature, and due to the infrequency of the succession

events, may have utility for their analogues within the public sector as well.

Despite the unique cases presented in this study, there is no claim being made

that the current literature and research has no utility for private schools or succession

events in general, or that the findings of the literature could not be transferable to

contexts in which succession events are more likely to occur. In fact, there are a

number of elements that are common in both contexts, beginning with the

acknowledgement that a problem does exist when it comes to leadership in general and

succession events specifically. Calls of concern for an impending leadership crisis

began as far back as 1987 (Fauske & Ogawa, 1987), and now have become similar in

other locales in addition to the United States (Hargreaves, et al., 2003, Cocklin &

Wilkinson, 2011). Recent studies continue to reiterate these leadership crisis concerns

(Hargreaves, et al., 2003, Rhodes & Brundrett, 2005, Fink & Brayman, 2006, Cocklin

& Wilkinson, 2011) and make the point that leadership is not merely a concern within the United States, but elsewhere as well.

Inherent in this concern regarding leadership is an understanding and approach to the idea of successions that places an onus on the organization.   There is some consistency within the discrete elements that should be included in successful succession planning for the organization. These topics include leader identification and providing experience (Hargreaves, et al, 2003, Zepeda, Bengtson & Parylo, 2012, Rhodes & Brundrett, 2005, Fink & Brayman, 2006), formal or informal training programs (Hargreaves, et al., 2003, Bengtson, Zepeda & Parylo, 2013, Zepeda, Bengtson & Parylo, 2012, Fink & Brayman, 2006) and knowledge acquisition (Hargreaves, et al., 2003, Zepeda, Bengtson & Parylo, 2012, Bengtson, Zepeda & Parylo, 2013, Fink & Brayman, 2006). This research suggests that the planning and implementing of successful leadership successions is reproducible and transferrable between contexts, regardless of the people involved. This idea is not wrong in and of itself, but seems to ignore the practical challenges that arise when searching for new candidates and transitioning to new leaders, especially from an affective perspective. If achieving successful transitions were merely about organizations completing a checklist of objective steps, it should be easy to transition between leaders and candidates without significant disruption, and with much higher rates of success. Additionally, leaders and those aspiring to leadership could acquire this knowledge and these skills and would not need further comprehensive training to move between contexts. If all of this were true, the suggested solution to all transitions would be to hire leaders with knowledge and

skills related to transitions. Observation and logic alone prove that this conclusion is false, and there is research that suggests the same (Lord, Brown, Harvey & Hall, 2001).

It may be impossible to know if implementing every element of a comprehensive succession plan would be successful. The empirical evidence is weak, and the evidence that does exist suggests that succession plans are rarely used within schools or not used with fidelity (Hargreaves, 2003, Fink & Brayman, 2006). But even if schools were following formalized succession and transition plans, there remains compelling reason to better understand exactly what is happening during a leadership transition so that questions about why leadership behaviors that appear successful in one context fail in others, specifically in regard to how leaders are perceived within their new contexts. Beyond this, understanding how transitions affect the social dimensions of an organization would appear to be important. All of this is to say that while the organization is busy identifying the skillsets and training requirements for perspective leaders, it may also want to come to understand the affective and social aspects of itself. Furthermore, both prospective and current leaders should come to understand how to evaluate the culture and expectations of the organization they are entering, and further develop skills that allow actions and decisions to affect and change that context. Just as the study of leadership has changed from a single leader in a private sector organization to leadership across numerous contexts and through different theories, so too must the study of leadership transitions evolve to include new cases and theories that can expand the understanding of the field.

Statement of the Problem

In general, the evidence for understanding leadership transitions within diverse settings is still sparse, especially when it comes to understanding the social aspects of group dynamics that come into play with regard to leadership approaches and the transition process (Hogg, 2001). How social dynamics interact within a leadership transition would appear to be very important, especially since literature is sparse to begin with regarding the elements of principal and leadership transitions (Rhodes & Brundrett, 2005, Fink & Brayman, 2006, Cregan, Bartram, & Stanton, 2009, Zepeda, Bengtson & Parylo, 2012). As implied, there are fewer studies still that look at succession specifically within a private school setting. Beyond this, this researcher is currently unaware of any studies that link social identity theory directly to why leadership transitions may succeed or fail, or use the theory to focus exclusively on the affective or social dynamics of leadership transitions.

Although the evidence may be sparse as to why, there does appear to be consensus that the contextual aspect of principal successions is important (Rhodes & Brundrett, 2005, Fink & Brayman, 2006, Fauske & Ogawa, 1987, Gephart, 1978, Bengtson, Zepeda & Parylo, 2013; Zepeda, Bengtson & Parylo, 2012), even if the reasons for and the lens through which this contextual aspect is viewed is different from that of social identity theory. Particularly within a private school, the effects of leadership transitions are experienced by several different groups, and each group can react in different ways and will experience the leadership transition differently. As such, various role groups within an overarching school system can also view leadership and transitions in different ways, and it would logically follow that they would therefore judge the success or failures of those transitions through the lens most applicable to

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their particular situation. For example, teachers theoretically may be more concerned about how a given transition would affect teaching related functions of the school, while parents may be more concerned about how communication or student programing may be affected. Likewise, the analysis of success or failure would therefore have differing criteria within the school. Acknowledging and understanding different experiences can help schools better understand transitions of leadership beyond the mere theoretical or practical approach that the new leader utilizes, and could also help new leaders ensure that they do not focus all resources on too few or too many issues.

Further complicating the process of leadership transitions within the setting of private schools is the fact that parents within a private setting have the option of choosing a different school at will. The school choice option changes the power dimensions of the hiring decision in a way that public institutions may not experience. Within private school situations, much of the literature on leadership in general, and transitions in specific, is insufficient. Thus it is necessary to further explore the role that social identity theory takes within leadership transitions, and how leadership transitions more comprehensively affect the multiple dimensions the field now studies, including relationships within the larger organization and the reciprocal elements that occur in leader / follower dynamics (Grant & Hogg, 2012, Rast III, et al., 2012, Tse & Chiu, 2012, Subašić, et al., 2011, Hogg, Sherman, et al., 2007, Hogg, Meehan & Farquharson, 2010, Lord, Brown & Freiberg, 1999, DeRue, & Ashford, 2010, Giessner, Van Knippenberg & Sleebos, 2009, Platow & van Knippenberg, 2001).

Purpose of the Study

The purpose of this study was to explore leadership transitions in stable, private school environments through the lens of social identity theory. This approach was used due to a series of logical conclusions: first, leadership transitions remain an area of concern within research, and current succession approaches are not comprehensive enough to meet the needs of leaders nor the organizations they serve. Second, many approaches ignore or only informally address the social and cultural dimension of leadership transitions, and this study, through both original investigation and reviews of current research, made the argument that those elements have a disproportionate effect on the perceptions of leader effectiveness during and after transitions. Social identity theory, specifically through the tenets of uncertainty and prototypicality, provided an ideal lens for understanding the complex nature of leadership transitions and helped explain why context, affective and social behaviors are vitally important for determining the success or failures of leadership transitions. Finally, this study also demonstrated ways that current succession research is tangentially connected to ideas within social identity theory and ultimately fully compatible with tenets presented in that tradition of research.

As such, this study examined the similarities and differences of leadership transitions of three private, religious or independent schools through a qualitative, multiple-case study analysis. The three organizations had experienced leadership transitions within the previous three to five years, and all transitions could be defined as successful in that all leaders were still employed within their positions and were expected to continue to hold those positions into the foreseeable future. The study examined elements of research that had either been little studied or not studied within

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an actual educational context, specifically related to concepts of social identity theory

presented in a logic model format. The studied concepts were prototypicality, or the

basic extent to which a leader was representative of the people, characteristics and

values of the organization in which they serve (Hogg, 2001, 2006); uncertainty and

prototype adjustment, or how leadership transitions may influence people to connect to

beliefs about prototypes and how new leaders can make adjustments when entering an

organization (Hogg, 2001, 2006, Rast III, et al., 2012, Lord, et al., 2001, Haslam,

Platow, Turner, et al., 2001); and finally evaluation, or how members of an organization

used metrics to determine whether or not they would like to keep to the leaders that

were hired. The logic model provided a lens of understanding that was able to show

how these theoretical constructs could allow members of these stable, private

organizations to evaluate their leaders in ways that seem to ignore the typical metrics

used to do so, and instead focus on values, characteristics and affective elements that

were unique to each school.

Limitations

The unique nature of these schools not only opens up possibilities for research,

but also provides limitations to the applicability of these findings. Standard limitations

regarding the sample size, generally homogenous communities and general similarity of

geographic location and culture would all apply here. Beyond these limitations, each

school studied had clear expectations for community membership and enrollment that

may have led to a preselection of individuals who would naturally been predisposed to

the values and characteristics of the schools in question. It is not clear whether the

findings would have been similar in an environment where community membership was

based on geographic constraints or where school choice was not a determining factor in membership.

The fact that each school was generally successful is also a limitation, largely because none of the schools were facing significant issues that needed to be addressed through objective skillsets. This is to say that none were in a critical mode of correcting and raising test scores, raising operational or capital funds for school expansion, or facing some other imminent threat to their survival. Furthermore, none of the outgoing leaders had damaged the school through their leadership or caused issues that led to their immediate removal; each of these facts may have placed the schools in an ideal position to choose leaders that best fit context as opposed to skillset.

Another limitation is that each of the leaders who were hired were insiders to the organization. It is unclear whether outsiders would have seen the same level of support and knowledge, or if the effect of connection to the organization would have had influence over constituents' perceptions of the leaders in the same way. Finally, each of the leaders had at least tacit approval of the transition from the leader that they were following. It may be that the lack of an endorsement would have had a negative effect on the new leader's legitimacy, or it could have changed the staff perception of the transition in other ways.

Definition of Terms

Additionally important are the working definitions for the various concepts described in the literature review and research questions, as well as explanations of the research methods and data. For the purposes of this proposal, ***social identity theory*** will

be used in the traditional sense as proposed by Turner and Tajfel and explicitly defined

by Hogg as "a psychological analysis of the role of self-conception in group

membership, group processes, and intergroup relations," (Hogg, 2006, p. 111).

Stemming from this definition is the idea of self-categorization and *prototypes*, which

Hogg defines as "a fuzzy set of attributes (perceptions, attitudes, feelings, and

behaviors) that are related to one another in a meaningful way and that simultaneously

capture similarities within the group and difference between the group and other groups

or people who are not in the group," (Hogg, 2006 p. 188).

Social identity and group identity are interchangeable throughout the case study. In

this context, these terms refer to a group that is more than two people and share the

same traits that have come to define their connection (Hogg, 2006).

Leadership succession and leadership transition are interchangeable terms and are

used to describe the process by which a new head administrator comes into that role

within an organization, whether that succession or transition is voluntary or not.

Special care is taken within the proposal to draw a distinction between cases of

voluntary nor involuntary transition to avoid reader confusion.

Ingroup is used to define people who are currently accepted and present within a

particular group's defined organizational membership boundaries and who also accept

this role.

Outgroup is used to define people who are not members of a particular ingroup.

High-identifiers is used to describe respondents who self-categorized his or her identification with the organization with an average score of at least five on a Likert scale of 1 – 6 with one being strongly disagree and six being strongly agree.

Low-identifiers is used to describe respondents who self-categorized his or her identification with the organization with an average score of at least four and less than five on a Likert scale of 1 – 6 with one being strongly disagree and six being strongly agree.

Non-identifiers is used to describe respondents who self-categorized his or her identification with the organization with an average score of less than four on a Likert scale of 1 – 6 with one being strongly disagree and six being strongly agree.

Overview of the Dissertation

This study is presented in a five chapter format, featuring an introduction, a review of literature, research methods, results and conclusions. The review of literature in Chapter II focuses on how social identity theory complements and explains trends seen in leadership and succession literature and demonstrates how the recommendations and best practices line up with the tenets of the theory. It also provides a framework for understanding the data generated from the cases. Chapter III presents the qualitative methods and the context in which the research was undertaken at each of the three schools. Chapter IV expresses the results of this research, and Chapter V explains what conclusions can be drawn and offers insight into future avenues of study.

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[i] By definition, private schools must attract and attempt to retain students and parents who can make a choice to leave at any time should they feel the organization no longer meets their needs.

Chapter II: Review of Literature

Social Identity Theory

Turner and Tajfel first proposed social identity theory formally in the 1970s as a way to describe ingroup versus outgroup biases and a way to explain behaviors that supported group interests over personal ones. At its root, the theory "is a psychological analysis of the role of self-conception in group membership, group processes, and intergroup relations," (Hogg, 2006, p. 111). Inherent in the theory is the idea that analysis of the individual alone is not enough to explain why groups behave as they do (Hogg, 2001, 2006), and this would reinforce the idea that leadership transitions must be framed within the context of the groups that they affect. Hogg (2006) suggests that the theory came to be in response to the observation that social forces seemed to cause individual action and that the ultimate theory was derived in a way that specifically did not consider the aggregate actions of individuals to be the same as the collective understanding of those people (Hogg, 2006, 2001). In essence, the goal was not to average behaviors among individuals but instead to look at how the group as a whole was operating.

As the theory has progressed, more nuanced understandings of social identity and its effects have come into the literature. There are several factors that are required to meet the threshold of being a group within social identity literature, including the number of members (at least three), and the manner by which the individual identifies with the group (Hogg, 2006). Beyond this, group identity can be defined and operationalized in many different ways, including racial, ethnic, national, organizational

or categorical. In the end, the major issue of importance is the idea that the individual accepts, connects to and identifies with the particularly defined group in question (Hogg, 2006).

Within an exploration of school transitions, understanding that individual behaviors may be motivated by group processes (Hogg, 2006, 2001) can provide a better understanding for how leadership will be perceived and can help predict ways that leaders can exert group influence and understand their own place within the collective. Because a tenet of this research is the idea of ingroup favoritism (Hogg, 2006), new leaders who are hired outside of the organization may need to overcome feelings of otherness, perhaps from both the group and from themselves. These and other tenets inherent in social identity theory can create a framework by which leadership transitions can be viewed and understood.

Tenets of Social Identity Theory

As mentioned, one of the most important aspects of social identity theory is how the individual connects with the group. Within a discussion of organizational succession, it would not be sufficient to assume that merely because someone is employed by an organization that he or she would necessarily connect with that organization and derive an identity from it. Propositions proposed by Ellemers, de Filder and Haslam (2004) make this point; their proposition is that people will identify more with their work to the extent that it creates a meaningful distinction from other groups. This proposition is supported in research from Jackson and Smith (1999) in which the researchers term secure and insecure social identities. Insecure social identities are characterized by a close mixing of personal and group identities and a high

degree of intergroup bias (Jackson & Smith, 1999). In contrast, secure social identities

do not have this mixing of personal and group identities, and therefore have a lower

degree of intergroup bias (Jackson & Smith, 1999). While their findings left room for

further research, their conclusions showed that the relational aspect of social identity is

a key factor; there will be more ingroup bias if people are less individualistic and more

focused on the organization (Jackson & Smith, 1999).

Secure and insecure identities would be important in considering the context of

schools, and whether or not teachers and staff members within schools consider

themselves to be individuals or members of a collective working toward a common

goal. School structures would appear to be more logically suited for a collective model;

especially in larger schools, team teaching and content specific groups would appear to

lead to more of a collective approach. Further research would be necessary, however,

to confirm how teachers and staff members viewed themselves, and it may be entirely

context specific. Within this study, the majority of teachers who responded to surveys

about his or her school and leader were high organizational identifiers. Whether this

means that high identifiers were simply more likely to respond or whether high

identification with the organization is simply a hallmark of each of these institutions

cannot be known by analyzing the data collected, but it may point to deeper realties that

require additional explanation and exploration.

A takeaway harkens back to the original research done by Turner and Tajfel

(1979). In their experiments, they found that people would act against their own self-

interest when they identified with a group and would discriminate against identified

outgroups (Turner, Brown & Tajfel, 1979). Again, the important aspect is the

identification piece; in short, strong group identification can lead to what appear to be illogical actions or actions that appear to be outside of one's self-interest. Within succession elements, this means that behavior may not be logically predictable depending upon strength of group identification; groups with high identification may act against their own self-interest if they perceive that doing so will better help the organization to which they belong.

More recent research by Van Vugt and Hart (2004) suggests that the connection shown between high-identifiers and sacrifice of self-interest for the benefit of the organization is valid and takes the research one step further. Van Vugt and Hart acknowledge that unlike laboratory experiments and studies, most real world organizations are open systems that allow members to come or leave as they please. Over the course of three experiments run at the University of Southampton, the researchers found that high identifiers with a group were more likely to be loyal in the face of an attractive exit option. The main conclusion is that social identity does create more loyalty to a group (Van Vugt & Hart, 2004). Interestingly, the researchers did not find that prior group investment was connected to loyalty, but they acknowledge this may have been because of their design (Van Vugt & Hart, 2004). Again, the important aspect is that group identification has wide ranging implications for behaviors that may not appear entirely logically from an objective perspective.

How group identification is generated and the circumstances that cause it to be more or less important is critical within the discussion of leadership transitions. Specifically, within the research tradition of social identity theory is the idea of uncertainty. Uncertainty has been explored in many different contexts and studies

(Grant & Hogg, 2012, Hogg, Meehan, & Farquharson, 2010, Hogg, Sherman, et al., 2007, Rast III, et al., 2012, Subašić, et al., 2011, Tse & Chiu, 2012, Cregan, Bartram & Stanton, 2009), and the general conclusion is that uncertainty is the key motivation for group identity processes (Hogg, Meehan & Farquharson, 2010). While elements of the research would not apply directly to schools, there are several important conclusions that can be drawn. The research by Hogg, Meehan and Farquharson (2010) specifically attempted to connect the idea of radicalism to uncertainty tenets. Their conclusion is that groups that would actively support or protect their members could be drawn into radicalism during time of threat (Hogg, Meehan & Farquharson, 2010). This is essentially to say that groups would be more attractive if they provided not only an identity, but an outlet to express and protect that identity through action (Hogg, Meehan & Farquharson, 2010). While it would be too far to compare a leadership transition to the idea of radicalism as it is understood in the current political culture, schools would appear to be ripe for identity protection and action, especially if that identity protection or action was associated with stronger identification to or distance from a previous administrator. Elements of these traits will be mentioned in further depth during the discussion on how succession literature is connected to social identity.

There are several nuances to uncertainty that become important within the idea of leadership transitions, even if they do not correspond directly to schools. First, as Hogg et al. (2013) write in their exploration of extremism and uncertainty, "When people feel uncertain about the accuracy of their perceptions, beliefs and attitudes they seek out people who are similar to themselves in order to make comparisons that largely confirm the veracity of and appropriateness of their own attitudes," (p 410). Research

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by Grant and Hogg (2012), for example, found that with fewer competing identities and higher levels of uncertainty, subjects were more likely to identify with a particular identity, which within their experiments consisted of either university membership or a national identity. This would be especially important within groups that feature members that do not have many competing identities, as it would therefore lead to higher group identification. Grant and Hogg's (2012) findings would connect with the research of Jackson and Smith (1999), in that how and why identity is claimed has implications for its relative strength and meaning. Studies by Hogg, et al (2007) reinforce this point and conclude that group factors, including inclusion and entitativity, will predict the strength of identification with a particular group during times of uncertainty.

Strength of identification is extremely important, as many of the traditional tenets of social identity theory can be negated or disrupted if a group identity is not strongly held. While this would appear to be an entirely logical idea, there have been studies that have examined how followers perceive the actions of those around them based on their own identity understanding (Subašić, et al., 2011, Tse & Chiu, 2012, van Knippenberg, & van Knippenberg, 2005). One such study was in the use of surveillance in leadership approaches, through which Subasic et al. (2011) provide evidence that ingroup connections are contextually very important. Their findings suggested that leadership styles and the resultant ability to influence others were directly related to the social context of ingroup or outgroup (Subašić, et al., 2011), which would correspond to how connected and identifiable the particular group was. Although not directly referencing uncertainty, the approach found that ingroup leaders

who used surveillance and reward / punishment procedures saw a decrease in motivation for those that followed them. Outgroup leaders who did the same actually saw an increase in motivation for the followers (Subašić, et al., 2011). While the researchers acknowledge that the influence measure could be task-related as opposed to leadership related they do explicitly state that social identity aspects of leadership must be taken into account within the organizational context. Specifically, Subašić, et al., (2011) conclude:

> "In particular, those responsible for designing and implementing organizational policies and procedures need to take into account social identity processes characterizing leader-follower relations within a particular organizational environment," (p 179).

In this way, the researchers acknowledge two elements: first, the dynamic of leader / follower and its relative strength is important for behavior and performance alike, and second, understanding the context of a particular leadership situation is critical for organizational success. This particular context mirrors the research on uncertainty in that the experience of individuals with the strength and understanding of their connection to the organization will have wide-ranging effects with regards to behavior.

Tse and Chiu (2012) researched whether the effects of transformational leadership were mediated by the tenets of social identity theory. Their findings suggest that leadership behaviors displayed will interact with their followers' identity orientations and will have implications for outcomes (Tse & Chiu, 2012). In this particular case, the researchers found that it was important for leaders to understand how their followers would view leader actions as the lens that followers used would influence outcomes (Tse & Chiu, 2012). While this research was done solely to look at the effects of transformational leadership mediated by social identity theory, the overall

conclusion remains valid: follower perceptions are very important to leadership behaviors, apart from those behaviors themselves. Again, these findings are consistent with the idea that leadership approach and knowledge alone is not sufficient to explain differences in outcomes; the context of the organization and dynamics of relationships must be addressed as well. These elements, combined with the uncertainty aspects of a leadership change, would again support the idea that social identity must be taken into account during these periods.

A final example of how these varying conditions and responses are contextually important comes from Rast III et al. (2012). The researchers found that leader support and prototypicality were moderated by uncertainty, and that leaders who were less associated with the prototype would receive larger increases to their perceived support under periods of uncertainty, but the research was consistent with other findings that prototypical leaders were still more supported overall, regardless of uncertainty (Rast III, et al., 2012). This supports the idea that the leader and the organization, through the idea of prototype, begin to be seen as analogues to each other, at least for high identifiers (Subašić, et al., 2011, Tse & Chiu, 2012, van Knippenberg, & van Knippenberg, 2005). In that sense, whether or not success is being achieved could be related to how people view either the leader or the organization interchangeably. Caveats to their research again referenced follower perception: validity threats included the idea that leaders who are not perceived to be picked by a fair process might evoke different outcomes and that the study also did not draw a distinction between incumbent or perspective leaders (Rast III, et al., 2012). Rast III et al. include these in their list of

future research topics, and a better understanding of prototypicality is important in further discussion of leadership transitions.

Prototypes

The categorization elements of social identity theory describe the processes by which people define other people and themselves as group members (Hogg, 2006). Defined as depersonalization, the theory suggests that members of the group will define group membership on the basis of how perceived attributes best line up to their perception of the group (Hogg, 2006, 2001). The metric that the group member uses to do this is called a prototype, and the prototype has several different identifiers. First, prototypes need not be an actual person, but instead can be an idealized version of a typical group member (Hogg, 2006). Second, prototypes can change as context changes (Hogg, 2006, 2001, Rast III, et al., 2012, Lord, et al., 2001, Haslam, Platow, Turner, et al., 2001). Third, prototypes are used to allow members of an organization to compare themselves to the definable characteristics and values that are idealized by the organization (Hogg, 2001).

Within this framework, prototypes form the basis of the Social Identity Theory of Leadership (Hogg, 2001). As Hogg suggests, leaders must make use of prototypes, and prototypes become important through three main processes: prototypicality, or the embodiment of group behaviors, traits and characteristics; social attraction, or the ability to be liked and influence other members of the group; and attribution, in which traits that are prototypical are attributed to the individual holding the prototypical role over time (2001). Inherent in this analysis is the idea that group members find the group to be important (Hogg, 2001); as with other examples, follower perceptions are

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extremely important in predicting outcomes (Grant & Hogg, 2012, Rast III, et al., 2012, Tse & Chiu, 2012, Subašić, et al., 2011, Hogg, Sherman, et al., 2007, Hogg, Meehan & Farquharson, 2010, Lord, Brown & Freiberg, 1999, DeRue, & Ashford, 2010, Giessner, Van Knippenberg & Sleebos, 2009, Platow & van Knippenberg, 2001).

The main focus for leadership transitions needs to remain with the ideas of prototypicality and attribution. Fauske & Ogawa (1987) found that teachers attributed group norms to the principal (), and there have been many studies on the consequences of prototypes within organizations (Lord, Brown, Harvey & Hall, 2001, DeRue & Ashford, 2010, Lord, Brown & Freiberg, 1999, Giessner, Van Knippenberg & Sleebos, 2009, Platow & van Knippenberg, 2001, van Knippenberg & van Knippenberg, 2005, Pierro, Cicero, et al, 2005, Cicero, Pierro & van Knippenberg, 2007, Haslam, Platow, et al., 2001).   Rast III et al. (2012) argue based on their study of groups and prototypes that: "When group membership is psychologically important as a basis of self-definition, leaders gain more support and are more effective if they are viewed by their followers as being prototypical members of the group," (p. 646). The importance of leaders being viewed as a prototypical member of the group is echoed by numerous other studies (Platow & van Knippenberg, 2001, van Knippenberg & van Knippenberg, 2005, Cicero, Pierro, & van Knippenberg, 2007, Haslam, Platow, et al., 2001). As such, it would be important for leaders to understand the prototypes of the situations that they enter into and be willing to make changes according to that analysis.

Furthermore, it would be important for leaders to understand that prototypes can and do adjust contextually (Lord, Brown, Harvey & Hall, 2001). Not only are these adjustments available to be made as new information occurs, they can be made by both

leaders and followers (Lord, et al., 2001, DeRue & Ashford, 2010, Lord, Brown & Freiberg, 1999, Giessner, van Knippenberg & Sleebos, 2009). Contextual adjustments have two implications for leaders: first, leaders could possibly lose their prototypicality over time as the organization and its membership changes; and second, a lack of prototypicality does not mean that in the future it cannot be developed. More than anything, the framework of Lord, et al (2001) establishes the importance of leaders understanding their particular context rather than assuming all leadership behaviors will produce similar results in varied contexts.

Other research on leadership identity not situated within the social identity leadership framework still acknowledges and connects with prototype conditions as defined by Hogg (2001). DeRue and Ashford (2010) created a model by which leader identities are formed that invokes a reciprocal claiming and granting of leadership claims in order to foster leader and follower identities. Their model contains three elements: individual internalization, which they define as coming to incorporate the identity of the leader or follower into their behavior; relational recognition, which states that the leadership identity will be stronger if it is formally recognized; and collective endorsement, which is how the particular leader is viewed by the group (as being more or less a leader) (DeRue & Ashford, 2010). While these elements do not line up directly with Hogg's (2001) definitions of prototypically, social attraction and attribution, there does appear to be significant overlap with prototypicality, individual internalization and collective endorsement. In brief, the more that people perceive leaders to have the organizationally defined prototypical behaviors of group membership, the more likely they will be considered to be leaders. The important

aspect is that several approaches to leadership continue to reference the theoretical

backings behind social identity theory and prototype, and further research could

continue to show how these concepts are related within real world settings.

Prototypicality has further implications for organizations. A study by Platow and

van Knippenberg (2001) was one of the first to discover a relationship between

prototypicality and the extent that group members identified with the organization.

Their research showed that leader actions tended to matter less if he or she had high

ingroup prototypicality and the evaluator was a high identifier with the organization

(Platow & van Knippenberg, 2001). Furthermore, they found that prototypical

behaviors benefited leaders and followers alike. For those high identifiers, it was not

enough to merely be the leader or have leader traits; the leader also needed to be

prototypical (Platow & van Knippenberg, 2001). This distinction is important because

while high identifiers may want what is best for the organization they may not

conceptualize how that should look from a leadership perspective. Furthermore, it

would imply there are other traits more important for integration to leadership roles and

perceptions of legitimacy than traditional leadership behaviors. If nothing else, the

research suggests that these types of people will endorse a prototypical leader over one

with a particular skill set that may be more beneficial to the organization's needs

(Platow & van Knippenberg, 2001).

These ideas in regards to high or low identifiers also change the meaning of

leader actions when connected to prototypes, furthering the general idea of social

identity theory that group orientations have effects on outcomes (Subašić, et al., 2011,

Tse & Chiu, 2012, van Knippenberg, & van Knippenberg, 2005). Some early work in

this regard comes from Haslam, Platow, Turner et al. (2001). Their study posited that leadership behaviors would be tempered by the leader's behavior in promoting an ingroup identity that they shared with followers. Essentially, this meant that leadership decisions and actions were influenced by how well the leader was able to establish an ingroup prototype and encourage group members to identify with that prototype. Their conclusions showed that not only was the leader perceived to be better when his previous behavior supported the idea of prototype, but also that this type of leader was more protected from negative attributions (Haslam, Platow, Turner, et al., 2001). Of additional importance within their conclusions was a reinforcement of the idea that group prototypes are not fixed, but must continue to involve interplay between the leader and the followers (Haslam, Platow, Turner, et al., 2001, Hogg, 2006, Hogg, 2001, Rast III, et al., 2012, Lord, et al., 2001). In short, the evidence suggests that prototypes are only effective when the group buys into them.

A study by van Knippenberg and van Knippenberg (2005) reflected the theory inherent in the Haslam study when using prototypicality as a moderator between self-sacrifice and leadership effectiveness. In short, their research was inconclusive on whether self-sacrifice alone was enough to improve leadership effectiveness, but they did find that group prototypicality of the leader meant that the leader was seen as generally better than less prototypical leaders (van Knippenberg & van Knippenberg, 2005). This is not to say that non-prototypical leaders cannot succeed, but it does imply that non-prototypical leaders should find ways to better identify with the group and should be concerned about their perception; they simply have less leeway than prototypical leaders (van Knippenberg & van Knippenberg, 2005). Again, this ties into

the idea that prototypical leaders will generally be viewed as more effective than their non-prototypical counterparts when group members identify with the prototype.

Giessner, van Knippenberg and Sleebos (2009) took this research further and found that prototypicality was a moderator of the effects of leader performance and perceptions of effectiveness. Again, following with the idea that follower perception is important, evidence indicates that highly prototypical leaders will be evaluated better than those who are not, even to the point that a leader may be endorsed even when he or she is the cause of failure (Giessner, van Knippenberg & Sleebos, 2009). Furthermore, leaders who are less prototypical may receive more blame and attribution for issues than they should (Giessner, van Knippenberg & Sleebos, 2009). This would again imply that non-prototypical leaders must be concerned about entering into new contexts; it is likely that perceptions of failure and desires to change could lead to lower evaluative ratings (Giessner, van Knippenberg & Sleebos, 2009).

The interaction of prototype with high and low organizational identifiers has other nuanced effects when viewed within the concept of uncertainty. Pierro et al. (2005) studied the need for closure, which they operationalized as a reduction of uncertainty, and how leader group prototypicality and effectiveness were moderated by uncertainty. Their conclusions focused on the idea that a desire to reduce uncertainty resulted in turning toward prototypes (Pierro, et al., 2005), which mirrors the idea of how group identity strength is increased in times of uncertainty (Hogg, Sherman, et al., 2007, Hogg, Meehan & Farquharson, 2010, Grant & Hogg, 2012). Essentially, their conclusions state that leadership behaviors will be more effective when the leader is prototypical and the follower is a high identifier with the group (Pierro, et al., 2005).

Furthermore, these effects will be stronger when the follower is attempting to overcome uncertainty (Pierro, et al., 2005).

Further connections to uncertainty are made during times of job stress and in the context of job stressors. Cicero, Pierro and van Knippenberg (2007) studied this concept and found that within this context, job stress was indicative of a number of other factors that would connect with uncertainty. This particular study is important because it specifically connects organizational change and uncertainty (as one would reasonably expect to occur during a leadership transition) with an increase in importance for leader group prototypicality (Cicero, Pierro & van Knippenberg, 2007). The findings of Cicero, Pierro & van Knippenberg (2007) therefore support the idea that group prototypes are very important and more so when the organization or organizational contexts are shifting.

The totality of the evidence make it clear that prototypes can be dynamic and also affect more than merely individual leadership processes. Beyond these observations, prototypes can also be a predictor of leader influence (Giessner, van Knippenberg & Sleebos, 2009) a finding that has wide ranging implications during leadership transitions, both in terms of candidates promoted from the ingroup or outgroup. Members of the outgroup might face particularly robust challenges in an organization with a strong group identity – especially if their actions do not appear to immediately match the organization's prototype or if they do not have the tools to engage in the active negotiation of those understandings of prototype. Outgroup challenges tied into the idea that group members will be ready to turn to prototypes in times of uncertainty (Pierro, et al., 2005, Grant & Hogg, 2012, Rast III, et al., 2012,

Hogg, Meehan & Farquharson, 2010, Hogg, Sherman, et al., 2007) and will then view those leaders with high prototypical reference points as more effective (Platow & van Knippenberg, 2001, Pierro, et al., 2005, Giessner, van Knippenberg & Sleebos, 2009, Cicero, Pierro & van Knippenberg, 2007) means that this element of social identity theory should be important to any leader.

Leadership Transitions Within Schools

In order to better understand how research into social identity theory relates to and ultimately helps unify concepts within transitions, it is important to review the current research on leadership succession within schools. There has been a large amount of literature that has explored succession and leadership transitions in general, but the extent to which it is applicable to the idea of "leader" within private schools must be questioned. Research directly into leadership successions within schools has been described as sparse (Hargreaves, et al., 2003, Fink & Brayman, 2006, Rhodes & Brundrett, 2005, Bengtson, Zepeda & Parylo, 2013, Zepeda, Bengtson & Parylo, 2012), and many of the events studied are isolated and acute, and therefore their reproducibility and validity in other contexts is in doubt. Transition and succession research in school organizations tends to be disconnected (Fink & Brayman, 2006, Rhodes & Brundrett, 2005, Bengtson, Zepeda & Parylo, 2013, Zepeda, Bengtson & Parylo, 2012), with studies varying from what leaders should learn to how school organizations should manage the process. It could be argued that the research is not currently providing real-world applicability; again, while there has been research on succession planning, the actual use of succession plans within schools appears to range from informally implemented to non-existent in some cases (Fink & Brayman, 2006).

There is no clear consensus on how to approach leadership transitions. This does not imply that the practice lacks empirical investigation. There is a growing body of literature regarding what will make new leaders successful following a transition, and evidence on what organizations can do to prepare the organization and the potential new leader for such transitions. The literature ranges from anecdotal accounts of people within the profession offering their insights (Rooney, 2000, Christy, 2009) to studies that have been commissioned to examine threats seen by various organizations (Hargreaves, et al., 2003). Similar to unsupported claims about steps in a transition process, the empirical studies also propose recommendations for individuals and organizations when transitions occur.

The utility of social identity theory can be best seen by examining the very aspects that researchers have identified as either deserving of further study or have presented as examples of effective practices. In both cases the evidence lacks theoretical explanation. Social identity theory can provide explanation for why these processes and practices may or may not achieve desired outcomes. An example of this can be found in the study commissioned by the Ontario Principals Council, where Hargreaves, et al. (2003) posited that while the research is clear that succession matters, not all successions are the same, and suggested that more comprehensive and nuanced approaches to succession where necessary. The authors listed the following as key elements that needed to be addressed in future scholarship on leadership transitions:

- whether succession is *planned or unplanned*
- whether the principal is an *insider or outsider*
- The experience level and *career stage* of the entering principal
- The characteristics and effectiveness of the previous principal and the *levels of development of the school* he or she has helped to secure
- How the *existing teacher culture* responds to succession events

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- The *cumulative effects of the successive successions* on the teacher culture
- The *rate* and/or *acceleration* of succession events
- The *stages of the succession* process

<div align="right">(Hargreaves, et al., 2003, p. 21)</div>

Some of these elements tie in with existing research; it could be argued that planned versus unplanned succession could apply both to organizations with a lack of a succession plan, or to successions that were a surprise, regardless of the reason. Social identity theory, with its use of group identities, prototypes and uncertainty, can explain leader and organizational behavior and how it affects elements of the group and possibly group membership (Grant & Hogg, 2012, Hogg, Meehan, & Farquharson, 2010, Hogg, Sherman, et al., 2007, Rast III, et al., 2012, Subašić, et al., 2011, Tse & Chiu, 2012, Cregan, Bartram & Stanton, 2009). This would apply to the study of planned and unplanned success and transitions. Furthermore, the final three elements on the Hargreaves, et al. (2003) list, regarding number of succession events, rate and stages of said events can be explained through social identity theory as well. Although social identity theory has not been used in the research to date (where frequent successions were not common), the theory is sound and could be used to see if there are ways to mitigate the damage of frequent successions when they cannot be avoided, for whatever reason.

<h3 align="center">Fit Between Social Identity Theory and Transition Research</h3>

Other elements of succession and transition research tie in directly to the concepts of social identity theory that were fully defined in the review of social identity research. Insider or outsider status, for example, is addressed through explanations of ingroup bias (Hogg, 2001, 2006) and would offer suggestions of how each type of

leader may be most successful under various circumstances (Haslam, Platow, Turner, et al., 2001, Subašić, et al., 2011). Experience and career stage would be most likely linked to the idea of skillsets that these particular leaders exhibit, but there is a tangential connection to the idea of how leaders and followers navigate their roles. For example, the research within the social identity tradition has shown that context of leadership behaviors is important to results (Lord, Brown, Harvey & Hall, 2001), and it would be more likely that a veteran leader who had experienced more contexts of leadership would understand such a concept and would be more likely to respond to the definitive research that follower perceptions of the leader are very important (Grant & Hogg, 2012, Rast III, et al., 2012, Tse & Chiu, 2012, Subašić, et al., 2011, Hogg, Sherman, et al., 2007, Hogg, Meehan & Farquharson, 2010, Lord, Brown & Freiberg, 1999, DeRue, & Ashford, 2010, Giessner, Van Knippenberg & Sleebos, 2009, Platow & van Knippenberg, 2001).

Beyond the previous connections, the need to study the effect of the previous leader and teacher culture on transitions fits with social identity theory. In the Hargreaves, et al. (2003) findings, there is an implicit thought that teachers will have experienced more than one succession event. In a context where frequent successions were not common (such as the three cases presented in this study), teacher culture would be most analogous to the expectations and beliefs that the teacher group held about leadership and the characteristics thereof. This is another way of acknowledging the idea of prototype. Combined with the characteristics of the previous leader, these two concepts together form the basis of leader and follower prototype negotiation. On the leadership side, the organization as a whole must understand what it needs, and from

a follower perspective, the new leader must understand organizational expectations. Again, this connects very well with the idea of leader/follower negotiation and how group members respond to prototypes (Rast III, et al. 2012, Platow & van Knippenberg, 2001, van Knippenberg & van Knippenberg, 2005, Cicero, Pierro, & van Knippenberg, 2007, Haslam, Platow, et al., 2001). In short, all of this reiterates the Hargreaves et al. (2003) call for further research on leadership transitions and successions in school organizations and has a direct application with social identity theory.

Social identity theory is also the ideal lens and explanation in regards to the anecdotal accounts offered by people within leadership roles to their own transitions or of the first-hand advice to incoming leaders. Although not related to schools, an example of this is an article by Christy (2009), where he anecdotally identifies seven things that should occur in effective transitions. Four of these concepts fit with the consistent themes in succession literature: complete tasks (which, in this context, means demonstrating that the job is getting done), recruit future leaders and build strong teams (Hargreaves, et al, 2003, Zepeda, Bengtson & Parylo, 2012, Rhodes & Brundrett, 2005, Fink & Brayman, 2006), and train and orient new employees or roles (Hargreaves, et al., 2003, Zepeda, Bengtson & Parylo, 2012, Bengtson, Zepeda & Parylo, 2013, Fink & Brayman, 2006). The other three tasks relate very closely to features of social identity theory. These would include: "identifying features worth preserving"; "communicating throughout the organization"; and "building social networks," (Christy, 2009, p. 58).

Stated more generally, these concepts could also be seen as understanding context and established organizational prototypes for that context, creating the ability to reshape prototypes through leader / follower interactions, and finally mitigating the

effects of uncertainty on the organization. Christy never uses the research concept of

social identity theory, but through these concepts he nonetheless makes claims that are

virtually identical to the research presented through social identity theory. He states

that "Leaders can consciously focus on linking their words, decisions, and behaviors to

expressed organizational values" (2009, p. 59). This action would fit concepts of

attempting to connect a leaders with the set of values that make up prototypes (Hogg,

2001, 2006). Taken one step further, this would be an initial step to allowing new

leaders to begin to influence prototypes, which is again something that can happen as

context changes (Hogg, 2006, 2001, Rast III, et al., 2012, Lord, et al., 2001, Haslam,

Platow, Turner, et al., 2001). Even beyond these concepts, there is a tacit

acknowledgement that the perceptions of leader actions will matter to followers, and

therefore the idea connects with social identity research in that way (Lord, et al., 2001,

DeRue & Ashford, 2010, Lord, Brown & Freiberg, 1999, Giessner, van Knippenberg &

Sleebos, 2009).

 Beyond the prototype connections, Christy (2009) also offers concern regarding

the idea of uncertainty. As discussed, uncertainty can drive people to attempt to

confirm their own thoughts and attitudes (Hogg, Kruglanski & Bos, 2013), so social

networks and mitigation of uncertainty becomes important within a leadership

transition, especially when attempting to change the organization in some kind of

meaningful way. Christy (2009) identifies this uncertainty in terms of "loss and

apprehension as the familiar passes and the unknown lies ahead," (p 60), and suggests

that the new leader and the organization design processes that can allow the members of

the organization to "set an example [and] model behavior," (p 60). Again, these ideas

connect directly to the ideas of prototypes and uncertainty, and how those concepts can affect leaders and followers, as defined through social identity theory (Rast III, et al. 2012, Platow & van Knippenberg, 2001, van Knippenberg & van Knippenberg, 2005, Cicero, Pierro, & van Knippenberg, 2007, Haslam, Platow, et al., 2001).

Christy (2009) offers one other concept of utility: the idea that organizations must "correlate effective leadership with emotional intelligence and capabilities often difficult to capture in measurable terms," (p 59). As previously discussed, if followers see their leaders as effective based off their prototypicality (Platow & van Knippenberg, 2001, Pierro, et al., 2005, Giessner, van Knippenberg & Sleebos, 2009, Cicero, Pierro & van Knippenberg, 2007) as opposed to traditionally designed skillsets, there is again a strong connection to affective behaviors and leadership effectiveness, not only in the literature but in these anecdotal accounts and mirrored within the findings of this particular study of three schools.

Although categories of succession activities and trainings can be found in the literature, the actual content of those activities remains in question, and how to define and teach affective and social approaches remains difficult. As mentioned in the introduction and presented in more detail here, consistent themes within the realm of succession tend to follow a few common points: first, identifying potential new leaders and providing them with experience (Hargreaves, et al, 2003, Zepeda, Bengtson & Parylo, 2012, Rhodes & Brundrett, 2005, Fink & Brayman, 2006), second, establishing incoming training through formal or informal mentoring programs (Hargreaves, et al., 2003, Bengtson, Zepeda, & Parylo, 2013, Zepeda, Bengtson & Parylo, 2012, Fink & Brayman, 2006) and third, the acquisition of knowledge necessary to be successful in

the new role (Hargreaves, et al., 2003, Zepeda, Bengtson & Parylo, 2012, Bengtson, Zepeda & Parylo, 2013, Fink & Brayman, 2006). Social identity theory can be used to explain regularities with the processes and practices advanced as crucial steps in leadership transitions. As it stands, what happens within these practices and processes remains a black box.

One study by Bengston, Zepeda and Parylo, specifically related to the socialization process of a number of school districts, directly identified four socialization tactics used during succession: comradeship, or the use of cohorts; training and experience, either formal or informal; mentoring; and expectations of change, defined as conforming to unwritten rules and expectations and displaying appropriate leadership behaviors (Bengtson, Zepeda & Parylo, 2013). With the exception of the final expectations of change, this socialization process appears to take for granted the social nature of the role and the importance of principals being able to fit into the organization. This tends to be indicative of the succession studies presented: they do not acknowledge the important social aspects that come into principal succession. Notable deviations from this include direct mentions of the social dimension in principal roles by Hart (1988, 1992), but only Hart's 1988 study was directly related to succession.

Other studies identify the social and affective aspects but offer only recommendations that they should be better taught within the realm of preparation programs. Wildy and Clark (2008) for example, suggest that preparation programs "might benefit from incorporating knowledge of the school in a community, how communities work and how principals can work effectively with community partners,"

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(p 736). The social dimension of leadership practice is another way that social identity research can be of service; principals who come to understand elements of the community context as related to prototypes of the organization can better come to understand the role and the leadership position that they will undertake. Furthermore, instead of placing a burden on preparation programs to learn about and share knowledge regarding every school, those programs could instead instruct principals how to generate, interact with and ultimately shape these domains through social identity theory and prototype, a far more efficient and ultimately useful application of those program's resources.

Despite its apparent lack of comprehensive study in succession literature, the social nature of the principal role does appear to be extremely important. Hart (1988) described her own outsider principal succession by mentioning several concerns that were raised that were not and would not be addressed by current succession frameworks. These concerns included organizational beliefs about the role of leader derived from past experiences and values, a need to emphasize characteristics or abilities important to specific internal groups, and an attempt to enhance personal fit to better integrate into the situation (Hart, 1988). In a later paper describing a model of principal evaluation, Hart (1992) goes on to suggest that principal social influence of a successful school culture "may be the most important function of leadership," (p 40).

Other school researchers suggest similar findings about the importance of social influence. Deal and Peterson (1990) suggest that how principals shape school culture is essential for success. Fink and Brayman (2006) acknowledge that one of the failings of the current succession process is failing to give new leaders the time necessary to

connect with and understand the cultural aspects of their schools. Rooney (2000) argues that understanding the culture of the school will lead to great success for a new leader, as neglecting culture often causes people within the organization to offer direct comparisons to the old leader or create fears that the new leader will not understand some elements of the school. Attention to culture has a direct connection to prototypes. Cocklin and Wilkinson (2011) note that tensions can occur even in successful transitions between the outgoing and incoming leaders' respective styles when the history of the school is neglected.

All of this is to say that the social and cultural aspect of succession practices is not receiving the attention that it needs. As Hargreaves (2005) writes, "few things in education succeed less than leadership succession" (p 21). Theoretical perspectives are needed to better understand leadership transitions. Social identity theory, specifically through the concept of prototypes, provides an appropriate lens to understand and adapt to the contextually important social elements of leadership transitions.

Summary of Social Identity, Prototypes and Transitions

Having established the tenets of social identity theory and prototypes, it is important to connect these elements to the idea of transitions as initially established through succession research. Conditions described by Hart in her 1988 case are directly related to the idea of organizational prototypes. First, by being a member of an outgroup (Hart, 1988) it is likely that she would have already been considered non-prototypical (Rast III, et al. 2012, Platow, & van Knippenberg, 2001, van Knippenberg & van Knippenberg, 2005, Cicero, Pierro, & van Knippenberg, 2007, Haslam, Platow, et al., 2001). Second, her background did not meet the typical (prototypical) view of

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the organization in regard to leadership (Hart, 1988), further reinforcing the idea of non-prototypicality. Finally, she admits that her personal agenda for the school would need to be subjected to more immediate concerns, which she described as "integration into the setting" (Hart, 1988, p. 342). In short, Hart appeared to be establishing herself as a contextual prototype in the type of interaction described in prototype research (Haslam, Platow, Turner, et al., 2001, Hogg, 2006, Hogg, 2001, Rast III, et al., 2012, Lord, et al., 2001).

Hart's model of principal evaluation (1992) also directly references concepts of prototype when she wrote, "in order to act appropriately, leaders must reflect or mirror the characteristics (e.g., values, goals, beliefs) and needs of the organization," (Hart, 1992, p. 48). Hart also sees that leaders must be aware of what she refers to as norms within working groups in order to better understand the organization (Hart, 1992). The idea of norms ties into ideas of group prototypical behavior. Finally, Hart (1992) acknowledges that successful principals respect school culture and work within it to produce change. Importance of culture shows the interaction between the idea of leadership prototypes and leader and follower interactions.

Hart is not alone in her beliefs about leadership transitions. In a case researched by Fauske and Ogawa (1987), the retirement of a principal and his impending succession served as an opportunity to understand faculty concerns during the process. Their findings included the idea that the principal had established the setting of group norms (Fauske & Ogawa, 1987) that they saw as both positive and negative. Teachers claimed that their own behaviors were therefore influenced by these norms, a claim that would be backed by prototype research and the idea that prototypes influence behaviors

(Rast III, et al. 2012, Platow & van Knippenberg, 2001, van Knippenberg & van Knippenberg, 2005, Cicero, Pierro & van Knippenberg, 2007, Haslam, Platow, et al., 2001, Hogg, 2001).

Research by Gephart (1978) examined the way that a forced leadership transition occurred. Although his findings were about the idea of status degradation, the relevant aspect of the research was that status degradation occurs when a group leader is found to be deviant from the values or norms most important to a group (Gephart, 1978). The idea of deviation from the values or norms could be considered a move to non-prototypicality, which would then lead to lower perceptions of effectiveness and less protection from negative behaviors and outcomes (van Knippenberg & van Knippenberg, 2005, Giessner, van Knippenberg & Sleebos, 2009).

Finally, another connection inherent is the idea of uncertainty. Fauske and Ogawa (1987) identified fear of uncertainty associated with change as a theme of the transition they studied. Fear and uncertainty are echoed in Hart's research as well (1988), for one of the first experiences she describes is skepticism on the part of her community. Advice from Rooney (2000) and Christy (2009) make mention of fear and uncertainty, as does the work of Hargreaves, et al. (2003). Uncertainty, as explained by social identity theory, explains why community members would cling to their preconceived prototypes regarding leadership (Grant & Hogg, 2012, Hogg, Meehan & Farquharson, 2010, Hogg, Sherman, et al., 2007, Rast III, et al., 2012, Subašić, et al., 2011, Tse & Chiu, 2012, Cregan, Bartram & Stanton, 2009).

Summary

At root of this discussion is the connection between social identity theory and leadership transitions. Within the specific context of private schools, leadership transitions tend to be very serious and important to the organization; the leader takes on a role that is both very public and very accountable to stakeholder groups, some of which have at least indirect power over the leader's perceived success. As such, it is necessary to look at social identity theory, specifically through the lens of prototypes, to better understand the social forces at work during a leadership transition. Beyond the mere understanding aspect, this approach would also suggest that further and more formalized training should occur to help new leaders understand the contexts into which they are entering.

In conclusion, the evidence would suggest that social identity theory can provide more understanding for leadership transitions through the following logic: first, leadership transitions and the unknowns that they produce, regardless of whether the candidate was internal or external, would by definition lead to feelings of uncertainty within the organization. Research confirms that when people feel uncertain they are motivated to identify with a group (Pierro, et al., 2005, Grant & Hogg, 2012, Rast III, et al., 2012, Hogg, Meehan & Farquharson, 2010, Hogg, Sherman, et al., 2007), and that identity within groups is moderated by prototypes and strength of identification with those prototypes (Pierro, et al., 2005, Grant & Hogg, 2012, Rast III, et al., 2012, Hogg, Meehan & Farquharson, 2010, Hogg, Sherman, et al., 2007). As Hogg (2001) states, "Group members conform to, and thus are influenced by, the prototype," (p 189), and in this way, uncertainty would appear to logically lead members within distinctively defined groups to embrace the prototypes of the organization. Hogg (2001) goes on to

say, "It follows that the longer a particular individual occupies the most prototypical position, the stronger and more entrenched will be the appearance that he or she has actively exercised influence over others" (p 189). Within a leadership transition where uncertainty is created, followers may be more likely to fall back to the most typical prototype that has been the most entrenched, and this has implications whether that prototype is the previous school leader or a current member of the staff (DeRue & Ashford, 2010). This all leads to the need for a better understanding of the transition process and how that may be moderated by social identity.

Chapter III: Research Approach and Procedures

Social identify theory used as a lens to explore leadership transitions has tremendous implications for outgoing leaders, incoming leaders and organizations as a whole. As the purpose of this study was to describe and come to better understand the ways that successful leadership transitions come to be, it was important to use a qualitative, multiple case-study analysis to explore the conditions present in three schools that had undergone recent transitions. The study took place at three independent, private schools that within the past three to five years experienced a successful leadership transition from a tenured leader to a new leader chosen from within the organization. Within this context, successful transition is defined by the idea that the new leaders have remained contracted with the school for at least three consecutive years following their transitions, are expected to be able to maintain their positions for the foreseeable future, and they have expressed a desire to stay in his or her leadership role. The multiple case-study analysis used Yin's (2014) logic model analysis to explore the theoretical propositions about transitions across the three sites.

The study focused not only on how transitions occurred, but also explored reasons why transitions would be successful. The logic model presented as a framework for leadership transitions reflects the elements presented in the review of literature. Essentially, members of organizations, whether consciously or subconsciously, form prototypes (Hogg, 2001, 2006). Prototypes are theoretically used to evaluate the fit between the new leader and the organization, as research has shown that people use prototypes to determine their strength of belonging to social groups and

may use prototypes as a reference point to evaluate the new leader (Subašić, et al., 2011, Tse & Chiu, 2012, van Knippenberg, & van Knippenberg, 2005). Interactions between leaders and followers slowly shift prototypical views of the organization (Hogg, 2006, Hogg, 2001, Rast III, et al., 2012, Lord, et al., 2001, Haslam, Platow, Turner, et al., 2001) and perhaps the perceptions of leader effectiveness (Platow, & van Knippenberg, 2001, Pierro, et al., 2005, Giessner, van Knippenberg & Sleebos, 2009, Cicero, Pierro, & van Knippenberg, 2007). Theoretically, effective transitions depend on leaders adapting to organizational prototypes, or conversely, leaders shifting the organizational prototype to align with their vision of the organization. All of this assumes that members of the organization are high-identifiers; low or non-identifiers are less likely to connect to the organizational prototype.
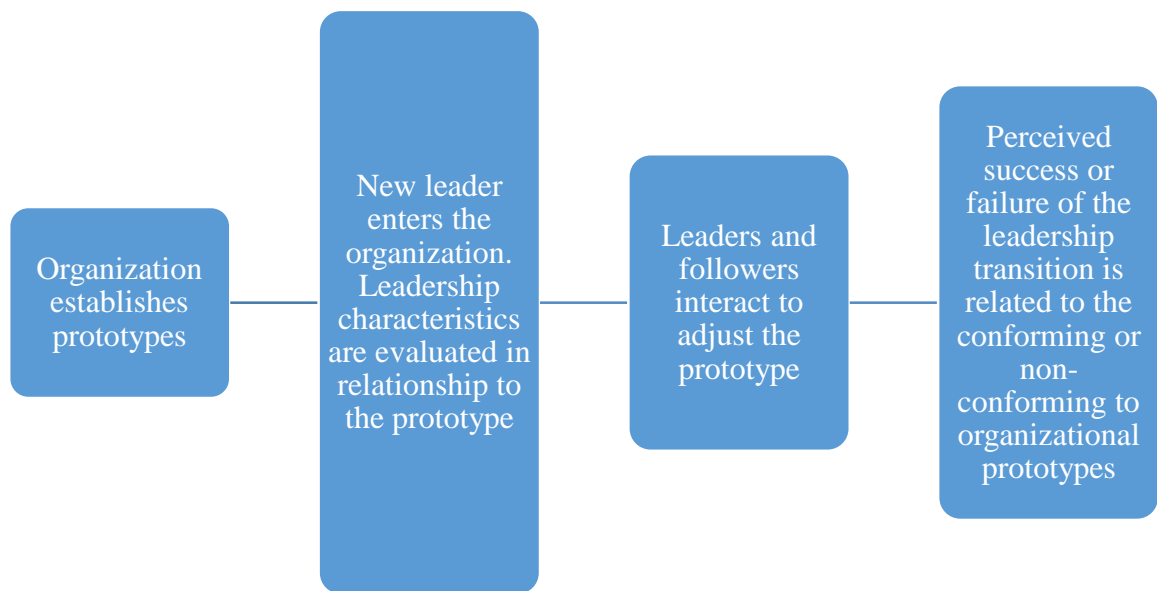
Figure 1. Leadership Transitions as Explained through Social Identity Theory

Figure 1 presents a framework that explains why leadership transitions fail or succeed, and could lead to better approaches to both control and leverage the natural

uncertainty that arises during any leadership succession. First, new leaders enter

organizations that have pre-established prototypes in regard to their group membership.

Theoretically, the followers within the organization would then evaluate the

characteristics of new leader to see whether they conform or deviate from the prototype.

Over time, leader and follower adjustment would occur to a new established prototype,

brought about by the change in leadership and uncertainty conditions within the

organization. Finally, the new leader would be judged as successful or unsuccessful

based on his or her ability to conform to the prototype of the organization.

Instead of change and uncertainty being viewed as a negative, leaders aware of

uncertainty constraints could use the desire to join groups as a way to generate

organizational cohesiveness and conformity to new organizational prototypes as their

contexts change. Furthermore, being more mindful of the balance needed between

pursuing organizational changes and understanding current organizational contexts

could help leaders better understand whether the environment they are entering will be

conducive to success and whether initiatives are likely to succeed or fail based on their

merits. It would also allow leaders to ensure that development opportunities and

resources are used in ways that are most appropriate for addressing organizational

concerns; in short, they could ensure compliance with the unspoken goals that were

most important to their individual organizations.

Propositions to be explored in the cases are derived from Figure 1. The

literature is clear that group prototypes can and do change (Hogg, 2006, Hogg, 2001,

Rast III, et al., 2012, Lord, et al., 2001, Haslam, Platow, Turner, et al., 2001). How this

happens during a leadership transition is important for both the outgoing and incoming

leader; in the case of a voluntary transition, the outgoing leader could use this knowledge to better prepare for an incoming leader; in the case of an involuntary transition, the person, people or entity that made the decision could use this information to make better decisions about an incoming leader as well as better prepare the incoming leader to be mindful of organizational expectations. Second, because leadership changes would introduce uncertainty (Hogg, et al., 2007, Grant & Hogg, 2012, Rast III, et al. 2012, Hogg, Meehan & Farquharson, 2010), it is likely that this would lead to reinforcement or refinement of prototypes within the organization (to ease uncertainty) and the introduction of a new member of the community in a leadership role should influence leader follower dynamics (Lord, et al., 2001). Again, this knowledge would make it possible for new leaders to be more mindful of their approach to leadership in general and their perception in regards to prototypes specifically. There may be additional implications should the leadership candidate be an internal versus an external candidate; logically, internal candidates would be theoretically more aware of the prototypes than those from outside of the organization. As such, two propositions are presented:

P1: Leadership transitions will lead to refinement of the group prototype.

Because prototypical leaders are perceived as more successful (Platow, & van Knippenberg, 2001, Pierro, et al., 2005, Giessner, van Knippenberg & Sleebos, 2009, Cicero, Pierro, & van Knippenberg, 2007), proposition two is:

P2: The leader's perceived adherence to or deviation from the group prototype influences perceived leader success.

Beyond these two propositions, a number of research questions need to be answered as well. An important aspect within this process would be understanding the delineation between sub-groups in the organization and how they each uniquely view the institutional prototype, or if there is in fact a difference among these groups in addition to high, low and non-identifiers at the faculty and staff level. Since prototypes are considered to be context specific, it is likely there would be differences in perceptions from parents, students and staff members, and there may be differences from the ways that the leaders understand and perceive the organizational prototypes as well. The scope of that undertaking was not possible within these cases, as it would have exponentially increased the data and would have required separate analysis not directly related to the transitions. In order to limit the focus, data were generated on the perceptions of the leader as well as the faculty and staff present during the transition. The approach focused on how mindful of prototypes both leaders and followers were during the specific organizational transitions, whether mindful refinement of those prototypes took place, and how, in the midst of a successful transition, leaders were regarded as prototypes of the organization, regardless of the perceived agency of those refinements. These tenets led to the overarching research question:

RQ1: In what ways, if any, does leader relationship to prototypes affect results within an organizational leadership transition?

This central question guided the case study, but there were several sub-questions that needed to be answered as well. These sub-questions helped determine the most important aspects of leadership transitions. Sub-questions included:

RSQ1: How do organizationally defined prototypes differ across schools?

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RSQ2: Is it important that groups have consistent definitions of prototypes, or is consistency between organizational prototype and characteristics of the leader the predictor of success?

RSQ3: Are new leaders mindful of organizationally defined prototypes?

RSQ4: Does knowledge of organizationally defined prototypes affect behavior and decisions of the new leaders?

RSQ5: Do perceptions of group prototypes change throughout the course of the leadership succession process?

RSQ6: Are followers within an organization aware of leadership prototypes defined by the organization?

Sampling Strategy

The three schools involved in this study were chosen for three reasons. First, each had a context in which organizational culture and directives were well established, either through strong organizational underpinnings (such as the existence of a religious order, a long-tenured administration, a clear and consistent mission for the organization, or a combination of these tenets) or through other community specific factors. Second, all three of the transitions featured individuals who were internal to the organization before the transitions, allowing for consistency across cases. Third, all three schools met the definition of a successful transition, again allowing for consistency of evaluation. Following the approval of protocols by the University of Oklahoma's Institutional Review Board, each school was contacted and agreed to participate in the study.

School and Leader Profiles

In order to understand the context of the three cases presented in this study, it is important to understand the history and background of each of the schools presented as well as the basic qualifications of their leaders and circumstances of their respective transitions. Those narratives are presented here.

The History of School A and Leader A's Leadership Transition

School A is a private, Catholic suburban high school located in the American South. It has a faculty of approximately 90, and an enrollment of approximately 900 students in the 9th to 12th grades. The school has been in continuous existence since 1960, and was operated by a religious order exclusively until 2002, when the school hired its first lay leader. Leadership successions that featured a leader who was not a member of the religious order that had historically run the school have therefore been uncommon, and there were no leadership transitions between 2002 and when Leader A took over in 2009. The previous leader had been heavily involved within the school and the community, and had various leadership roles at the school (before taking over as the principal / president) for nearly 20 years. In addition to this, the previous leader's spouse worked for the school and all of the leader's children had attended or were attending the school at the time of the transition.

Leader A was not unknown to the school. Leader A joined the staff out of college in 1998 and served as a teacher and a coach until 2002, when he decided that he would become a Roman Catholic priest and joined the seminary through the local Diocese. Leader A followed a non-traditional certification route and entered into education through a service-learning program that provided graduates with little to no

background in education with training while teaching. Through this program Leader A received a Master's degree in education, but had no administrative training or administrative experience.

Leader A was ordained to the priesthood in 2007, and his first assignment was as a chaplain to School A three days a week. This was not connected to a formal administrative or teaching role, and his formal job was as an associate pastor of a local parish. This continued for one year, until the local superintendent of Catholic schools advised Leader A that he would be asking the Bishop of the Diocese to install him as the leader of School A. In the early part of that year, the Bishop informed Leader A that he would be moving him to take the role of President of School A. Beyond brief conversations between Leader A, the Superintendent and the Bishop, there was no formal interview process of any kind, and no one at School A was told that a change was a possibility. In fact, the only other person to learn about the leadership change before it happened was the previous leader, who was informed about a month before the community in general was notified. During this time, a job description was not shared with Leader A, and he did not have to produce a resume or other credential. Besides a familiarity with the school, he did not have any kind of formal leadership training or experience, nor the certification that would typically be required by such a position. While he did have a Master's degree, the degree itself was not in administration or connected to administration.

The faculty and general community were informed in December of 2008 that the change would be occurring. From December 2008 to June 2009, both Leader A and the previous leader remained present and in their roles at School A. Leader A described the

situation as "just the whole transition wasn't handled well," and acknowledge that "the way that was handled, and the way that was announced, was widely criticized here." In summary, Leader A could be considered an internal candidate, albeit one that self-described his interest in the position as "I didn't want it," did not need to generate a resume or view a job description, and never had to interview in any sense of the word. As such, it is logical to conclude that the factors leading to his hire were not related to observable job skills, traditional formal education, administrative experience or the expressed desires of the community.

The History of School B and Leader B's Leadership Transition

School B is a private, Catholic urban high school located in the American South. It has a faculty of approximately 50, and an enrollment of approximately 500 students in the 6th to 12th grades. The school was founded in 1926 as an all-boys private high school, and operated as a boarding school and all-boys school of varying grades until 1986, at which point it became co-educational. It had experienced head leadership changes throughout the years, but these leaders always tended to be priests from the religious order that founded the institution. The previous leader was a priest from that particular religious order, and was voted into an internal leadership role within the order in 2010, necessitating him vacating the position rather unexpectedly and also in the middle of the school year. The leader had been in place for approximately a decade and had ties to the community before that time. He had formal leadership training and also held a Doctorate in Education.

Leader B was an internal candidate to the job, and had served within the community in various capacities (some in administration) over a 25 year period. Leader

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B's service to the school was not continuous and featured administrative stops at a local public school district. The original "transition" occurred with a note to the community in the community newsletter informing them that the current headmaster, the priest who had been in the position, was becoming the Provincial of his religious order and that the day-to-day duties would be undertaken by Leader B. Leader B was told that his role would be on an interim basis, and that the community had "a couple of priests that we're talking to about filling the spot." In this way, Leader B fully expected that the position would be temporary and he would return to his other administrative duties. The final decision to remove the interim title from his leadership arrived that summer. Leader B described the transition as, "by the summer they realized no one else wants to do it, and it seemed to be working okay, so they just said, why don't we throw you in there, and you just take it, and I enjoyed it, so I said okay. And honestly it was that simple."

There was no formal interview process, and Leader B did not have to submit a resume. In order to maintain the role after offered, he was asked to get his superintendent's credential, and he did return to school in order to receive the formal education necessary to achieve that certification.

Again, the faculty and general community were not involved in this process. While it could certainly be argued that Leader B was more known to the community and had demonstrable leadership experience (and within the particular school community context), he did not have formal leadership certification, and was not asked to review a job description before the transition occurred. The announcement seemed to go better for School B; when Leader B was formally introduced as the new leader,

Leader B described the reaction as "I mean, most of them were just like, 'we were relieved,' because they knew what they got – they knew what they were getting. I don't know if any of them were excited, but they were relieved."

The History of School C and Leader C's Leadership Transition

School C is a private country day school located in a rural setting in the American South. It has a faculty of approximately 50 teachers, and an enrollment of approximately 325 students in the preschool to 12th grades. The school was founded by lay leaders in 1984 and has never had a religious affiliation. In 2002, the school added the first high school class and expanded that over the following years to reach the current offerings. Throughout this period, the school was managed by the founder, and had never experienced a leadership transition.

Leader C was an internal candidate to the school. He had been involved with the community in various capacities since the late 1990s, first as a parent and volunteer, and then as a part-time employee involved in various administrative functions. The main leadership team of head and assistant head of school were a married couple who had founded the institution and served in those roles until 2004, when the assistant head of school left to take on a role within a local non-profit. For a brief time, Leader C assumed these duties and responsibilities, but then left the state due to family circumstances. Although the leader left the school, he was still involved with the community and remained a member of the Board of Trustees. It was during this time that he was approached by the former leader and asked to take a role within the development department of the school. Leader C agreed to the transition after stipulating three conditions: a family requirement, not dependent upon the school, a

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salary requirement, and the assurance that when the head of school decided to step down, he would have an opportunity to apply for the position. This was a condition because the head of the middle and upper schools was the current leader's son.

It is therefore very clear that Leader C was known to the community in various ways, and it is also very likely that due to his conditions, at least the previous head of school considered him a viable leadership candidate. As such, it would be unfair to claim that Leader C was not evaluated between the time he returned to the school and when he was eventually named as the next leader; it is probable that the current leader was doing this while Leader C was working. Leader C believed that in many ways, his return was emblematic of a succession place, albeit one that was not formalized. Despite the apparent desire to move Leader C into the role, he self-identified that he was missing the formal leadership requirements necessary for the positon. As such, he went back to school to get a Master's in Educational Administration, Curriculum and Supervision. Despite this, Leader C never had any teaching experience, although he acknowledged that the formal education program provided "a clue about how to manage faculty and curriculum."

The actual transition from the previous leader to Leader C began in 2011. At that time it was fairly well known within the community that the current leader was nearing the end of her tenure. School C was concurrently going through a strategic planning process, and Leader C approached the current leader to express concerns that the strategic planning process may devolve into less about what would be best for School C in the future, and more about replacing the leader. After some reflection, the current leader decided that she would announce her retirement before the strategic

planning process began. According to Leader C, by that point the Board had largely decided that they would award the head of school position to Leader C. They had not asked for a résumé and were not as familiar with his qualifications as the previous leader had been, and Leader C was not given a job description or other formalized expectations for the role. Leader C was also the only leader who could be described as having gone through some type of interview process. Leader C describe this as, "[the Chair of the Board said], 'we need to come up with some protocols for how we look for a head, just because, even if we want [Leader C]. So what we'll do is we'll test with him and if we decide it's not the right thing we can open it up to the outside.'"

This process involved members of the Board being allowed to conduct individual interviews with Leader C if they so desired, and then would be culminated by Leader C creating a presentation of his choice for the Board of Directors. In the end, fewer than half of the members of the Board chose to interview Leader C, and the interviews themselves were more informal and social in nature. Leader C described his presentation as confirming the decision for many of the board members, largely because he shared his background and previous experiences. The result of these things was that the Board decided to accept Leader C as the new head of school. Throughout this time, the faculty was not notified. People close to the previous leader, including her son, were addressed informally by the chairperson of the board, but were not consulted regarding their opinions and Leader C did not believe anything they shared factored into the Board's final decision. The entire process took approximately three weeks, and the first formal indication that the faculty had was when the retirement and replacement was announced by the chairperson of the Board.

Leader C then spent the year as the named successor and used the time to acclimate to the job with the previous leader. While Leader C's experience comes the closest to a formalized succession process, the manner in which it was undertaken still points to the idea that traditional qualifications were not as important other factors; again, Leader C did not generate a résumé, was not given a job description and experienced only cursory interviews. In fact, his experiences and previous jobs became a confirmation for the Board's decision as opposed to a direct reason, as they only learned about them after essentially informing Leader C that the job was his to lose.

Data Collection

Data collection took place over six months and included in-person interviews, email and phone call follow-up to those interviews, and school demographic data and artifacts related to the transitions (if any existed), and faculty members were given an online survey of faculty that featured both an organizational identification scale as well as a leadership endorsement scale as adapted from Platow and van Knippenberg (2001). The survey also included several open-ended response questions regarding characteristics of the organization and its leader, and asked for examples of how the leader had changed during his tenure. The survey is included as Appendix E. Initially, in-depth, in person interviews were undertaken with the new leaders of each respective school. Each interview was based on the leader profile protocols developed before the study began, and the questions can be seen in Appendix F. Following these interviews, the research protocol dictated talking to the hiring committees of each school in a focus group setting. As is seen in the studies, however, in actuality nothing resembling a hiring committee existed in two of the schools, and in the third, the members who made

the final decisions in the hiring process were no longer with the organization, and due to the circumstances regarding their departure were no longer available to be interviewed. This resulted in moving focus from those who made the decision to the perceptions and values of the leaders and followers for each school.

In-Person Interviews

In-person interviews were conducted with the new leaders at their respective schools and in their offices to create a sense of ease and convenience. Interviews lasted between forty-five minutes to an hour and fifteen minutes, and all participants were asked the same questions as shown in Appendix F. As demonstrated, the word "prototype" was not mentioned by the researcher, and all questions sought to have the respondents define the conditions related to prototype without overtly asking. Interviewees were told that the researcher was exploring leadership transitions and how they occurred. Slight deviations were made in each interview to probe topics that were either addressed incompletely or required additional follow-up, but the corpus of each interview was consistent. Each interview was then transcribed for easier future data analysis. Following transcription, follow-up questions and clarifications were asked either in person, by email or by phone, dependent upon the preferences of the interviewee.

On-line Surveys

Online surveys were distributed to all full-time employees of each of the three schools. The survey can be seen in Appendix E. There were four sections to the survey. The first section was a measure of organizational identification, as developed by Platow and van Knippenberg (2001). This was followed by a leadership

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endorsement scale, also from Platow and van Knippenberg (2001). Both scales were

presented in a Likert scale format with a six item response set This was followed with a

question regarding their likeliness to vote for the current leader if a vote were held, and

then a series of open-ended questions to determine qualities that might make up the

organizational prototype as well as whether or not the current leader met those

expectations or had changed to meet those expectations. There were 95 surveys sent to

the full-time employees of School A. 57 surveys were returned with useable response

data for a response rate of 60%. At School B, 50 surveys were issued with 19 returned

that had useable responses for a response rate of 38%. At School C, 105 surveys were

sent to the full time staff members, and 24 useable responses were returned for a

response rate of 23%. Again, there was no direct mention to "prototype" or social

identity theory within the surveys; within the consent document and solicitation to

participate, respondents were told that they were taking a survey regarding the

leadership transition that had occurred at their particular school.

Data Analysis

Data analysis was undertaken in order to identify evidence that either supported

or disputed the propositions derived from the logic model. From Yin's view, logic

model analysis is close to but also different from pattern matching (2014). In order to

best analyze the data collected in relationship to the model, it was important to start

with the first proposition: a prototype exists within the organization, and leadership

transitions lead to refinements of the prototype. Even if there was no change, how did

the new leader come to reflect or be different from the group prototype? Testing of the

propositions started with data reduction. First, transcripts of the interviews were coded

to reflect evidence that was related to the logic model. These ideas were then further separated by the concept from the literature that was most relevant. An example of this analysis is presented in Appendix B. This analysis also provided data that could be used in conjunction with the surveys to determine if leaders and followers shared perceptions about aspects of the organization or themselves. For example, leaders were asked if they had changed since they took over the leadership position; this was then placed in direct contrast to what their faculty thought about whether or not they had changed (Appendix A).

The information from the leaders therefore served as the primary data source for interpreting the leadership transition, but the surveys also proved invaluable as a way to verify the information shared by the respective leaders and as a way to demonstrate concepts identified by the literature. Again, data reduction was necessary in terms of the surveys, and the first step was to separate out responses from employees who were not present during the transition. From there, scores on the Likert sections of the survey were used to identify high, low and non-identifiers with the organization. Because low and non-identifiers would be unlikely to connect with the group prototype (Rast III, et al. 2012), their view of whether the leader was prototypical was less important than those with high identification. This created two distinct sub-categories: high-identifiers that were present during the transition, and low and non-identifiers that were present during the transition. In order for prototypes to exist, there must be a group of high identifiers within the organization, and in all three cases the majority of all respondents fell into the category of high-identifiers. There were very few non-identifiers at any of the schools, which would make logical sense for private organizations that have strong

faculty stability. These groups were used to primarily answer questions directly related to the transition itself. If the leader was prototypical as the model would suggest, he should also have a high leadership endorsement scale number, and those values were averaged to create a better sense of meaning. In order to visualize these responses and display the data, a number of working charts were created to show descriptive correlations and connections between answers. Many of these figures are available within the findings section.

Some elements of the logic model required data that were not dependent on whether the identifier had been present during the transition. This would include descriptions of prototype and correlations to likelihood to vote for the leader. In this case the focus was less on the actual transition and more on the thoughts and feelings that were connected to the organization, its prototypes and relationships with the leader. For example, when exploring whether or not high identifiers would be more likely to vote for the leader than low identifiers, there was no need to further delineate whether those identifiers were present during the transition. The varying sample sets are noted within the analysis section and in the descriptive charts when necessary.

It was also necessary to make sense of the open-ended response questions. Two of the questions were directly related to organizational prototypes. Essentially, respondents were asked to identify traits that they considered to be organizational prototypes and then identify how many of those traits were connected to the leader. Again, the data display was undertaken in a number of working charts and matrices; some of the figures eventually became part of the final data presentation in the results section of the study. See Appendix C for an example. Some nuance was required

within this analysis, as some respondents included negative traits in their description of the organization but then chose not to include those in their description of the leader. This is addressed in the findings section. For example, if respondents issued three characteristics with two being negative, there would only be a .33 correlation between defined prototype and leader. Within these situations, it was important to analyze each set of responses as a unit in order to glean meaning from the whole, such as by comparing the statements made with a respondent's likelihood to vote for the leader if given a chance.

Open-ended responses about prototypes were also analyzed in order to derive an internal core of prototype behaviors. Responses were categorized by domain; for example, characteristics that were related to the idea of "caring" may have been classified in individual responses as "compassion," "care," "caring," or "being kind." For each school, there emerged two to four major values that were consistent across high-identifiers within the organization. These were then compared against values that high-identifiers found to be consistent or inconsistent with the leader. Concepts expressed in the open-ended questions were not consistent across schools. School C, for example, used a number of interchangeable terms to describe the concept of "tolerance for beliefs" including "allowing others to be who they are," accepting," "openness," "tolerant" and "non-judgmental." At the other schools, "openness" was referenced as a welcoming aspect. There were also individuals who used the term "openness" but also used terms that referred to an intolerance to other belief systems. Additionally, some schools had a strong delineation between "faith" and "spirituality," while others used the terms interchangeably. Examples of words or phrases that go into

each domain are mentioned in the results section and examples can be viewed as a part of Appendix C.

Data were also examined to determine if prototypes for the organization and prototypes for the leader were different. This involved creating a matrix for each school that compared consistent terms used to describe expectations of leadership behaviors that could be compared to terms used for the general prototypes for each school. At times, it was helpful to compare individual open-ended responses to some of the numerical values that were collected from the surveys. For example, the numerical value for likeliness to vote for the leader was calculated for individuals who felt the leader had changed. Individual Likert scale analysis was also done on the Leadership Endorsement Scale to see if there were any trends among responses to the questions, and specifically to see if the two domains of type of people versus the characteristics of people would produce different scores for each of the leaders.

In addition to those open-ended questions and Likert scale connections, analysis was done in matrix form on responses that were meant to indicate what expectations the organization has for leadership, and whether the leader who was hired met those expectations in the view of the individual responding to the survey. Finally, the surveys were also used as described to either confirm or contradict statements made by the leaders during their in-person interviews.

Conclusion Drawing

The data analysis led to conclusions about the logic model and propositions. Because the researcher is a member of the larger community in which each of the three schools reside, care was taken to avoid allowing outside information to cloud the

judgment of the findings, and only data that were collected through this study were used in the final analysis. It would be unfair to say that there were no pre-conceived ideas that existed; however, analysis of the data quickly showed that external perceptions of the various schools did not necessarily reflect the data presented. In that way, it became easier for the data to speak for themselves and drive their own narrative. As themes began to emerge regarding a particular aspect, the researcher continued to verify these themes by confirmation provided directly by the leader or by the survey data. Using Yin's (2014) approach to logic model analysis allowed fair conclusions to be drawn about the model for these three particular schools.

It is also important to mention that procedures asked interviewees and survey respondents to reflect on past experiences; in all cases, this involved the passage of time measured in years and also would logically include the sense making that each individual had used to understand these events. Elements of the interviews were interpretations of the past events, most likely colored by the current events and current perceptions of the schools in question as opposed to direct factual accounting of each event. Whenever possible, the researcher used ancillary data sources (annual reports and memorialized communication, for example) to verify assertions made by either the leader or the survey respondents.

A second important aspect is that because prototypes are "a fuzzy set of attributes (perceptions, attitudes, feelings, and behaviors) that are related to one another in a meaningful way and that simultaneously capture similarities within the group and difference between the group and other groups or people who are not in the group," (Hogg, 2006 p. 188), there stands to be interpretation of whether interviewee responses

are related to prototypes or not. As this was not a study of whether followers within an organization could accurately describe prototypes, it was less important to see whether or not prototype descriptions were important, but rather if prototypes were consistent across domains; for example, analyzing responses to ensure that descriptions of the organizational attributes and those of the leader were consistent. These elements were taken into account during the process of forming conclusions and are mentioned in greater depth in the results section.

Summary

The data collected were used to compare the cases against the theoretically derived logic model. In addition to the direct interviews with the current leaders of the school, survey responses were used to explore themes related to the logic model and propositions. The researcher took care to understand the lens that each respondent was using to describe the events recounted here.

Chapter IV: Findings

Introduction

Evidence from the empirical investigation is explored through the logic model for leadership transition that was derived from social identity theory. The logic model specifies four interdependent stages of transition: prototype formation, initial evaluation of prototype as related to leadership entrance, adjustment to the prototype, and evaluation of success. Evidence is organized and presented by these four stages and then secondarily by school, allowing for a comparison of the three schools within each phase of a transition. The chapter concludes with evidence regarding the awareness of prototypes by the leaders.

Prototype Formation

In order for prototype formation to occur and be valid, it is necessary to have high identifiers within the organization. Although it would be difficult to conceive of an organization that was made up of non-identifiers, each of the schools was evaluated to ensure that respondents could be classified as high, low or non-identifiers to the organization, based off the identification scale offered by Platow and van Knippenberg (2001). Each of the cases studied here featured respondents who were primarily high-identifiers, which is shown in Figures 2, 3 and 4, respectively.

As represented in Figure 2, at School A, thirty-five respondents were classified as high-identifiers, meaning that the average score for responses on the organizational identification Likert scale was five or above. Low-identifiers had average scores

between four and five, and eighteen respondents were in this category. Non-identifiers

had average scores below four, and three respondents were at this threshold.
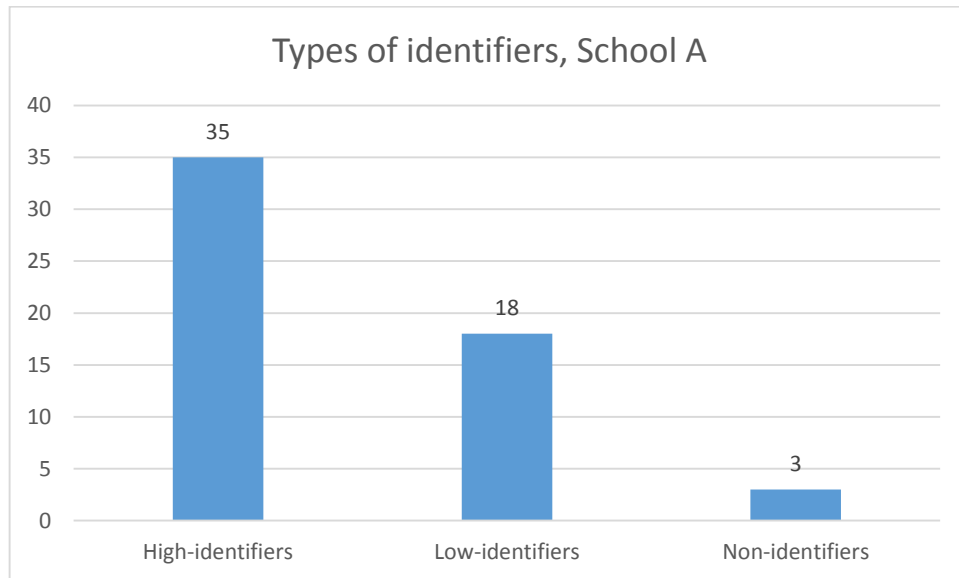
Figure 2. Number of High, Low and Non-Identifiers, School A
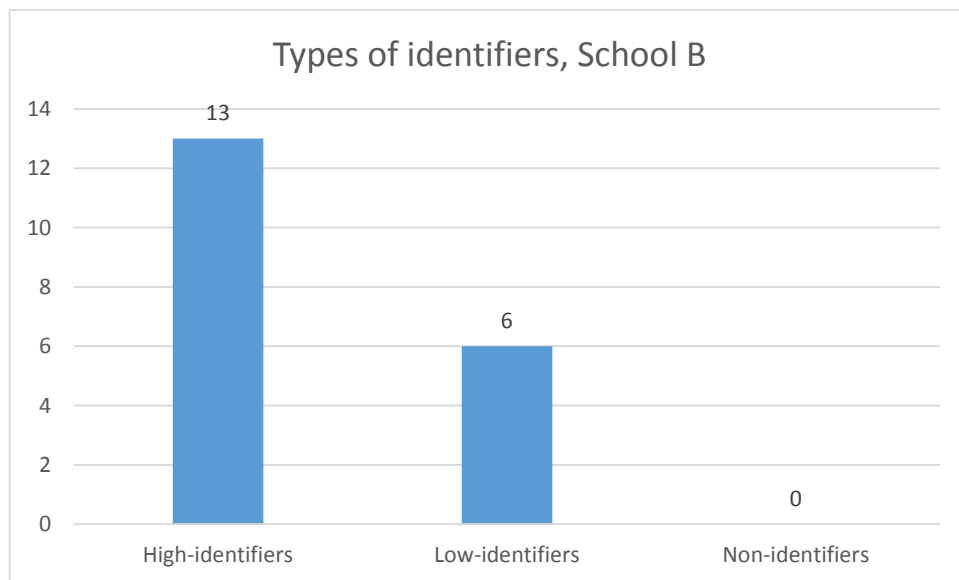
Figure 3. Number of High, Low and Non-Identifiers, School B
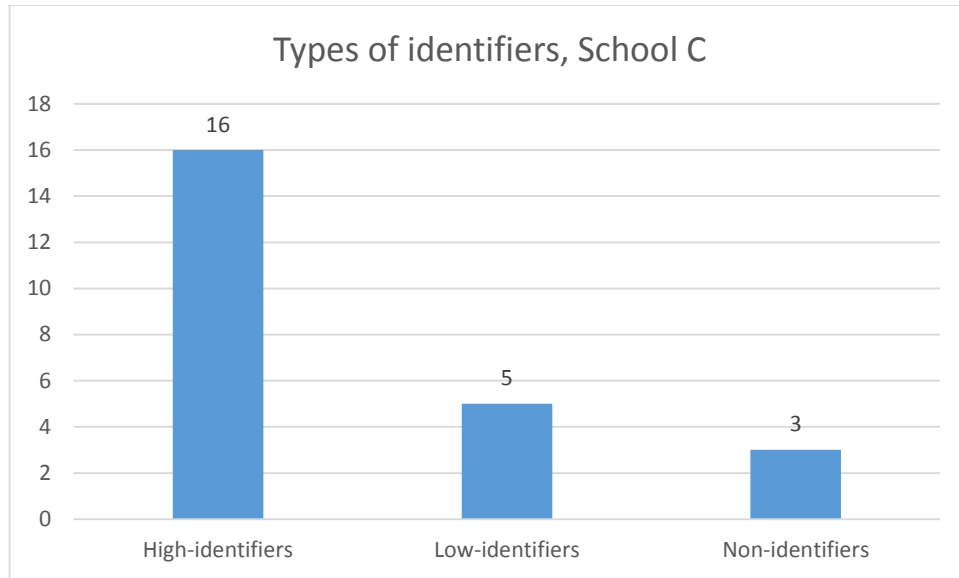
Figure 4. Number of High, Low and Non-Identifiers, School C

As represented in Figure 3, at School B, thirteen of the respondents were high-identifiers and six were low-identifiers. There were no non-identifiers at School B. As represented in Figure 4, at School C, sixteen of the respondents identified as high-identifiers, with five low-identifiers and three non-identifiers. While the number of high-identifiers is important, the more important fact is that each school had strong identification from the respondents overall. The relatively large proportion of identifiers to non-identifiers provides a rich base by which the research could be conducted, and ensured that the theoretical constructs could exist in each case. Based off the previous research, it was therefore probable that prototypes were in existence and that the members of each school were aware of characteristics by which those prototypes could be categorized. Furthermore, high-identifiers would be able to provide evidence and data from which prototypes of the organizations could be derived.

65

Descriptive survey data from the faculty also support the existence of prototypes in the schools. When responding to the question "If the school were a person, what types of traits would it have?" the faculty of each school showed a consistent identity or set of traits. At School A, characteristics fell into three major categories: caring, friendliness / welcoming, and faith and values. Hard work / dedication was seen in responses but this characteristic was not mentioned as often. In a follow-up interview, the leader of School A was asked whether these three categories were reflective of the school culture, and he confirmed that they were, and indicated that he would not have added any additional themes. As such, the prototype of School A was established as caring, friendliness and faith, with hard word / dedication being an important value to consider.

At School B, there were two major themes that emerged: caring and faith / ethics. Traits of intelligence and inclusivity were present in responses but not mentioned as frequently. The leader of School B indicated that these values were consistent with the general themes of School B, and also reflected the motto that School B uses. This therefore established the prototype of School B as caring and faith, with intelligence and inclusivity being important additional values. Due to the number of mentions, however, intelligence and inclusivity did not appear to rise to the level of a consensus prototype.

At School C, there was one major theme that was nearly universally consistent: accepting. Caring and innovation were other common traits mentioned, but these were not identified as often. Traits identified by a few respondents were related to the environment, creativity, and progressiveness. The leader of School C confirmed that

there was a stress at School C on the ideas of being innovative, accepting and nurturing, and so he felt that the faculty impressions were correct as well, despite the fact that the term he used, "nurturing" was not exactly the same as "caring," and none of the respondents actually used the word "nurturing" or derivatives of "nurture" to describe the organization or the leader. Due to this, the prototype of School C was established as accepting, innovative and caring, with creativity, progressiveness and the environment as important additional values.

One aspect about School C that was different from Schools A and B were the second level values. Both School A and B had respondents coalesce around two or more major consistent themes. School C really only had one consistent theme, with the remainder of the characteristics that they described all being roughly mentioned in similar numbers that were less than the overarching prototype of acceptance. Primary analysis was done using the term accepting as the primary prototype, but additional consideration during term-matching was provided for the terms creativity, progressiveness and the environment.

Because strength of organizational identification was measured for descriptive purposes, it was also possible to investigate whether there was a correlation between years of service within the organization and the strength of organizational identification. This connection is important as it can inform the idea that prototype is an actual construct and not merely just a factor of longevity within an organization. Essentially, these data show whether new entrants into the organization built organizational identification over time, or whether reflection on the prototypes presented by each school led to the individual teachers and staff members choosing these organizations. It

is important to remember that unlike a laboratory setting, all organizations studied within these case studies had a two-way selection process: not only could they choose employees, but the employees could choose to work or not work for them. It would seem to make logical sense that on a long enough timeline low and non-identifiers would exit the organization leaving only high-identifiers as those who would experience long tenures. The data presented here does not confirm or deny either conclusion. Scatter plots showing the strength of organizational identification and its relationship to years of service follow and are represented as Figures 5, 6 and 7 respectively.

Figure 5. Correlation between Organizational Identification and Tenure, School A

At School A, there seemed to be no connection between strength of organizational identification and longevity. New entrants into the organization were just as likely to be high-identifiers as those who were there longer. This would imply that at School A, organizational identification is not built over time, but it does not rule

out that low or non-identifiers may exit the organization quickly; this is covered in

greater depth within the discussion section.
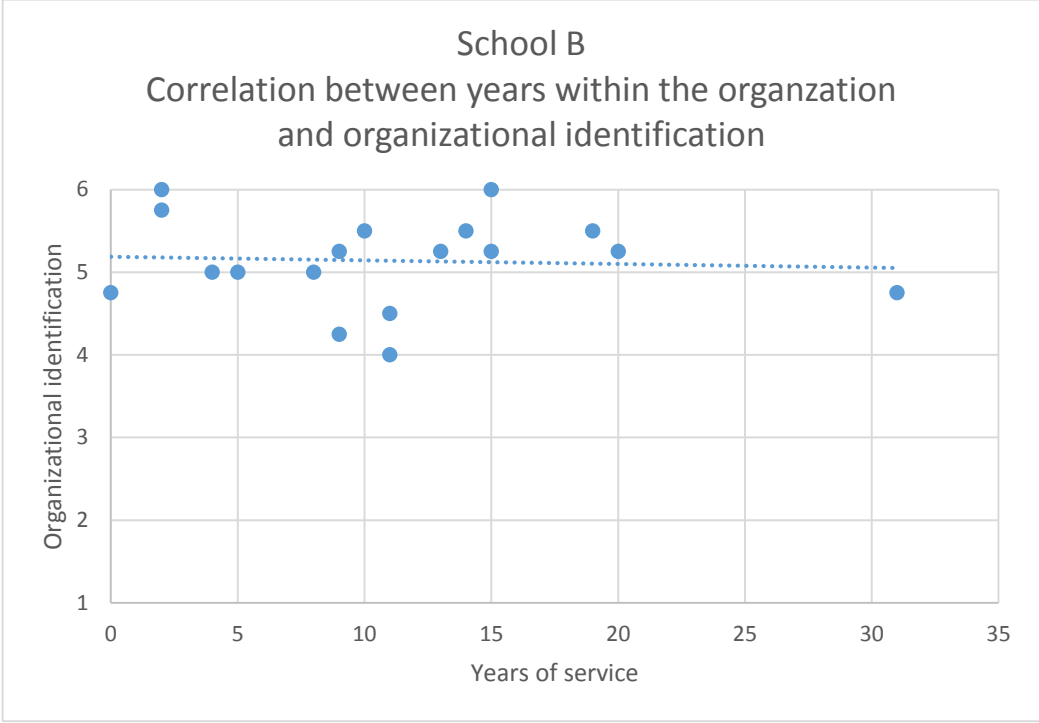
Figure 6. Correlation between Organizational Identification and Tenure, School B

At School B, there was a very slight decrease in organizational identification in

relationship to longevity within the organization, but the organizational identification

was also relatively stronger than that of School A, and School B had no non-identifiers.

The data as they are presented here certainly do not support the idea that members of

School B would have lost organizational identification over time.

At School C, there was a trend of increasing organizational identification over

time. This trend was lessened when removing the two outliers who were relatively new

to the school, and this may explain the appearance of a trend within the data of School

C.
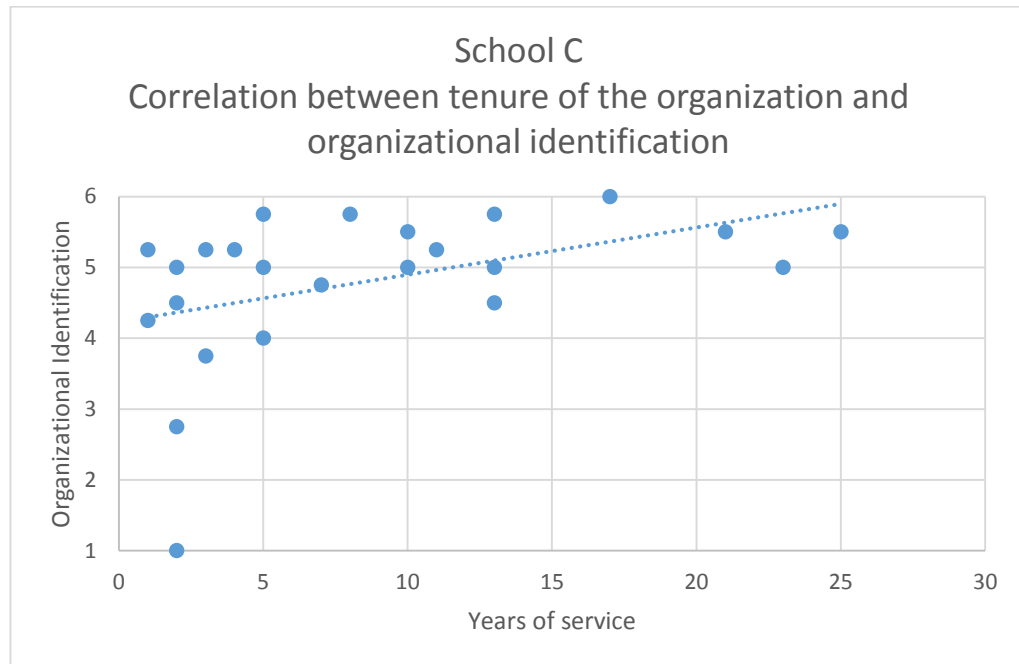
Figure 7. Correlation between Organizational Identification and Tenure, School C

Within School A and B, there was little to no correlation between the years of
service and the strength of organizational identification. This may be more related to
their length of existence and more stable identity over time. At School C, the relative
trend was lessened by ignoring the two outliers who were new to the organization, and
the trend may be coincidental. Whether or not organizational identity in School C
increases concurrently with years of service is addressed in the discussion.

Data were also collected to see if there was a specific prototype as related to
leadership within the organization; essentially, this was to address whether, in addition
to the general prototypes, leaders within the three schools were also expected to

conform to leadership prototypes. It may also have been possible that leadership

prototypes, instead of augmenting the general organizational prototype, operated in lieu

of the general prototype. To explore this, the question that the respondents were asked

was: "What are your organization's expectations for the type of people who will be

leaders?"

At School A, faith was the consistent trait mentioned by high, low and non-

identifiers. In all there were twenty-one mentions of faith. The next consistent trait was

intelligence, but it was only mentioned five times. High-identifiers were more likely to

believe that the organization did have expectations for the type of people who would be

leaders; out of thirty-five respondents, only seven did not know if there were

expectations or did not list any. Low and non-identifiers were much more likely to

either not know if there were expectations or to choose not to respond to the question.

Out of twenty-one respondents, thirteen (or 62%) did not list any. Of the thirteen, one

respondent indicated that he or she knew the leader needed to be Catholic, but otherwise

did not know of additional expectations.

The leader of School A offered insights into why a consensus theme of faith

may be present, as well as evidence as to why general expectations for leadership were

not mentioned. First, the faculty and staff were not involved in the transition or

decisions related to the transition in any way. Instead, the Superintendent of the local

Diocese and the local Bishop unilaterally made the decision. Faculty members were not

aware that a transition would take place when the decision was made, so they also

logically would not know whether or not leadership expectations of the previous leader

were being achieved. There were concerns about the performance of the previous

leader of School A, but the concerns were more in line with the extent of job responsibilities as opposed to a failure to achieve those responsibilities. Leader A acknowledged that this seemed to be a shared belief:

> "I heard it from teachers, I heard it from other administrators and from donors especially, [the previous leader] was a great principal, but wasn't fit to be the president. And he had both roles – he was president and principal – and so was very involved in a lot of the academic decisions which was good, but then was also out fundraising, and so I kept hearing that."

Leader A offered additional comments that would suggest a strong preference for a leader who was connected to a religious order was stressed both at the time of the previous leader's hiring and then in regards to the hiring of Leader A. Leader A stated, "in 2002, there was a search, and Bishop made it very clear that he wanted a [member of a specific religious order]." He went on to say that the general talk around the hiring was: "[people would say], so you don't want someone who is qualified to run a school? Who is an excellent school leader? You want a priest or a sister. As if he would take an incompetent brother, versus a competent lay person." This was seen in the open-ended responses as well. These statements and general thoughts from the administration may have shaped the idea of leadership for School A as a connection to faith and values, which was also consistent with the overall School A prototypes.

The leader of School A also made it clear that while he was concerned about portraying certain attributes to the community no one involved in his hiring process suggested, explicitly or implicitly, that they were looking for a type of person to be leader, implying that an expectation for a type of person was not consciously offered. When directly questioned about this, Leader A responded: "No. I guess that's funny."

In this way, it is again unlikely that any type of leadership prototype was conscious for either the administration or the faculty of the school. Despite this, the members of School A largely still believed that Leader A was the type of person that they expected to lead the organization, with a fairly definitive split for high-identifiers. This is demonstrated in Figure 8. As seen in the graph, respondents were asked to identify whether or not the leader was the type of person that they expected to become the leader of the school. High-identifiers were very likely to state that Leader A was the type of person that he or she expected. Twenty-one of the responses indicated this, to only four responses that felt Leader A was not the type of person that they expected. Ten responses indicated that the leader somewhat met the respondent's expectations or chose not to respond. Low and non-identifiers offered responses without a clear consensus. Seven believed that Leader A was the type of person that they expected, while six did not believe this. Eight believed that the leader somewhat met his or her expectations or chose not to respond.

If members of the community, whether they were high or low-identifiers, believed that they could determine if Leader A was the type of person that they expected, it would remain logically consistent with the idea that members of the community must have been evaluating the leader on some set of criteria, even if that was not a specific leadership prototype.
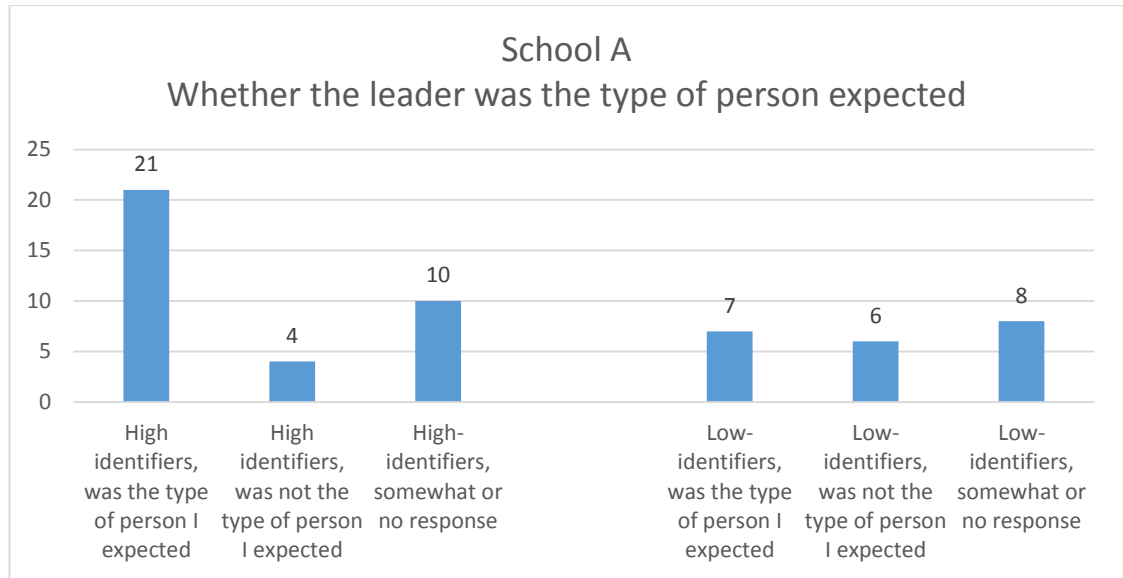
Figure 8. High and Low-Identifiers Responding on if the Leader was the Type of Person Expected, School A

At School B, there were consistent themes among the high-identifiers. Out of twelve responses, only one (or 8.3%) did not know about leadership expectations. Of the remaining eleven, seven identified values that were consistent with the general themes of caring or faith / ethics. Beyond this, there did not appear to be specific expectations for leadership that were different from the general organizational prototypes. Among low and non-identifiers, two (or 33%) did not know about expectations. Out of the remaining four, three listed faith / ethics as a characteristic necessary for leaders at the school.

The process used to hire the leader of School B could also inform the reasons that there were no specific prototypes for leadership identified. The faculty at School B were not involved in the hiring process, and they were not informed that a transition was occurring until it was already completed. At the outset of the transition, it was

generally thought that Leader B would be a placeholder; Leader B stated: "when I was approached it was on an interim basis." Over the course of the following months, the faculty was not consulted on what they wanted to see in a leader, but their general expectation was that the new leader would be a priest, which was consistent with those that had a historical connection to School B. Leader B described the uncertainty that had come with previous transitions as: "I guess since the time I've been here, there was one, two, three headmasters, in that time. So you kind of never knew what type of leadership style the new priest would bring in, that type of thing." What was consistent was that the leader was a priest, thereby providing the religious / faith connection mentioned by the faculty for expectations of leadership. When Leader B was finally formally selected, it was less about a specific process that had been in place to measure him and more about a lack of priest candidates that were available. Leader B described that as: "by the summer they realized no one else wants to do it, and it seemed to be working okay, so they just said, why don't we throw you in there, and you just take it, and I enjoyed it, so I said okay. And honestly it was that simple."

Similarly to Leader A, Leader B did not have anyone address leadership behaviors with him or state that they were looking for a certain type of person to fill the role (beyond that of a member of a religious order, which the search did not find.) His explanation for this was different from that of Leader A. When questioned, Leader B stated: "No, and I guess it was [the previous leader] had experienced my style all those years." He did indicate that he was aware of expected leadership behaviors, but in his view, those lessons were not directly taught. "I think that just comes from osmosis," he said, largely indicating that the expectations for the leadership were more understood

than stated. Leader B mentioned that those expectations were things like faith, how to deal with students and parents and being a good listener.

Because there was nothing that was addressed directly about leadership or specifically about leadership at School B, it was probably unclear what expectations were directly and exclusively related to leadership, beyond the historical connection to a religious institution. Like at School A, the faculty at School B was receptive to Leader B, who described his thoughts on the transition as: "I think it made it a seamless transition because I was here and quite frankly I knew everybody." The data were consistent with this sentiment at School B, as demonstrated in Figure 9.
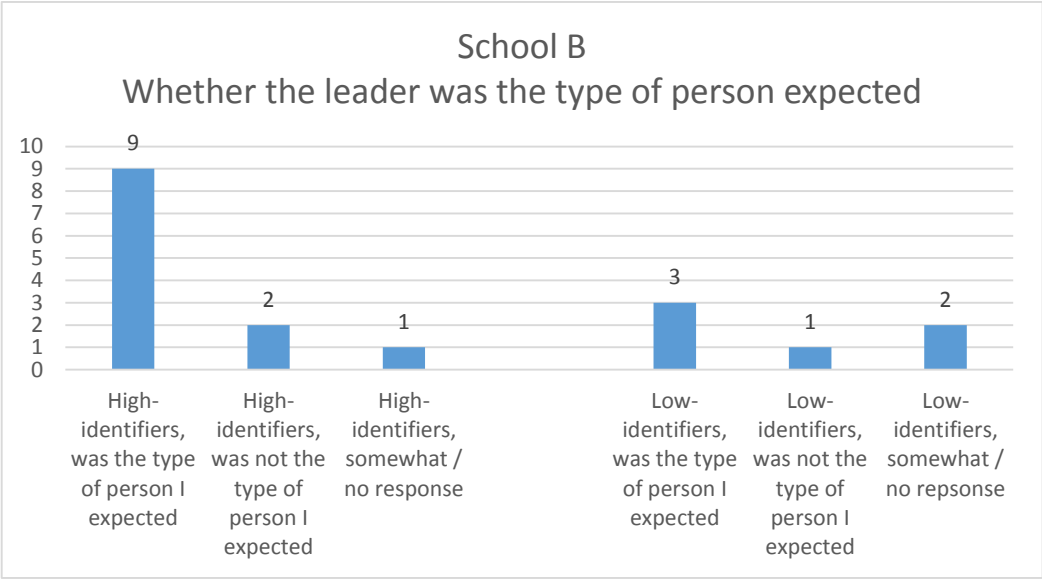
Figure 9. High and Low-Identifiers Responding on if the Leader was the Type of Person Expected, School B

Among high-identifiers, nine believed that Leader B was the type of person that they expected, while only two believed he was not and one thought he was somewhat

the type of person expected. Like it was at School A, the low-identifiers were more

mixed. Three believed Leader B was the type of person expected; one did not and two

believed the leader somewhat met his or her expectations or chose not to respond. Due

to the number of respondents who were able to state whether Leader B was the type of

person that they expected, it stands to reasons that even though there may not have been

a specific leadership prototype, the faculty at School B did appear to be evaluating the

new leader against some set of values.

At School C, the sixteen high-identifiers had no consensus on the types of

leadership expectations. Out of the sixteen, eight (or 50%) indicated that they did not

know of any expectations. This is in contrast to the other schools, where the high-

identifiers had a sense that expectations did exist. The lack of knowledge of

expectations was also present among the low and non-identifiers. Out of the seven, four

did not know of any expectations (or 57%) and the remaining three offered no

consensus. Despite there being no consensus regarding a set of expectations for

leadership behaviors, out of the twelve respondents that did believe there were

expectations, eight mentioned at least one term that was related to the general prototype

established for the school. This would in turn suggest that in the absence of a

leadership prototype, the general prototype remained important.

From a direct perspective, Leader C was consistent in that the people he spoke

to never said explicitly that they were looking for a type of person or a specific set of

skills. Despite this, he did feel that the decision itself was a kind of statement regarding

expectations and a type of person: "I think it was sort of in the decision. Because of the

way that it was done with me, they knew, they really knew what they were getting, so I

didn't have to deal with that." It is likely that this statement is more in regards to style than specific, discernable skills. Leader C mentioned that during the process for his selection that the selection group was surprised about his background and skills: "there were people in that room who had known me for ten years and had no clue about my background or where, what I was involved in." It therefore seems that a sense of "they knew what they were getting" was more about affective behaviors than it was about experience. Therefore, the statements of Leader C would support the idea that specific leadership prototypes did not appear to exist.

Regardless of the existence or nonexistence of a leadership prototype, the faculty and staff was generally united in the idea that Leader C was the type of person that they expected to be the leader at School C. This is demonstrated in Figure 10.
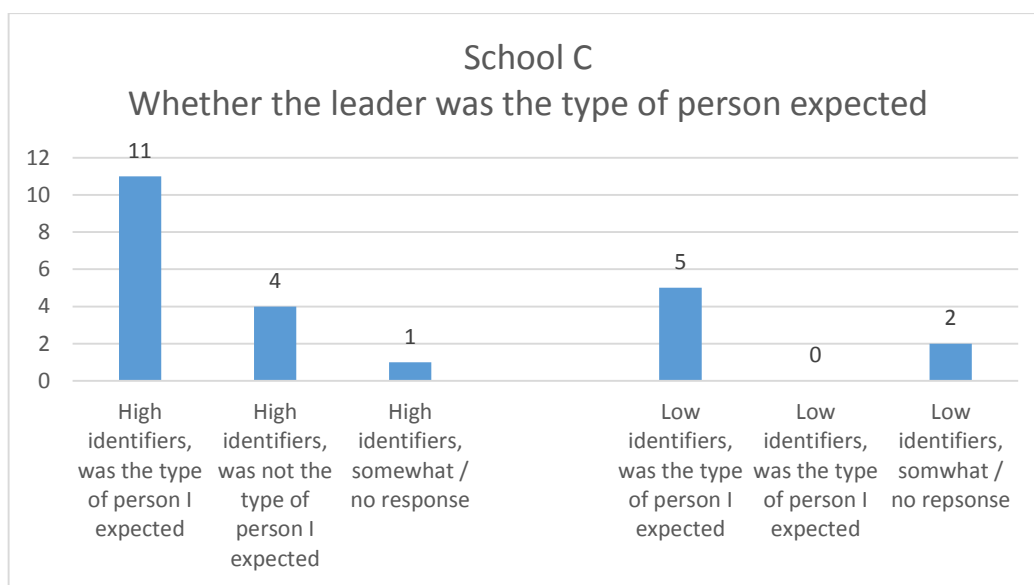
Figure 10. High and Low-Identifiers Responding on if the Leader was the Type of Person Expected, School C

High-identifiers were consistent with the other two schools. Eleven believed that Leader C was the type of person that they expected, while four did not. Only one believed that the leader was somewhat what he or she expected. In contrast to the other schools, low-identifiers were also fairly strong in believing that Leader C was the type of person that he or she expected. Five respondents believed he was the type of person expected, none did not, and only two believed he was somewhat the type of person or did not choose to respond. Although there may not have been a separate leadership prototype at School C, these results would support the idea that the faculty was evaluating Leader C.

Entrance into Leadership

Uncertainty

An assumption of the literature must be mentioned prior to reporting data about the initial entrance into leadership. Uncertainty has been shown to play a role in prototype formation and adjustment, and it was taken as a given that uncertainty would be a natural part of each of these leadership transitions. Within that idea, the typical conceptualization would be that the uncertainty of a leadership change is in part due to not knowing who the next leader would be, and the ongoing sense of worry that could accompany the issue of the unknown. In these three cases, only School B had a period of time when the faculty was aware that there was an ongoing leadership search; in School A and School C, the transition was announced before faculty members were aware that the previous leader would be stepping down. Two other pieces of information are relevant and consistent across the three schools. First, each candidate was already a member of the school in which they would come to be the leader.

Second, there was a period of adjustment at School A and School C where both the previous and current leaders were able to serve concurrently. Within School B, the previous leader remained involved, albeit from a distance and avoiding direct day-to-day interactions with the operations of the school.

While these pieces of information offer a lens through which each new leader was viewed, they do not fully mitigate or suggest that uncertainty did not exist. There was no conclusive evidence that any of the schools were actively trying to avoid uncertainty, but speculation as to how uncertainty functioned within each of the three schools is addressed within the discussion section.

Leader Connection to Prototype

Whether or not there were specific leadership prototypes is not essential to the second aspect of the logic model, but the prototype used to judge organizational fit for the individual leaders is obviously important. In order for the incoming leader to evaluate his own characteristics in regards to a prototype, there must be a prototype to evaluate against. Followers would need the same type of information by which they could evaluate of the leader. Even if there were a specific leadership prototype in addition to the general prototype, leaders and followers would need to know which prototype took precedent within an organization to know what standard was required for adjustment in later stages of the transition. Due to the lack of specific leadership prototypes at any of the schools, leaders were compared to the general school prototypes.

At School A, there is evidence to suggest that Leader A was evaluated by staff members, and in the interview Leader A reflected on how those evaluations made him change his own approach. One concern was that Leader A had decided to split the role he inherited into a principal role and a president role. With the surveys, some staff members expressed concern with this split and what it meant for Leader A's interaction with the general faculty. In contrast to the other two schools, the evaluation at School A explicitly mentioned objective skills and qualifications, as seen through a general concern regarding Leader A's qualifications. This concern regarding qualifications began almost as soon as the leadership transition was announced. Leader A mentioned that he was confronted by an individual staff member immediately after the announcement and reflected on what that confrontation meant to him:

> "That to me said [referring a comment a staff member made], she doesn't think I'm ready. And I've always kind of resented that. So she said that, and she wasn't speaking for everybody, but there was a general sense of 'what does he know?' I think they would say good guy, loves the school, passionate about kids, but does he know anything about running the school? And is this whole thing about to go into the pot?"

From his perspective, Leader A therefore believed he was being assessed immediately by the staff. From a theoretical perspective, this assessment could be related to prototype. In order to measure the concept of leader prototypically, respondents were asked to identify characteristics his or her organization would possess if it were a person. In a separate question, respondents were then asked to identify which of those characteristics were in common with the leader. The terms used were compared in three ways. First, the percentage of identical terms used to describe the leader and the organization were computed for high-identifiers who were present during

the transition and for high-identifiers who entered the organization after the transition. This was done without taking into account whether the terms used were related to the prototype or not. Second, the leader was compared to every term used by all members of the organization, regardless of identification status. Finally, the terms that were directly related to the specific organization's prototype were compared between the organization and the leader to determine if the correlations were generally consistent.

This term matching between organizational and leader traits is demonstrated in Figure 11. While consistent prototype themes emerged for School A, there were a number of terms that were used that did not directly relate to either the prototype traits established or the other important values connected to the school. Despite this, and despite the breadth of these terms, most were still matched to Leader A; essentially, this served as a measure of how connected Leader A was to the idea of the school, as measured by the impressions of the high-identifiers. Data are presented both in terms of high-identifiers who were present during the transition, high-identifiers who were hired after the transition, what the overall match of all terms used was, and finally the percentage of matching terms to the core prototype traits established at School A. Those traits were caring, friendliness and faith, with hard word / dedication being an important value to consider. Among high-identifiers present during the transition, Leader A matched 73 out of 92 terms used by the respondents (79%). Among the high-identifiers who entered the organization after the transition, Leader A matched 34 out of 35 terms used (97%). His score for core prototype traits and important values matched 46 out of 53 terms (87%), which was slightly higher than his percentage of all terms used by all identifiers, which was 107 out of 127 terms (84%). Although matching

was done retrospectively and years into Leader A's tenure, it seems likely that Leader A was in line with organizational prototypes when he entered his leadership role.
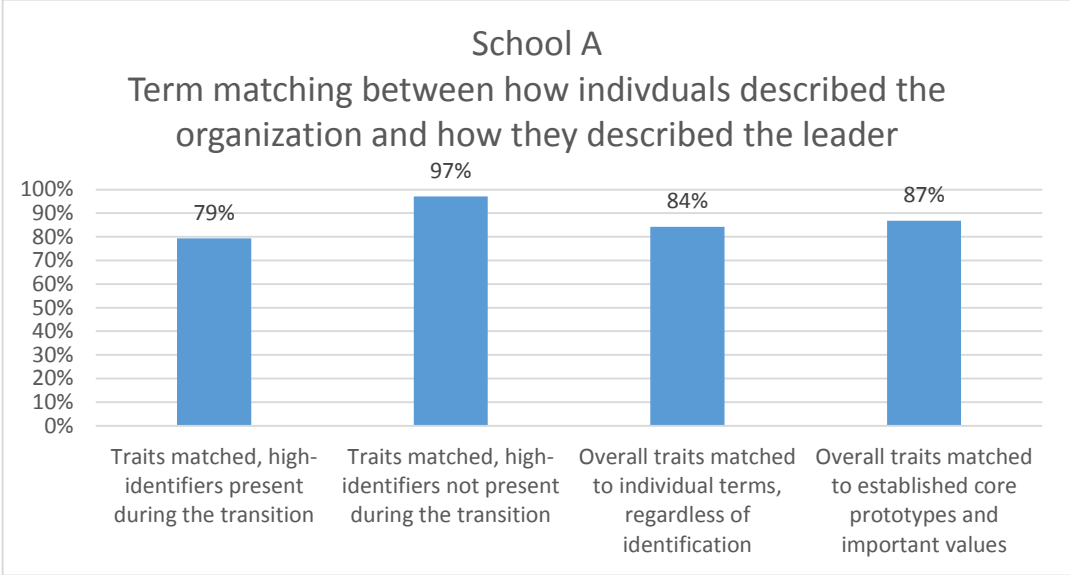
Figure 11. Consistency between Terms used by Respondents to Describe the Leader and the Organization, School A

Leader B did not describe concerns shared either with him or about him, nor did he feel that the transition itself was mishandled or negative. Leader B felt that most people knew him and his leadership style, both due to his longevity at the school and his administrative experience with the then current staff members. His description of the staff response when it was announced that he was hired was one of relief. "I mean, most of them were just like, 'we were relieved,' because they knew what they got – they knew what they were getting." Leader B attributed that relief to the idea that he had been able to work with many of the teachers and other staff members in the past:

> "[As the athletic director], athletics is huge here, so I dealt with a ton of them [teachers], because I would deal with academically for kids who were on academic probation […]. For four years I was a counselor in the middle school,

so I had that role too, where I dealt with a lot of the teachers, because we don't have a lot of turnover […] so the majority of them already knew me and dealt with me in a lot of ways."

Leader B did not have many concerns when taking over, but much of that was attributed to his knowledge of the organization. He offered evidence of a time when he had taken a job within a different school district and talked about the difficulties integrating in that context versus his job at School B. "It's just a different culture. The difficulty of becoming ingrained in that was a challenge – I think it worked out well – but it was a challenge I didn't have to go through when it came to the [School B] deal." Leader B also offered a similar story to that of Leader A when he talked about what he felt that the school was looking for him to be:

"So I try to put myself in their place and think, what would I want out of a headmaster – a guy hounding me for money all the time? A guy who tries to get to know me? A guy who cares about the kids, most importantly, someone who is not afraid to share his faith, those kind of things."

These aspects of caring and faith are two prototypical values espoused by the school, and they were also the key attributes that Leader B was attempting to show. He also mentioned intellect: "obviously academics is the most important to us," and it would therefore appear that during the transition Leader B was well aware of the basic values of the school. The data for term matching, combined with elements related to the adjustment section, would support this argument. The data regarding changes to Leader B is presented in the adjustment section, while the term matching is presented in Figure 12.
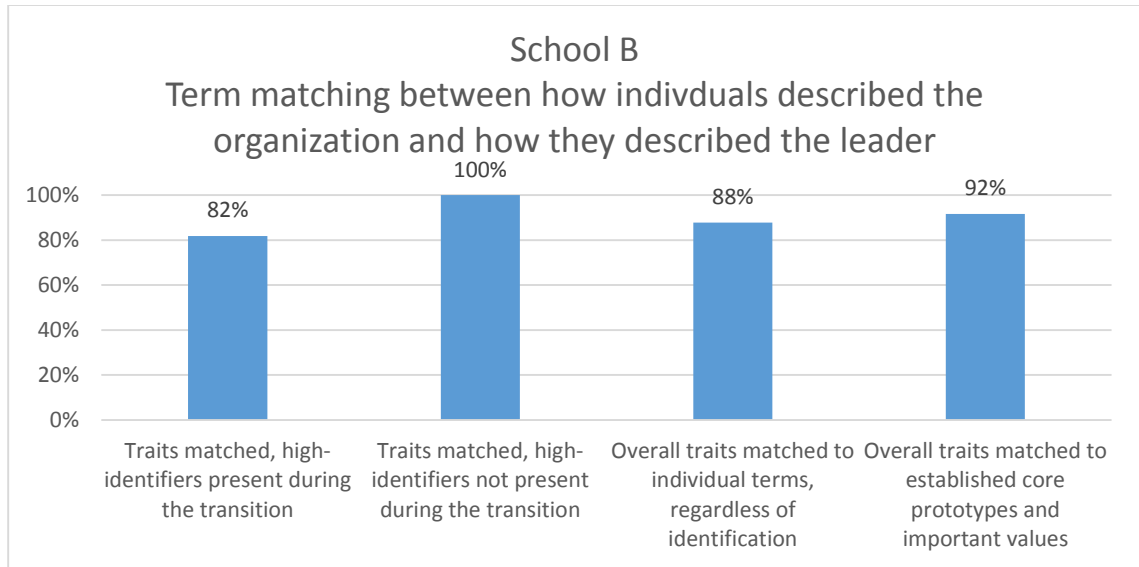
Figure 12. Consistency between Terms used by Respondents to Describe the Leader and the Organization, School B

For the high-identifiers who were present during the transition, characteristics used to describe the organization and the leader matched 27 out of 33 times (82%), regardless of whether those terms were related to prototype. For high-identifiers who joined after the transition, the characteristics matched 16 out of 16 times (100%). The prototypes of School B were caring and faith, with intelligence and inclusivity being important additional values. When taking these into account, the organizational characteristics and those of Leader B matched 22 out of 24 times (92%). Consistent with Leader A, this score on the overall terms matched, regardless of prototype and identification status, was slightly less than that of the core prototype and values with 43 out of 49 terms matched (88%). Also consistent with School A was the fact that both leaders experienced more matching of terms among faculty members who were hired following the transition than before. The important aspect overall is the continued

strong correlation between the idea of the leader and the organization being viewed as having consistent traits and values.

At School C, Leader C was given a full year after the announcement as an official leader in training, so there was a formal evaluation period during which the faculty and staff had the opportunity to learn about Leader C and he had the opportunity to learn about them. Even though the announcement itself was sudden and the faculty had not been involved, Leader C was not concerned about the methods or the fact that the faculty was not involved. He stated: "But the faculty as a whole had no clue. Which is different from what you would do now, in most searches." He went on to say that the reason this was not a problem was his personal connection to the school: "First of all, I had had kids in just about every division, everybody knew me, they knew the way I worked, so it wasn't, I really don't think, they got away with it because I wasn't a candidate that was going to divide the faculty." This prior knowledge appeared to be similar to what was described at School B. Leader C stated that the full year of transition was also helpful:

> "That was a whole year of transition that eased people's mind – they saw me at everything, I was there, the unknown is something that is very scary for a school, even if the unknown was a known commodity, like what is he going to do, but I was out there telling everybody what I was going to do so it didn't matter."

Like Leader B, Leader C indicated that he had few concerns when taking over, largely due to his previously acquired knowledge about the school. He mentioned that he became increasingly interested in the role of head of school as he spent more time within the school community. "I think that as I became more and more involved – first

of all, I love this school. I love the philosophy, I love the way we do things here." He did indicate that his time spent with the previous leader was very valuable, but that their time was spent less talking about the specific skills necessary for the job and more about the vision and mission of the school. Leader C indicated that while the transition was more difficult than he anticipated, it was not the mission or vision aspects, but really the daily responsibilities of being a head of school that were problematic.

> "I thought that I knew the job really well, but I mean I had every advantage of knowing what the heck was going on in this headship, really, the nuts and bolts, but there are so many little things that you have absolutely no clue about that it took the first year, probably almost two, to figure out."

Leader C was therefore using knowledge to evaluate the fit and the connection that he had to the school.

When he described topics that he discussed with the previous leader, Leader C mentioned that: "[The previous leader and I] talked about a vision, a mission, and I think that I have always lived the mission of [School C]." Leader C mentioned this theme a second time when discussing how that mission is presented to the community, and how the changing of leadership should not affect core values: "That's my biggest thing –it's all about the culture. As we grow, how do we make sure that we still feel like that little school that everybody came to love, that feels a little different than a lot of other schools." His final thoughts about the values were that he reflected the idea of the school in what he did and how he presented himself: "Pretty much when I'm in front of every group, you know that I'm [School C], like I reflect what [School C] is all about, in the way that I talk to people does." Leader C was therefore evaluating himself in light of defined organizational characteristics.

The data from the high-identifiers suggest that faculty and staff members agreed with Leader C's perceptions of himself. For the high-identifiers who were present during the transition, characteristics used to describe the organization and the leader matched 59 out of 71 times (83%). Like Schools A and B, the consistency among matched terms increased for high-identifers not present during the transition, and Leader C and the organization were described using the same terms 9 out of 9 times (100%). The prototype at School C was accepting, with caring and innovation being important values for the school. When taking these into account and ignoring identification status, characteristics respondents used to described the leader and the organization matched 34 out of 41times (83%). Not taking into account prototype or identification status, Leader C and the organization had matching characteristics 68 out of 80 times (85%), which was actually slightly higher than his score on prototype related terms. While Leader C was the only of the three leaders to score less on core prototypes and values than those of the general terms, he also served at the school with the least definitive prototypes, and that could be one of the aspects present in this case. The data are presented in Figure 13.

The data appear consistent across schools that each of the leaders met faculty expectations and behaved in ways that were consistent with the general school prototypes. There is no way to know the extent to which the internal aspects of the successions led to a good fit with the school prototypes, but it is clear that knowing the inner workings of the organization was seen as a positive aspect by each of the new leaders. They consistently identified the faculty and staff knowledge of them as an

element that helped them with their transitions. This also has implications for the third

aspect of the logic model: adjustment to prototypes.
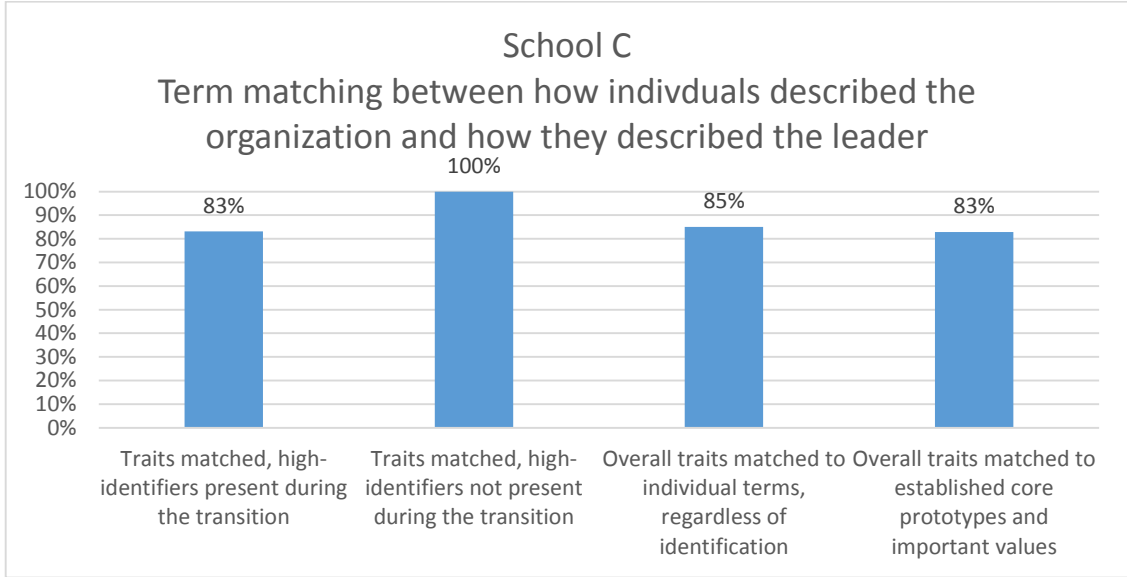
Figure 13. Consistency between Terms used by Respondents to Describe the Leader and the Organization, School C

Adjustment to Prototypes

The logic model posits that after the initial evaluation of prototype by both

leaders and followers, the leader entering an organization will need to either adjust his

or her actions and approach in ways that would then demonstrate that he or she is

connected to the prototype, or use the uncertainty inherent in a transition to help create

refinements to the prototype. While each of the leaders had advantages of knowing the

cultures that they were entering into, and also, based off the data, of being largely

prototypical to the organizational expectations, they all had to evaluate their own

skillsets in light of the prototype in order to best determine their course of action. Each

leader was consistent in his view that knowledge of the organization from his

perspective and knowledge about the leader held by followers was a benefit in regards to easing the difficulty of succession. Although all three leaders were insiders, there were different relational connections for each leader; Leader A had ties to the organization, but not in leadership capacity, whereas Leader B and Leader C had both longevity and administrative experience with their respective schools. As such, it was important to determine what effects, if any, being an internal candidate facing the idea of adjustment to prototype had on the behaviors of the leaders in the study. The interviews and surveys explored this idea, and each leader was definitive in that the core of who he was had not changed during the transition even while though there were things the leaders needed to learn. The fact that all leaders were already present within the organizations that they came to lead is critical to the idea of adjustment. Thus, it was important to evaluate the individual characteristics that each leader felt they needed to adjust as they came into the leadership role, and also to find areas of strength that they felt were reflective of their respective school's values. Each leader claimed that he had a strong understanding of the job and its responsibilities, even though none of them had seen an actual job description.

At School A, Leader A was convinced that he understood all elements of the job, but there were three areas that he wanted to focus on and to make sure that he had the necessary skills to accomplish. "Sort of my three priorities were the spiritual leadership of the school, which I wasn't worried about, fundraising, which I was worried about, and then, the business, fundraising and enrollment I would say go together, and then the business side."

He also mentioned that he knew some things were going to be part of the job that he would need to learn as he went along:

> "I knew that I was going to be the public face of the school, and I didn't know exactly how that was going to happen but it just was. I knew that I was going to hire and fire people. I knew – just decision making, generally, there was going to be a lot of that. Just a lot more responsibility, generally."

When asked explicitly if he needed to change as a result of the transition, Leader A was definitive that his leadership style had not changed, and was clear that any changes he felt did occur were related to his personal executive skills: "I needed to be more organized, I know that much. Which I'm still working on it. That, definitely needed to change. Personality-wise, no, but time management and organization, just because of the sheer volume."

From a staff perspective, most respondents agreed that Leader A had made changes to his traditional, learnable skills. This is reflected in survey responses about the general qualifications of Leader A. The open-response comments varied in content, but there were a few themes that emerged. Six responses mentioned something about "maturing" or getting "experience" for the role. There were also undercurrents that implied members of the faculty did not feel that the leader listened to them as much as he had in the past; one respondent wrote: "He doesn't seem to make as much of a point in making it seem he is doing what we as a group call for." Another echoed this statement: "I think he has become less open to hearing from staff because of the ones who solely complain." A third mentioned: "He has become more focused on doing what the board wants and does not listen nor address teacher needs." A fourth claimed: "[He is] less interested in the faculty and their concerns." A fifth said: "He has become

more detached from the faculty." The first two statements were made by high-identifiers, and the last three were made by low-identifiers.

Low-identifiers expressed general negativity in their comments about how Leader A had changed, with seven of their fifteen comments being negative. High-identifiers, in contrast, mentioned only three negative comments out of nineteen. As mentioned, Leader A did intend that part of the transition was to change the dynamic between the President role (that he took over) and the hybrid role that had been in existence under the previous leader. He saw the attempt to maintain concurrent roles as being detrimental to the previous leader over time, and also believed that he did not have the necessary skillset to attempt both positions. He cited the example of the previous leader when making this decision: "And so that helped me to know [the example of the previous leader] I shouldn't try to do both of those, number one I'm not qualified to be the principal, but I should not try to do both of those, so I didn't." It does appear that a number of the low-identifiers did not want to see that change occur, or were not happy in regards to the way that it was carried out.

When it came to questions of whether Leader A had changed as a person following the transition, the data were mixed. Again, Leader A did not think that he had changed in that regard, but eleven of the high-identifiers did, while only four of them did not. Surprisingly, six did not feel that they knew the leader well enough before the transition to make a judgment. Among low-identifiers, six felt that Leader A had changed, zero reported that he had not changed, and eight did not feel that they could make a determination. It is surprising that fourteen of the respondents present during the transition did not feel as though they knew the leader well enough to know if

he had changed from who he was before the transition, especially since Leader A was present within the community and had a visible role for over a year before the transition occurred. Despite this, faculty members might not have been exposed to his leadership style or decision making process, and some clearly felt that they did not get to know Leader A very well as a person. In some respects, this makes Leader A appear to have some traits that would be similar to an external candidate in ways that Leader B and Leader C would not have experienced. It could also be due to the nature of the transition and how the training aspect with the previous leader was viewed; regardless, more respondents at School A did not respond to how the leader had changed or not changed than at any of the other schools studied.

This leads back to the logic model and the idea of prototype. By connecting those who thought the leader had changed to their likeliness to vote for the leader if an election was held, it was possible to see if perceived changes to the leader were positive or negative overall. High-identifiers present during the transition who thought that the leader had changed or not changed demonstrated average scores for their likeliness to vote for the leader of 4.18 and 4.25 out of 5. All high-identifiers within the organization produced an average score of 3.79 out of 5. It may be that the higher scores of those that did have a sense of whether or not the leader had changed were more of a result of purely having that relationship, but even within that group, it is interesting to note that Leader A scored slightly higher with those who felt that he not changed.

Low-identifiers who did not believe that Leader A had not changed, and those who did think he had changed gave him an average score for their likeliness to vote for

him of 2.67, below the average of 3 from all low-identifiers. Again, this may be a result

of the relationship piece working in reverse; low-identifiers may have felt that Leader A

was less connected to the organization, and that over time he had become more

connected to ideas with which the respondents did not agree. Other low-identifiers

would have less knowledge to base those conclusions upon, thereby producing the

higher scores. This is demonstrated in Figure 14.
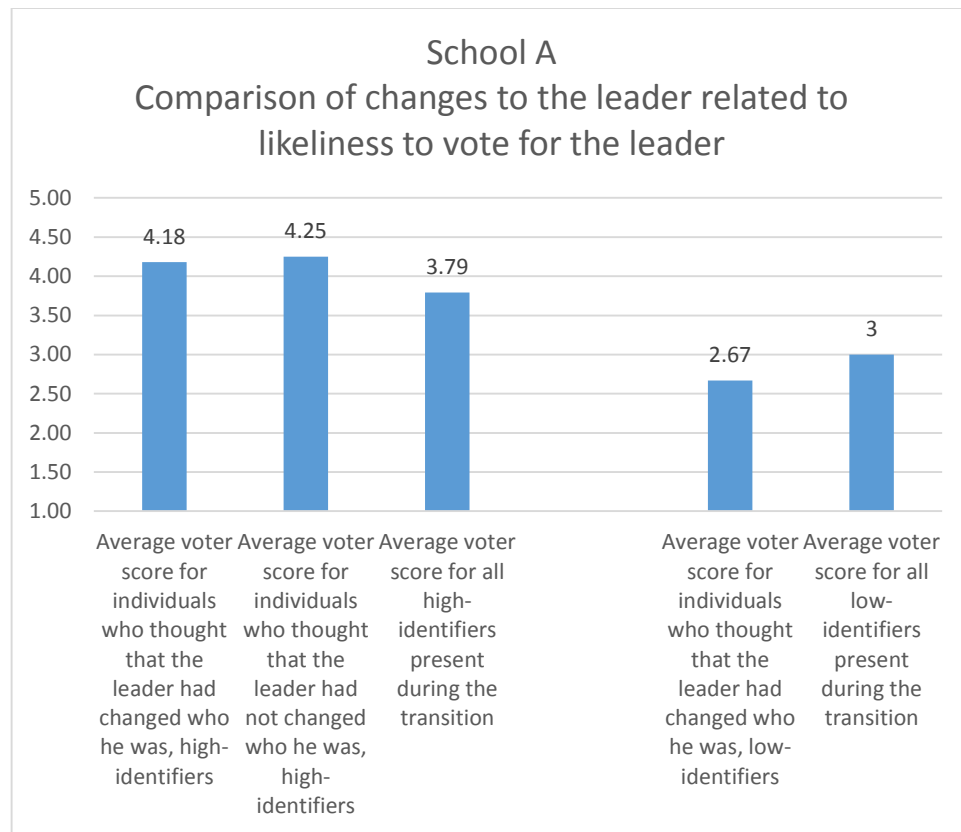
Figure 14. Change in the Leader Related to Likeliness to Vote for the Leader, School A

Overall, the data from School A were mixed on whether or not adjustments were

good or bad. While those who evaluated the change of Leader A, good or bad,

generally were more likely to vote for him. The highest average scores for likeliness to

vote for the leader came from respondents who did not feel that the leader had changed,

but the numerical differences were very slight. In general, low-identifiers were the ones

less likely to vote for the new leader.   How much of this phenomenon was a result of

the relative strength of the insider connection versus some other aspect of the transition

is addressed in the discussion section.

At School B, Leader B had a great deal of exposure to what the job would be

before he took over the role. He had few concerns, but indicated that if he had to

express a concern, it was in regards to the finances of the school. Beyond that, he

mentioned:

> "I think I probably had the same concerns that all heads do […] basically school
> starts we got to start recruiting for next year. You spend time talking to your
> donors, trying to get people to give money, you know those things, I guess in a
> way you always have those things on your plate."

These concerns were obviously less about who he was than what he needed to

accomplish and the traditional skillsets that he felt he needed to grow. As mentioned

before, he was not concerned regarding the actual integration into the culture, which

was something that he had experienced before in other settings. In fact, the leader of

School B was largely unconcerned about who the previous leader was because the

skillsets of the two leaders were so different. When asked if he considered the previous

leader's approach when thinking about his own, he said:

> "No, because we were too different – and actually I was here before he was –
> and honestly, no not at all. [The previous leader's] strength is probably
> fundraising – that's his biggest strength – and I think that's why he was selected
> for the provincial role, trying to raise money for the priests and all of that. And
> is that my biggest strength? No. We do okay, but I hope my biggest strength is
> just relationships. But honestly – I don't want to sound like I'm belittling him in

any way, but I really didn't have much concern about it, everybody knows he's different than the two of us."

All of this would suggest that the leader of School B saw very little reason to make adjustments to who he was or to the leadership approach that he had used within other administrative functions at the school. Leader B directly addressed this by saying, when asked if he thought he had changed: "No I don't. Honestly I don't. I hope that others don't think so. I don't think I did." The faculty and staff that responded to the surveys seemed to agree with his assessment. Out of the high-identifiers present during the transition, six of the ten felt that the leader had not changed at all or very little. The remaining four responses were largely related to natural experience. One indicated that: "Yes, he has become better and comfortable in his position." A second said: "Grown in knowledge and experience." A third mentioned: "He seems a bit more serious and sometimes under pressure." This trend was also consistent with low-identifiers. Three believed that he had not changed at all or very little, and the other two indicated that he had grown in regards to experience. In contrast to School A, the responses were overwhelming positive. An example of this would be the following comment: "I haven't ever enjoyed a leader more than our headmaster. To me, he seems to be the same man I've known for years. He just has more responsibility and stressers [sic] now." In fact, out of the fifteen responses that indicated how the leader had changed or stayed the same since he took over, none were negative.

When it came to whether or not Leader B had changed as a person, the high-identifiers were split evenly, with five believing he had, and five believing that he had not. Of the five that believed he had changed, three qualified their statements to share

that the changes had been minor. Out of the low-identifiers, three indicated that there was no change, while two believed a change had occurred. Unlike School A, everyone who responded to the survey at School B did feel that they had enough information to comment on whether the leader had changed, which probably indicates that they all had a better general knowledge of the leader before the transition.

Figure 15 demonstrates the connections between people who believed that the leader had changed and whether that appeared to influence their likeliness to vote for the leader should an election be held. High-identifiers who felt that the leader had changed had an average score for likeliness to vote for the leader of 4.4, which was actually below the general score of 4.7 for all high-identifiers. Those who did not believe that the leader had changed averaged a perfect 5, or highly likely that they would vote for the leader if given the chance. These data were consistent with low-identifiers as well. Those who believed the leader had changed averaged a score for likeliness to vote for the leader of 3.5, well below the 4.2 average for all low-identifiers. Those who did not believe he had changed had a score for likeliness to vote for the leader of 4.67, or nearly identical to the average score of all high-identifiers.
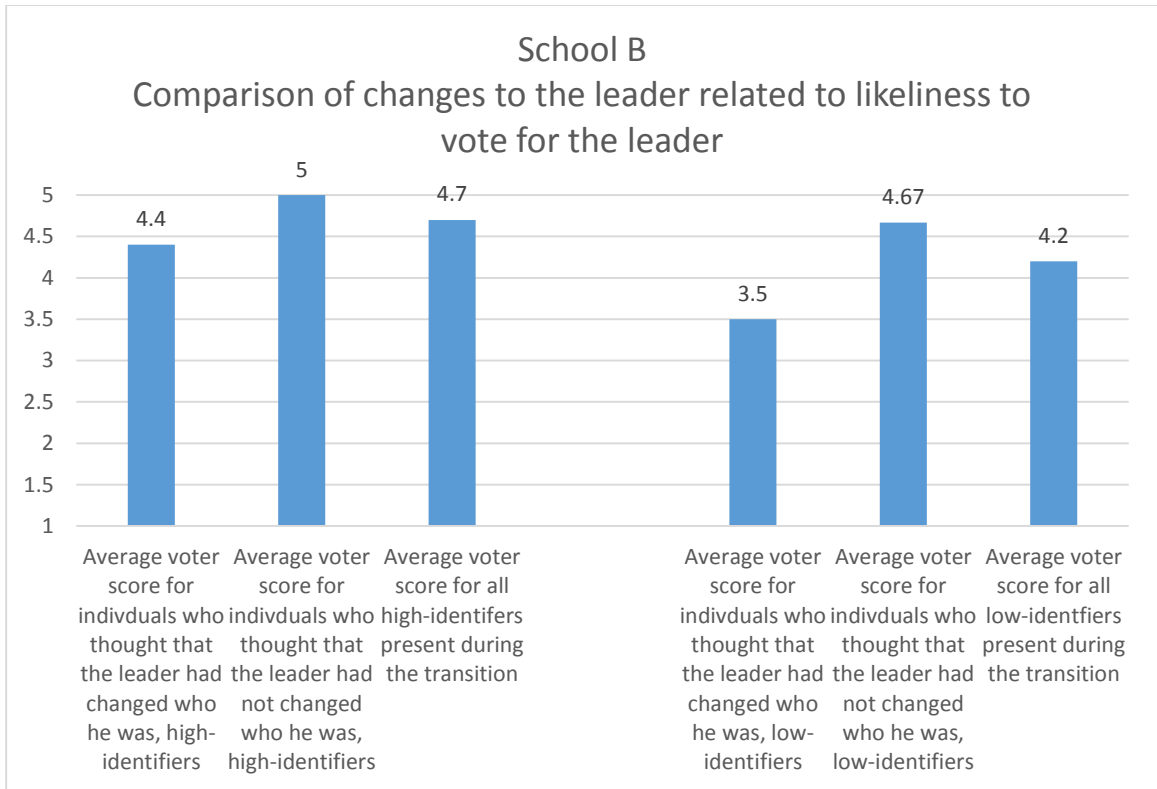
Figure 15. Change in the Leader Related to Likeliness to Vote for the Leader, School B

At School C, Leader C had the second longest tenure at an organization before taking the head role, and indicated that he knew most of the job responsibilities and felt comfortable with them. Despite this, he mentioned aspects of the role that he considered to be evolving. In some respects, however, he saw these elements as the exact opposite of changes; he saw them as understanding who they were as an organization and making sure that they stayed true to those ideals. He stated: "Now having been through a couple of strategic plans and an ISAS accreditation, I think we really think we know who we are. And we do that. But we talk about it a lot too. We work at it. We try to stay, stay doing what we say we do."

Leader C's only real concern with taking the job was the sense that he was taking over for a founding head. He indicated: "I think deep down, I was worried, that following a founding head, [the previous leader] was [the previous leader], that I might screw it up somehow." He was able to discern differences between his personality and that of the previous leader. He mentioned that: "The comments that I've had, I think I brought, the biggest difference between us, is I bring a level of what I would say – professional expectation. I'm a little more corporate than [the pervious leader] was." This type of leadership style did not come out as a prototype either in the leadership approach or in the general prototype for School C, so it is unclear whether it would have an effect on how the faculty viewed the leader. Leader C indicated that he never addressed his leadership approach with the staff; in his words: "No, I just started doing it." Leader C did believe that his status as an internal candidate was critical to the idea that the decision makers were happy with the mission and vision and did not want it to change. He stated: "If you think about normal experiences, […] with following a long time head, a founding head, the internal candidate piece is so important, and frankly I believe that almost for every school, so as I continue to get further down the road, I'm already thinking about who could follow me."

Leader C followed this by claiming that if they had chosen someone else to lead the school, he would have seen this as a sense that they wanted the school to be different. He stated: "Then they would have been saying, we want the school to change in some way. Because I think that's how you choose heads, right?" Perhaps for these reasons, the leader of School C had been careful to avoid the idea that he is changing, either his personality or his leadership style. When asked about this, he said: "I don't

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think so [that I have changed]. I think, probably now, and I still haven't been able to do it: I need to work exercise in, personal habits I need to get much better at. I don't do that." His personal behaviors aside, when asked specifically if his leadership approach was the same, he stated: "I do. If anything, I would say that I hugely lead by example. If there were things that I would do a little differently, and I'm looking at time and schedule and things were I could get different groups of faculty together, but I really don't think I've changed that much."

These thoughts were consistent with what the faculty indicated with their survey responses. Out of fourteen responses from high-identifiers, two believed that the leader had not changed his leadership style in any way. Of the remaining responses, there was a general consensus that any changes were related to his confidence and comfort level in the job. One staff member expressed this in the following way: "He has become more confident, more visionary, and more articulate in expressing the vision and direction of the school." A second faculty member wrote: "I think he has become more comfortable in the leadership position." A third stated: "He has become more confident in his decisions," and a fourth claimed: "It seems like he has grown more comfortable in his role." The remaining responses mentioned aspects of being more connected to the school and adjustment of management processes. Some responses even qualified their comments to mention that the personality of the leader had not changed: "I think he is taking more of a leadership role as the school community acclimated to the leadership change. His personality has remained constant." For low-identifiers, these trends were again consistent. There were only three responses from low-identifiers, with one stating the leader had not changed, and the other two offering statements related to his

confidence and comfort. As it was with School B, the responses at School C were overwhelming positive; out of seventeen total responses, none were negative.

When it came to answering whether Leader C changed as a person, three of the seventeen responses indicated that they did not know him well enough, representing two high-identifiers and one low-identifier. For high-identifiers, only four thought that the leader had changed, while eight did not. For low-identifiers, the two who did offer an opinion believed that the leader had not changed.

Data connecting whether the respondents believed the leader had changed who he was and their likeliness to vote for him was consistent with the data from School B. High-identifiers who felt that the leader had changed would vote for him with an average score for likeliness to vote for the leader of 4.2, compared to 4.64 for all high-identifiers, and below the average score of 5 for those who did not believe that he had changed. There were no low-identifiers who felt that that the leader had changed, but those who did not think he had changed gave a score for likeliness to vote for the leader of 4.5, above the 3.75 of non-identifiers in general and once again very close to the 4.64 average of all high-identifiers. This is shown in Figure 16. As it was at the other two schools, the correlation may have been between high and low-identifiers as opposed to respondents who felt the leader had changed.
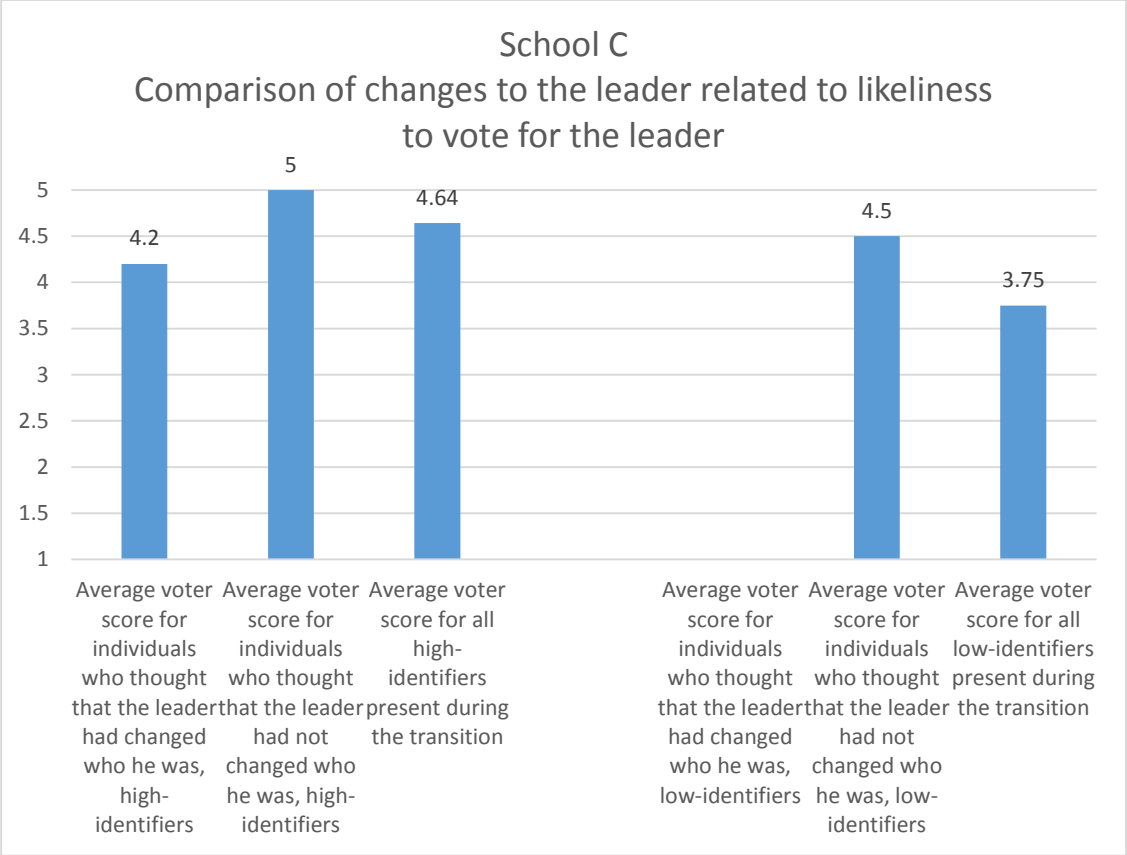
Figure 16. Change in the Leader Related to Likeliness to Vote for the Leader, School C

In summary, data from all three schools would suggest that for internal candidates adjustment to the prototype is not important if prototypicality already exists. Faculty who were less likely to vote for the leaders were the low or non-identifiers. Faculty who identified with the school were likely to vote for the leader even if they believed he had changed in his new role. It would be interesting to see how these data compare with leaders who take their positions as external candidates; it may be that the vast internal knowledge that each of these leaders held naturally led them to establish a leadership style and approach that was immediately compatible with the organization. Outside candidates may not have this advantage, and this could be an avenue for future

research. Regardless, change was associated in these cases with a slightly lower effectiveness rating relative to perceptions that the leader did not change.

Evaluation

While there can be many different definitions of success, within the data presented here, success was defined as whether members of the faculty and staff would want to retain the leader if given a chance. This was asked directly through a rating of whether or not the staff members would vote for the leader again, and also through a leadership endorsement score meant to determine whether or not faculty members considered the leader to be representative of the community at large.

As shown in Figures 17 and 18, at School A, there was a clear difference between high-identifiers and low-identifiers when it came to likelihood to vote for the leader. High-identifiers were overwhelming likely to vote for the leader again, with twenty-six of the respondents being likely or very likely to do so, including seventeen that were very-likely. In contrast, only six were unlikely or very unlikely to do so, and three were undecided.
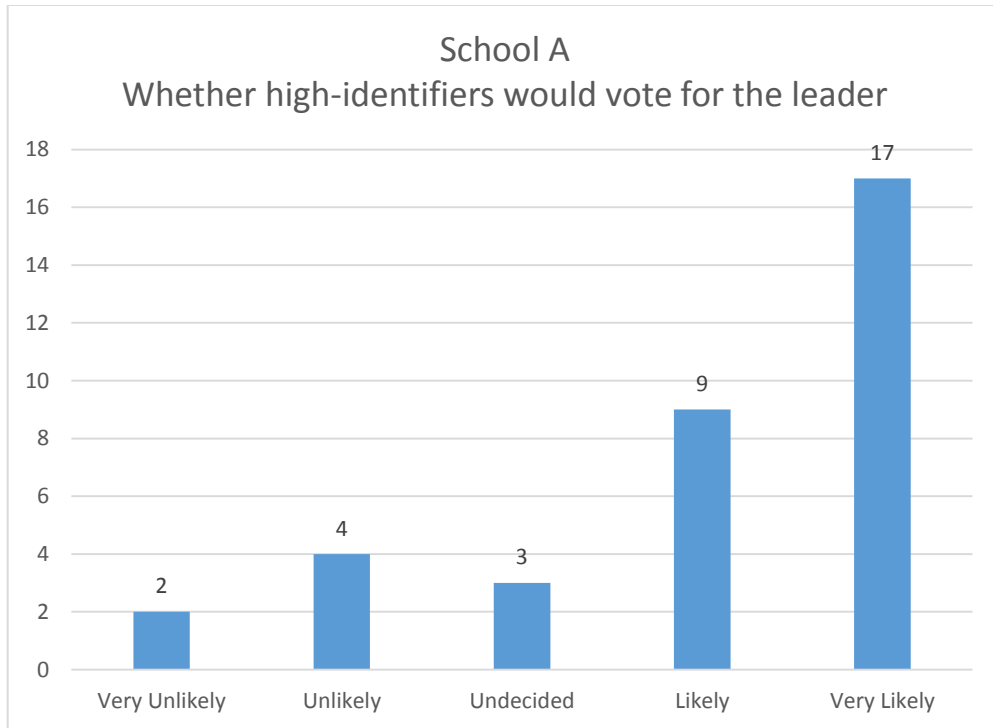
Figure 17. High-identifers' Willingness to Vote for Leader, School A

Figure 18 demonstrates the same data for low-identifiers. Of those low-identifiers, ten respondents were likely to vote for the leader, with only two being very likely. There were four undecided votes, and seven unlikely to vote for the leader. This trend would be consistent with the research regarding the theoretical connection of prototype to leadership; should the leader be prototypical of the organization, high-identifiers would be more likely to give the leader support (Platow & van Knippenberg, 2001, Pierro, et al., 2005, Giessner, van Knippenberg & Sleebos, 2009, Cicero, Pierro & van Knippenberg, 2007), or within this case, vote for the leader, because of the prototypical relationship with the organization. Low-identifiers would be more mixed with their assessment of the leader. This appeared to hold true with the respondents at School A.
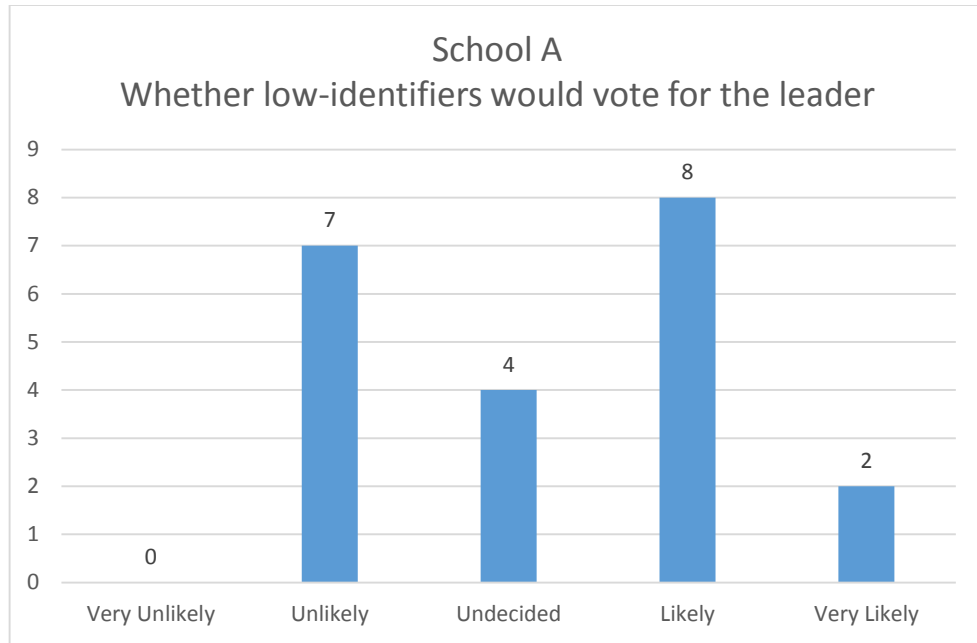
Figure 18. Low-identifers' Willingness to Vote for Leader, School A

A second way to view this relationship would be to ignore whether or not the respondent was a high-identifier and instead look at the respondent's view of the extent to which the leader was prototypical, and then connect that rating back to the respondent's likeliness to vote for the leader. The leadership endorsement scale completed by the respondents gave a numerical value to their view of the leader's prototypicality. As shown in Figure 19, regardless of whether the respondent was a high, low, or non-identifier, the more they felt that the leader was reflective of the traits and type of people that were present within the community, the more likely they would be to vote for the leader. This would appear to make logical sense; after all, effective leaders should reflect the values of the community in which they lead. However, the values that appeared to be most important to School A were not traditional, objective leadership skills, and whether a leader can be successful without those skills or whether

the skills must be present first in order to allow people within the organization to consider the other affective skills remains an area for future research. These data suggest that the more prototypical the leader was, the more likely that the members of the organization would think that he or she was a good leader and should maintain the position.
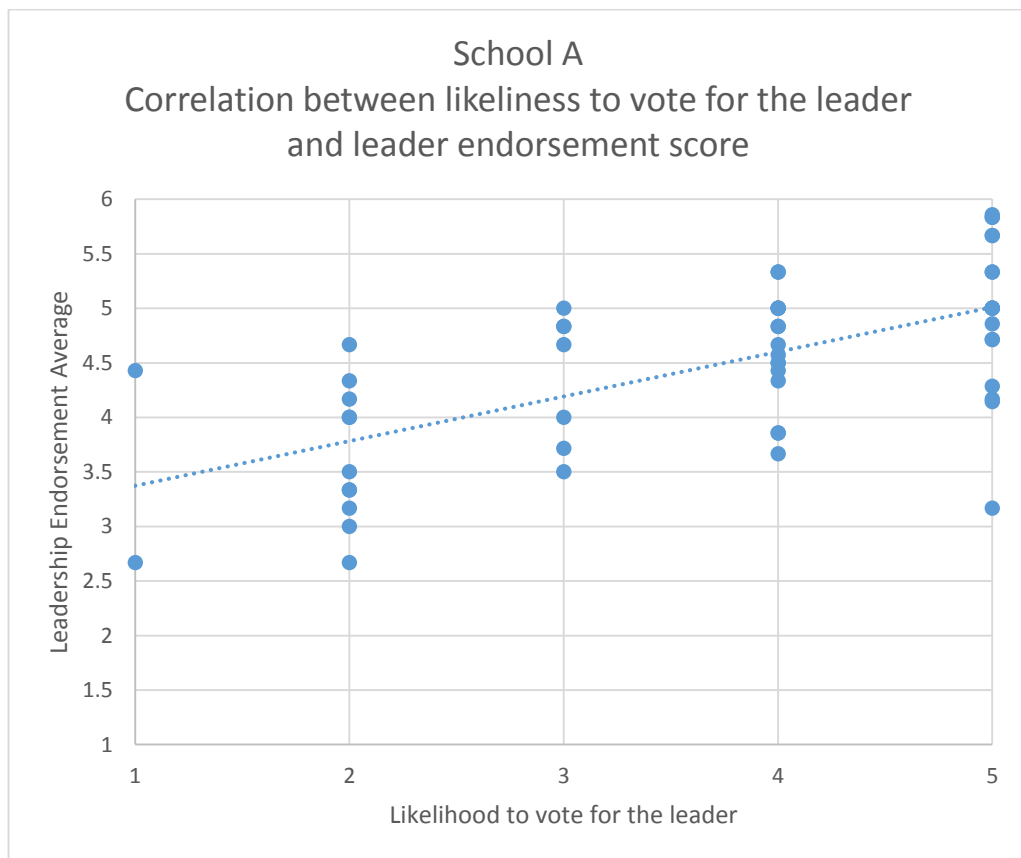
Figure 19. Correlation between Voting Score and Leadership Endorsement, School A

While Figure 19 presents the leadership endorsement scale in average, reviewing the individual metrics that make up that average showed an area of interest. At School A, the two items that were related to leader's characteristics being consistent

with those of the general community ("Represents what is characteristic about school community members" and "Stands for what people in the school community have in common") were generally consistent with each other, with average scores of 4.95 and 4.70 out of 6 respectively, with 6 representing that the respondent strongly agreed. Leader A's scores were mixed in regards to questions determined whether he was representative of the kind of people that were a part of the community. His two lowest scores were on the items: "Is not representative of the kind of people within the school community (reverse scored)," and "Is very similar to most people within the school community," at an average of 3.95 and 3.82 out of 6, respectively. His scores for "Is representative of school community members" and "Is a good example of the kind of people within the school community" were higher with averages of 4.54 and 5.04 out of 6. These data are shown in Figure 20.
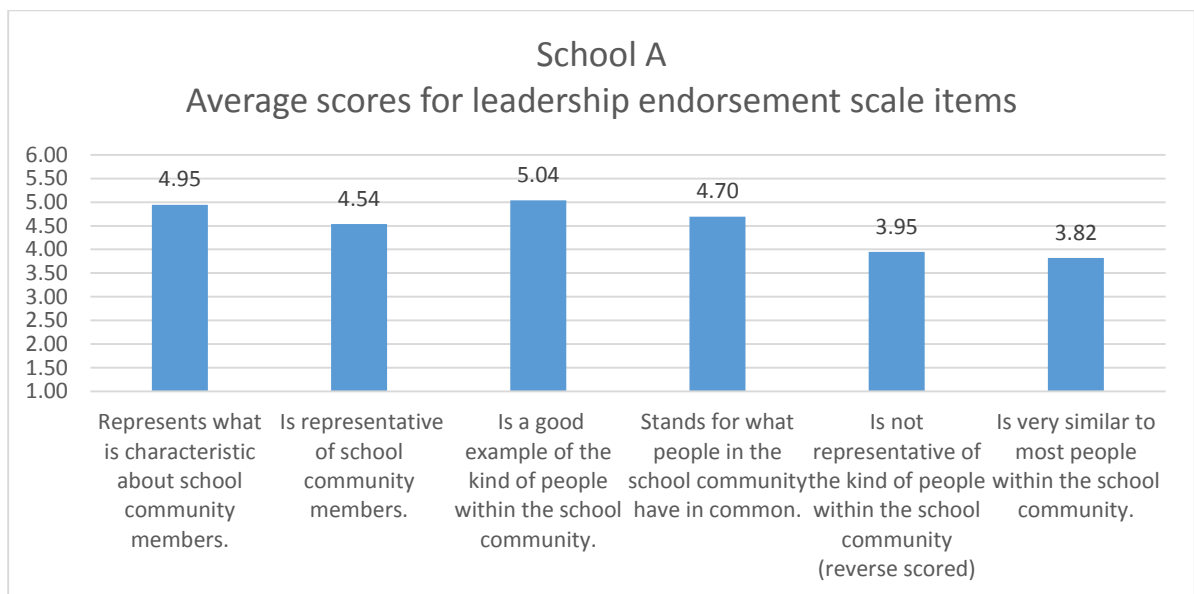
Figure 20. Leadership Endorsement Scores, Leader A

The same type of analysis was done with the data from School B to see if the same trends were true of Leader B. As shown in Figures 21 and 22, the difference between high and low-identifiers was not as pronounced as in School A, as both groups would be likely to vote for Leader B if given the chance. In fact, neither group had even a single respondent who was very unlikely or unlikely to vote for Leader B, and only one high-identifier and one low-identifier listed their vote as undecided. In all, eleven of the high-identifiers would be very likely to vote for the leader again, with one respondent choosing likely.
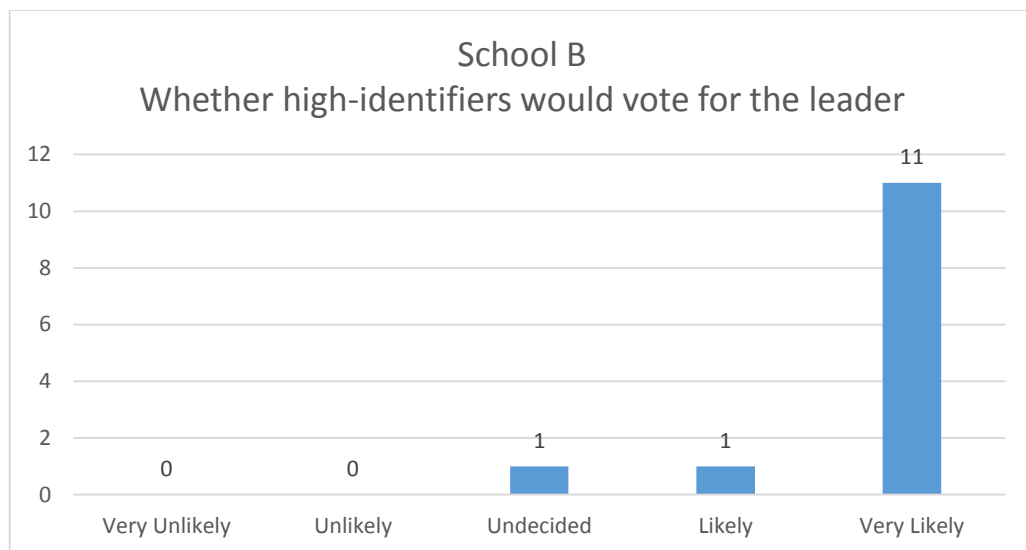
Figure 21. High-identifers' Willingness to Vote for Leader, School B

Among low-identifiers, two respondents were very likely to vote for Leader B, while three were likely to vote for him. Despite the generally more positive trend at School B, the respondents were still relatively more confident in the leader if they were high-identifiers with School B, again providing evidence that there is a connection

between identification with the organization, the leader's connection to that

identification (through prototype) and the likeliness of respondents to vote for the

leader. The data for low and non-identifiers can be viewed in Figure 22.
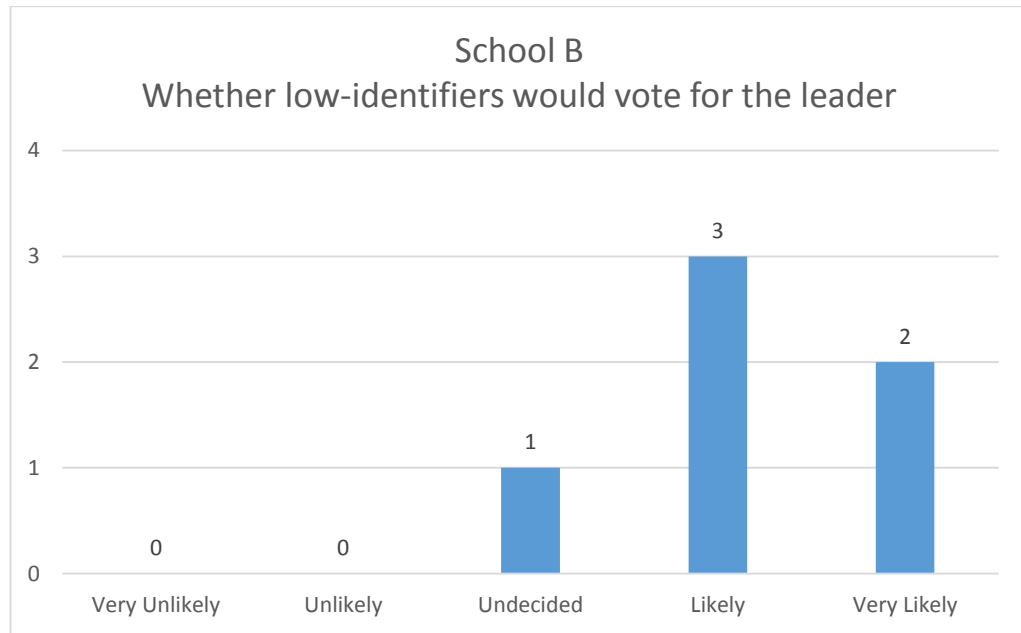
Figure 22. Low-identifiers' Willingness to Vote for Leader, School B

The correlation between the leadership endorsement average and the likeliness

to vote for the leader was also consistent with the data from School A, albeit generally

more positive. Again, regardless of whether the respondent was a high, low, or non-

identifier, the more they felt that the leader was reflective of the traits and type of

people that were present within the community, the more likely that respondent would

be to vote for the leader. This is shown in Figure 23.
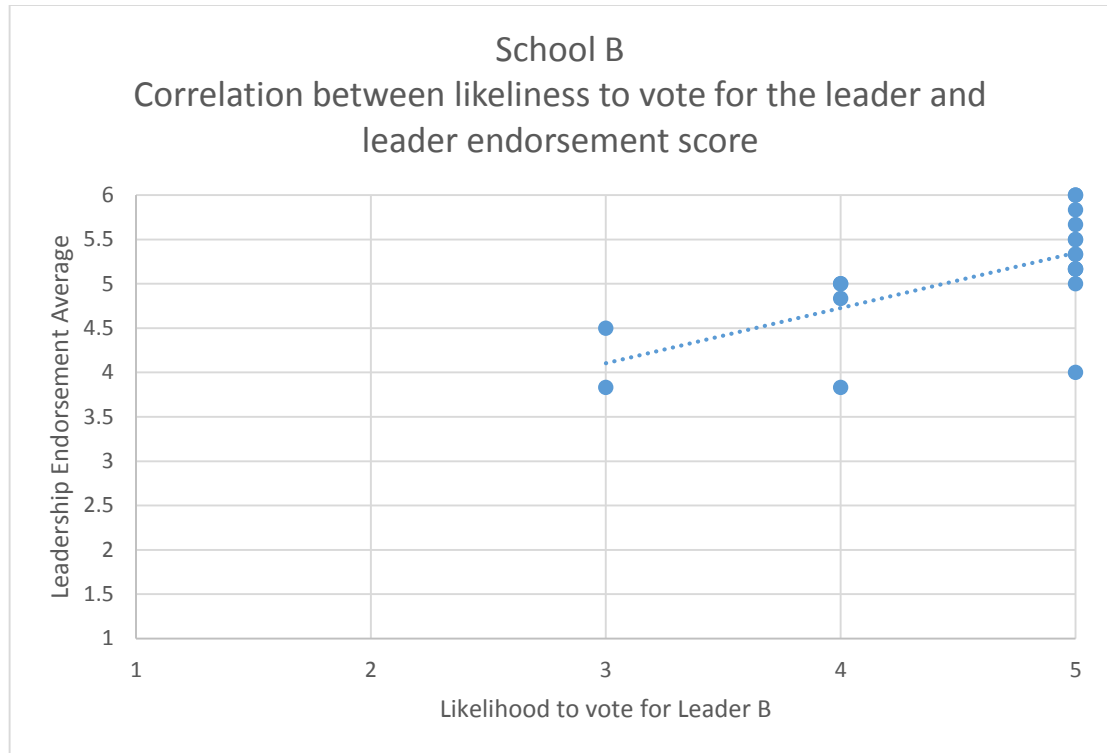
Figure 23. Correlation between Voting Score and Leadership Endorsement, School B

The average scores for the individual leadership endorsement scale items were also more positive than at School A, which may be reflective for the greater willingness for people within School B to want to vote for the leader and therefore consider him successful. The scores for Leader B were also more consistent across both characteristics of the organization and the type of person that is a part of the organization than were seen in the data of School A. Leader B's average scores on the two items that described characteristics ("Represents what is characteristic about school community members" and "Stands for what people in the school community have in common") were 5.42 and 5.26 out of 6, respectively. Average scores for "Is representative of school community members" and "Is a good example of the kind of

people within the school community" were 5.26 and 5.47 out of six, respectively.

Although still relatively high, Leader B did see a drop in scores on two ratings: "The

leader is not representative of the kind of people within the school community" with an

average score of 4.63, and "The leader is very similar to most people within the school

community" with an average score of 4.47. The relevant data for School B are

represented in Figure 24.
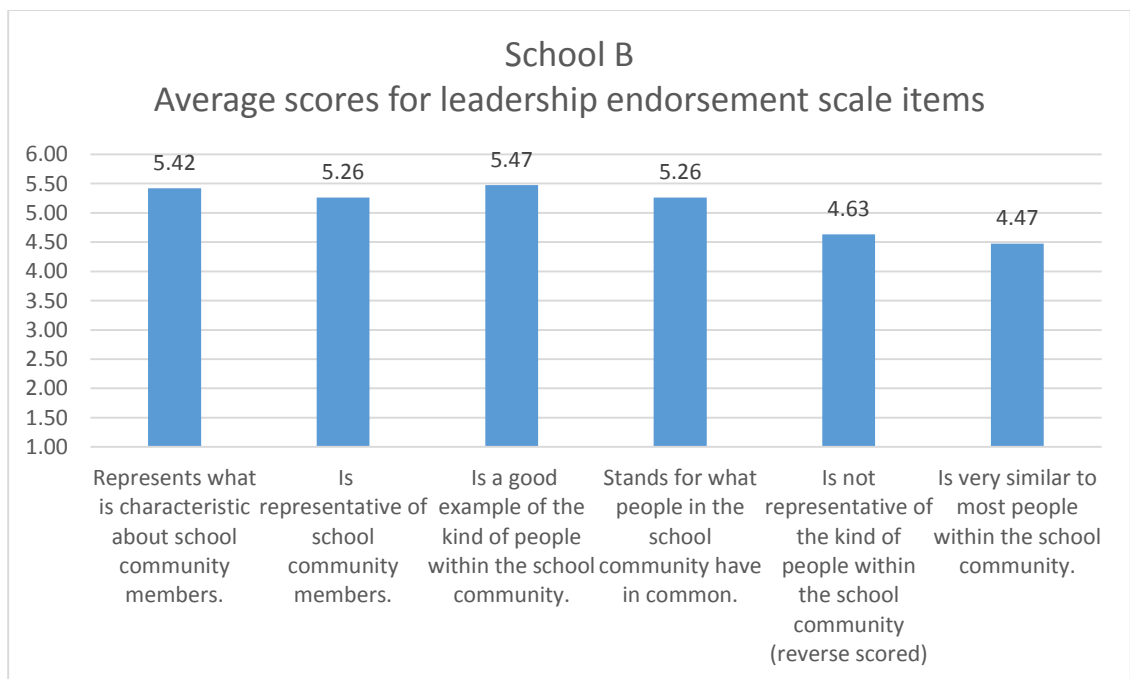
Figure 24. Leadership Endorsement Scores, Leader B

At School C, high-identifiers were much more likely to say that they would

"very likely" vote for the leader if given a chance. As shown in Figure 25, ten

respondents were very likely, three were likely and only one was undecided. This again

continues to highlight the idea that stronger the organizational connection for the

respondent (and the more representative the leader is of prototypical behaviors) the more likely they are to be voted for.
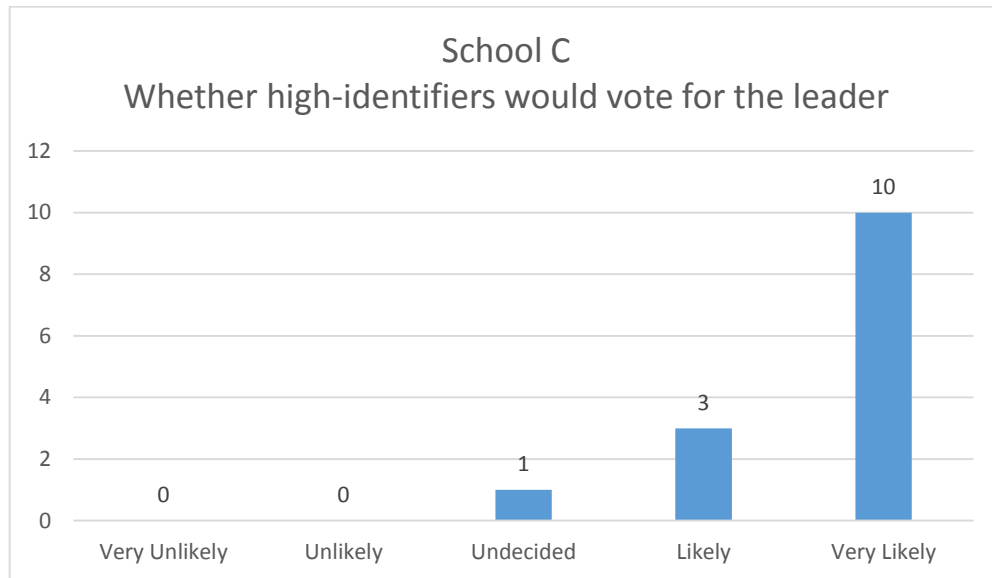
Figure 25. High-identifers' Willingness to Vote for Leader, School C

Low-identifiers were positive at School C as well, with two likely to vote for the leader and one respondent very likely to do so. This respondent was actually an outlier; the respondent had the lowest identification score of anyone in the study, and also gave Leader C a very low leadership endorsement rating, but still would be very likely to vote for him. There was only one indication of an unlikely vote. This can be seen in Figure 26.
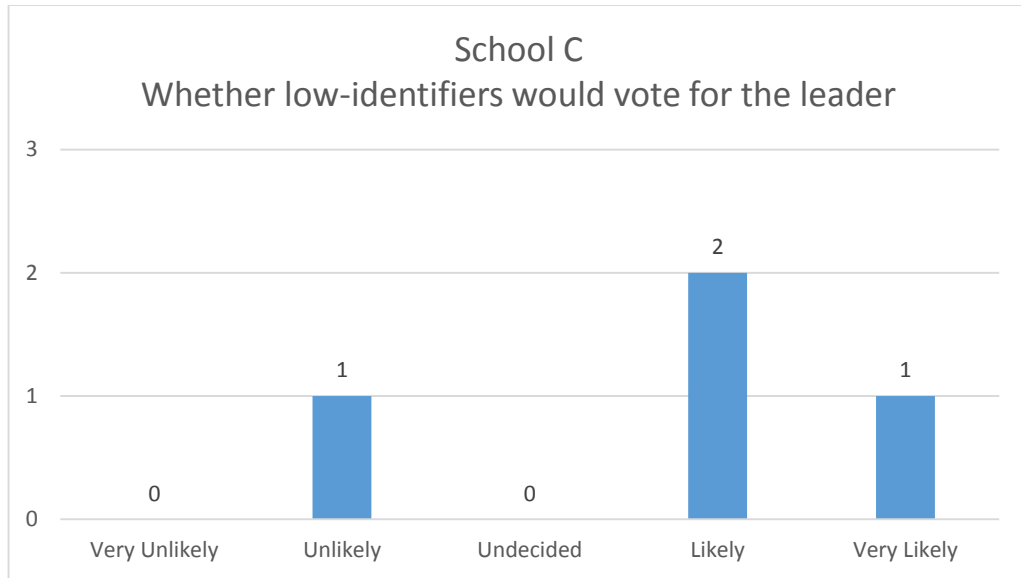
Figure 26. Low-identifers' Willingness to Vote for Leader, School C

As it was in Schools A and B, the data were consistent when average leadership endorsement was taken into account. As respondents became generally more confident that Leader C was representative of the people and characteristics of School C, they also became more likely to want to vote for him, again confirming that as the more prototypical the leader was seen, the more likely that the respondents were to vote for that particular leader, regardless of their personal identification status. This is shown in Figure 27.
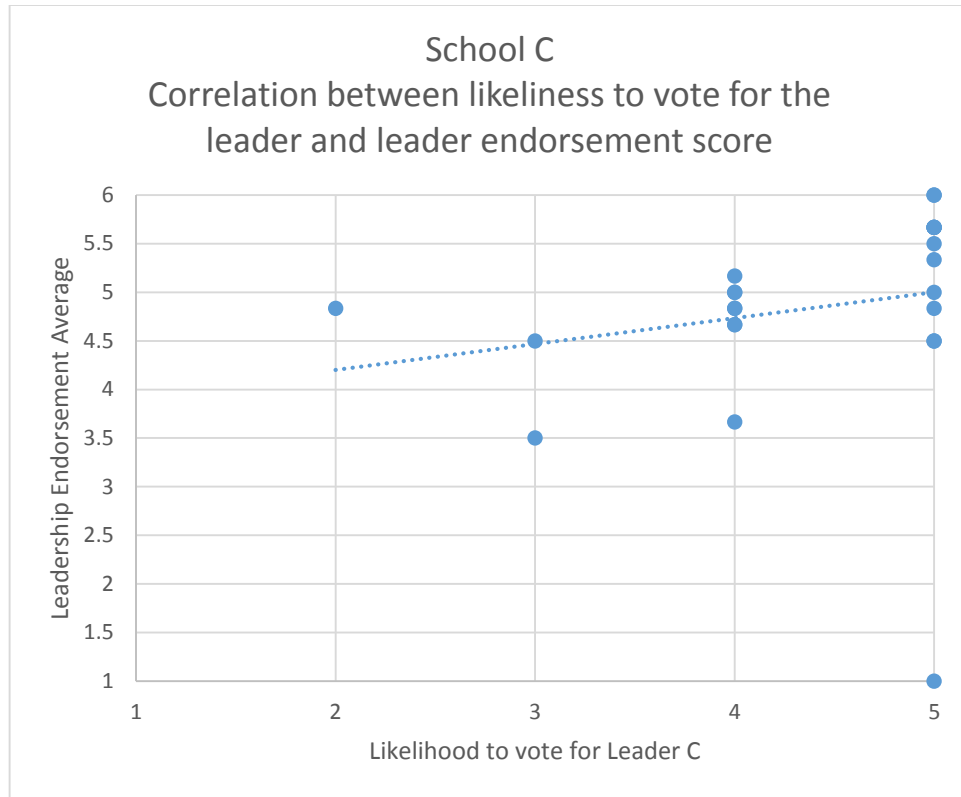
Figure 27. Correlation between Voting Score and Leadership Endorsement, School C

Finally, Figure 28 shows the average scores that Leader C received on the six leadership endorsement items. The two items that described characteristics ("Represents what is characteristic about school community members" and "Stands for what people in the school community have in common") had average scores of 5.17 and 4.96 out of 6, respectively. Average scores for "Is representative of school community members" and "Is a good example of the kind of people within the school community" were 5.04 and 5.21 out of 6. While each of the scores was generally positive, there was again a deviation seen in both "The leader is not representative of the kind of people within the school community" with a score of 4.17 out of 6 and "The leader is very

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similar to most people within the school community" with a score 4.46 out of 6. This remained consistent with the data from Schools A and B. Why these ratings were lower for all three of the leaders in each of the respective cases is unknown.
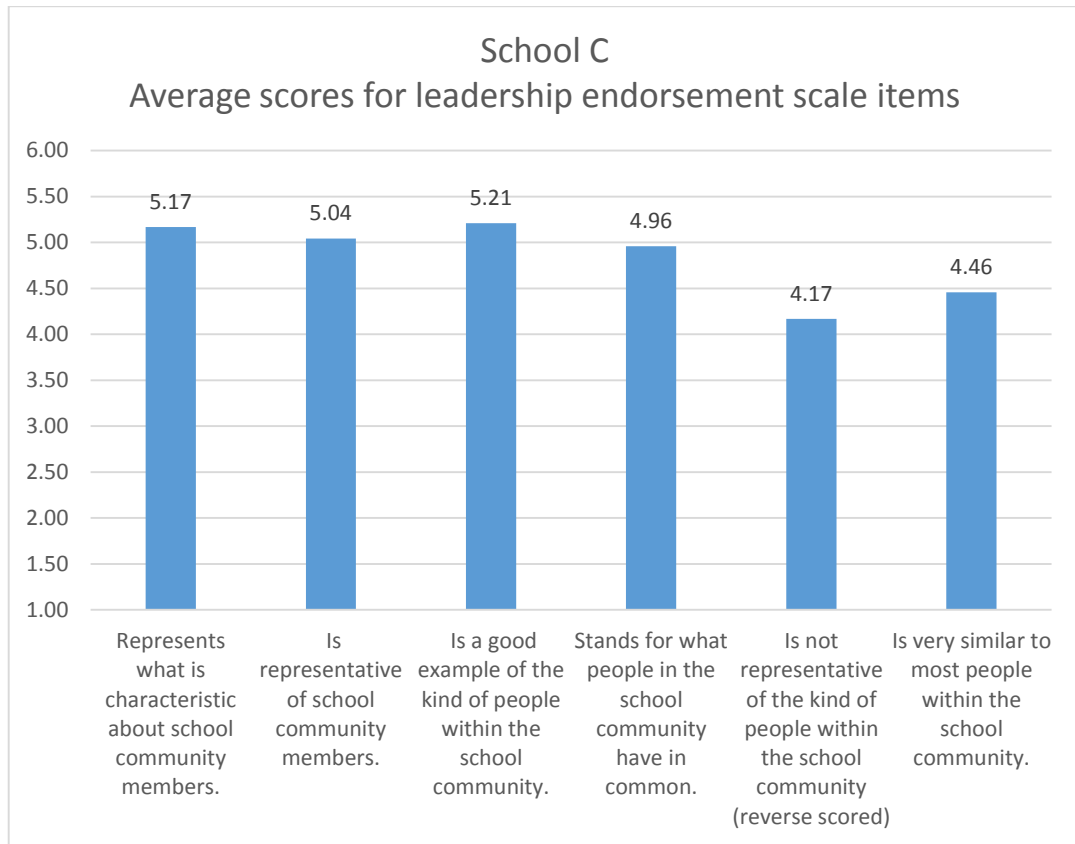
Figure 28. Leadership Endorsement Scores, Leader C

These results show a consistent trend among all three schools and all three leaders: as the strength of identification with the organization increased, so did the likelihood that a respondent would vote for the leader. As the respondent's view that the leader was representative of the people and characteristics within the organization increased, so did the respondent's likelihood to vote for the leader. School A, where the average leadership endorsement scores were lower than Schools B and C, also had the

most mixed responses on whether high, low and non-identifiers (not taking into account their leadership endorsement scores) would vote for the leader. All of this would continue to imply that that the more prototypical the leader, the more likely that they would be perceived as successful, aligning with the final aspect of the logic model.

Awareness of Prototypes

Whether or not the leaders were consciously aware of school and leadership prototypes during the transition remains important. There are different implications for practice if connection to prototype was a coincidence or chance as opposed to a conscious action. The leaders did mention several different statements that tied into how they understood prototype and how they could shape it.

Leader A believed that there was a relationship between his personality and that of School A, and also used that as a reason that he would be more likely to fit at School A than any other school. He said:

> "A year in, we did a new branding process which I was very involved in, and what came out of that, was a clearer sense of who we are. We've talked about it, a life-preparatory school, and since we've kind of defined that, I've taken that and every audience I get in front of, every, whoever it may be, everything we do is coming out of that. And that fits me. I think I would have a hard time being in charge of [another local school]. Personality-wise. Because my personality and the personality of the school don't match. Schools that are super academic and super serious, I'm not. I'm academic, but I don't think academics are everything to a school, and I like to have fun, and I like sports, so all of those things are important to us too."

Leader A was therefore able to identify the prototypes and other important values at School A that fit with his approach and who he was. He was also able to identify that because of his values and his approach to leadership, he did not necessarily think that he

would be a good leader in a separate context. That decision was not made in regards to the skillset that Leader A had developed, but more in terms of the prototype and areas of importance held at other schools. Leader A did believe, however, that he had the ability to change or at least influence the values and what he referred to as the "personality" of the school.

> "I think any school leader does [have the ability to influence a school's personality], but in my case, I know I have a good personality, I get along easily with people, I like being around people, and I'm a celibate priest – I don't have a family. I've given my total self to the school. If you do that, inevitably, one way or another, [it will change]. I guess you could do it negatively too."

In this way, Leader A seemed to be saying that while it is possible can change a school and its culture, it is not necessarily always beneficial to do so. From this perspective, he probably could have taken over a different school and changed what that school's priorities and values were, but it seemed to be an easier fit to connect with an organization that was already more like him, instead of trying to change one to fit his needs.

Leader B thought that his approach and who he was tied directly to the prototype and organizational values at School B. When asked if there was a relationship between who he was and the personality of the school, he stated: "Yes. I do. I do. I hope it is a kind, caring… ideal. That the school is much more important that the individual. I hope it's that." When questioned if this was reflective of what he was trying to bring to the leadership position and who he was, he responded with: "I hope so. It's my goal." These responses strongly imply that Leader B consciously thought through the type of organization of which he wanted to be a part and then worked on making sure that those

values could exist. Leader B was explicit that he believed that the role of leader had the ability to make that happen; when asked if he had the ability to influence, he replied:

> "I think the role does, I don't know it is me personally, but the role of headmaster does in a lot of ways, just in dealing with your staff, your parents, your students, I think you can get that across to them, you know what, we truly are a community, we truly do care about you, we've had some things happen that probably, if you were to go by a book, it's not necessarily how we handled them, simply because we tried to be caring first."

When reflecting on these responses, Leader B was also able to provide an additional example of a time that School B had made a hire based off of traditional, learnable skills and how that had been detrimental in the end. Leader B described a search process that was based much more on experience than anything else, and he felt that it missed the core values of what the school was trying to accomplish. He said that the hire was a "good guy, I liked him a lot, but he just didn't fit." When Leader B explained this, he said:

> "[the hire's approach was:] 'we don't need to include you in the decision making; this is why we're doing this, and if you don't like it, tough.' That's not even close to our values, but that was how he – you know, on paper, he was great, but it didn't fit. He had a different approach that really wasn't the school – he didn't identify with the school."

This would again show that not only was Leader B conscious of the idea of an organizational prototype, he was also aware of situations that ignored the prototype to negative ends.

Leader C echoed the sentiments of both Leaders A and B, was also explicit that he believed the prototype and important values of the school and the prototype and important values of the leader needed to be connected:

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"I think, in general, school – not always – but my guess, I think schools reflect whoever is leading them in some way, or that person reflects the values of the school. That's probably a better way to say it. Because sometime there is a disconnect, and you can see it. So if that person doesn't reflect the values of the school, and the mission of the school, then they aren't in the right spot. And that's why you get the two, three, five-year people, because eventually that's going to come out."

While not explicitly mentioning prototype, Leader C identified that a very important aspect to success was a connection to the prototype and values of the school, which, as shown from the prototype and important values derived from faculty respondents does not appear to be related, at least within these three schools, to traditional leadership qualifications.

All three leaders, therefore, were clear that they felt they could influence the school's prototype and important values, and that the school and the leader would come to reflect each other if leadership would be successful. Furthermore, Leaders A and B mentioned direct plans to make sure that reflection was seen, and Leader C implied that he would be carrying on the values that were present before he was the leader. All of this would lead to the conclusion that they were mindful of prototypes when they took over, and consciously tried to engage with those prototypes.

Conclusions

The data presented addresses both the logic model and the various research questions that were instrumental to testing each aspect of the logic model. The discussion section goes on to further interpret these data and address each of the research questions, as well as providing both avenues for future research and implications for practice.

Chapter V: Discussion

Introduction

This chapter discusses the findings of the research in relationship to the expected findings as defined by the literature review. Suggestions are offered from an adjustment of the logic model based off the implications of insider versus outsider transitions, and implications for practice are suggested. Other areas of interest generated by the data are discussed, and the chapter ends with suggestions for future research.

Expected Results

Succession Planning

The three schools within this study were consistent with the general trend within the literature that succession planning is not fully realized in many school transitions (Fink & Brayman, 2006, Bengtson, Zepeda & Parylo, 2013). It could be argued that a succession process existed at Schools B and C, but the evidence is clear that School A was less concerned about a leadership succession process and more concerned about the specific person they would hire to be the leader. This same argument could be made at School C; even though there was a process in place, it appeared to be developed after the fact and used as a trial period to evaluate Leader C. At School B, the process they used did not produce the candidate that they wanted, and so Leader B was almost selected by default. How the leadership chose to conduct that search outside of the campus is largely unknown, but it is clear that Leader B was not a part of said search, and whatever metric that was used to evaluate outside candidates could have only been applied to Leader B indirectly, if it all.

In short, the schools presented here essentially ignored the succession processes presented in the literature (Hargreaves, et al, 2003, Zepeda, Bengtson & Parylo, 2012, Rhodes & Brundrett, 2005, Fink & Brayman, 2006). Any elements of succession planning that appear to exist largely appear to be for appearances or coincidentally applied as opposed to intentionally conceived and directly instrumental to the process. Despite this, the transitions were successful, at least by the narrow definition provided here, largely because each leader appeared to be selected based on the general prototype of the school in which he came to serve. If the end goal was to hire a prototypical leader, current processes may not have provided adequate time or methods to do so. Since no résumés were reviewed and no job descriptions were offered, any evaluation done on these candidates must have been related to the on the job observations undertaken by the hiring committees. It does appear that each leader's prototypicality allowed them to succeed in spite of the lack of succession planning.

As Leader A recounted, the way the transition occurred was an initial detriment to him, and not including Leader B in the succession talks initially may have generated uncertainty that was unnecessary to the organization and could have been avoided. Even Leader C acknowledged that his succession process was not ideal. As such, it would appear that each of the schools had a consistent approach to name a leader who was prototypical.

Three reasons seem probable for the schools appointing a leader who fit the prototype. First, each of the three organizations had continuity of leadership; none was in a position where leadership transitions could be considered frequent. As the frequency of leadership transitions is one of the concerns detailed by Hargreaves, et al.

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(2003), it would stand to reason that a lack of leadership transitions was beneficial to the schools studied. Second, each of the schools had a strong sense of identity and a strong value system, but that identity and value system was largely subjective, allowing leaders to avoid more traditional evaluation metrics which might have been influenced by the relative lack of traditional, discernable skills that each possessed. This may have allowed for leaders to appear successful, because the value systems at each of the three school would not have required them to have traditional metrics (such as test scores, for example) to be compared against. Finally, none of the schools were in a crisis situation where the solvency or existence of the school was in question. Beyond this, the overarching goals of each school, regardless of the leadership, did appear to be endorsed by the faculty, so choosing leaders to maintain those directions would logically be seen as a positive step. It is unclear whether schools that did not have these attributes could have undergone leadership transitions in the way presented here without more mixed results.

The fact that the selected leaders were prototypical examples of the organizations that they came to serve also seemed to factor into the explanation of why the lack of process was successful within these cases, and this is not at odds with the caveats presented. Research is clear that prototypical leaders are more likely to receive support (Platow & van Knippenberg, 2001, Pierro, et al., 2005, Giessner, van Knippenberg & Sleebos, 2009, Cicero, Pierro & van Knippenberg, 2007). This appeared to be true within these three schools. Each of the leaders had relatively high leadership endorsement scores, and in all cases, as their leadership endorsement scores rose, so did the likelihood that members of the organization would be willing to vote for

them if given the chance. Furthermore, their prototypicality scores were consistent when it came to word matching; all of these leaders were seen to have characteristics consistent with the prototype by the people who followed them within the organization, and that, too, was probably a part of their success. As the research shows, follower perceptions are extremely important in predicting outcomes (Grant & Hogg, 2012, Rast III, et al., 2012, Tse & Chiu, 2012, Subašić, et al., 2011, Hogg, Sherman, et al., 2007, Hogg, Meehan & Farquharson, 2010, Lord, Brown & Freiberg, 1999, DeRue, & Ashford, 2010, Giessner, Van Knippenberg & Sleebos, 2009, Platow & van Knippenberg, 2001). Due to this, the combination of prototypical leadership and the organizational conditions may have been enough to ensure ultimately successful transitions. It is not clear whether changes to these various conditions would have changed the results.

Organizational Identification

Because prototypes, at their root, are a way by which people can determine their connection to an organization and an identity, it would logically follow that they could develop over time, not just for the organization or leader but for the follower as well (Lord, et al., 2001, DeRue & Ashford, 2010, Lord, Brown & Freiberg, 1999, Giessner, van Knippenberg & Sleebos, 2009). What is not clear is whether or not members of an organization would stay within that organization long enough for identity to grow, or what the minimum thresholds would be to allow identity to develop from non or low-identification to high-identification over time. Especially within a private organization that requires an element of choice it would be expected that high-identification could occur both from newcomers to the organization as well as those who had been present

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for longer timeframes. The data presented did not take discrete measurements of organizational identification over time, so it is impossible to know whether identification changed either positively or negatively for the members of the organization. The trends provided in relationship to the strength of identification as related to time within the organization do not support either conclusion.

It remains unclear from this study if organizational identification can be built over time, or if low and non-identifiers simply exit the organization due to the disconnection from the organizational prototype. At Schools A and B, there was little to no correlation between the years of service and the strength of organizational identification. At School C, there was a definite trend of more identification as the years went on, but this trend was lessened significantly by removing the two outliers who were new to the school. Two other explanations are also possible beyond the idea that organizational identification develops over time. First, School C had less of a consensus regarding prototype than either School A or B, so it may be that prototypes for School C were not as ingrained as they were at the other institutions. Weaker prototypes would make organizational identification more difficult (Hogg, 2001, 2006). School C also had faculty that were present at the founding of the school. It is impossible to know the extent to which prototype within a situation where a founding head is transitioning is directly related to that specific person. Organizational identification in such an environment could be theoretically more connected to how long-tenured faculty members felt about the specific leader (Hogg, 2001, 2006) than how they felt about the organization. Regardless, it is not possible to know whether organizational identification increased over time as low and non-identifiers exited the

organization, or whether organizational identification is gained as time spent within the organization increases.

From the literature, it would be possible to make a case for either scenario. In theory, followers could adjust and come to be identifiers over time as the prototype shifted (Hogg, 2006, 2001, Rast III, et al., 2012, Lord, et al., 2001, Haslam, Platow, Turner, et al., 2001), but it may be more likely (at least within private organizations) that the decision to enter the organization in the first place is more related to perceived connection to prototype. Low or non-identifiers who make the decision to enter for other reasons (such as salary, benefits, etc.) may be more likely to leave over time. Regardless, the relative small number of low and non-identifiers at each school would indicate that those types of people are eliminated from the organization over time, either as a result of changing the status of their identification or moving to an environment that better suits their values. Again, this would be consistent with the idea of prototype.

How Prototypes were Defined

Prototypes were also defined differently across the three school communities, but all seemed to have connection back to a categorical ideal of values. The leaders from each school commented that the amalgamations of the faculty comments regarding characteristics of the schools all seemed to connect to school mottos, sayings or explicitly shared values. Whether or not this connection was causal was not identified, but there does seem to be a connection between cultural artifacts of the school and how each faculty perceived and expressed belief in school prototypes and values. Within each of these schools, however, the majority of respondents were high-identifiers. Research within schools where the majority of individuals are low or non-identifiers (if

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such schools exist) could determine whether or not institutionally defined values can exist in such environments.

It may also be helpful to define better measures by which prototypes can be determined, and have a consistent identification scale that could allow organizations to measure if and how the perceived prototypes of the organization change over time. Within each of the three schools, the analysis of the term matching between how the respondents defined characteristics of the organization and the leader showed a strong consistency between how respondents viewed the leaders and how they viewed the organization. There was little difference in the consistency measure between terms that were directly related to prototype and general terms used to describe the leader and the organization at any of the three schools. The consistency makes logical sense; all leaders had been defined as successful, and the ties to previous research show that they would be seen as successful and effective if they were prototypical (Subašić, et al., 2011, Tse & Chiu, 2012, van Knippenberg, & van Knippenberg, 2005) and this would also mean that they were representative of what it meant to identify with the organization.

Future study could address theoretical concepts that were not seen within these three schools. It is not clear whether it would be possible for a leader to have a high consistency between prototype characteristics shared in common with the organization and not in general characteristics as described by the faculty or the converse. This would therefore create questions about whether or not organizational prototypes must be clearly defined and be consistent among faculty members, or if the important aspect is that the leader and the organization are seen to share similar characteristics from the

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perspective of the faculty or staff member. This is to say that it may be more important

for whatever the followers believe about the organization to be held in common by the

leader than it would be for the leader to try to establish a discrete prototype and have the

followers to connect to that concept. This would have implications for any organization

that was undergoing change to their basic practices or contexts, because it may allow

for leaders to maintain confidence and connection to the organization merely through

their relationships with their staff. From a negative perspective, the opposite may also

be true: leaders who try to change the organization may find themselves to appear less

successful because the faculty might no longer see them as prototypical. Either way,

further study into change and prototypes could determine this relationship, if any.

Unexpected Findings

Prototypes and Leadership Specific Prototypes

While the study did provide enough evidence to conclude that prototypes did

exist at each of the schools, it remained unclear as to whether or not specific leadership

prototypes existed. This was a surprise because research done by DeRue and Ashford

(2010) posited that leaders and followers had a reciprocal granting and claiming of

leadership claims, and it would seem that specific leadership behaviors would be

necessary for those claims to occur. The evaluation of the data did lead to various

characteristics that were confirmed by each of the leaders as representative of the

whole, but the extent that these prototypes were directly and specifically related to

leadership and leadership behaviors remains an unanswered question. At least within

these three schools, there did not appear to be a direct leadership prototype. It is also

unclear whether this was because a leadership prototype was superseded by a general

prototype, or due to the nature of leadership within the private schools a specific leadership prototype was unnecessary. Whatever the reason, even though there did not appear to be a specific leadership prototype, the finding overall was consistent with previous research that within an organization that had high-identifiers, the leader and the prototype can become analogues over time (Rast III, et al. 2012, Platow & van Knippenberg, 2001, van Knippenberg & van Knippenberg, 2005, Cicero, Pierro, & van Knippenberg, 2007, Haslam, Platow, et al., 2001). It was surprising that this could occur without a specific leadership prototype to reference.

School A offered reasons why leadership prototypes might not exist within its school due to the nature of the transition and the faculty knowledge of other candidates at the school. While there were job-related issues with the previous leader of School A, those issues appeared to be more about the role that he had and less about his actual job responsibility. Leader A decided that he would split the roles of president and principal in response to these concerns. Logically, members of the faculty who saw this role split as a solution would then be confused as to why the previous leader had been removed. If the faculty's concern was overreach, then the response could have been a split role. Instead, there was a replacement of responsibilities through the removal of the previous leader.

Leader A acknowledged that this feedback caused him to adjust his approach. He stated, "And so that helped me to know I shouldn't try to do both of those [principal and president roles]. Number one I'm not qualified to be the principal, but I should not try to do both of those, so I didn't." It took Leader A over two years before the role of principal was replaced, and it is not clear that the faculty understood the approach that

Leader A was taking either at the time or as contemplated retrospectively. It may be that they felt discussion of the split role was done retroactively to have an excuse for the removal of the previous leader, but that is speculative and is not reflected in any particular response from a faculty member. In a follow-up interview, Leader A said that he had addressed the changes in responsibility with all staff members, but that there remained a number of people who did not agree with that split, and by his own admission, elements of his personality meant that the split of roles was not necessarily definitive. It may be that all of these factors led to confusion regarding the expectations of leadership.

This confusion could also be interpreted as at least an undercurrent of concern regarding leadership behaviors at School A. This was seen through the general negativity of low-identifiers and the specific comments made by low-identifiers regarding the strength of connection and communication from Leader A to the faculty members of the community. Even though this was not directly identified as prototype among either high or low-identifiers, it may be that this type of behavior (openness and connectedness with the faculty) was a prototype established by the previous leader and adjusted by the new leader. This is turn could be why the low-identifiers were more likely to believe that Leader A had changed, and less likely to vote for him as a result. For them, he may have violated the idea of the prototype, and so while they no longer identified that as an organizational prototype due to the tenure of Leader A following the transition, they may still have used that as part of their decision to identify or not identify with School A. Even from the negative perspective, this interpretation would be backed up by research: just as people will be more likely to identify with the school

if they felt that were personally able to relate to the prototype, so too would they be less likely to identify if they were not (Hogg, 2001, 2006, Subašić, et al., 2011, Tse & Chiu, 2012, van Knippenberg, & van Knippenberg, 2005).

A second explanation for the low-identifiers' concerns about Leader A could also be that a leadership prototype had been established before the hire of Leader A, but the differences between Leader A and the previous leader were so pronounced (and perhaps in such direct violation of the original leadership prototype) that the faculty had no choice but to assume that leadership prototypes no longer existed. There is some evidence to support this conclusion. Low-identifiers made several statements that would imply a fear that expectations did not exist at all. Due to the results of the hiring decision this could be interpreted as a confirmation to the faculty that leadership expectations no longer existed. This was seen through statements like: "I do not think there are specific expectations," "I have no idea what the school wants, other than they prefer Catholic. They may have a set criteria but I've never seen it," and "This one is up for grabs - you will never get the same answer from anyone." This is further supported by a basic analysis of the similarities between the two leaders that many of the faculty members knew: ultimately, the only thing that they were aware of being consistent were the two leaders' Catholicism. However, the idea of faith was also inherent in the general prototype, so all of this may be just confirmation that the leader had become indicative of the prototype.

As the likeliness of the faculty at School A to vote for the leader was also less than those at Schools B and C, a third explanation for the concern regarding Leader A could be offered: it may be that Leader A is becoming less prototypical (and therefore

less endorsed) over time. It is unclear whether a trend like this could continue and then in fact *create* a separate leadership prototype distinct from that of the general organizational prototype. This could be an area of future research to see if a separate leadership prototype is in fact a negative indicator, and also indicative of faculty or community unrest.

Schools B and C experienced some of the same issues in regard to leadership prototypes, albeit not as pronounced as they were at School A in terms of faculty concern. This may have simply been a factor of the fact that faculty members were not involved in any of the searches, and since the leaders had not reviewed a job description, it is unlikely that a faculty member would have done so either. School C also had unique conditions that further differentiated it from Schools A and B, and those unique conditions may have further influenced ideas regarding leadership prototypes. First, in addition to the lack of faculty involvement, the relative age of the school needs to be taken into account. While the lack of faculty involvement was consistent with both Schools A and B, the effect of this decision may have been more pronounced at School C due to the limited number of leaders that the faculty could use to draw conclusions regarding consistency of traits among leaders. The other schools had multiple chances to evaluate the type of people who had been leaders to look for similarities or differences. As a result, the only other leader that members of School C knew was the founding Head, and this may mean that in the absence of being the founding head, specific prototypes for leadership had not yet been established. This would seem to hold true in regard to the idea that the previous leader's son was employed on staff, and Leader C had been concerned that the future job as the leader

was the son's to lose, only by virtue of the son being related to the founding Head. In this way, the idea was that whoever was most like the founder would be the next leader, but that line of thinking was not necessarily connected to skills or skillsets.

Despite these speculations, there was still a strong sense that Leader C was the type of person expected to be the leader of School C. Leader C's acceptance and connection to expectations of the faculty could be explained in the same line of thinking as Leader C had regarding the previous leader's son taking over. The identification of Leader C as the type of person expected may simply be due to the prominence of Leader C before he took over as the head of school. As he self-identified, Leader C said, "probably, if you look at from '05 to when I became head, when I came back, those years were all about grooming a potential replacement." Even though this grooming was taking place, the faculty were not a part of the process, nor were they informed that a transition was taking place. To be fair, it is likely that the faculty and staff of School C were aware that a retirement was likely, even if they did not know when that may actually occur. Leader C specifically addressed this concern with the previous leader, and the result of that direct address did lead directly to the transition.

From this perspective, it may be that even though there were not clear expectations for the kind of skills that the new leader would have, there may have been a strong sense of who that leader would be. Again, this would explain why even non-identifiers felt confident in the leader's selection. As such, most would see Leader C as the leader that they expected, even if there did not appear to be a specific leadership prototype at School C.

Adjustment to Prototypes and Uncertainty

Another surprise was how each of the schools handled uncertainty. The transitions in question certainly did not reflect the expected uncertainty that would come with a leadership transition; mainly, the idea that the old leader would announce that a change would occur, and then the faculty and staff would have a period of waiting during which questions about new leadership, direction and job stability may all arise. School B was the only school within the study that could have been said to have had that type of possible uncertainty. Schools A and C skipped the leadership search stage for the general faculty, and so none of them would have had an opportunity for traditional uncertainty to occur.

Hogg, Meehan and Farquharson (2010) had listed uncertainty as one of the key tenets to group identification, and so the logic model was constructed with the idea that the group uncertainty would strengthen prototype and lead to its eventual refinement. If uncertainty did not exist, it is unclear how the identity process would have changed, if at all. It could also be argued that even though the uncertainty was not what had been traditionally imagined, it could have still existed more in the realm of how the new leader would connect to the organization. This would seem to be a weak explanation with Schools B and C, because each of the leaders had already shared their leadership style through experience and roles within administration. However, it may explain some of the data at School A, where the leader was not as well-known as at the other schools and did not have as much of an opportunity to share his leadership style. It may well be that the change at School A was more about the uncertainty generated for staff members who felt that the previous leader was achieving the necessary results, and so

the followers themselves would have experienced uncertainty regarding their own perceptions. If that was the case, the research done by Hogg, Kruglanski and Bos (2013) that suggested people will attempt to find people who can confirm their beliefs and attitudes during challenges to their perceptions could be confirmed by the results of some of the low-identifier faculty members.

A very surprising trend within each of the three schools was the relative effect that change appeared to have on faculty members' likeliness to vote for the leader. While the differences were overall small, there was a consistent difference in scores between those who believed the leader had changed and those who did not. Change and adjustment in the logic model was conceived as important because it would allow candidates to better connect to the organization and the prototype. Even if the small differences could be explained as random or as noise within the data, these differences do not support the idea that change was positive. If it was not negative, than at best it was coincidental to the success of the new leaders.

Research has been clear that prototypes change and adjust as context changes (Hogg, 2001, 2006, Rast III, et al., 2012, Lord, et al., 2001, Haslam, Platow, Turner, et al., 2001), so it seemed logical that a new leader would need to adjust his or her style, values or behaviors in a way that better connected to prototype over time. This may have more implications in outsider successions where the leader is not as well known; as mentioned in the findings, School A had more faculty members who were present during the transition who did not feel they knew Leader A well enough to comment on whether or not he had changed from before to after the transition than any other school, and Leader A also had relatively lower likeliness to vote scores than any other leader.

Whether this was because Leader A was less well-known than the other leaders is unclear; while scores of the high-identifiers who could determine whether or not he had changed were higher than those who could not, those who thought the leader had changed, whether they were high or low-identifiers, still rated him slightly lower than their counterparts who did not see a change. At Schools B and C, the perception of not changing appeared to provide greater support to each leader, but those differences were minor.

There are at least three reasons why change could have been perceived as irrelevant or at the very least not positive within these contexts. The first argument is purely logical; there was a large amount of evidence that implied each of the three leaders were chosen not due to their traditional, learnable experiences, but rather because of more loosely-defined attributes. If those loosely-defined attributes were in fact prototype, then any change away from that would be considered negative. Although some respondents felt that the leader had not changed as a person, they did mention some type of change to how the leader approached the act of leadership (either by additional knowledge or experience) over time. This would imply that the respondents saw a difference between traditional qualifications and prototype, but it would also provide counter evidence to the idea that the leader was shifting from a prototypical to a non-prototypical state, as none of the schools had leadership actions as parts of the defined prototype.

Second, because the data were captured after the faculty had time to make sense of it and interpret it, it may be that the leaders did grow over time and the faculty simply did not remember or could no longer acknowledge the change consciously, or that the

more consistent, more visible role as leader presented enough evidence of connection to the prototype that previous concerns or evidence were able to be ignored. Regardless, the relative time between data generation and collection should be considered.

Third, Schools A and B both had long histories and fairly well-understood senses of how and why things should be accomplished with each organization. It may simply be that change within such a context is always negative, because it appears that the organization is changing the root of what defines it. At School C, with the previous leader being the founder of the school, it was therefore true that every person ever hired at the school had been done so by said leader. Change at School C then may have been seen as moving away from the person that the faculty saw as responsible for their careers and livelihood, and therefore could again be negative in a very personal way.

These findings would suggest that insider transitions, at least conducted in the manner of these three studies, should be less concerned about how the leader is changing and more aware of staying consistent to the type of person the faculty or staff knew them to be before the transition. This change would either eliminate the adjustment period from the logic model, or conceive that any adjustment would have occurred before a transition was to take place. This all assumes that the incoming leader was already prototypical, but as Leader C mentioned in his comments choosing a leader that is not prototypical usually means that there is some aspect of the school that needed to change. In regards to such a leader, Leader C stated, "somebody [a leader chosen to lead who is] disconnected, somewhere usually prior to that has been a turning point [for the school]." In this way, an insider transition who reflects the values of the school would be about maintaining an established prototype and type of culture; anyone

else may be seen as a desire to change core values. A study that focused entirely on outsider leadership transitions could determine whether or not this view holds true.

Other Findings

Prototypes and Behavior

The evidence presented suggests that each of the three schools had prototypes and used those prototypes to determine a leader that best fit the organization. There was also evidence to suggest that each of the three leaders considered the context of the organization and compared that to his own personality, set of skills, approach to leadership, or some combination of all of these. In short, each of the leaders seemed to undertake a mindful evaluation of whether or not he would fit with the organization, and used that determination to decide whether or not to accept the position offered. In this way, prototypes within the organization affected the behaviors of the leaders at each school. This is merely one example. There may have been additional actions that were ultimately affected by the presence of prototypes.

It is clear, therefore, that prototypes had an effect from the organization to the leaders. What is not clear is the extent to which a leader or an organization might be able to change or adjust prototypes in the other direction, whereby members of the organization would attempt to change the characteristics representative of the organization and perhaps influence organizational behaviors. This is important for organizations or leaders that do not have the benefit of a consistent prototype between the leader and the organization. Unforeseen changes in leadership or other circumstances may limit an organization's ability to choose a leader whose characteristics are consistent with the defined prototypes. Organizations may also

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choose a leader specifically because they want the defined prototypes to change. Within those situations, it would be helpful to know whether a leader could adjust his or her behavior (assuming that the organization did not want the prototype to change) to conform to organizational prototypes, or whether a new leader would have the ability to mindfully change prototypes to better fit his or her needs. In addition to the practical realities for the incoming leader, whether or not prototypes and leaders can change within organizations would have utility especially in organizations that have negative prototypes. Logic and anecdotal evidence could point to any number of organizations who were associated with negative characteristics and were able to change, so it would stand to reason that change is possible, even though change by the leader was not seen within the evidence to have a meaningful effect on the evaluation of the leaders.

Evidence from the interviews with the leaders showed that each leader would support the idea that they had the ability to influence prototypes. Each of the leaders expressed feelings that they had the ability to change their organizations by helping to change the personality of the organization. Leaders A and B mentioned their approach to change as either goals or responses to actions that they had already taken. Leader C explicitly believed that schools reflect the personality of the leader. Despite this, none of the leaders felt that this type of change or adjustment could occur without limits; all seemed to feel that at the very least there must be a corpus of prototype overlap, and they cited examples of the lack of success that occurs when prototype congruence was not present. Both Leader A and Leader B were able to name specific individuals who had exited the organization due to concerns regarding fit as opposed to a lack of traditional skillsets or general failure. This would imply that while leaders have the

ability to change the organizations into which they are entering, they should remain mindful of how their values will interact with the organizational prototype and consider whether or not change is possible. In addition to this, future research should be done to address if or how prototypes can be related to organizational change.

Prototypes and Qualifications

It is important to note that within the three cases there was a great deal of evidence that qualifications and traditional, learnable skills were less important than value alignment and affective behaviors, but it would also be incorrect to state that qualifications and traditional skills were never important to the process. All three leaders addressed some area of deficiency after they were hired, either by going back to school or finding people to help them with areas of the organizational practice that they did not fully understand. It is unknown how long they would be able to hold these positions if they had not accomplished this, but it is safe to say that gaining those qualifications was important in some way. Schools are social organizations and as such have fewer objective measures of success by which to be judged, and this appeared to be true for each of the schools studied. It may well be that due to this, prototypes can work better and exert more influence over leadership positions within these particular types of contexts; other organizations that have more traditional measures of success and have leaders that can be directly evaluated by those measures may be less influenced by prototype. Conversely, it could also be true that those organizational prototypes are simply discrete and measurable in a way that those of schools might not be.

Regardless, the data presented here would not give leaders a free pass to ignore basic job responsibilities, but would certainly imply that it may be easier to teach someone the traditional skills that they will need to be successful than it would be to try to mold them to the organizational values over time or ask them to change who they are for the organization.

Prototypes and Success

What does appear to be consistent in all the research done here, regardless of why, is that if an individual was a high-identifier within the organization, they were likely to want to vote for the leader if given a chance. This, connected to the fact that each leader was seen as very consistent with the characteristics that each respondent saw as reflective of the organization, would strongly suggest that leader connection to the prototype was predictive of perceived success. This became even more clear when high, low or non-identification was ignored. Within that analysis, the more an individual believed that the leader represented the characteristics and type of people within the organization, the more likely they were to vote for him.

On the surface it may seem surprising that each leader had established some success in his role. As previously mentioned, each leader came in with either self-identified or objective under-qualifications for the positions that they would come to hold. Each would need either additional schooling or experience or both in order to achieve basic job functions, and all would take the jobs without reviewing a job description or needing to generate a résumé. Despite all of these factors, the respondents at each school would also consider them to be leaders who they would vote for again. A logical conclusion is that, at least within these three private schools, the

best prediction of success is not what the individual leader knew or the previous leadership positions held, but to the extent to which they were reflective of and connected to the organizations that they came to serve.

The Leadership Endorsement Scale

Each of the three leaders had generally consistent scores across the leadership endorsement scale with the exception of two ratings: "The leader is not representative of the kind of people within the school community," and "The leader is very similar to most people within the school community." The first rating was reversed scored, so it may simply be that respondents did not read the question correctly. Whether this would be a consistent explanation across three schools is unclear. The second rating has at least two plausible explanations. First, at School A, Leader A is a priest, which would inherently make him different from most people within the organization. This explanation would not apply to Leaders B or C however. Therefore the second and more plausible explanation is that members of the community considered "most people" to refer to the students, and basic characteristics of the students such as age and interests would be different from the leaders. Further exploration of prototypes could determine whether prototypes exist for discrete groups within the school, such as faculty, students or parents, and whether those prototypes were discrete in and of themselves or tied to a general school prototype.

Limitations and Implications for Practice

Because this was a qualitative study that was limited to three very similar organizations, it would be a mistake to assume that the findings here would apply to any private school or could be immediately translated over to a public school or non-

education context. Therefore, standard limitations regarding sample size, locale of the three schools and general homogeneity of the community in which they were based would all apply here. Beyond these, and as mentioned, prototypes may have more influence in these cases because there were non-objective ways to measure leader success; it is unclear how differences in organizational outcomes would affect whether or not the leader was viewed as successful.

In addition to this, the fact that all three leaders were insiders within their successions cannot be ignored. It is likely that outsiders would have a much more difficult time integrating into the organizations and that the built-in advantage of knowledge that the faculty had in relationship to the leaders and their styles simply would not translate for those entering the organization from other places. In those cases, it would remain unclear whether perceived connection to prototype was more important than traditional skillsets; while the leaders in these cases were apparently able to use their prototypicality to build their skillsets, it may also be true that outsider leaders can use their skillsets to allow them time to build their prototypicality.

Despite these limitations, there are a few implications for practice that could be helpful for future leaders and for those that select them. First, none of the leadership transitions described within these cases were ideal. They were all very insular and secretive, but all appeared successful for two reasons: one, the leader eventually selected was an insider to the organization, and two, the leader was reflective of the consensus values at the schools where they were selected. This is not to say that process should be ignored by schools looking to make leadership changes in the future,

but it may be more helpful to design processes that consider these factors in greater

depth and help guide those making the decisions in a more natural way.

Second, both future leaders and the organizations that hire them should be

willing to consider allowing time for traditional, learnable skills to be acquired after the

new leader is hired. Turning to a leader that has the necessary skills but cannot connect

to the values of the organization would appear to be a mistake, as would a potential

future leader failing to apply for the job because of missing attributes on a résumé.

With the right contexts, it does appear that these things can be overcome to allow future

leaders to be successful, but this would require both patience and time. At least within

these cases, it would appear that it is far easier to find someone who fits the

organization and then train them versus the opposite approach.

Third, leaders within organizations should be mindful of how they are viewed in

light of organizational values and ideals. While the theoretical approach to this is that

prototypical leaders are better supported (Rast III, et al. 2012, Platow & van

Knippenberg, 2001, van Knippenberg & van Knippenberg, 2005, Cicero, Pierro, & van

Knippenberg, 2007, Haslam, Platow, et al., 2001), it was also supported within the data

presented here and the converse could also be true: current leaders may be more likely

to be asked to leave if they cannot find ways to adjust to the organizational values.

Conclusion

The data and the evidence from this study are consistent with the understanding

of prototype provided by the literature and in numerous experiments. Continued testing

of these tenets within actual complex organizations in practice will remain an important

area of future study, as would the various implications around prototypicality, such as the importance of objective skillsets, whether prototypical leaders in fields where objective measures of success are more available see the same benefits, and whether organizations that have lower identification levels need to be concerned about prototype at all. Finally, it would be critical to test these tenets within organizations that are facing outsider, as opposed to insider, successions.

What was clear from this study was that there was a strong correlation between how faculty within the organization rated the strength of the leader's connection to the organizational values and whether they would support the leader. These connections seemed to trump the idea that the faculties were not involved in the hiring process; that many of the groups were not informed of the transitions until after they had occurred; and that the traditional skillsets of each leader were identifiably lacking elements that would appear to be important. Put simply, each of these leaders was perceived as successful because they were prototypes of what it meant to be a part of the organization, and that made all the difference.

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Appendix A: Analysis of Staff Perceptions of Leadership Transition, School A

High-identifiers present during the transition				
How has the leader changed since he took over?	Negative?	Has the leader changed as a person?	Aggregated response	Likelihood to vote for the leader again
He doesn't seem to make as much of a point in making it seem he is doing what we as a group call for.	No	he didn't	No	2
He has become more careful of what he openly shares with the community. He thinks more before he speaks.	No	I was not here when he was here before.	Did not know him well enough	4
Learned the job but still has a ways to go	No	NO RESPONSE	Did not know him well enough	2
he has become more aware of how to handle himself in the public atmosphere	No	yes	Yes	4
He has become more concerned with the perception of the school, regardless of what is actually happening.	Yes	No.	No	5
Maybe lost touch with what it's like to be a teacher a bit, but otherwise he's really consisten	Yes	Yes, like I said, sometimes forgets realities teachers face everyday	Yes	4
Thinks more about major decisions. Seeks more impute from others outside the school.	No	Yes	Yes	5
matured	No	more communicative	Yes	4
N/A	No	NO RESPONSE	Did not know him well enough	5
He has realized that he can't please all the people all the time	No	Yes	Yes	5
Just gotten more experience	No	No	No	5
The responsiblities of the position have separated him from some of the daily operations causing occasional	No	Somewhat, but not in a negative way	Yes	5

disconnect. This was recognized and has improved this year.				
I don't think he has, but that's a good thing. His goal when he came was to have a more Catholic environment, and he still promotes that.	No	Yes and no. He was faithful and spiritual before, and that hasn't changed. I think that when he got this position, he realized that it's not all fun and jokes anymore. Running a school is serious business. From what I've seen, he consults those who ar experts at things that he isn't, and he asks for their opinions. I think that at the beginning, he was way over his head, but I think it's gotten a little better. I still think, though, because he's still young, he's not taken as seriously as he could e.	Yes	3
More emphasis on the school as a Church ministry	No	Yes. A professional distance between priest and president	Yes	5
I think he has become less open to hearing from staff because of the ones who solely complain	Yes	Yes	Yes	4
He tries not to be as in our face about things	No	NO RESPONSE	Did not know him	1

			well enough	
matured	No	Yes	Yes	5
NO RESPONSE	No	NO RESPONSE	NO RESPONSE	2
has matured into the role	No	don't know	N/A	3
not at all	No	NO RESPONSE	Did not know him well enough	4
He has developed a stronger backbone	No	NO RESPONSE	Did not know him well enough	4
He has learned a lot. He listens to teachers/administrators/internal input more. Has become more image/money oriented	No	Absolutely.	Yes	2
NO RESPONSE		NO RESPONSE	NO RESPONSE	3
He has grown as an administrator, but the students are still his focus.	No	no	No	5
Low-identifiers present during the transition				
He has become more focused on doing what the board wants and does not listen nor address teacher needs	Yes	Yes	Yes	2
more willing to make hard choices, communication seems to have decreased	Yes	yes	Yes	3
Become more understanding of how the school operated before they arrived on the job	No	N.A.	Did not know him well enough	3
More mature. Is great with the parents, public	No	NO REPSONSE	Did not know him well enough	2
NO RESPONSE	No	NO RESPONSE	NO RESPONSE	4
He does a great job for the most part.	No	NO RESPONSE	Did not know him well enough	5

He is more visable than past leaders.	No	NO RESPONSE	Did not know him well enough	2
more inclined to do what the donors want	Yes	NO RESPONSE	Did not know him well enough	2
I think he is less humble (instead of students in pictures he is always in the pictures), I think he has become less in touch with teachers and more focused on what HE thinks is best even though he hasn't been in a classroom for over 10 years and it seemshe always goes to the same people for advice (people maybe who will tell him what he wants to hear).	Yes	He was a teacher at one time before entering seminary and becoming a priest. Since his return I think he has become less interested in what teachers think and feel and more on what do we look like from the outside looking in instead of the inside lookingout.	Yes	4
NO RESPONSE	No Response	NO RESPONSE	NO RESPONSE	4
He has gained experience and grown into his role, and continues to work to improve himself and the school	No	NO RESPONSE	Did not know him well enough	4
Yes	No	NO RESPONSE	Did not know him well enough	4
He has become more detached from the faculty, more involved in presentation than in day to day operations in the academic arena	Yes	He couldn't help but change. He went from faculty member to priest to a position of absolute authority. He is	Yes	3

	still the same good person but his attachment to those required to actually provide what the school advertises has been minimalized to the poin of non-existence.			
More personable, better communicator	No	NO REPONSE	Did not know him well enough	2
Become a less effective leader	Yes	yes	Yes	2
less interested in the faculty and their concerns; more interested in alumni for their contributions; too much emphasis on making the school a showcase.	Yes	He first started out as a faculty member and then came back as the head of the school. There will be differences simply due to the position held.	Yes	2

Total that thought that the leader changed who he was, high-identifiers	Total that didn't think that the leader changed who he was, high-identifiers	Total that didn't know the leader well enough to make a determination
11	4	6
Total that thought the leader had changed who he was, low-identifiers	Total that didn't think that the leader changed who he was, low-identifiers	Total that didn't know the leader well enough to make a determination
6	0	8

Negative comments from high-identifiers	Negative comments from low-identifiers:
3 out of 19	7 out of 15

Note: responses were originally color-coded to identify negative responses or responses that they did not know the leader well enough.

Appendix B: Examples of quotes from interview with Leader B

Quotes from the Leader of School B		
Quote	Connection	Explanation
There wasn't much hoopla or anything like that, and I think it made it a seamless transition because I was here and quite frankly I knew everybody –sure if that was good or bad I don't know.	Uncertainty	Seems to be that the people were happy to avoid / begin to mitigate the uncertainty factor
I mean, most of them were just like, we were relieved, because they knew what they got – they knew what they were getting. I don't know if any of them were excited, but they were relieved.	Uncertainty; Prototype?	This sense of knowing would allow them to connect what they know about the leader to their preconceived sense of prototype.
So you kind of never knew what type of leadership style the new priest would bring in, that type of thing. With me, it was kind of like, yeah well, we can put up with him.	Uncertainty, prototype	Knowing who they would get eliminates uncertainty. Roger plays this as if just knowing is enough; might also be that you need to know as well as want that thing – knowing someone is crap doesn't help you
I think so, because the athletic director role in particular, obviously academics is the most important to us, but athletics is huge here, so I dealt with a ton of them, because I would deal with academically for kids who were on academic probation, that type of thing, so I would kind of work with them in that way, and honestly – I didn't mention – for four years I was a counselor in the middle school, so I had that role too, where I dealt with a lot of the teachers, because we don't have a lot of turnover – we are like you guys – every once in a while, so the majority of them already knew me and dealt with me in a lot of ways.	Prototype, mitigation of uncertainty	The staff would have been able to assess the leadership style before Roger came in.
You know, not particularly. [IN REGARDS TO WORRIES] My biggest concern was the finances. Getting to learn how that all worked. I think I probably had the same concerns that all heads do – like yourself – basically school starts we got to start recruiting for next year. You spend time talking to your donors, trying to get people to give money, you know those things, I	Qualifications and lack thereof	Concerns regarding the basic job functions,

guess in a way you always have those things on your plate.		
I didn't. I wasn't. I can give you the opposite of that because when I went to Owasso I knew no one, when I went out there. And that's very much different culture, lot of really nice people, but that's a very Wal-Mart, compared to what you and I deal with. I don't mean that in a negative way. It's just a different culture. The difficulty of becoming ingrained in that was a challenge – I think it worked out well – but it was a challenge I didn't have to go through when it came to the Cascia deal.	Dealing with integrating into the community; opposite side of prototype with other organizations	Evidence that skillsets don't necessarily transfer, likes being in School B due to prototype reasons?
My headmaster, actually, for a number of years, and I would go to him for advice and things like that, and he typically ask me "what do you think about that?"	Asking previous leaders what they would do	This could be an example of trying to understand prototypes or simply trying to connect with a previous leader
No, because we were too different – and actually I was here before he was – and honestly, no not at all. Bernie's strength is probably fundraising – that's his biggest strength – and I think that's why he was selected for the provincial role, trying to raise money for the priests and all of that. And is that my biggest strength? No. We do okay, but I hope my biggest strength is just relationships. But honestly – I don't want to sound like I'm belittling him in any way, but I really didn't have much concern about it, everybody knows he's different than the two of us, and as you and I have talked, there are some people who won't care for you no matter who you are, so it works both ways.	Prototype, organizational understanding, not worried about following the pervious leader	Two elements here stand out – Roger cites longevity (he may know more about prototype because he was here first?) and that he didn't try to be like the last person (everyone knew that – may factor into the idea of a prototype shift.)
We do okay, but I hope my biggest strength is just relationships.	Affective behaviors	This ties into the idea that affective behaviors are important
so I try to put myself in their place and think, what would I want out of a headmaster – a guy hounding me for money all the time? A guy who tries to get to know me? A guy who cares about the kids, most importantly, someone who is not afraid to share his faith, those kind of things.	Prototype	Leader B identifies things he believes that the community wants from their leader; this can be compared to faculty discussions of organizational values

No, and I guess it was he had experienced my style all those years. And honestly, we talked every day.	Explanation of why an interview might not have been necessary	This needs to be explained in light of the lack of a process.
Yes. And I think that just comes from osmosis.	Explanation of what he knew in regards to the leadership behaviors	Idea that the organization has set expectations, even if they aren't written down (prototype)
No I don't. Honestly I don't. I hope that others don't think so. I don't think I did.	Response to the idea that he had changed	Can be checked against teacher beliefs
"Roger has been put in charge of the daily running of the school, supervising all tasks. Father John will be in charge of the spiritual development." And that was pretty much our job description.	Shared expectation and job description	This should be used to describe the transition
Roger was never told that they were looking for a certain type of persons	Possible counter evidence to affective.	This must be acknowledged
Matt: Do you think that there is a relationship between your personality and that of Cascia? Roger: Yes. I do. I do. I hope it is a kind, caring… ideal. That the school is much more important that the individual. I hope it's that. Matt: And you think that is reflective of who you are? Roger: I hope so. It's my goal. My wife may argue.	This could have prototype implications	This can be tested against teacher ideals
I think so, I think the role does, I don't know it is me personally, but the role of headmaster does in a lot of ways, just in dealing with your staff, your parents, your students, I think you can get that across to them, you know what, we truly are a community, we truly do care about you, we've had some things happen that probably, if you were to go by a book, it's not necessarily how we handled them, simply because we tried to be caring first, I'm going to throw a Saint Augustine quote	Idea of affective behaviors being important	

at you, If you err, err on the side of compassion. He gets credit for it.		
You could throw into that from [School B's] perspective [previous leader] – he was at [a local public school] – and they did a full-blown search committee: a board member was on it, a couple of faculty members – they did a full-blown search when _____ retired, and they wound up hiring [previous leader]. He and I still have lunch together – good guy, I liked him a lot, but he just didn't fit. He had a very – I'm almost afraid to say this – a public school mentality of really, we don't need to include you in the decision making; this is why we're doing this, and if you don't like it, tough. That's not even close to our values, but that was how he – you know, on paper, he was great, but it didn't fit. He had a different approach that really wasn't the school – he didn't identify with the school.	Example of someone who did not fit their ideals	

If the school were a person, what types of traits would it have?	# of traits	Which of these traits are reflective of your school head?	Omitted	Percentage of terms that are consistent	Terms missing
growing, reticent, strong sense of morals, cautious, properly proud, joyful	7	pretty much all of them, but the joyful doesn't always show through.	Joyful	83%	1
Friendly and warm	2	Both	NONE	100%	0
Caring, friendly, and genuine	3	genuine	Friendly and caring	66%	2
Compassionate, loyal, community based.	3	All of these.	NONE	100%	0
Faith filled, kind, best interests of students in mind	3	All of them	NONE	100%	0
Organized, motivated, caring, servant leader, reasonable, friendly, welcoming, fun to be around, compassionate, trusting, listens well	11	Organized, motivated, caring, servant leader, reasonable, friendly, welcoming, fun to be around, compassionate, trusting, listens well	NONE	100%	0
Caring, responsible, driven, dedicated	4	caring, responsible, driven, dedicated	NONE	100%	0
communal, concerned for the welfare of others, varied in interests and committed to excellence in all centered on Jesus Christ and his values	4	All	NONE	100%	0
Welcoming, nurturing, flexible, intelligent, innovative, honest, faith-filled	7	All of them	NONE	100%	0
caring, student centered.	2	both	NONE	100%	0
Personable, loyal, understanding	3	all three	NONE	100%	0
Friendly, helpful, enthusiastic	3	friendly, enthusiastic	Helpful	66%	1
professional, pride, goal oriented, organized, supportive, Catholic	6	all of them	NONE	100%	0

Loving, Accepting	2	Loving	Accepting	50%	1
from the faculty community: compassionate, supportive, loving, embracing, diligent, intelligent	6	tries very hard is thus diligent	Compassionate, supportive, loving, embracing, intelligent	17%	5
strong, protective, caring, giving	4	strong, caring, giving	Protective	75%	3
welcoming, friendly, warm	3	warm	Friendly, welcoming	33%	2
full of integrity, good values, hard-working, thoughtful, respectful	5	all of them	NONE	100%	0
Inclusive, empathetic	2	Both	NONE	100%	0
Loyalty, Caring, Openness, Loving, Intelligent, Responding to needs, student centered, Catholic	8	Catholic, Caring, Openness, student centered,	Loyalty, Loving, Intelligent, Responding to needs,	50%	4
Kelley would be a hard working Irishman with ten kids to feed. So, he finds himself over achieving both in work ethic and performance. Kelley would be the common man, the face next door. Like the Irishman, his faith would be strong, unconditional and incessant.	4	Father Obrien works incessantly.	NONE	100%	0
	92				19
Cutoff of people who were there during the transition					
Respectful, collaborative, family-oriented & faith filled	4	All	NONE	100%	0
Struggling sense of identity, fun personality, eclectic tastes, heart for service	4	the latter three	Sense of identity	75%	1
loyal, intelligent, spiritual	3	all	NONE	100%	0
Faithful, Intelligent, Kind	3	All of the traits	NONE	100%	0
inclusive, excellent, strong	3	all	NONE	100%	0

family and goal orientated, giving, great character, high achievers, high integrity, compassionate	6	all	NONE	100%	0
Honesty, respect	2	both	NONE	100%	0
loving welcoming, challenging	3	loving, welcoming, challenging	NONE	100%	0
Integrity, compassion, motivation, ambition	4	All of these.	NONE	100%	0
friendly, dedicated, talented	3	all of the above	NONE	100%	0
	35				1

Consistent traits	Number	Omitted from the leader:	Omitted times:	Percentage:
Friendliness related	13	Yes	3	77%
Caring related	18	Yes	4	78%
Student related	3	No	0	100%
Faith / values related	13	No	0	100%
Loyalty related	4	Yes	1	66%
Hard work, dedication high performance related	9	No	0	100%
Loving and affective feelings related	3	Yes	2	33%
Intelligence related	5	Yes	2	60%
Core Values leadership percentage	53		7	87%

Core values: Friendliness, kindness, faith / values, hard work

Appendix D: Leadership prototype analysis

Does the organization have expectations for the type of people who will be leaders?	Characteristics	Consistent w/ themes?
I do not know.	None	N/A
Leaders are willing to step in and help anyone with anything, very helpful, available and dependable.	Helpful, available, dependable	1/3
Business minded, Easy to get to know, To be able to make hard decisions when needed	Business, friendly, decisive	1/3
not sure	None	N/A
n/a	None	N/A
We all are encouraged to lead...but there are few guidelines to follow if one desires to lead.	None	N/A
hard working, thoughtful, dedicated to children and learning	Work ethic, thoughtfulness, dedicated	1/3
articulate, outgoing, smart	articulate, outgoing, smart	0/3
We expect a leader who is open to a variety of ideas and opinions. We expect someone who provides leadership and support, but who is open and approachable. We expect a leader who is open to listening to our ideas with sincere consideration.	Accepting, leadership, support, Open	3/4
expectations are unclear other than a significant commitment in time and effort	Time and effort	0/2
Leaders need to be responsive, willing to listen and be flexible in working with individuals/families, while also standing up for the philosophy of the school. Leaders here work well with others and can state their opinion while also accepting/considering a different opinion. Leaders need to be able to look at the big picture in considering the	Responsive, flexible, philosophy driven. Work well with others, accepting, big picture	2/6

needs of the whole school when looking at what needs to happen within their particular area.		
That varies, it would appear. Not all the people in leadership positions at the various levels: Infant, Primary, MS and HS, are the same sterling example as Head of School. Some are more competent than others, but some are sadly not as easy to work with.	None	N/A
THey are still trying to figure this out. It is hard to decide whether to use human resources from within, or bring in new people/ideas.	None	N/A
The school expects leaders to be committed to the advancement of the school and know and promote the core values and mission. It expects collaborative leaders and those who can facilitate collaboration. It expects leaders to be innovative thinkers and willing to look for multiple solutions.	Core values, mission, collaborate, innovative	1/4
don't know	None	N/A
I am not quite sure to be honest	None	N/A
Low or Non-identifiers		
I really do not know.	None	N/A
I don't know.	None	N/A
I believe Riverfield wants to retain some of the original traits of its founding ethos (communitarian, tolerant) but also wants a mixture of other traits (ambition, selectivity in student intake) that will hasten the school's growth and achievements.	Accepting, tolerant, ambition, student intake	2/4
This is a good question, and I have not figured it out myself!	None	N/A
a thinker out of the box, kind, a good listener	Innovative, responsive	1/2

Not sure there is a set of guidelines for the position. My personal expectations are met.	None	N/A
leaders are expected to represent the community of employees they serve and to seek ways to help the school to positively evolve	Represent, evolve	0/2

16 respondents

8 indicated that they didn't know the expectations

Out of the 8 that did respond, there was little to no consensus of ideas.

7 low identifiers

4 said they didn't know

No consensus of ideas

Appendix E: Survey given to staff members

Adapted version of Platow and van Knippenberg's measures of Social Identification and Leadership Endorsement, which they built from earlier research by Mael and Ashforth (1992).

All items are on a 6 point scale anchored by "strongly agree" and "strongly disagree," unless otherwise noted.

Social Identification:

1. When someone criticizes my school, it feels like a personal insult.
2. I am very interested in what others think about my school.
3. When I talk about my school, I usually say "we" rather than "they."
4. When someone praises my school, it feels like a personal compliment.

Leadership Endorsement Scale (anchored on a five point scale, between "very unlikely" to "very likely" :

1. If a vote were to be held, how likely would you be to vote for the head of school as the leader?

2. Overall, I would say that the head of school:
   a. Represents what is characteristic about school community members
   b. Is representative of school community members
   c. Is a good example of the kind of people within the school community
   d. Stands for what people in the school community have in common
   e. Is not representative of the kind of people within the school community **(reverse scored)**
   f. Is very similar to most people within the school community

The following open response questions were asked:

If the school were a person, what types of traits would it have?

Which of these traits are reflective of your school head?

Was the new leader the type of person that you expected?

How has your leader changed in the time that you have know him/her?

Does your organization have expectations for the type of people who will be leaders?

Only respond to this question if your new school head came from within the school. Did you notice a change in the leader when compared to who he/she was before the transition?

How many years have you worked at the school?

Appendix F: Interview with current leader of the school (one-on-one)

1. Please give a history of your involvement with the organization and the career path that led you to take over leadership within your context.

2. What interested you most about the position?

3. What worries, if any, did you have when you took over?

4. Did you have contact with the previous leader? Did they share any advice with you?

5. Were you aware of the reputation of the previous administrator? Did the reputation of the previous administrator factor into your decision to accept the position?

6. When evaluating your skill set in regards to the position's outcomes, what factors did you take into account? How did you go about this process?

7. Did the search committee specifically address leadership behaviors that would be expected within the organization? Regardless, were you aware of or did you perceive expected leadership behaviors? Can you describe them?

8. What were the biggest surprises that arose as a result of the leadership transition?

9. Do you feel that you changed expectations as a result of the transition? In which ways?

10. Did you feel that you needed to change to meet organizational requirements? In which ways?

11. Were your written job requirements different from the role that you came to undertake? In what ways?

12. At any point during the hiring process, did anyone suggest or implicitly state that the organization needed a certain "type" of person? How was this described, and what did it mean to you?

13. Is your approach to leadership today the same as it was at the time of transition?

14. What factors led you to keep your approach the same or change?

15. Is there a relationship between your personality and the personality of the organization?

16. Do you have the ability to influence the personality of the organization?

Appendix G: IRB Outcome letter

The UNIVERSITY of OKLAHOMA

Institutional Review Board for the Protection of Human Subjects
Approval of Initial Submission – Expedited Review – AP01

Date: October 21, 2014   **IRB#:** 4726

Principal   **Approval Date:** 10/21/2014
Investigator: Matthew Thomas Vereecke
          Expiration Date: 09/30/2015

Study Title: Using Social Identity Theory as a lens to understand the dynamics of leadership transitions.

Expedited Category: 6 & 7

Collection/Use of PHI: No

On behalf of the Institutional Review Board (IRB), I have reviewed and granted expedited approval of the above-referenced research study. To view the documents approved for this submission, open this study from the *My Studies* option, go to *Submission History*, go to *Completed Submissions* tab and then click the *Details* icon.

As principal investigator of this research study, you are responsible to:
- Conduct the research study in a manner consistent with the requirements of the IRB and federal regulations 45 CFR 46.
- Obtain informed consent and research privacy authorization using the currently approved, stamped forms and retain all original, signed forms, if applicable.
- Request approval from the IRB prior to implementing any/all modifications.
- Promptly report to the IRB any harm experienced by a participant that is both unanticipated and related per IRB policy.
- Maintain accurate and complete study records for evaluation by the HRPP Quality Improvement Program and, if applicable, inspection by regulatory agencies and/or the study sponsor.
- Promptly submit continuing review documents to the IRB upon notification approximately 60 days prior to the expiration date indicated above.
- Submit a final closure report at the completion of the project.

If you have questions about this notification or using iRIS, contact the IRB @ 405-325-8110 or irb@ou.edu.

Cordially,

Fred Beard, Ph.D.
Vice Chair, Institutional Review Board