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## Participative leadership: A study of faculty and administrators in a Lutheran liberal arts college

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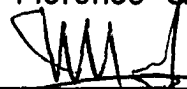
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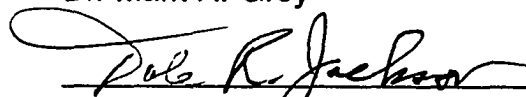
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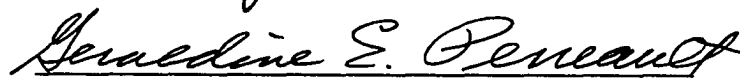
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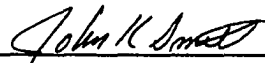
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A PARTICIPATIVE LEADERSHIP: A STUDY OF FACULTY AND  
ADMINISTRATORS IN A LUTHERAN  
LIBERAL ARTS COLLEGE

An abstract of a Dissertation  
Submitted  
In Partial Fulfillment  
of the Requirements for the Degree  
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## ABSTRACT

Despite the numerous reference to and importance of the term “participative leadership” in various leadership and organizational theories and practices, the term itself remains ambiguous. While it is often used synonymously with terms such as collaborative, autonomy, influence, participative decision making, collegiality, and team, many people questioned whether these terms are truly synonymous. Moreover, because those who advocate this approach to leadership have many purposes in mind, the practice of participative leadership manifest itself in different forms. Hence, a need exist to clarify as to what practices are actually participative.

This study examines the meaning of the concept in theory and practice. The focus is on clarifying the concept in higher education by eliciting faculty and administrators’ understandings of the concept, their rationales for accepting it, and the conditions and ways they desire to see this approach practiced in their organization.

This examination involves an intensive review of the literature, an analysis of institutional documents, and a series of in-depth interviews with six faculty and seven administrators at a Lutheran liberal arts college. The literature review indicated that the complexities of the terms leadership and participation contributed to the different understandings of the concepts. The work of different scholars, based on different paradigms, and different leadership and organizational theories, along with an emphasis of different issues revealed that in certain cases certain



characteristics of participation are concealed, while in other instances other characteristics are emphasized.

By studying “participative leadership” from the different participants’ perspectives a more holistic understanding emerged of the concept and its implications for administrators, faculty, and the college. Although gender, status, position, and the type of issues raised determine how participants understand and intend to apply the concept, every participant gave different labels, rationales, metaphors, and ways of interpreting and evaluating the concept.

The findings, in general, confirm that many individuals and groups can have many labels, definitions, rationales, and ideals of participative leadership. The factors such as institutional history, mission, and structure and individual differences with respect to gender, position, status, background, interest, beliefs, and values determine the interpretation and implementation of “participative leadership.” Theorists and practitioners must consider these factors when they study and attempt to implement participative leadership.

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## CHAPTER 1

### INTRODUCTION

Although the research on leadership and the various leadership models, theories, and practices advanced often refer to “participative leadership” (Bass, 1990; Kanter, 1983; Vroom & Yotton, 1973), the term itself remains very ambiguous. The term is often used synonymously with other terms, such as collaboration, participative management, shared decision making, shared governance, shared authority, collegiality, and team work (Kanter, 1983; Webster, 1979). However, many people have questioned whether these terms are actually synonyms (see, for example, Austin & Gamson, 1983; Bensimon & Neumann, 1993; Mitzi, 1980). Moreover, those who advocate this approach to leadership have many different purposes in mind and, accordingly, the practice of participative leadership manifests itself in different forms.

Despite the vagueness of the concept definition and the lack of clarity as to what practices are actually participative, organizational behavioral scientists frequently affirm the importance of participation for an organization success (Blake & Mouton, 1964; Likert, 1961, 1967; Ouchi 1981; Peters & Waterman, 1982; Smith, Carson, & Alexander, 1984; Lwein, Lippitt, & White,

1939; Tannenbaum, 1966; Weiner & Mahoney, 1981). The proponents of a participative approach claim that this pattern of organizational life can lead to better decisions (Farmer, 1978), better implementation of policies (Glaser, Abelson, & Garrison, 1983), greater job satisfaction and improved organizational communication (Anthony, 1984; Joann, 1987; Melcher, 1976; Miller & Monge, 1986; Miller & Seagren, 1991; Tannenbaum, 1966), better understanding of the organization (Gardner, 1990), enhanced self-development (Levine & Butler, 1952), and to more behavioral changes (Bennett 1955; Likert, 1961, 1976).

Among educational researchers and theorists, “participative leadership” is believed to be useful for learning from experience and for socialization (Cook & Morgan, 1971), for better decisions (Piper, 1974), for increasing employees’ satisfaction, for preventing adversarial relationships, and for improving school climate (Peter & Waterman, 1982). Despite the importance attached to “participative leadership,” there is little consensus as to what the concept means and how this approach can be applied in practice. Thus, a need exists to clarify the meaning of the concept, as well as to clarify the practices of participative leadership in organizational contexts (Yukl, 1981).

### Purpose of the Study

The purpose of this study was to examine how university and college faculty and administrators understand and apply the concept. This examination involved both an intensive review of the literature and the analysis of a series of in-depth interviews with the faculty and administrators at a small Lutheran liberal arts college. The intent of the study was to understand how educators interpreted the concept of participative leadership and translated their interpretations into practice. This was an exploratory study that focused on clarifying the concept of “participative leadership” in a higher educational setting by eliciting the members’ understanding of the concept, their rationale for accepting it, and the conditions and ways they desired to see this approach practiced in their organization.

### Research Questions

Among the general questions that guided this study were the following:

1. What types of faculty participation do the policies of the organization allow?
2. What are the faculty and the administrators’ perceptions of faculty participation?

3. What roles are administrators expected to play to allow faculty to participate?
4. Why and how do faculty want to participate?
5. Why and how do administrators want faculty to participate?
6. In what way(s) can the participation of faculty be improved?
7. What do faculty and administrators perceive as obstacles to faculty participation?
8. What effect does the college relationship to the church have on “participative leadership?”

The choice of the research method was influenced by the nature of these guiding research questions. That was, because this research focused on social/behavioral phenomena that existed chiefly in the minds of people, the holistic approach of qualitative methodology was suitable (Guba & Lincoln, 1981). The participants' perspectives of their roles as faculty and administrators have meaning only within the context in which the roles are exercised. The qualitative methods in this study allowed me to enter the participants' conceptual world to understand what meanings they have given to “participative leadership” (Geertz, 1973, 1983).

### Methods and Procedures

Data were collected from institutional documents and from personal interviews with faculty and administrators at a Lutheran liberal arts college. The primary method for collecting data was unstructured interviews. This approach allowed me access to understandings the persons being interviewed (Patton, 1986). The interview was a purposeful conversation “used to gather descriptive data in the subject’s own words so that the researcher can develop insight on how subjects interpret some piece of the world” (Bogdan & Biklen, 1982, p. 135). For this study, six faculty members (four female and two male) and seven administrators (four male and three female) were selected.

To learn about the research process and interview schedule I conducted a pilot study before doing the main research. The study involved interviewing five people who were as close to the realities of the actual study as possible (Seidman, 1991).

### General Chapter Outline

Chapter Two establishes the framework for the remainder of the study. The inherent complexity of the concept of participative leadership is demonstrated by a discussion of the important individual components of the concept such as participation,

leadership, and the interaction of both within the context of an organization. It is clear from this review that the various definitions of and the different frames of reference for studying leadership contribute to the complexity of the concept. The complexity of the concept is further reinforced because the term participation has many usages, is subject to different interpretations, and researchers use different perspectives as they attempt to analyze the concept in organizational contexts. The chapter closes with the introduction of a model that points out the different dimensions of participation.

Chapter Three presents an analysis of critical reviews done by different reviewers such as Floyd (1985, 1994), Olswang and Lee (1984), and Austin and Gamson (1983). It illuminates different pertinent issues that have direct bearing on faculty and administrator understandings and practices of participative leadership. Issues discussed include institutional complexity and faculty values (freedom, autonomy, and accountability).

Chapter Four examines the works of authors that employed different leadership and organizational theories to analyze the governance of educational institutions. It includes an analysis of

“participative leadership” concept from the different theoretical perspectives--leadership and organizational theories.

Chapter Five discusses the concept of participative leadership through two different perspectives and the effect of perceptions on social reality. The first section views it through the perspective of the works of feminist scholars, and second, as it is viewed and applied in church and parachurch institutions. The second section of the chapter is organized around the critical questions of “Is the concept compatible with the Christian teaching?” and “What is the rationale for or against applying it in church institutions?” To answer these questions, important related issues such as the church as an organization, the democratization of the church, and *diakonia* are discussed. The chapter closes with a summary of the importance of the concept in higher education and of the problems educators face as they try to articulate, define, and apply the concept.

Chapter Six introduces the methodology and the context. The first section of chapter presents a discussion of my point of view as researcher, a description of the participants, the procedure used to gather the data, the options for interpretation and analysis, and plan for presenting the results. The second section sets the context



for the study including the presentation of the institutional history, purpose, internal governance, and mechanisms of participation.

Chapter Seven deals with the analysis and interpretation of the data. The chapter mainly focuses on the emerging themes for the whole group of participants, the different groups, and individuals.

Chapter Eight offers a summary of, and conclusion to, the study. Recommendations are advanced related to the administrative aspects of participative leadership in a higher education setting and to directions for the further study of the phenomenon.

**CHAPTER 2**  
**THE CONCEPT AND VARIOUS WAYS OF**  
**DISCERNMENT AND ANALYSIS**

In order to study how the concept of “participative leadership” is understood both by faculty and administrators in a higher educational setting, it is very important to delimit and define the concept (Conley, 1991). However, this task is not easy because different people employ different terminologies, definitions, frames of reference, and so on in their studies of “participative leadership.”

The purpose of this chapter is to briefly review some major works in the area to demonstrate the complexity of the concept and to show the caution that one must take in a study of the issues involved. The following questions will guide the structure of this section:

1. What does it mean to lead?
2. What does it mean to participate?
3. What do they mean together (participative leadership)?
4. What are the implications of the varied meanings for the study of the concept?

### What Does It Mean to Lead?

The complexity of the concept of “participative leadership” is directly related to the complexity of the definition of the terms leader and leadership. The concept of leadership is not sufficiently defined (Bennis, 1959; Kellerman, 1984; McCall, 1976; Pfeffer, 1978; Stogdill, 1974). As early as 1959, Bennis, after more than 20 years of empirical work on leadership made the following comment: “Of all the hazy and confounding areas in social psychology, leadership theory undoubtedly contends for top nomination. And, ironically, probably more has been written and less known about leadership than about any other topic in the behavioral sciences” (p. 259). Fifteen years later, Stogdill's (1974) review of the leadership literature pointed out that ‘there are almost as many different definitions of leadership as there are persons who have attempted to define the concept’ (p. 7). Pfeffer (1978) also looked at the leadership literature at about this time and similarly noted that, “In spite of the voluminous research on leadership, the definition and the dimensions of the concept remain uncertain” (p. 14).

Kellerman (1984) continued along this line when she found that, terms such as leader and leadership mean different things to different people. They also mean different things in different

fields. To some psychoanalytic theorists, for example, the leader, by definition, is a powerful father figure who watches over people and whom they need and want to look up to. But to many social psychologists, the leader is typically the one with most personal influence. To some political scientists, on the other hand, the leader is, the one who occupies the position or fills the role that allows him or her to wield the greatest power. These definitions are criticized for not being precise, accurate, or comprehensive enough (Rost, 1991). However, in light of these definitions, what is “participative leadership?”

Not only are there different definitions of the term leadership, but the frames of reference for its study are different also. It is possible to analyze leadership by taking a cross-cultural perspective, by looking at the interpersonal processes that exist between the leader and the led, or by studying how constituted leaders function within particular institution, states or nations. Hence, because the terms and contexts lack consistency, and different disciplines give us different information and encourage different questions, it follows that the definition and the way one attempts to understand leadership and related concepts such as “participative leadership” need some qualifications.

Kellerman (1984) noted, that leadership, in general, may deal with how people in groups organize themselves and focus on issues of dominance and difference that are endemic to all living things. Leadership is also a role that is understood in terms of the social and cultural context within which it is embodied and takes many forms, such as, intellectual, artistic, religious, as well as political. For example, from a political perspective, Some leadership theorists addressed ideological control, social construction, and the definition of the school administration. They stated that ideological control is exercised in schools that have traditionally been viewed as nonideological. Both public and private administrators have started to ideologically control their environment (Anderson, 1990). Smirich and Morgan (1982) have given the following definition for this type of leadership:

Leadership is realized in the process whereby one or more individual succeeds in attempting to frame and define the reality of others. Indeed leadership situations may be conceived as those in which there exist an *obligation* or a perceived *right* on the part of certain individuals to define the reality of others. (p. 258)

If faculty and administrators are to participate in the type of leadership as defined above, both groups must participate equally in defining each others' reality and the process in which they are

involved. The implication of this stance is that an understanding of each other's perception and of the leadership process based on participation is very important for their fruitful interaction.

From a religious perspective, Jesus Christ talked about leadership as "servant hood" and as "sacrificial--to live or die for others." In contrast to the definition from a political perspective, He disapproves His disciples' motive for power and their concept of leadership by His teaching and exemplary living. He reacted to their dispute over who among them would be regarded as the greatest.

Jesus said,

You know that the rulers of the gentiles lord it over them, and their great men exercise authority over them. It shall not be so among you; but whoever would be great among you must be servant, and whoever would be first among you must be your slave; even as the Son of man came not to be served but to serve, and to give life as a ransom for many. (The Bible, Mark 10:35-45; Luke 22:24-27; Mathews 20:25-28)

How does one understand the concept of "participative leadership" in this perspective? Assuming that all or some members of the faculty or administrators adhere to the value of leadership, how do they interpret "participative leadership," and what does it mean for their relationship?

### What Does it Mean to Participate?

The complexity of the concept of “participative leadership” is also directly related to the complexity of the definition of the term participation. Despite consensus regarding the importance of participation in leadership, very little agreement exists concerning its meaning which is reflected in varying degree in actual practice.

Schregle (1984) noted that “everyone who employs the term thinks of something different” (Schregle, cited in Hoy & Sousa, 1984). Participation also has different usages and is subject to different interpretations. With respect to community participation, Kavangh (1972) pondered, “. . . how promiscuous is the term participation, it is mistress to many masters” (p. 121). For example, while community participation is an expression of political decentralization which entrusts all or some of decision making responsibilities to all people, administrative decentralization could only mean a sharing of power among professionals. Yet, both terms connote participation.

Richardson (1983), in an attempt to establish what the term “participation” means and what it is that people participate in when they participate, referred to the definition given in the Oxford English Dictionary which is, “taking part (with others) in some

action or matter.” However, Richardson (1983) argued that it was not clear about what ‘taking part’ really meant. For example, when applied in social policy, it was not clear whether it required involvement in decision-making itself or only some input into the process by which decisions get made. The author, therefore, defined “participation” in the context of social policy as “. . . all those means by which those affected by statutory services take some part in policy formulation or implementation” (p. 27). According to the author, participation can be direct, entailing personal contact between the participants and policy-makers, or indirect, entailing efforts by the participants to influence policy without such contact. It can take place in the delivery of services or in the decision-making process by which these services are devised. It is accomplished in many ways, ranging from formal membership of committees to informal contacts between those affected by decisions and those responsible for their formulation. However, the author contended that participation should not be defined in terms of the degree of influence it brings about. The degree of influence is one possible effect of participation and not the essence.

With respect to participation in organizational leadership, Locke and Schwiger (1979) admitted that despite the intellectuals’



ideological attachment to the concept, there is surprisingly little consensus as to the exact meaning of participation. For example, while Locke and Schwiger (1979) defined participation as “joined decision-making,” a definition that is assumed to exclude delegation (job enrichment), other theorists considered delegation as participation (Burke, 1968). This could as well be one of the reasons why Breitbart and Kasperson (1974) wrote, “. . . Participation wears many faces” (p. 3).

#### What do ‘Leadership’ and ‘Participation’ Mean Together?

Some authors, researchers, and theorists have suggested different strategies for understanding the concept of participative leadership better. However, as McCall (1976) and Bennis (1959) have noted, in the process of clarifying the concept, they have, in some ways both increased and revealed the complexity of the concept. McCall (1976) writes,

The accumulated research, while contributing substantially to our understanding of complex leadership processes, has not yet produced an integrated body of knowledge. Still plagued by definitional ambiguity, a proliferation of terms, and contradictory research findings, the mountain of evidence has left many unanswered questions. (p. 139)

Hence, the complexity of the concept is also partly due to the complexity incurred as a result of strategies used to analyze and discern the concept. For instance, Kasperson and Breitbart (1974)

have suggested and attempted to use two methods. First, by making an analysis based on the assumptions by which participation is discerned. Second, by categorizing it based on the different topologies formulated by different social science theories, such as Arnstein (1971), Burke (1966), and the Van Tills (1970). The first method used a number approaches. Kasperson and Breitbart (1974) who discuss content or object as one of the ways by which participation is discerned. A policy, a decision, or a political system is observed or studied in order to distinguish the individuals who played some role in the process. As a result, it is possible to investigate the people involved, the type of activities they perform, their values, their perceptions, and the behavior or the meanings they attached to their participation.

Another way of identifying participation is by its intensity. This can be expressed in terms of the frequency of involvement, the type of participation chosen, and the duration of the activity. The third way for discerning participation is by the quality of its impact. Participation is considered to be effective if its impact produces a favorable policy. "Participation with meaningful quality," write Kasperson and Breitbart (1974), "implies that the citizen is a creative contributor to the process and that he grows as

a result of the experience. Effective participation is thus, two-dimensional, the individual occupies a creative role in a given situation and his activity contributes to his development as an autonomous citizen" (p. 4).

The second method of categorization of participation is based on the different formulated topologies. Social scientist have categorized participation in slightly different ways (Arnstein, 1971; Bass, 1991; Bass & Valeng, 1974; Bruke, 1966; Heller & Yuki, 1969; Hersey & Blanchud, 1977; Hofsted, 1972; Jon & Sally Till, 1970; Tannenbaum & Schmidt, 1958; Vroom & Yetton, 1973).

For example, Arnstein (1971), as a social advocate, defines citizen participation as a citizen power. Citizen participation and the purpose of participation is,

the redistribution of power that enables the have-not citizens, presently excluded from the political and economic process, to be deliberately included in the future. It is the strategy by which the have-nots join in determining how information is shared, goals and policies are set, tax resources are allocated, programs are operating, and benefits like contracts and patronage are parceled out. In short, it is the means by which they can induce significant social reform which enables them to share in the benefits of the affluent society. (pp. 71-72 )

Arnstein (1971) has formulated four categories of an eight-rung ladder of participation. The bottom category is manipulation

and therapy which describes the types of nonparticipating designed to “educate” and/or “cure”. At the top of the ladder is the delegated power and citizen control which provides have-not citizens with predominant control over the decision process. Since participation according to Arnstein is equated with citizen power, it is considered the struggle of those without power to take it from those who have the power (the elite) (p. 212).

Burke (1966), on the other hand, analyzes participation as a basis for various strategies. He suggests five means by which citizens can be involved in the operation of the administration. These are: educational-therapy, behavioral change, staff supplement, cooperation, and community power.

The Van Tills (1970) present a two-factor matrix which includes both the scope and focus of participation. The scope is composed of three variations: elites only, elites and non-elites, and non-elites. The second dimension centers upon the focus or object of participation. Participation directed solely toward the administrative process deals only with the question of means, whereas participation directed toward political concern involves questions of ends. Obviously, the latter has more profound societal

implications. From this matrix, six types of participation are drawn:

1. **Elite coalition:** entails the involvement of the elite in implementation only and stresses cooperation, education, and consensus.
2. **Politics of renewal:** sees a competition among elites for the control of renewal planners.
3. **Citizen advice:** extends the involvement in the implementation to non-elites as well and ranges from arranging a meeting to rather full participation in planning.
4. **Pluralist participation:** involves the organization of program recipients and the direct channeling of their demand toward the institutions which serve them. The objective is to make such institutions more responsive to their poor clients.
5. **Client participation:** emphasizes the organization of program recipients and the direct channeling this demand toward the institutions which serve them. The objective is to make such institutions more responsive to their poor clients.
6. **Grass-roots participation:** entails non-elite involvement in political as well as administrative questions and often seeks to boost the mobility of individuals aspiring to be elites.

As Kasperson and Breitbart (1974) have noted, while the Burke (1966) and Arnstein's (1971) topologies are valuable primarily for what they reveal about the value preferences which underlie them, the treatment by the Van Tills' (1970) two dimensional categorization suggests the careful definition of concepts needed to discriminate among the multiple forms and means of participation. It deals more adequately with the complexity, and particularly, the rational property of participation. Their attention centers upon the interplay between two empirical questions--who is involved? in what process?--implicit in any participation.

From the above definitions and categories of participation and the comparisons made with other types of leadership styles, one can draw at least five conclusions.

First, the concept is complex. Participation, leadership, and participative leadership are used in different ways by different people and take on different terms and forms in different disciplines and areas.

Second, participation is not value free. As indicated in Arnstein's (1971) topology, it can be for people's end or, as designed by Burke's (1966) topology, it can be for the organization's end.

Third, it can be manifested in different ways. As indicated by the different social science theorists, it can range from a few people's involvement--elite coalition, to all people--non-elite's involvement, grass-roots participation; or from token participation airing of concern, to people's predominant control over the decision process.

Fourth, quality participation, as indicated in both Bass (1990) and Kasperson and Breitbart's (1974) writings, involves the creative involvement of the individuals and their contribution for their development as autonomous citizens and for the fulfillment of the objective of the organization.

Fifth, the topologies and strategies used for analyzing the concept are informed by different paradigms and subsequently have offered different lenses, which in turn, affect the categorization and ways of understanding the concept.

#### The Need for a More Comprehensive Framework for Analysis

The fourth conclusion on quality participation in particular, is in line with the concept of participation as espoused by Argyris (1964). The concept aims at "the ideal way of integrating the individual employees with the organization," Argyris claimed that,

An organization will be most effective when its leadership provides the means whereby followers may make a creative

contribution to it as a natural outgrowth of their needs for growth, self-expression, and maturity. (Argyris cited in Bass 1990, p. 43)

This is possible according to Argyris when an organization has the following participation characteristics: (a) high learning orientation, (b) low defensive environment, (c) high information environment, and (d) joint control by the more powerful and less powerful.

Argyris' (1964) participative concept and criteria can be used as a frame of reference to study colleges/universities if one considers them to be micro organizations that are comparable to business corporations. However, Baldrige, Curtis, Ecker, and Riley (1978) argued that the organizational characteristics of academic institutions are different from other institutions. Their goals are more ambiguous and diverse. They serve clients instead of processing materials. Their key employees are highly professionalized. They have unclear technologies that are based more on professional skills than on standard operating procedures. Moreover, Birnbaum (1989) indicated that when the effect of macro organization is great, colleges and universities have "fluid participation" with amateur decision makers who wander in and out of the decision process. As a result, traditional management



theories may not be applicable to educational institutions without carefully considering the unique academic setting (p. 28). Moreover, much leadership theory suffer from its approach from a single discipline. Rost (1991) suggested that,

Looking at leadership through the lens of a single discipline has not worked well in the past, and it will not work any better in the future. Indeed, a case could be made that organization and societies in the future, with their collaborative, community, and global orientations, may not be hospitable to a concept of leadership that is grounded in only one academic discipline. (p. 182)

Since this study attempts to understand the culture and subculture of faculty and administrators' perceptions of "participative leadership" in a Lutheran liberal arts college, the complexity of the concept is obvious. The task involves examining the interaction of the culture of the Church with that of the college, and the culture of the college with that of the subculture(s) of the various groups within the college. Therefore, a more comprehensive framework to study the concept of "participative leadership" is imperative.

The model suggested by Dachler and Wilpert's (1978) is one of the possible models that can be used at least as a start to study the concept. The model attempts to encompass various defining

dimensions of participation and their inter dependencies. These dimensions include: (a) the social theories (democratic theory, socialistic theory, human growth and development assumptions, and the orientations or productivity and efficiency) as the basis for the values, assumptions, goals, and objectives for the design of participation arrangements in organizations; (b) the properties of participation (the structures and processes along which different kinds of participatory schemes may vary) whose key variables include formal-informal participation, direct-indirect participation, the level of accessibility to making a decision, selected attributes of the decisions (content, importance, and complexity), and the social range within the organization; (c) the social environment (the contextual boundaries that limit or enhance the potential for participation) which includes the characteristics of the society, the other organizations with which the local organization interacts, the local organization's characteristics, and the particular nature of the groups and individuals within the focal organization, or the contextual boundaries within which participation occurs that limit or enhance potential of participatory social systems; and (d) the outcomes that result from the dimensions I, II, and III.

The model, in brief, attempts to: (a) address and integrate the micro and macro issues of an organization; (b) allow the investigation of participation in its broadest sense so that the paradigms of the various disciplines could be combined; (c) encompass both divergence and contradictions or attempts to give an integrated analysis of complex and multidimensional social phenomena which recognizes the dynamic nature of organization and the multiple vantage points from which the same complex social system can be meaningfully studied; and (d) take participation not merely as an organizational treatment or intervention strategy but also as a central concept of organization. The review of the literature will, therefore, be in light of, but not limited by, the conceptual dimensions and boundaries of participation in organizations as suggested by Dachler and Wilpert (1978).

**CHAPTER 3**  
**REVIEW OF THE ASSESSMENTS OF FACULTY**  
**“PARTICIPATIVE LEADERSHIP”**

This part of the review focuses on the major assessments of participative leadership in higher education by people such as Floyd (1985; 1994), Olswang and Lee (1984), and Austin and Gamson (1983). The review is based on the conceptual dimensions and boundaries of participation in organizations as noted by Dachler and Wilpert (1978) and on other points made in the previous chapter.

The guiding questions are:

1. What term(s) do the reviewers, authors, and researchers use to address the concept?
2. What implicit and explicit rationales, theories, values, assumptions, and goals do they adopt?
3. Which structures and processes of participatory systems do they mention?
4. What issues of concern do they raise?
5. Which contextual boundaries do they note that limit or enhance participative leadership?

### Which Terms (Phrases) Do the Reviewers Use

#### As They Address the Concept?

The reviewers used different terms (phrases) as they addressed the the concept of participative leadership. Austin and Gamson (1983) focus on faculty power and participation in relation to the quality of work life and autonomy. They note that common terms such as influence, power, participation, autonomy, collegiality, shared authority, and democracy have often been used interchangeably and uncritically. For them, there is a need for policies, procedures, and research agendas that clearly distinguish the terms “power,” “influence,” “autonomy,” and “participation.”

Austin and Gamson (1983) themselves, however, employ the following terms interchangeably “participatory approach to management,” “a consultative approach to decision making,” and “participation in decision making.” All these terms refer to,

The participation of employees at all levels in decisions that affect them. A key to this participation is full availability or the information needed to make decisions in a form that employees can understand and use (Peters & Waterman 1982). A leader does not abdicate responsibility by using a participatory approach. Leaders still must make hard decisions, but they do so by involving as many people as possible in developing ideas, writing and discussing position papers, and building support for the best decision. (p. 69)

Olswang and Lee (1984) focus on faculty participation within the context of balancing academic freedom and tenure with institutional accountability. They employ terms such as “involvement in all decision-making,” “participation in governance structure,” “autonomy,” “power,” and “influence” as they review the literature. Although statements such as: “Faculty members, in fact, have more influence than power, . . .” and “. . .an institution’s size and complexity are strongly related to faculty members’ autonomy and power” indicate the differences that exist between these terms, these differences are not clearly stated. However, the authors do specifically cite Baldrige et al.’s (1973) definition of professional autonomy as “. . . the ability of the faculty to set institutional goals and to structure the organization to maximize professional concerns,” (Baldrige et al. cited in Olswang & Lee 1983, p. 33).

Floyd (1985) addresses various faculty leadership participative issues such as alternative types of participation, participation in academic senates, participation by functional area, participation at the system and state levels, participation and centralization/decentralization, strengthening consultative processes, and increasing faculty satisfaction with participation.

Her examination of faculty unions is limited to unions' impact on formalized faculty participation.

Floyd's 1994 review includes the work of others (Schuster, J. H. & Miller, L. H., 1989; Birnbaum, R. ed. 1991; Birnbaum, R. 1992) who give more attention to how faculty participation fits into overall institutional needs as institutions are confronted with increasingly complex and challenging external environments. She indicates that the books she reviewed contribute to a new perspective of higher education governance along three lines. The first, labeled "participation in academic senates," calls for a reinterpretation and revision of participation inquiry accommodating changes in internal and external circumstances. The second line, labeled "shared leadership in a cybernetic system," integrates faculty participation with a revised theory about leadership. Finally, the third line advocates an examination of new governance mechanisms that integrate faculty participation-theory with strategic management theory. This is referred as "integrating faculty into management structures."

Floyd (1985, 1994) identifies the "participative leadership" concept with the phrase "participation in decision making" and discusses different categories of participation--separate

jurisdictions, shared authority, and joint participation. She draws on a wide variety of literature and notes that most of the literature relating employees participation and organizational productivity and functioning center around four points: the relationship between participation, satisfaction, and performance; the relationship between leadership and participation; the characteristics of the quality of work life; and the extent of employees' willingness to participate. Floyd further notes that authors used different terms interchangeably when they analyzed the concept of "participative leadership." She criticizes this practice and, thereby, supports the recommendation of Austin and Gamson (1983) that we must clearly distinguish terms such as "power," "influence," "autonomy," and "participation."

What Implicit and Explicit Rationales, Theories, Values,  
Assumptions, and Goals Do They Adopt?

Austin and Gamson (1983) use a number of rationales. The authors presume that participation ensures the quality of work life and the quality and productivity of the institution's instructional and other programmatic services. They say that autonomy, freedom, intellectual exchange, and the opportunity to work with students are the most important intrinsic factors that promote faculty members'



satisfaction (Lewis & Becker, 1979; McKeachie, 1979). However, all members of the faculty do not share these intrinsic factors to the same degree.

Research on faculty members' power and participation in organizational decisions show that professorial rank and credentials, institutional size, and institutional prestige relate to the degree of professors' power and autonomy (Baldrige, et. al., 1973; Cares & Blackburn, 1978; Finkelstein, 1978; Kenen & Kenen, 1978). These intrinsic factors also are not constant. For example, current external pressures such as economic constraints and the responses of colleges and universities to those pressures are threatening faculty autonomy (Carnegie Foundation, 1982). Therefore, Austin and Gamson (1983) recommend that the task and decision-making structures must be more collaborative so that the quality of employees's performance may be improved.

Austin and Gamson (1983) note that a consultative approach to decision making in the academy generates many good ideas and leads to better understanding, consensus, and decision. Participation increases the legitimacy of decisions and the trust of constituent groups. It supports people's needs for personal achievement, autonomy, and psychological growth. Therefore, the productivity of

faculty, administrators, and staff is assumed to increase when, through participation, they understand more how and why a decision is reached.

Olswang and Lee (1984) adopt three types of interrelated rationales to make the same point: (a) those that refer to the mission or to the task of inquiry, learning, and teaching, (b) those that allude to meeting faculty needs (satisfaction and intrinsic factors), and (c) those that are associated with the improvement of procedures and regulations to balance academic freedom, tenure, and institutional accountability. They examine the origins of academic freedom and its relationship to tenure. They also discuss some emerging issues for which individuals and the institution are expected to be accountable. The tenure system provides the protections and limitations of academic freedom.

Faculty leadership to determine the mission, curriculum, and academic standards, their autonomy to select the institutional leaders, and the absence of administrative coercions of faculty can be traced back to the medieval universities in Britain, France, Italy, and German (Rost, 1991). Both dimensions of academic freedom, however, were not unlimited. For example, while the faculty of medieval universities enjoyed substantial autonomy from some

focused external interference because they were protected by popes and emperors, their freedoms were limited in turn by the religious orthodoxy of those popes and emperors. Similarly, the dimension of academic freedom that refers to freedom of inquiry, learning, and teaching was limited to the internal operation of the university. This means, for example, they were not allowed to be political activists outside the campus.

Olswang and Lee (1984) note that the current development of scientific methodology, with its emphasis on the continuing search for new truth, and of political liberalism, with its analogy of free competition of ideas, contributes to the development of a broader concept of academic freedom (Hofstadter & Metzger, 1955). These developments provided a social context that is conducive to a broader concept of academic freedom in modern thought. The assimilation of the values of science made academic freedom an ethic, an affirmative moral position, and not merely a negative condition, the absence of overt restraint.

For Olswang and Lee (1984) participation of faculty in the policy process results in fairer procedures and in enhancement of faculty acceptance of limitations to their previous independence. The more faculty participate in decisions the more they are likely to

accept the policies and the regulations for professional conduct (Powers & Powers, 1983). Nevertheless, faculty perceive themselves as less involved in institutional decision making (Brooks & German, 1983; Magarrell, 1982). This perception affects their work and relationship with administrators.

The maintenance of the intellectual vitality and creativity of colleges and universities necessitates academic freedom and professional accountability vis-a-vis the practice of tenure. In order to avoid undue and unnecessary problems between faculty and administration in the process of preserving academic freedom and the tenure practice, Olswang and Lee (1984) have recommended systems and procedures to enhance the practice of faculty participation. The implication is that there is a need for mechanisms that allow faculty and administrators to regularly discuss these issues in order to prevent misunderstandings in the face of academic freedom and professional accountability.

Olswang and Lee (1984) draw a rationale for faculty participation in leadership by linking the concept to the essence and history of academic freedom and tenure. They presume also that the involvement of faculty in decision making and their autonomy are both ways of meeting faculty needs (satisfaction and intrinsic

factors) and of balancing academic freedom and tenure with the accountability of the institution. For Olswang and Lee (1984) participation is an instrument for solving the dilemma of balancing academic freedom and accountability. It is also an end in itself as an autonomy that sustains faculty to continue with their profession irrespective of the various problems they encounter, including financial constraints.

Floyd (1985) notes that the justifications for the participation of faculty are drawn from generic organizational theory and from the specifics of the faculty role in higher education. These rationales condense into two interrelated points--job satisfaction and job satisfaction with work productivity. They can also be categorized into five areas: (a) to improve the satisfaction and performance of the employees, (b) to improve satisfaction and quality of work life as a valued outcome in its own right, (c) to reflect the image of their professional lives and their view of right to participate, (d) to educate and help them grow, and (e) to help them be effective as leaders that need to adapt their leadership styles to situational factors (an advantage that is drawn from Contingency Leadership Theories).

Participation in organizational decision making enhances employees' satisfaction vis-a-vis their performance. Participation in decision making leads to a greater understanding and acceptance of objectives, action plans, and decisions of the organization and to future commitments implementing those decisions. Participation also provides employees with a more accurate perception of organizational reward contingencies.

A participative process promotes cooperation, mutual understanding, team identity, coordination, and a pressure on dissenters to accept or at least outwardly comply with the decision. In cases of divergent objectives, consultation and joint decision making provides opportunities for resolving conflicts. Participation also allows the use of the expertise and analytical skills of individuals throughout the organization (Yukl, 1981). Some literature in the organizational theory in the workplace suggests that mature employees who are satisfied with a number of aspects of their working situation have a highly positive orientation toward work tasks and thus are highly productive employees (Cummings & Molloy, 1977).

Efforts of the faculty to create and sustain the activities of the organization and their cooperation is important for

organizational effectiveness (Keeton, 1971). If faculty have not had a significant role in making decisions, they will not regard these decisions as legitimate and are likely to resist their implementations (Mortimer, Gunne, & Leslie, 1976).

On the other hand, increases in participation leads to decrease in satisfaction if unrealistically high expectations are held of the results of that participation or if the participation becomes unduly burdensome (Helsabeck, 1973). However, it is also quite possible that increased participation will result in lowered expectations as experienced participants become more realistic about the limits of organizational change (Cohen & March, 1974).

Other organizational theorists have found that the relationship between participation and performance is highly situational (Kanter, 1983; Vroom & Yetton, 1973; Yukl, 1981). Some of the situational factors are: the nature of the task performed by the group, the role expectations of superiors, peers, and subordinates, and the leader's authority to act (Yukl, 1981). Since the best approach to participation and leadership depends on the circumstances, leaders are expected to examine a number of factors before determining the appropriate decision procedure. Some of the factors include: the importance of decision quality, the importance

of decision acceptance, the amount of relevant information possessed by the leader and by subordinates, the likelihood that subordinates will accept an autocratic decision, the likelihood that subordinates will cooperate in trying to make a good decision if allowed to participate, and the amount of disagreement among subordinates with respect to the preferred alternatives (Vroom & Yetton, 1973).

Some theorists suggest that employees' satisfaction and the quality of work life are valued outcomes in their own right (Bobbitt, Randolph, & Behling, 1981). Hence, the importance of participation is not measured by the outcome (increase in productivity) of the organization but by its suitability for the work force and work organizations itself (Lawler, 1982). For example, Floyd (1985) draws more rationales for faculty participation from reasoning directly related to the role of faculty in higher education and the quality of work life. Higher education literatures demonstrate that faculty satisfaction and morale are closely related to the opportunities and effective participation of faculty (Anderson, 1983; Kamber, 1984; Millett, 1978; Mortimer, Gunne, & Leslie, 1976). When faculty perceive that their role in institutional governance and planning has been reduced, their moral declined



(Anderson, 1983). They also perceive such reductions to be a result of loss of administrative faith in the ability of faculty to help guide institutional affairs. All these perceptions suggest offensive image of their professional life affecting faculty to react strongly in a negative fashion (Kamber, 1984 cited in Floyd, 1985).

Faculty members claim that participation in university decision making is their right because it is inseparable from their role in the institution. They have the right to participate in organizational decision making because their interests are at stake and they are experts on the subjects on which decisions are to be made (Spitzberg, 1984).

The educational level of most employees is increasing. Therefore, employees have strong need for personal growth. Job enrichment is identified in the literature as quality of work life that increases the satisfaction of those employees (Perkins, Nieva, & Lawler, 1983). Participation is consistent with the needs of mature employees for self-identity, autonomy, achievement, and psychological growth.

In her 1994 review, Floyd indicates that higher education writers seem to reach consensus that increasing faculty participation is necessary to educate the whole campus community

about the various issues and financial limits that the institution faces. Institutions need leadership at all organizational levels that draw faculty and other academic professionals into a shared academic culture that extends across the campus so that while adapting to the external environment they may achieve their tasks. Floyd recommends that each institution adopt this perspective and construct its own structure and patterns of faculty participation.

In light of the contingency leadership theories, Floyd (1985) includes the following factors to encourage the frequent application of participative leadership in higher education: (a) the application of the Vroom-Yetton model of leadership behavior; (b) the relatively long time available for many higher education decisions; (c) the situations a higher education leader faces; (d) the high levels of specialization in a university that makes it unlikely for leaders to possess all of the information to make decisions; (e) the lack of repetitiveness in the decisions that make problems highly unstructured; (f) the absence of formal control procedures and the low observability of faculty behavior; (g) the less adaptability of faculty to an autocratic decision on any issue that faculty would identify as important and about which opinions significantly differ (Vroom, 1983).

Some statistically oriented studies, however, raise questions about the extent of the relationship between leadership approach and job satisfaction because only small positive correlations have been found (Cope, 1972; Wieland & Bachman, 1966, cited in Finkelstein, 1984).

To summarize, Floyd (1985) points out that the claims of a faculty right to participate (Keeton, 1971; Spitzber, 1983), the demonstration that satisfaction, morale and the quality of work life as closely related to participation (Anderson, 1983; Kamber, 1984; Millet 1978; Mortimer, Gunne, & Leslie, 1976), and the situational theories of leadership (Cohen & March, 1974) are some of the rationales for participation. Moreover, participation is also important for an organization to adopt to an increasingly complex and challenging external environment (Floyd, 1994) and at the same time accomplish its task.

### Which Structures and Process of Participatory

#### Systems Do They Mention?

Austin and Gamson (1983) make two assumptions regarding higher education structure as they analyze the work experience of faculty and administrators in college and universities: (a) that the higher education institutions are a workplace of two cultures--of

faculty and of administrators; and (b) that the extent of power and autonomy of faculty and administrators can be used to analyze these two cultures. Moreover, they indicate that universities and colleges are mixed organizations, operating basically with a bureaucratic structure on the administrative side and a collegial structure on the academic side (Baldrige, 1971a, 1971b; Bess, 1982; Corson, 1960, 1975; Millett, 1962). This dual arrangement complicates decision making in higher education. To this effect, Corson (1960) states,

The process of deciding is distinctive in the college or university in the degree to which final responsibility for making decisions is diffused. Substantial independent authority for making various types of decisions allocated beyond the trustees and the president to the faculty as a group, to individual teachers, to department heads, to deans, to coaches, and to administrative officers. It follows, hence, that the government of a college or university poses distinctive problems in finding ways of enlisting and integrating the energies, initiative, and zeal of the relatively larger number among whom responsibility for decision making is shared. (p. 11)

Austin and Gamson (1983) also include brief analysis of different higher education organizational structural models suggested by different authorities such as: "bureaucratic" (Blau, 1973), "loosely coupled" (Weick, 1976), "collegial" (Millett, 1962; Platt & Parson, 1968), "political model" (Baldrige, 1971a, 1971b),

“anarchic” (Cohen & March 1974), “coexistence of collegial and bureaucratic frame” (Bess, 1982; Corson, 1979), and “theory of five organizational subsystems . . . where an individual employee’s work within the university is formulated largely by the demands of the subsystem of which the job is a part” (Katz & Robert, 1978). These different structural models naturally allow different types of faculty participation.

Austin and Gamson (1983) also include the informal influence that faculty have in higher education. While it is true that the organizational structure of the university or college affect the nature of their participation, faculty members have more influence than power, influence that flows from their status as professionals rather than from their hierarchical position. Since their expertise legitimizes their claim to participation, they exert most influence on academic appointments and curriculum and least influence on financial matters (Baldrige et al., 1973; Kenen & Kenen, 1978; Mortimer, Gunne, & Leslie, 1976). Moreover, the relationship between rank and credentials with power strongly supports the assertion that status is the key determinant factor of faculty members’ influence and power.

Olswang and Lee (1984) examine faculty participation in light of academic freedom, tenure, institutional accountability, and their interactions. They point out different mechanisms, such as, policies, contracts, review board, courts, peer review, and unions that are assumed to determine the types and qualities of faculty participation in leadership. The manner by which such regulations are adopted and the concern for their impact on faculty is assumed to be the answer to how best to maintain an educational environment conducive to academic freedom and faculty autonomy.

The authors give some recommendations that help both faculty and administrators establish policies that respect not only the principles of academic freedom and tenure, but also fulfill the institutional mission. One of the major solutions that the authors have prescribed to balance faculty freedom with institutional accountability is the development of a mechanism that will stimulate continued attention to and discussion of issues of professional ethics, academic freedom, academic accountability, and the involvement of faculty in governance and decision making activities.

Floyd (1985) addresses various issues that are associated with the structure and process of participatory systems. The issues

include the different patterns of and devices for participation.

### Alternative Types of Participation

Floyd (1985) identifies and presents three different patterns of participatory leadership that have been functioning in higher education settings. They are separate jurisdiction, shared authority, and joint decision making.

Separate jurisdiction. This pattern of participation was practiced in the 1950s and early 1960s. Separate jurisdiction flows from the belief of the coexistence of collegial and bureaucratic frame works. This refers to a dualism of organizational structure involving different participants. Through a collegial structure faculty make academic decisions and through a bureaucratic structure administrators make administrative (none academic) decisions (Corson, 1960). The emphasis is on separate faculty deliberation and recommendation on all educational matters. While faculty are expected to play the central role in making decisions about the educational matters, administrators from outside academic areas make nonacademic decisions.

Within academic areas, faculty are viewed as sharing fundamental premises about organizational purpose and process. They are willing to receive new information, ideas, and alternatives

to discuss and reach consensus. They are also expected to have a sphere of relatively independent action. Even if no institution has operated fully under the concept of separate jurisdictions, some higher education faculty have operated with such concepts in mind. Most of the time the senate excludes administrators from membership or exofficio service on committees and does not regularly seek background information from university administrators. Any communication that has existed has been informal and at best episodic (McConnel & Edelstein, 1977; Mortimer & McConnell, 1978).

Floyd (1985) indicates at least two problems that became apparent by the mid-1960s with the operation of a faculty governance system based on separate jurisdictions. First, the distinction between educational and noneducational issues did not hold up well in practice. Second, the emphasis on separateness of jurisdictions discouraged attention to coordinating concerns of faculty and academic administrators. Many issues that were not strictly educational were found to have had educational consequences and that some faculty involvement in a broader scope was desirable. Analysis also showed that it hindered mutual consultation, discouraged administrative initiative, and provided



little opportunity for persuasive leadership (McConnel & Mortimer, 1971). In the case of separate jurisdictions, faculty are viewed as having a sphere of relatively independent action on educational issues. Although faculty at a few major research universities hold these concepts as ideal, no institution fully operates under such understandings. Recent higher education literature only rarely makes use of such concepts.

Shared authority--shared governance. Floyd (1985) presents different normative statements that provide basis for understanding the shared authority participative model. The model emphasizes that faculty and administrators share authority in most areas of concern, with primary responsibility varying depending on the subject area. Two major policy statements on academic governance issued in the mid-1960s mirror the ideal that authority for decision making should be shared among the constituencies of a higher education institution (American Association for Higher Education, 1967; AAUP/ACE/AGB, 1966).

The AAUP/ACE/AGB (1966) statement demands that the community of interest among the various parties- the board of trustees, administration, faculty, students, and other groups be recognized. It also guarantees their participation in shaping general

education policy and proposes joint endeavor in selecting a president and appointing other academic officers, in long-range planning, in budgeting, in conducting external relations, and in preparing plans for physical facilities.

The initiating capacity and decision-making capabilities of all parties are needed in all important areas at one time or another. However, the weight of the voice of each component should vary from one issue to the next, depending upon the responsibility of the various parties for the particular matter at hand. Faculty have primary responsibility for the curriculum, methods of instruction, research, faculty status, degree requirements, and some aspects of student life.

The Task Force on Faculty Representation and Academic Negotiation (American Association for Higher Education, 1967) has also made some very specific recommendations to enhance the faculty decision-making role and classified the relative extent of administrative and faculty participation in decision making along a five-zone continuum, with administrative dominance at one end and the faculty dominance at the other. The middle zone in which both faculty and administration exercise effective influence on different issues is labeled the "shared authority" zone.

Under a system of shared authority, the task force sees faculty and administrators exercising a differential level of influence, depending on the nature of the matter at hand. It also suggests that the means faculty use to assert influence will vary from campus to campus depending on local circumstances. The task force considers especially delegation of decision making authority to an academic senate and collective bargaining as varied kinds of shared authority having implications that would be quite different in a number of regards (American Association for Higher Education, 1967). Although these statements provide a useful basis for understanding the general preferences of the academic community, they are now generally regarded as workable only in the absence of significant conflict. In the 1980s, writers avoid specifying the distribution of authority among the parties, thus assigning shared authority roughly the same meaning as joint participation.

Joint participation. Joint participation approach focuses more on extensive administrative consultation with faculty over the broad range of institutional decisions and less on the specifics of how authority is to be shared. Faculty and administrators are expected to share the opportunity to participate, the information necessary to participate effectively, access to decision makers, an

opportunity to influence decisions, the responsibility to develop a perspective broader than narrowly defined individual or group self-interest, and the responsibility to take at least some of the advice received (Newman & Mortimer, 1985).

In contrast to the concepts of separate jurisdiction and shared authority, which assert that one group or another has the primary interest on a particular subject, joint participation more explicitly recognizes the legitimate interests of a number of groups (Mortimer & McConnell, 1978; Powers & Powers, 1983). In joint participation, codification of the historical faculty role is also regarded as possibly harmful to a strong faculty stance for two overlapping but different reasons. First, such codification may hamper the broad potential influence of faculty, as no listing can be all-inclusive, and if not listed, an area is likely to be considered under implied administrative jurisdiction (Powers & Powers, 1983). Second, faculty increasingly realize that they now wish to participate in a number of decision areas (the most notable of which is budgetary and financial) where they have historically not been active or asserted a major role before (Mortimer & McConnell, 1978).

The primary strengths of joint participation are its avoidance of too narrow codification of the areas of faculty involvement and

its explicit recognition of the interests of other campus constituencies. Yet, its explicit recognition of the necessity of organizational hierarchy is a source of discomfort to the faculty. Proponents of joint participation view strong administrative leadership as not only consistent with broad faculty participation in institutional decision making but also as necessary for providing the framework and environment in which participation can be most effective (Mortimer & McConnell, 1978; Powers & Powers, 1983). Strong institutional leadership can help faculty and administrators to work jointly toward clearer definitions and attainment of institutional goals.

#### Different Types of Participative Leadership Devices

Faculty employ different types of participative devices such as committees, senate, union, department, and councils to participate in institutional decision making. Three of the major devices--department, senates, and unions--are extensively discussed below.

Department. The most important associational relationship of the individual faculty member in terms of power and governance is the academic department. Each department has considerable power over the internal management of a university. The critical issues

are generally handled by the faculty at the departmental level (curriculum, student relations, faculty hiring, firing, and promoting), or by the administration at higher levels (budgets, overall staffing, physical plant, long-range planning). At graduate institutions, although actual final authority over individual research is held by the individual professor, the department has authority over research in its area.

Within the department, a decision-making structure and understandings are developed that provide for broad participation by all departmental members and for the leadership of the departmental chair. The typical departmental meeting and committee structure provides the primary opportunity for participation for most faculty members (Brown 1977; Tucker 1981). The departmental chair's approach to leadership, however, varies according to the institution and the situation. Generally, faculty members are likely to express greater job satisfaction if they perceive their department chair's leadership style is participatory (Finkelstein, 1984).

Faculty members view departmental staff meetings as the most useful participatory devices a higher educational institution provides. Effective and meaningful participation at the

departmental level is a major source of professional satisfaction. Faculty achieve their conception of a group of independent professionals running their own affairs when they actively participate in a relatively autonomous departmental unit (Dykes, 1968).

The works, social structures, and the compositions of the department are not the same across institutions. However, the relative autonomy granted to the department is, generally, closely related to the specialization of faculty member and the “building-block” character of the department in the organization of universities and colleges. Each department has a chair (a distinguished professor) and as many associates as possible. Within a faculty the chair of each department is administratively autonomous.

Sometimes departmentalization is assumed to take faculties from thinking collectively about university-wide issues. This gives rise to a growing politicalization of universities. Faculty are concerned about autonomy and about participation (Austin & Gamson, 1983).

Most institutions have different devices for delegation, cooperation among the departments, and two-way communication

between central administrators and faculty. However, the extent, forms, implications, and assumptions of faculty participation in governance are different. Beyond the department, there is a college, which governmentally is often a collection of departments. In many universities, the authority and role of a college are seldom clearly delineated. Colleges exercise minimal authority (Millett, 1974) because any increase in college authority means a decrease in departmental authority. However, faculty members, in general, agree that departmental authority must be maintained.

Faculty senates. Active participation or representative involvement of designated faculty members who serve to advance the views of many faculty often takes the form of faculty senates. Senates are typically faculty forums to develop and discuss ideas and to make policy and procedural recommendations. At their best, they are the stages where faculty and administrators meet as professionals to deliberate on matters of shared concern - curriculum matters, budgetary issues, and other professional activities. These deliberative bodies may serve in an advisory capacity or as legislative agents, depending on the needs of the institutions.



Faculty senates and their committee structures continue to be useful mechanisms for campus-wide faculty participation at research universities, other universities with well established graduate missions, and elite liberal arts colleges (Floyd, 1985). Faculty senates have an impact on the institution at all levels in curriculum design, personnel status, or selection and evaluation of administrators. They have quasi-formal authority in curriculum and functional authority of providing advice to the university administration on most issues. They also furnish an opportunity for the public discussion of a wide range of issues important to the academic community but on which no immediate institutional decision must be reached (Mortimer & McConnell, 1978).

Faculty as a whole view decisions made by academic senates as legitimate only if the senate includes a representative cross-section of institutional faculty (Mortimer & McConnell, 1978). The criteria for representativeness include eligibility for membership, structure of the senate, and patterns of committee service. While most research universities limit eligibility for the senate to ranked tenure-track or tenured faculty and foster a more cohesive sense of faculty identity (Mortimer & McConnell, 1978), most small liberal arts colleges have senates that include nearly all instructional

faculty and academic professionals and provides a broader base of campus legitimacy.

Some senates are structured as town meetings and others as elected bodies of representatives. The town meeting has been the typical structure for senates of small institutions. During the late 1970s and early 1980s, committee service has become significantly less concentrated at many institutions. In the early 1970s, in particular, it was concentrated by rank, sex, and academic discipline (Mortimer & McConnell, 1978). The young, women, and minorities rarely served on significant committees, suggesting that those patterns of concentration of committee service seem connected with informal patterns of selection of committee members.

Issues about the extent to which senates are constructed in a fashion to provide a clear faculty voice have evolved as changes have occurred in senate membership bases. The opposition to administrative involvement in senate committees emphasizes the need for a pure faculty voice on matters of primary interest to faculty such as curriculum and faculty tenure and promotion, accepted at most institutions as areas of strong faculty authority (Millett, 1978). However, supporters for administrative

involvement argue that in the absence of such involvement little administrative commitment to carry out decisions is likely, and "joint deliberation, negotiation, and shared decision making are preferable to disjunctive and adversarial relations" (McConnell & Mortimer, 1971, p. 50). Recently, sentiment has grown on some campuses for a configuration that provides a senate to each major campus constituency that deliberates for itself within its own campus. Provision would also be made for some institutional mechanism for debating issues between constituencies (Spitzberg, 1984).

With respect to the decision-making processes of academic senates, a concern is expressed about maintaining vigorous debate and approaching decision making primarily on a consensual basis. However, direct observation of senate patterns and reviews of the literature indicate that difficulties may arise when the number of members in the senate is large. Senates must be small enough to permit vigorous debate on substantive issues (McConnell & Mortimer, 1971).

Failures to achieve consensus in senate practice have been ascribed to overt politicization, extreme factionalism (Balderston, 1974; Mortimer & McConnell, 1978), and to voting in faculty

decision-making bodies (Nichols, 1982; Powers & Powers, 1983). However, while higher education institutions have historically sought to accommodate diversity within a broad consensual framework, a lack of full consensus should not be equated with lack of consultation or attempt at reaching consensus (Chait, 1982). Nevertheless, tensions between consensual norms and rule of the majority for decision making continue to be noticeable in senates as well as in other decisional settings on some campuses.

What is the effectiveness of the academic senates and their committees? Their effectiveness is based on the extent to which they are influential on the core academic policy and the protection of a significant extent of departmental autonomy (Angell, 1978; Johnson & Mortimer 1977; Lee 1978). An analysis of case studies made by Millett (1978) and a major research project conducted at the Stanford Center for Research and Development in Teaching (Baldrige et al., 1978) differentiate between faculty influence and the senate mechanism as one possible mechanism for that influence, and conclude that faculty are quite influential at major research universities. In one study, however, that influence was primarily in academic departments with a moderately strong senate dealing with

the very limited number of academic matters that are actually left for resolution at the institutional level (Baldrige et al., 1978).

Millett (1978) found strong faculty influence at other universities with well-established graduate missions but a lesser research orientation. However, other researchers found that the highest levels of faculty participation in campus governance and the strongest academic senates at elite liberal arts colleges, where faculty participated actively in departments and in institutional senate (Baldrige et al., 1978). Both studies, however, found relatively weak faculty participation and weak senates at non-elite private liberal arts colleges and public comprehensive institutions and colleges. Another study suggests that the role of faculty was enhanced rather than diminished during the 1970s at a significant number of non-elite liberal arts colleges (Finkelstein & Pfinister, 1984).

Although senates are often criticized because their powers are largely advisory, they have played a valuable function in symbolizing the academic community's commitment to shared governance. With the advent of faculty unionization, however, there are serious questions about the relationship between senates and unions, and the impact unions may have on shared governance. Some observers

believe that collective bargaining may actually enhance and protect traditional academic governance procedures. Others fear that collective bargaining is a substantial threat to collegial practices. The following section examines unions as devices for faculty "participative leadership."

Unions--collective bargaining. Collective bargaining is another apparatus that faculty have been employing to influence the governance of some institutions of higher education. It is a system of governance and negotiated management. This device in some institutions has either complemented to, competed with, or displaced the more traditional devices such as the senates (Floyd, 1985). There has been a debate about the strategies of unions in higher education--their relevance for higher education, their impact on "shared governance" principle, and their imposition on the professional decision making process (Baldrige & Kemerer, 1977; Birnbaum, 1988; Millett, 1974).

The weakness of faculty senates is believed to have been one of the causes of unionization. At many institutions, weak faculty governance has been unable to safeguard faculty interests from the onslaught of economically related environmental pressures. This is evidenced, especially, in the two-year and at less prestigious four-

year public colleges where the absence of a strong tradition of faculty participation in governance was apparent (Baldrige & Kemrer, 1977).

The National Labor Relations Act (NLRA) conveys to the private sector employee, including most employees at private colleges and universities, a full complement of collective bargaining rights. It defines collective bargaining as,

the performance of the mutual obligation of the employer and the representative of the employees to meet at reasonable time and confer in good faith with respect to wages, hours, and other terms and conditions of employment, or the negotiation of an agreement, or any question arising thereunder, and the execution of a written contract incorporating any agreement reached if requested by either part. . . (cited in Baldrige & Kemrer, 1977, p. 253)

Baldrige and Kemerer (1977) summarized some of critical assumptions behind collective bargaining:

1. the presence of conflict between employer and employee;
2. the union demands and usually obtains the exclusive right to represent the employees;
3. legal authorities beyond the campus back up the contracts- third parties enforce the agreements;
4. sanctions (strikes, lockouts) are used to support negotiating positions in interest disputes arising out of the bargaining process;
5. individual grievances are handled by prearranged machinery, often including arbitration procedures; and
6. the union contract itself becomes a major element in the governance of the institution. (p. 269)

Baldrige and Kemerer (1977) assumed that much of academic governance is a dynamic political process, with competing interest groups trying to influence the decision process. In this light, they conclude that formal faculty collective bargaining is a natural progression from the informal conflict processes. In other words, unionization is a formal and crystallized form of interest group dynamics that have continually occurred in higher education.

When conflict over wages and working conditions become a critical issue and faculties feel threatened by economic conditions and the growth of large bureaucracies, they started to become more formalized and more structured around economic issues. Subsequently, the political activity that previously centered on interest groups, such as the AAUP, generated unions concerned with economic issues.

Collective bargaining has three distinct stages: (a) the unionization stage--the drive to form unions in nonunion organizations; (b) the negotiation stage--the bargaining over the terms of a contract; and (c) the administration of the contract stage --the administration of wages and working conditions as the



contract provides, the filing of grievances when employees feel dissatisfied, and the use of arbitration to decide these grievances.

Once a union has been formed, the negotiation phase involves bargaining over the terms of a contract. There are demands, threats, offers and counteroffers, and perhaps even strikes, lockouts, or arbitration. The negotiation stage is best characterized as a power struggle between employers and employees conducted within the confines of a legal framework.

The negotiation phase of collective bargaining in the industrial sector usually has four characteristics: (a) it is bilateral (between employer and employee representatives; (b) it is essentially a power play between these two organized interest groups; (c) its least common denominator is the starting point; and (d) It is adversary in tone (a "we/they" viewpoint). Experience with collective bargaining in higher education indicates that the negotiation phase is similar.

The third stage, an administration of the contract, is as important as the initial contract negotiation in forming the employer/employee relationship. Contract administration first specifies role relationships and establishes channels for conflict resolution. The contract implements organizational functioning,

taking conflict out of the political arena and routinizing it in the grievance machinery. Second, the contract may also establish formal lines of communication and clearer and fairer policies and rules governing personnel decision making. Moreover, contract administration highlights weaknesses in the contract and sets the stage for another round of negotiation in the next collective bargaining cycle. While the first two stages are primarily political, the third stage is largely a bureaucratic process.

Baldrige and Kemerer (1977) present two cautions regarding unions in higher education. First, although unionization in higher education has evolved from similar conditions and has similar characteristics of industrial sector collective bargaining, this does not necessarily mean that higher education should adopt industrial union practices. On the contrary, there are some aspects of industrial unionization that could be hostile to higher education. Faculty unionization must be sensitive to the peculiar values and cherished traditions of the academic community. Second, although unionization may be a natural outcome of the political process, we should not enthusiastically embrace all the possible consequences. Some of the results of unionization will undoubtedly be positive and

will bring major benefits to higher education; it is also possible that a high cost will be paid.

Collective bargaining and collegial decision making. Baldrige and Kemerer (1977) examined the computability of collective bargaining with shared governance, professional expertise, and collegial decision making. They found that collective bargaining supports collegiality in some situations and undermines it in other situation. They argued that in institutions where academic collegiality was a myth, collective bargaining may promote faculty rights and collegial decision making. They believed that, in many situations strong union contracts will be instrumental in producing greater faculty participation in governance (Orze, 1975 cited in Baldrige & Riley; 1977; AAUP Policy Documents and Reports, 1973).

Collective bargaining, however, also may threaten some collegial practices. Since some collective bargaining practices are in opposition to collegiality, they may weaken faculty professionalism. For example, recognizing that people's perceptions and interests depend largely on their positions within organizations, collective bargaining divides the world into a "we/they" dichotomy instead of accepting shared governance which is central to academic collegiality. The best way to guarantee

shared decision making, according to the union viewpoint, is to mandate it in a legally binding contract.

While some proponents of collective bargaining stress that administration and faculty have essentially an adversary relationship, others, even if they admit that occasionally administrators and faculty have different viewpoints, believe bargaining can be a catalyst toward accommodation and thus reduce polarity. They further assert that, at its best, collegial governance has enhanced faculty participation in decision making, but at the same time the differences between administrators and faculty have been polished over. In contrast, collective bargaining brings those differences out into the open. Bargaining may lead to polarization, with the administration controlling certain decisions and the union contracts governing others. Yet, it may also be a means of increasing decision making in some situations.

Another way in which collective bargaining threatens collegiality is in the evaluation process. Professional evaluation of work is based on the skills and merit of the individual. Baldrige and Kemerer (1977) indicate that professionalism is, in many ways, an elitist concept built upon professional performance and knowledge. Although it is difficult to judge merit in terms of

subjective observation of professional behavior, professional organizations have managed by using peer evaluation processes. The tradition of unionism differs because it stresses the equality of all workers and emphasizes democratic control of the union. Under a one-person, one-vote system the elite may not control the union, and their concerns will not be uppermost on the union's bargaining list. This position is at odds with the notion of merit based on professional performance. In addition, unions have often used seniority, not merit, as a basis for promotion, a procedure that violates cherished principles of professionalism.

To summarize, there are many areas of tension between the assumptions behind collective bargaining and those behind collegiality. The areas of tension include the rejection of shared governance concepts, the creation of a "we/they" mentality, the expression of open conflict between faculty and administrators, the rejection of status differences based on merit, and the use seniority as a criterion for advancement.

Baldrige and Kemere (1977) have highlighted a number of tensions between the patterns of activity inherent in collective bargaining and those that have traditionally characterized academic personnel practices and decision-making processes.

1. The shift from individual to group rights--Individual employees cannot deal directly with the employer to pursue individual advantage, but must work through the union representative. This shift from traditional informal practices to the formality of collective bargaining brings numerous changes with the way the individual will negotiate and with the personnel practice.

2. The union as Exclusive Representative--This often means that the individual's choice about union membership is severely limited.

3. The conflict between union democracy and professional meritocracy--Both potential bargaining topic and disputes arising within the bargaining unit are resolved by majority vote of union members.

4. Unionism and uniformity--Many commentators fear that faculty collective bargaining will reduce institutional autonomy and diversity if imposed on higher education. Despite the pressures toward uniformity, collective bargaining can encourage diversity where laws do not treat higher education differently from other institutions, administrative agencies often approve separate

procedures for community colleges, senior colleges, and universities.

5. The conflict between unionism and the concept of shared authority--Because collective bargaining practices stress the differing interests of employers and employees, they could pose a threat to the concept of "shared governance" in higher education. Professional employees such as doctors, lawyers, and professors function in part as managers and in part as employees. They often have considerable control over personnel and institutional decision making, matters usually considered management prerogative. Because of this dual role, professional unions have sometimes tried to divide the representation effort, to maintain a dual bargaining stance. The AAUP is walking a fine line, upholding the faculty's union control over economic issues and the faculty's management prerogative over curriculum issues. This delicate balancing act may be jeopardized both by legal decisions based on traditional concepts of management prerogative and by the expansionist tendencies of unions.

6. The conflict between unionism and traditional spheres of influence. Lee (1978) noted that one of the implications of faculty bargaining for decision making in four-year colleges and

universities is that faculty bargaining contributes to the redistribution of authority both within institutions and at the state or system level. Administrative decision making practices have, consequently, become more consultative, although contractual specifications for decision accountability often place final decision authority with top-level administrators.

Millett (1974) has conceptualized collective bargaining in a slightly different way. Collective bargaining, according to Millett is a form of academic governance where faculty, in contrast to becoming a participants of an academic community, consider themselves as professional employees of an academic enterprise whose conditions of work and whose work performance are specified in a collective bargaining agreement. Administrators are expected to define the objectives of the enterprise, to determine desired program outputs, and to ensure performance of those outputs. Millett recognizes two major issues, economic and organizational, to be confronted in faculty collective bargaining. The first issue has to do with the effect of collective bargaining on compensation for faculty members through increased income from students, governments, and philanthropy. The second is the effect



of collective bargaining on the structure and the process of governance, management, and leadership.

Looking at the conclusions drawn from three authorities on collective bargaining, its importance, and its impact on higher education governance, in general, and on faculty participation, in particular, there is generally no agreement. The different views have been disseminated throughout the higher education literature and served as guide to many leaders (faculty and administrators) and may have paradoxically added to the complexity of the concept of faculty "participative leadership."

In its report, Governance of Higher Education (1973), the Carnegie Commission argued that economic issues should be the sole objective of faculty collective bargaining and that matters of governance should remain undisturbed and unmentioned in negotiation agreements. The same point of view was expressed even more strongly in the 1977 report of the Carnegie Council on Policy Studies in Higher Education, Faculty Bargaining in Public Higher Education. However, Millett is concerned about the organizational efforts. He doubts and contends that faculty collective bargaining will profoundly alter faculty-student-administration relationships in colleges and universities, will generally relegate governance

decisions to the bargaining table for resolution, and will undermine or eliminate the faculty role in academic management. He further believes that faculty collective bargaining will reduce faculty members to the status of professional employees of management and make academic management the province of departmental executive officers, academic deans, academic vice-presidents, and presidents. He states that collective bargaining finds it necessary to include academic affairs as part of the economic affairs with which these agreements are primarily concerned. Economic benefits cannot be separated from concerns with faculty workload, faculty personnel policies, instructional practices, and institutional costs. Hence, contract agreements must be enforced if they are to be effective. Enforcement, to Millett means, management and supervision.

Therefore, administrators become management in adversary and supervisory relationship with faculty and enforce the term of a collective bargaining agreement. Subsequently, Millett concludes, since the role of administration becomes much more pervasive, it cannot be made to work alongside faculty participation in academic governance.

Birnbaum (1988) reflecting on union in relationship to participation, on the other hand, writes that unions attempt to reduce the cost of participation to elicit support and to provide added incentives or coercion when necessary to induce involvement. Faculty would join a union either by economic incentives or through coercion and through their representatives influence on institutional policy. According to Birnbaum, where there was a history of disruptive conflict and lack of respect, the union became a force to maintain the status quo, limit administrative discretion, and continually fuel the fire of discord and mistrust. Bowen & Schuster (1986), however, argue that once collective bargaining is established and the parties become accustomed, it appears to work smoothly in many institutions and both parties express satisfaction with the arrangement. Yet, it is not the optimal arrangement for people in a profession in which collegiality and community are essential.

Senate and collective bargaining interaction. Faculty senates and unions, in general, are important devices for faculty participation in the governance of higher education. Sometimes, if they exist together in the same institution, they may interfere with each other altering the mode and intensity of faculty participation.

This part of the review attempts to answer questions, such as: Is it possible to have a faculty senate and union at the same campus? If both exist, how do they relate to each other, and what areas do each influence? As a whole, because of institutional difference, variances may exist on the relationship between senate and union and the impact on faculty participation.

Floyd (1985) reviewed collective bargaining in relationship to academic senates. She indicated that the literature on unionization identifies different union models, senate and union interactions, advantages and disadvantages of contractualizing senates, and the sources of stability and instability of dominant union and senate relationships.

The three models of union and senate interaction are: (a) the cooperative model (some times referred as the dual-track model) whereby union and senate retain their independence and control their own jurisdictions with little interference; (b) the competitive model whereby the union and senate compete for support of faculty and for the right to control decisions over major issues; and (c) the cooptative model whereby the senate ceases to exist as a senate and is either folded into the union or abolished. The cooperative or dual-track model has been identified as the dominant model in

practice for institutions having single campus bargaining units. While academic senates have concentrated on matters of basic academic policy, unions frequently have been involved in questions of wages, hours, and working conditions.

There was a relatively stable dual-track system on most campuses during the 1970s. Factors providing some stability to a dual-track model during this period were faculty and union preferences, administrative preferences, and a legal environment restricting the scope of bargaining (Baldrige, Kemerer, & associates, 1981; Mortimer & Richardson, 1977). The Carnegie Council (1977), especially, favored limiting the scope of bargaining to economic issues and securing statutory provisions protecting collegial decision areas. However, a high level of intra-faculty conflict and a bargaining unit broader than ranked tenured and tenure-track faculty also tend to increase competition between the academic senate and the collective bargaining agent (Mortimer & McConnel, 1978).

In the late 1980s, most analysts started to identify factors that are likely to contribute to instability in senate/union relations. The factors include the external strains on institutions and the

broader scope of bargaining ordinarily associated with the maturing of a collective bargaining relationship.

On the whole, the literature on collective bargaining in higher education that analyzes the experience of the 1970s suggests that academic senates that were viable before collective bargaining have usually also been viable since the advent of collective bargaining. As the scope of collective bargaining on many campuses increases, however, it is likely that competition between academic senates and collective bargaining agents increase to the disadvantage of academic senates. The continued existence of the dual-track model on most campuses depends on the extent to which unions find utility in the continued existence of senates and senate involvement on various topics rather than to the strength of the academic senate in dealing with union opposition (Lee, 1978).

When a campus has both a senate and a union, what areas do each influence? It is not easy to draw the boundaries around the spheres of influence for each organization. The basic difference between faculty senates and unions, according to Baldrige and Kemerer (1977) is that senates operate on delegated authority and depend on institutional appropriations and staffing. Because faculty senates are dependent bodies, their power to affect decision making

is granted by the grace of the governing board and the administration. Historically, elite private liberal arts institutions have encouraged faculty input in decision making and consequently are more likely to retain the influence of faculty senates. But younger senates may, under the influence of environmental pressures, find their role in shared governance reduced. In addition, since administrators are often included in senate membership, senates are not really representative of the faculty qua faculty.

Baldrige and Kemerer assert that a senate and a recognized union do not have the same type of influence. As a whole, unions strongly outperform senates in influencing economic issues, particularly faculty salaries, promotions, and working conditions. Meanwhile, senates retain influence over academic issues such as degree requirements and curriculum. Senates and unions share a joint area of influence over personnel issues such as faculty hiring, promotion, and tenure policy. Neither senates nor unions influence department budgets or long-range planning.

According to the perceptions of the respondents in a study done by Hodgkinson (1974) on senate influence in academic governance in non unionized campuses, senates are heavily involved in academic areas--degree requirements, curriculum, and faculty

promotion. However, senates were given far lower ratings in economic areas such as faculty salaries, department budgets, and faculty workload. They seldom have any substantial impact on policy at institutions where boards and administrators oppose that influence. For years the lack of real decision-making power by senates over economic issues in general and over personnel policy at public two year institutions, has caused many academicians to consider senates as ineffective (Bloustein, 1972; Hodgkinson, 1974).

What are the factors that promote or diminish conflict between unions and senates? There were two different faculty union views with respect to maintaining the academic senate. While some leaders argue that the position of the faculty senate should be protected by specific provision in state collective bargaining laws, others contend this will formalize and strengthen the power of trustees and administrators over the faculty.

Although collective bargaining has had little effect on coexistence with senate, it has excluded any previous limited senate involvement on matters of wages, hours, and working conditions. Union/senate relations are likely to be more unstable in the future as the result of external strains on institutions and the



broader scope of bargaining ordinarily associated with the maturing of a collective bargaining relationship.

The forces at play in the situation that affect the health of senate and union coexistence include:

1. The impacts of cultural pluralism, conflicts of interest, and value differences in every area, especially in educational institutions have created a conflict on the campuses about the proper mission of the academic profession;
2. Budget cuts and declining enrollments force latent conflicts of interest among campus constituencies out into the open and undermine the spirit of cooperative decision making;
3. Growing dissent between administrators and faculty, and within faculty ranks, makes consensus on principle less likely and dual tracking more difficult;
4. The legal situation that encourages the establishment of a statewide union and a court decision that upholds it undermines local campus senates and curtails the senates and committee's jurisdiction;
5. The style and degree of administrative support to the senates may also strengthen union and affect senates negatively; and

6. The administrative support to senates based on the dual-track idea--separation of the senate's right to control academic issues from the union's right to bargain over economic issues is also a task made difficult by the multiple, overlapping decision bodies on a campus.

Because of its unique position of authority on campus, the administration usually takes the lead in establishing a workable governance scheme. Where conflict of interest is great, however, the chances for a stable consensus are diminished. The administration has a central role to play in helping define proper spheres of action, and takes an active lead in that task.

With regard to faculty participation, Baldrige and Kemerer (1977) assert that most of unionized campuses initially had a weak tradition of faculty participation in governance. Hence, unions have undercut impotent senates. When unions and senates coexist, the health or weakness of the senate depends upon many variables other than faculty unionization. In addition, other forces have threatened senates--especially institutional growth, centralization, and powerful economic pressures.

Garbarino (1975) tried to determine if the advent of unionization reduced faculty participation in governance through

departments, committees, and senates. Using a study completed by the AAUP in 1971, he found that the participation rate in faculty governance for a number of institutions which unionized was actually higher than for the whole sample of institutions. Garbarino suggested that faculty may have used collective bargaining to preserve governance influence in the face of threatened attacks. However, even in those institutions where unions had increased faculty participation, the relation to the administration was still categorized as "discussion" or "consultation." Neither union nor senate could claim joint participation with the administration in decision making, much less the right to resolve issues unilaterally. This was particularly true of economic and personnel issues.

#### What Major Issues of Concern Do They Mention?

Dachler and Wilpert (1978) have suggested that in studying participatory decisions, one would have to start analyzing them in their different components which, at the very least, include the range in content and number of decisions that fall within the participatory decision making arrangement, as well as the complexity and importance to the participants of the decision in which they participate. Hence, this part of the review will briefly identify the nature and scope of the issues which legitimately

concern the faculty, the effect of participation, faculty satisfaction and dissatisfaction, and experience with or suggestions for new approaches. The issues that will be examined include: curriculum design, faculty personnel status, selection and evaluation of university administrators, planning (including strategic planning), and budgeting.

The reviewers directly or indirectly deal with every issues mentioned above. However, in their analysis, they also inclined to give more emphasis to certain issues as compared to other issues. For example, as Austin and Gamson (1983) analyze faculty participation their focus is more on the examination of faculty work and working place. Issues, such as workload, working conditions, supervisory practice, rewards, opportunity structure, and other policy regulating the conditions of the faculty are prominent in their discussions. While for Olswang and Lee (1984), the areas of concern are academic freedom, tenure, and institutional accountability, for Floyd (1985), the emphasis is on the general issues of curriculum (general education), faculty personnel (tenure and promotion), institutional planning, the selection and evaluation of administrators, and budgeting.

### Curriculum Design

Faculty historically have been interested, very active and influential participants in determining the institutional curriculums (Levine, 1978; Millett, 1978). The curricular areas over which they primarily have had control include: establishment of new degree requirements, development of the courses satisfying those requirements, and development of course objectives and course content (Millett, 1978). Instructional procedure and evaluation of students' learning achievements are also mostly under faculty jurisdiction. The academic senate which mainly is composed of faculty, has also employed legislative or quasi-legislative authority over the major curricular processes like the approval of new courses through its curriculum committee (McConnell & Mortimer, 1971).

During the 1970s and 1980s, many faculty members and administrators have been discouraged about curricular change. Most faculty members strongly believe that the curriculum needs significant change. Because of unresponsiveness caused by disciplinary orientation, internal divisions, and a process that allows them veto power, faculty are also identified as the primary barrier to change (Levine, 1978).

A strong interest to reformulate and revitalize the general education portion of the undergraduate curriculum has resulted in an increased desire in the function and administrative leadership provided to curriculum committees. Believing that faculty members are not the primary constituencies for liberal learning, Kerr (1984), for example, emphasizes the importance of strong administrative leadership, especially at the presidential level. In the same vein, Spitzberg (1984) has acknowledged recent initiatives taken by faculty committees to reinvigorate general education at a number of institutions and challenged faculty to take further initiatives with regard to the curriculum and extremely restrain the use of their effective veto on curriculum matters). In short, the trend is that more administrative involvement in curriculum matters is likely to come. Hence, to introduce change on curriculum matters, the need to design better participative process that includes faculty and administrators is self-evident.

#### Faculty Personnel Policies

Faculty have a lot of concern in personnel issues and expect to participate in decision making pertaining to these issues. Factors such as appointments, promotion and tenure, course assignments, work schedules, work loads, allocation of office space, secretarial

help and other perquisites, and procedures for the handling of complaints or grievances, all affect the functions of the faculty member both as a professional and as an employee. Faculty members cannot act as professionals if the rules which determine their behavior in an institutional setting do not afford them the degree of autonomy necessary for the productive exercise of professionalism. On the other hand, they have an interest in good working conditions and the equitable application of personnel standards. In short, they need to create a procedure that balances their autonomy with the fulfillment of their responsibilities.

Faculty participation on personnel issues varies from institution to institution (Corson, 1960; Floyd, 1985). In most institutions, faculty participate in making decisions on the most significant matters relating to determining faculty status, assisting in recruiting new faculty members, approving backgrounds of candidates for appointment, setting faculty performance standards, participating within their disciplines in peer review on matters of tenure, promotion, dismissal, and sitting on committees to hear faculty grievances (Fortunato & Waddell, 1981, cited in Floyd, 1985). The extent of acceptance and operation of the concept of faculty participation in decision making on those

issues again varies a great deal, depending on institutional mission, level of institutional maturity, sources of support, and legal status and history (Commission on Academic Tenure, 1973; Smith, 1978).

Most universities include peer selection and review, the principle of merit, the principle of tenure, a set of checks, balances, and constraints, and a climate of consultation as the organizing concepts and structures underlying their policies and procedures (Smith, 1978). To maintain the integrity of tenure, faculty and administrators are expected to address certain faculty personnel issues: (a) tenure density and the inflexible base of faculty expertise; (b) balancing the claims of society, the institution, and the college versus claims of the department and individual faculty members; and (c) increasing codification resulting from increasing external intervention. Faculty must work with administrators to find some level of institutional flexibility in the assignment of resources while continuing strong support of the tenure system. A carelessly drawn procedure for dealing with the inflexibility of the tenure system in highly tenured units would probably lead to the same consequences that would flow from simple abandonment of the tenure system (Smith, 1978).



Faculty members have a long-standing and well-established role in appellate procedures relating to peer review in the processes for appointment, promotion, and awarding of tenure. The grievances of faculty members are frequently handled by an appeals panel of a mediator drawn from the faculty. Wide consultation with a broad-based group of faculty is especially important when developing campus wide statements on responsibility, due process, and rights to appeal (Powers & Powers, 1983).

Collective bargaining has not resulted, at most institutions, in major changes in approaches or procedures for tenure. Faculty personnel decisions are generally handled by a faculty committee separate from both the union and the senate (Lee, 1982). Although formal grievances filed under collective bargaining contracts do not appear to have reduced faculty participation in academic decision making, arbitrary decisions have sometimes posed problems for traditions of academic peer evaluation, as it is difficult for arbitrators to separate procedural judgment from substantive judgment (Lee, 1978). One way of preventing interference with peer judgment is to specify carefully the remedial powers of arbitrators (Weisberger, 1978). As arbitrators become more experienced in hearing and evaluating higher education grievances, they may also

become more familiar with characteristics of academic decision processes and may improve their abilities to distinguish between procedural and substantive academic issues (Lee, 1978).

As a result of external pressures, faculty personnel policies have broadened in scope from a relatively sparse formulation of tenure and promotion requirements to a broader set of regulations that also restrict faculty conduct in certain regards. Many institutions have recently adopted or are currently formulating regulations for areas like outside consulting, patents and copyrights, possible conflicts of interest, allegations of fraud in research, professional ethics, and faculty/student interaction (including the prevention of sexual harassment). Assertions of a strong faculty role in institutional policy making in this area are now beginning to appear in the higher education literature. For example, joint deliberation by faculty and administration is essential to the resolution of issues on regulation of faculty conduct in a manner that minimizes the effect on the higher education workplace as well as faculty resentment and dissatisfaction (Olswang & Lee, 1984).

### Selection and Evaluation of Administrators

The faculty's role in the selection of the president or other senior executive becomes relatively well established during the 1970s. By the late 1970s, over two-thirds of presidential search and selection committees of higher education institutions included faculty, with public institutions more likely to include faculty on such committees than private institutions (Nason, 1981). A single heterogeneous search committee is more advantageous in two ways than a board committee advised by separate committees for each major campus constituency. First, months of working together can generate a sense of common purpose. Second, the new president can start the position with the support of the various campus constituencies (Nason, 1981).

The rationale for faculty participation in the selection and evaluation of administrators -especially deans, academic vice presidents, and presidents-has been frequently stated (Farmer, 1978; Strohm, 1980). Many faculty and administrators support representative search and selection committees as the best means of ensuring appropriate faculty participation in the selection of academic affairs administrators. Some attention has also been given to procedures to provide an information flow from the faculty

to the committee members in the form of opinions or preferences. The approach not only increases faculty influence on the selection process but also sets the political groundwork to ensure a greater faculty role during the new person's tenure in office (Pollay, Taylor, & Thompson, 1976).

### Strategic Planning

The healthy debate about the best mechanisms and approaches for providing for faculty participation in strategic planning suggests good prospects for balance between executive leadership and broad participation in the approaches to strategic planning developing on many campuses. Although faculty have been frustrated by what they perceive to be lack of involvement or ineffective participation in processes of budgeting and of planning for retrenchment, some groundwork has been laid for greater and more effective faculty participation.

Faculty have begun to take steps in concert with administrators to gain a better understanding of the technical bases and dynamics of the budgetary process, thus reducing a previous major handicap. Boards of trustees and university administrators are also becoming more sophisticated about the importance of process considerations in handling retrenchment and the greater

acceptability of retrenchment if faculty are consulted when general procedures are developed and when implementation becomes necessary.

An important feature of faculty participation in the making of institutional policies and decisions is that it has a strong influence on faculty morale. Faculty members are considered intelligent and highly educated people who feel qualified to have opinions not only on matters affecting them personally and their departments, but also on matters pertaining to the institution as a whole. They also feel entitled to know about events and forces and decisions that are affecting the institution. Therefore, reasonable involvement of faculty and communication with them is critical in the decision-making process of any college or university. This involvement is of special importance in connection with the appointment of administrative officers. Institutions vary, however, in the extent of faculty participation and morale.

All faculty members do not involve themselves in every activity. However, most do some of them some of the time. In doing so, they often express their individual personalities and their special interests, and they help to weld the campus into a

meaningful community and to make it an agreeable and civilized place for both students and faculty.

In brief, curriculum and faculty personnel status are the two areas of institutional decision making in which faculty have had and continue to have the broadest role and the greatest influence. Faculty participation in the selection and evaluation of administrators and in planning also has become relatively well established. Faculty ambivalence about integrating financial factors with academic factors, which has tended to restrict faculty participation and influence in some stages of planning and program review, is also beginning to recede.

Protecting the strong faculty participatory role in these areas is likely to require a more concerted effort by faculty and administrators working together to address issues of general education, staffing quality and flexibility, and some aspects of faculty conduct. The resolution of these issues is central to faculty credibility and institutional viability.

Which Contextual Boundaries That Limit Or Enhance  
the Potential of Participatory Social  
Systems Do They Consider?

According to Austin and Gamson (1983), faculty and administrators traditionally have experienced varied, fairly autonomous work, good working conditions, and strong psychic rewards. Faculty, especially, have been the dominant group affecting the conditions of the workplace with administrators being subservient to the influence of the faculty before the 1960s. Latter, however, the external pressures and the response of colleges and universities to these pressures have changed the role and importance of the faculty and administrators. Subsequently, each group is affecting the other. The effect has been the erosion of some of the qualities - the spirit of collegiality, the informal work style, the support for autonomy, that all members of the institution, particularly the faculty, have enjoyed. The morale of the faculty members has been declining as their involvement in decision making decreased (Anderson, 1983).

Austin and Gamson (1983) note that economic stringency expressed in decreasing levels of state and federal aid to higher education and increasing costs, is the most powerful external

pressure for change in the university as a workplace. The recent decline in financial resources available to colleges and universities, the subsequent reporting structures established by the federal government that require data to account for faculty action and workload, plus the internal forces that use this information for faculty discipline and other purposes have implied directly to the concept of academic freedom and to infringe upon the traditional autonomy that faculty have possessed.

The shifts in the labor market also make faculty more susceptible to an opportunity squeeze. Under severe economic stringency, some tenured faculty may even face losing their once secured jobs. The influence of declining enrollments on financial difficulties of many colleges and universities has already been noted. The cultural and political forces that once believed that higher education is the solution to every problem is not considered. Hence, the professional status has declined. The effect of all those factors leads to the deterioration of some the qualities of work--the spirit of collegiality, the informal work style, and the support for autonomy--that university employees, particularly the faculty, have enjoyed.



Oslwang and Lee (1984) claim that academic freedom and tenure provide important protection to faculty members and are of special importance to the maintenance of the intellectual vitality and creativity of American colleges and universities. However, the authors note that these protections are not without limits. The courts, the American Association of University Professors (AAUP), and the commentators stress the inseparability of academic freedom from professional responsibility in ethic. For example, while the courts have been active in the area of protecting individual political and religious beliefs of faculty against pressure for conformity or orthodoxy by administrators, trustees, legislators, or others, they allow the formation and execution of policies and regulation that monitor the effectiveness and efficiency of the faculty. The financial constraints dictate that the colleges and universities do more with less money which necessitates the regulations of the assignment and workload of faculty and reinforces the institutional practice of reporting and gathering data. While the government requires justification for every cent the institutions are spending, private industries expect students to have the skills relevant to their respective work.

Floyd (1985) states that the growth in awareness of how decisions are made at the system level in multi-campus systems and at the level of statewide coordinating boards affects campuses and the growth of faculty interest to participate at those levels. Many public senior college and university campuses are a part of multi-campus systems overseen by a single governing board. Concern about faculty participation in decision making at these levels has only recently received concentrated attention.

In reaction to the ever increasing controls and the extended institutional bureaucratization, faculty are employing their own mechanisms for self-protection, including turning to new mechanisms of governance to bargain for their own rights (Baldrige, Kemerer, & Associates, 1981; Lee, 1979; Mortimer & Lozier, 1970 cited in Olswang & Lee, 1984). Since faculty and institutions have pressures motivating them to their respective position, Olswang and Lee suggest that an acceptable procedure need, to be developed to minimize this conflict. The authors assert that the external pressure that colleges and universities are facing and the subsequent change of internal social structure and work experience of both faculty and administrators have serious policy implications that threatens institution vis-a-vis the power,

autonomy, and the participation of faculty in decision making. The centralization of power and bureaucratization of decision making in colleges and universities have also led to the decline in morale of the faculty. Among administrators, the board of trustees, the senate, and the state wide committee have substantial impact upon institutional governance and academic freedom. While they allow faculty to participate, in other ways they are effective regulators of academic freedom. Courts are not sympathetic to the academic freedom of the faculty. In view of these threats to academic freedom the AAUP was formed and issued a statement that focused upon three elements of academic freedom: (a) freedom of inquiry and research; (b) freedom of teaching within the university; and (c) freedom of extramural utterance and action. Simultaneously, the founders of the AAUP proclaimed the following responsibilities of faculty that accompany this academic freedom: (a) the fairness and honesty in conducting and reporting research; (b) the maintenance of professional standards; (c) the importance of avoiding indoctrination or its appearance; and (d) the temperance in extramural utterances.

Floyd (1985) notes that the interest of employees to participate is not the same. All employees are not willing to

participate in making certain organizational decisions. Some are more interested than others. Still, others are interested and willing to participate in decisions that only affect their own work units and their own jobs and not in broader matters of policy. The employees most interested in participation are those who are highly interested in the task at hand and personal growth (Bass, 1981; Kanter, 1983).

Organizations have generally found that employees soon lose enthusiasm for or orientation toward participation in the absence of financial incentives or other formal rewards (Kanter, 1983).

Continued willingness to participate also depends upon employees' perceptions that the advice they give influences actions taken. In the absence of that perception, the actions of organizational leaders will be regarded as manipulative and viewed in an entirely negative light (Kanter, 1983; Wynn & Guditus, 1984). Communicating exactly what will or what will not come out of the process is a very important step toward minimizing possible disappointment (Kanter, 1983).

Floyd further elicits the disadvantages and limitations of participation. Since participation is time consuming, it may not be beneficial when an immediate decision is sought. Decisions based on extremely broad participation may not give adequate weight to

the primary applicable expertise and may diffuse organizational responsibility. Therefore, no one will be accountable for failure or success. Providing for participation in some areas may as well lead to expectation for participation in a broader range of decisions than leaders may desire. Participative decisions require special leadership skills and may lead to poor results if the leader lacks those skills (Yukl, 1981). Moreover, if leaders use it extensively, they may be viewed as weak.

In brief, from the perspectives of generic organization theory, Floyd (1985) notes that participation in organizational decision making is more successful in some situations than in others and is more likely to improve employees' satisfaction than performance. Moreover, broad participation under certain circumstances may be impossible or disadvantageous (Locke & Schweiger, 1979; Yukl, 1981). Some methodological problems in reference to ways of conceptualizing and measuring participation and satisfaction have also been raised (Locke & Schweiger, 1979; Mohr, 1982; Sashkin, 1984). Therefore, Floyd has given some recommendations that include the importance of the provision of a clearer definitions for participation and a more direct reference point of low participation.

CHAPTER 4  
PARTICIPATIVE LEADERSHIP THROUGH THE  
PERSPECTIVES OF LEADERSHIP AND  
ORGANIZATIONAL THEORIES

Bensimon, Neuman, and Birnbaum (1989) indicated that the study of leadership in colleges and universities is problematic because of the dual control systems, conflicts between professional and administrative authority, unclear goals, and other special properties of normative, professional organizations. However, they claimed that it is possible to examine it from the perspective of leadership and organizational theories even if there is lack of conceptual orientation in many of the works. To review the literature that gives “conceptual explanation” of leadership and relate it to higher education, they scanned over leadership theories and organizational frames.

In view of the analysis of Bensimon, Neuman, and Birnbaum (1989) of the leadership and organizational theories in the higher education, this part of the review assesses faculty participative leadership. The review, (a) introduces the theory revealing its characteristics (leadership, structures, and processes); (b) elicits the implication for the labels, definitions, and rationales of

participative leadership; and (c) evaluates how participative leadership fits into the governance of higher education.

### Participative Leadership Through the Perspectives of Leadership Theories

Leadership is analyzed by six major categories of leadership theories: trait, power and influence, behavioral, contingency, cultural and symbolic, and cognitive theory. Most of these theories focus on individuals who are in decision making positions. However, the construct, leader, implies that there are “followers” as well; in other words, if there is a leader to be analyzed in this theory, there must be a relationship between the person whose behaviors are to be studied and others in the organization. Moreover, leadership is defined not only by what leaders do but also, and even more importantly, by the ways in which potential followers think about leadership, interpret a leader's behavior, and learn to develop shared explanations for the causes and outcomes of ambiguous events (Birnbaum, 1992). Bearing this perspective in mind, this section of the chapter examines the concept of participative leadership in higher education literature from the perspective of different leadership theories.

## Trait Theory

### Introducing the Theory

Trait theory identifies specific personal characteristics of leaders that contribute to their abilities to assume and successfully function in positions of leadership. Leaders are considered to have physical characteristics, personalities, social backgrounds and abilities that differentiate them from followers and leads them to succeed. These traits are innate or sometimes considered to develop. However, many studies indicate that no trait has proven to be essential for successful leadership (Bass, 1981; Gibb, 1968).

Stogdill (1948) reviewed over 120 trait studies in attempt to discern a reliable and coherent pattern. His conclusion was that traits alone do not identify leadership. Trait theories are no longer major approaches to research among organizational researchers (Fiedler & Garcia, 1987).

Generally, trait theories reduce the explanation of leadership to individual characteristics. Although scholars of leadership do not discount that many leaders may have certain traits in common, they suggest that a model emphasizing traits is too simple to explain a phenomenon as complex as leadership. An analysis of the effectiveness of leadership from a trait perspective is also conflicting because few leaders exhibit consistent traits under all



circumstances, so that both, those who keep their distance and those who nurture may accurately represent effective leadership as manifested in different situations. Hence, the analysis of the concept of participative leadership through the perspective of trait theories is problematic. The definition of effective leadership needs to be in dynamic rather than static terms (Bensimon, Neuman, & Birnbaum, 1989).

#### Implications of the Labels, Definitions, and Rationales of Participative Leadership

Under the trait theories, the effectiveness of the leaders is assumed to proceed from the premise that leaders are endowed with (have developed) certain characteristics as compared to followers. The implication is that leaders are considered to be in a position to determine when, how, why, and what type of relationships they need to have with their followers. The relationship between a leader and a follower under trait theory is top down and communication is one way. Followers are told or at most consulted.

The interpersonal abilities such as openness, building teams, and compassion, which leaders under trait theory are considered to have suggest the leaders and followers relationship. These abilities indicate the leaders' potential to accept followers' and make them members of their team irrespective of the followers' position.

However, the extent of the leaders' openness and the type of teams they build is not clear.

For example, the term team is sometimes used interchangeably with participation. However, team means different things to different people. Team can mean a group of people working harmoniously in pursuit of leader-determined goals and in machinelike form, or it can mean creative problem solving among diversely oriented minds (Bensimon & Neumann, 1993). Moreover, the theory of leadership as well as its definition vary as the conceptions of organization vary (Bensimon, Neumann, & Birnbaum, 1989). Hence, the conception of team changes based on conception of the organization. Moreover, as the role, the purpose, and the way the subordinate is supposed to fit in as a team member is determined by the leader, it is not easy to evaluate the impact of becoming a member of a team.

#### How Trait Leadership Theory Fits into the Governance of Higher Education

Trait leadership theories continue to be influential in projecting of effective leadership in higher education (Bensimon, Neuman, & Birnbaum, 1989). The tendency to associate leaders with specific traits is common (see for example, Kerr, 1984; Vaughan, 1986). Moreover, successful academic leaders are described in

terms of personal attributes, interpersonal abilities, and technical management skills (Kaplowitz, 1986). However, governance in universities and colleges is not solely an administrative prerogative but is a shared responsibility and a joint effort involving all important campus constituencies, particularly the faculty. For example, the influential "Joint Statement on Government of Colleges and Universities," bestows on faculty the primary responsibility for curriculum, subject matter and methods of instruction, research, and those aspects of student life that relate to educational process (American Association of University Professors, 1983). In such matters, the president is expected to "concur with the faculty judgment except in rare instances and for compelling reasons, which should be stated in detail" (AAUP, p. 109). The Joint Statement, in short, reserves some authority or certain functions of the college or university to the faculty.

Although presidents and administrators may do all the right things as prescribed in the calls for leadership, they may still fail in the end if their initiatives do not coincide with desires of faculties, trustees, or other key constituencies. Faculty expectations for involvement in decision making also becomes an obstacle to directive leadership.

## Power and Influence Theories

### Introducing the Theories

Power and influence theories focus on how effective leaders use power. There are two approaches that evolve from these theories (Bensiimon, Neuman, & Birnbaum, 1989): (a) the social power approach which considers how leaders influence or may have effect on followers (social power theory and transformational leadership theory); (b) the social exchange approach which emphasizes the reciprocal relationship between leaders and followers in which leaders are themselves influenced as they try to influence others (social exchange theory and transactional leadership theory). The following discussion focuses on, (a) the social power approach; (b) the social exchange approach; and (c) the transformational and transactional theories.

From social power approach perspective, effective leaders use their power to influence the activities of others. This approach emphasize one-way influence. Leaders influence followers by virtue of their offices as officials, or by their personalities, as informal leaders, or by both, their office and personalities as formal leaders.

Five bases of social power have been suggested (French & Raven, 1968). Leaders can influence others because of the

legitimate, reward, and coercive power they have in their office. They can also influence others through their own personalities--their perceived expertise (expert power) and the extent to which others personally identify with and like them (referent power).

Studies show that the use of expert and referent power lead to greater satisfaction and performance of followers, vis-a-vis the increase of effectiveness of organization. On the other hand, legitimate power appears to be uncorrelated with performance and coercive power is negatively correlated. Moreover, the findings on reward power are inconsistent (Yukle, 1981).

Social exchange approach, unlike the social power approach, emphasizes two-way mutual influence and reciprocal relationships between leaders who provide needed services to a group in exchange for the group's approval and compliance with the leader's demands (Blau, 1964; Homans, 1958). Leadership, therefore, is not a unilateral and directive process but a cyclic and a "dynamic two-way process in which superiors and subordinates repeatedly interact to build, reaffirm, or alter their relationship" (Zahn & Gerrit, 1981, p. 26).

Different models of exchange theories suggest that leaders can increase their own power by empowering their subordinates (Kanter, 1983). For example, members of a working group who see

themselves as influencing their superior are more likely in turn to perceive their superior as influential (that is, as having more power) than are groups whose members feel they have little influence on their superiors (Likert, 1961).

Leaders also accumulate power by virtue of their expertise and as they produce and fairly distribute rewards expected by the group. Leadership is related to the expectations of followers. To be successful, leaders must either fulfill these expectations or change them (Blau, 1964; Hollander, 1964; Price & Howard, 1981). The studies of leader legitimation by Hollander (1985) indicate that leaders accumulate power through their positions and their personalities, but their authority is constrained by followers' expectations. Naturally, the followers agree to collectively reduce their own autonomy and to accept the authority of the leader in exchange for the rewards and benefits (social approval, financial benefits, and competitive advantage) the leader can bring them. However, they do not give up all their potential power and influence. When leaders fulfill the expectations of their followers they are acting as transformational leaders. When they change the expectations of the followers they are transactional leaders (Bass, 1985; Bennis & Nanus, 1985; Burns, 1978).

Burns (1978) views transactional leadership as a relationship between leaders and followers based on an exchange of valued things, which could be economic, political, or psychological in nature. From this perspective, leaders and followers are seen as involved in a bargaining process rather than in a relationship with an enduring purpose. The monitors of transactional leadership are modal values like honesty, fairness, and honoring commitments.

Transformational leadership, on the hand, goes beyond meeting the basic needs of subordinates. It engages followers in such a way as to raise them to new levels of morality and motivation. The purpose of the leaders and followers becomes fused. These leaders are concerned with end values such as liberty, justice, or equality.

Another way to differentiate transactional from transformational leadership is that while the transactional leader accepts the organizational culture as it exists, the transformational leader invents, introduces, and advances new cultural forms (Bass, 1985). Three factors associated with transformational leadership are charismatic leadership (see, e. g., House & Baetz, 1979), individual consideration, and intellectual stimulation. To be a charismatic leader, one must possess certain traits, including self-confidence, self-esteem, and self-determination. Individualized consideration refers to aspects of consultation and participative

decision making. In Bass's model, leaders demonstrate this characteristic by being concerned with the development of their subordinates, by delegating challenging work, by maintaining contact with subordinates, by maintaining informal communication channels, by keeping subordinates informed, and by providing mentoring.

Based on interviews held with 90 top leaders, including corporate executives, elected government officials, orchestra conductors, and college presidents another view of transformational leadership was developed (Bennis & Nanus, 1985). These leaders employed four strategies: (a) attention through vision (having a clear agenda and being oriented toward results); (b) achieving meaning through communication (interpreting reality to enable coordinated action, with the use of metaphors, images, and models as particularly effective in conveying meaning and explanations); (c) gaining trust through positioning (acquired by demonstrating accountability, predictability, reliability, constancy); and (d) gaining recognition or attention through positive self-regard (with the leader emphasizing his or her own strengths and minimizing weaknesses).

From these strategies it is observed that although the initiation is done by the leader, the interpretation, the



understanding , the trust, the attention, and the recognition of the follower is important. Hence, the effect of the follower on the leader and on the expected outcome cannot be minimized.

Intellectual stimulation from the perspective of transformational leadership is seen as the leader's ability to change the way followers perceive, conceptualize, and solve problems. The ability to use images and symbols to project ideas is one way in which leaders provide intellectual stimulation.

#### Implications for the Label and Definition of and Rationales for Participative Leadership

The definitions of the power and influence leadership theories indicate the mutual relationships that can be created between followers and leaders and the basis of their relationships. Their definitions further indicate how a leader, or in the transactional case, how both the leader and a follower influence each other. The implication is that there is an active interaction or participation with each other.

The strategies used by the transformational leaders stated above show that although the initiation is done by the leader, the interpretation, understanding , trust, attention, and recognition of the follower is important. Hence, the effect of the follower on the leader and on the expected results is apparent. Intellectual

stimulation from the perspective of transformational leadership is seen as the leader's ability to change the way followers perceive, conceptualize, and solve problems. The ability to use images and symbols to project ideas is one way in which leaders provide intellectual stimulation.

Bensimon, Neumann, and Birnbaum (1989), generally indicate that transformational leadership creates "performance beyond expectation" and "induces additional effort by sharply increasing subordinate confidence and by elevating the value of outcomes for the subordinate. This is done by expanding the subordinate's level of needs based on Maslow's hierarchy and by focusing on transcendental interests (Bass, 1985). Such leadership is more likely to emerge in times of rapid change and distress and in organizations that have unclear goals and structure, well educated members, and a high level of trust.

They have also realized that an understanding of transformational leadership is unclear because it has been defined from at least two different perspectives. The classic use of transformational leadership, as proposed by Burns (1978), has "powerful moral connotations" (Gardner 1986a, p. 22). As the term gained in popularity, however, it evolved into a code word for

innovative or motivational leadership, and the moral connotation has been lost.

Transactional theory is useful for understanding the interactions between leaders and followers. Over the years, a number of studies have examined followers' effects on the leadership process. For example, a number of studies show that leader activity, specifically the leader's willingness to engage in trying to move the group toward its goals, is dramatically affected by the followers' responses to the attempted influence. Leaders lead more with follower acceptance (Beckhouse, Tanur, Weiler, & Weinstein, 1975).

The idiosyncrasy credit (IC) model (Hollander, 1987), a major transactional approach to leadership is important to understand leaders' influence in academic organizations. This model suggests that followers will accept change and tolerate a leader's behavior that deviates from their expectations more readily if leaders first engage in actions that will demonstrate their expertise and conformity to the group's norms. This model, for example, suggests why new presidents initially may find it beneficial to concentrate on getting to know their institutions' history, culture, and key players before proclaiming changes they plan to introduce (Bensimon, 1987).

The influence of social exchange theory can also be detected in works that downplay the charismatic and directive role of leaders. These studies portray leaders as coordinators of ongoing activities rather than as architects of bold initiatives. This view of leadership as Bensimon, Neumann, and Birnbaum (1989) indicate is related to the anarchical (Cohen & March, 1974), democratic-political (Walker, 1979), atomistic (Kerr & Gade, 1986), and cybernetic (Birnbaum, 1988) models of university leadership. This perspective, in short, suggests that when one examines leadership it is important to give attention to leader and follower characteristics and to the resultant relationship.

#### Evaluate of How Power and Influence Theories

##### Fit into Higher Education Governance

In one study, the concept of social power appeared to be an important influence shaping presidents' implicit theories of leadership (Birnbaum, 1989). Among presidents who were asked what leadership meant to them, a very large number provided definitions describing leadership as a one-way process, with the leader's function depicted as getting others to follow or accept their directives. This view provides very little help specially when one realizes that both faculty and administrators (including presidents) have delegated power.

The most likely sources of power for academic leaders are expert and referent power rather than legitimate, coercive or reward powers. It has been proposed that college presidents can exert influence over their campuses through charismatic power, which has been questionably identified as analogous to referent power (Fisher, 1984). However, as mentioned earlier, practitioners and scholars tend to question the importance given to charismatic traits.

College and university presidents are assumed to accumulate and exert power by controlling access to information, controlling the budgetary process, allocating resources to preferred projects, and assessing major faculty and administrative appointments (Corson, 1960). Those who espouse this theories do not establish close relationship with faculty. On college campuses, however, the presence of other sources of power (the trustees to make policy and the faculty's professional authority) seriously limits the president's discretionary control of organizational activities. For this reason, the social exchange approach is useful for examining the principles of shared governance and consultation and the image of the president as first among equals, which undergird much of the normative values of academic organizations.

Transformational theory perspective suggests that effective leaders create and promote desirable “visions” or images of the institution. Unlike goals, tasks, and agendas, which refer to concrete and instrumental ends to be achieved, vision refers to altered perceptions, attitudes, and commitments. The transforming leader must encourage the college community to accept a vision created by his or her symbolic actions (Green, 1988; Hesburgh, 1979).

Bensimon, Neumann, and Birnbaum (1989) contend that the nature of colleges and universities appears to make the exercise of transformational leadership extremely difficult except under certain conditions. The three conditions are institutional crisis, institutional size, and institutional quality (Birnbaum, 1988). Institutional crisis is likely to encourage transformational leadership because campus members and the external community expect leaders to take strong action. Portrayals of presidents exercising transformational leadership can be found in case study reports of institutions suffering adversity (see, e.g., Cameron & Ulrich, 1986; Chaffee, 1984; Clark, 1970; Riesman & Fuller, 1985).

Transformational leadership is also more likely to emerge in small institutions where leaders can exert a great deal of personal influence through their daily interactions with campus (Rice &

Austin, 1988). These leaders were seen by others as powerful influences in the life of their colleges. Institutions that need to be upgraded to achieve comparability with their peers also provide an opportunity for transformational leadership.

Moreover, when incorporating the transformational concept to higher education and analyze the implication for faculty and the administrators relationship, both faculty and administrators have the potential to influence and be influenced if these strategies are employed. In the higher education context, needless to say, it is not easy to discern who currently is influencing more, the faculty or the administrators, because it is difficult to judge who has the higher value.

As mentioned earlier, college and university presidents can accumulate and exert power by controlling access to information, controlling the budgetary process, allocating resources to preferred projects, and assessing major faculty and administrative appointments (Corson, 1960). Etzioni (1964) asserts that in normative organizations like colleges and universities that rely primarily on symbols rather than coercion or financial remuneration to motivate and coordinate the participants, organizational control is usually exercised by formal leaders rather than by officials or informal leaders. Therefore, the social exchange theory is

particularly useful for examining the principles of shared governance and consultation and the image of the president as first among equals, which undergird much of the normative values of academic organizations.

### Behavioral Theory: Faculty Participative leadership

#### Introducing the Theory

This approach to leadership considers neither leaders' characteristics nor the sources of their power, but rather what leaders actually do (Mintzberg, 1973; Sayles, 1979). The studies carried out at the Ohio State University, starting in 1945, identified two factors which were suggested to be associated with leader behavior: the leader is task (initiating structure) or people (consideration) oriented or both. While the task oriented leaders stress such activities as directing, coordinating, planning, and problem solving, leaders emphasizing consideration behave are friendly, considerate, supportive, consultative, and open. One influential application of this approach is the Managerial Grid, a two-dimensional array with two scaled axes (Blake & Mouton, 1964). The most effective and desirable style of leadership is one with high scores on both scales (9,9) that emphasizes both productivity and people. Although the research approach suggests the need for balancing the two approaches. It is difficult to find the



right combination of the two. A major weakness of the consideration-structure framework is that it simply does not offer explanatory power at an adequate level of generalization.

Early studies analyzed the effects on the group's performance of the leader's behavior associated with different styles of leadership. The concepts of authoritarian, democratic, and laissez-faire leadership (Lippett & White, 1958) differentiated leaders based on whether they were directive or participatory, emphasized accomplishing tasks or individual satisfaction, and encouraged or discouraged interpersonal contact. The authoritarian-democratic dimension of leadership has four types of relationships in organizations, ranging from exploitative autocratic (called System 1), to benevolent autocratic (System 2), consultative (System 3), and democratic (System 4) (Likert, 1967).

The usefulness of these theories to helping define behavior leading to effective leadership, as mentioned earlier is also problematic, at least in part because no agreement exists on categories among the many classification systems that have been proposed. All of them assume that leaders are effective when they engage in those activities that are most important for the specific situation, so that effective and ineffective leadership changes as the situation changes. But research on the relationship of the

leader's behavior to the group's performance or its satisfaction often gives equivocal results (Korman, 1966).

Moreover, subordinates' performance may influence the leader's behavior as much as the reverse (Crowe, Bochner, & Clark, 1972; Greene, 1975, 1979), so that the direction of causality is questionable and the presumed relationship between behavior and effectiveness almost tautological. It is relatively easy to call certain behaviors of leaders "effective" once the desired outcomes are observed but much more difficult to stipulate in advance the behaviors of leaders that will have the desired outcomes.

#### Implications for the Label and Definition of and Rationales for Participative Leadership

The terms, democratic (Lippett & White, 1958), the normative approach of Blake and Mouton (9,9) Management (Blake & Mouton, 1964) and Likert's System 4 (Likert, 1967) are in essence designated for the concept of participative systems. Their respective definitions and applications vary. The rationales for employing these participative systems is to increase the satisfaction and production of workers.

#### How The Theories Fit into the Higher Education Governance

Blake and Mouton (1964) adapted their managerial grid into an academic grid and applied it to higher education. Their model

suggests five styles of academic administration (Blake, Mouton, & Williams, 1981): caretaker, authority-obedience, comfortable-pleasant, constituency-centered, and team. The optimum style is identified as team administration, which is characteristic of leaders who scored high on both concern for institutional performance and concern for people on their grid. Therefore, the term "team" in Behavioral leadership is not necessarily the same as the one in trait leadership theory.

Some limited empirical tests of this theory have been performed. A study of department chairs found that those judged as effective by the faculty scored high both in initiating structure (task) and consideration of people (Knight & Holden, 1985). On the other hand, a case study of a single institution reports that departments with high faculty morale had chairs who scored high on measures of consideration of people and participative leadership style but not in initiating structure (Madron, James, & Raymond, 1976). The academic grid appears to have found its greatest use as a tool for self-assessment. For example, the grid was adapted into a questionnaire to assist department chairs in determining their personal styles of leadership (Tucker, 1981).

Presidents' perceptions of the similarity of their role to other leadership roles were used to describe two types of presidents--

mediative and authoritative, which are roughly comparable to emphasizing consideration of people and initiating structure (task), respectively (Cohen & March, 1974). Mediative presidents tended to define their roles in terms of constituencies. While authoritative presidents appeared to be more directive. Additionally, mediative presidents were more likely to measure their success on the basis of faculty respect, while authoritative presidents were more likely to base it on the quality of educational programs.

Administrative styles based on the self-reported behaviors of presidents were found to be related to faculty and student outcomes in 49 small private liberal arts colleges (Astin & Scherrei, 1980). These findings, however, may be influenced by the size of the institutions. In general, the behavior patterns which leadership theorists have identified are not consistently related to important organizational outcomes such as group productivity and followers satisfaction. Hence, no single style of leadership is universally best across all situations and environments.

### Contingency Theories: Faculty participative leadership

#### Introducing the Theories

From the contingency theories perspective, effective leadership requires adapting one's style of leadership to situational factors. Fiedler (1967) made the assumption that individuals have a

leadership 'style' and that the effectiveness of the leader in a particular situation will be 'contingent' on the match between style, the existing relationship between the leader and the group being led, the nature of the task, and the position power of the leader. After a very extensive series of studies, Fiedler (1967, 1971) determined that leadership style alone was not sufficient to explain leader effectiveness. He developed a model that integrated situational parameters - the degree of certainty, predictability, and control which the leader possessed into the leadership equation.

A number of other contingency-oriented leadership theories have also addressed the relationship of leadership decision-making style to group performance and morale. The "situational leadership theory" for example, relates appropriate behavior of leaders to the maturity of followers (Hersey & Blanchard, 1977). The "path-goal theory", on the other hand, suggests that effective leaders are those who clarify the paths to attaining goals and help subordinates overcome problems, thereby increasing subordinates' satisfaction and productivity (House, 1971). The "model of decision participation" relates the leader's effectiveness to the degree to which subordinates are permitted to participate in making decisions (Vroom & Yetton, 1973).

The Fieldler's contingency model of leadership is the most widely researched and most widely criticized framework for studying leadership (Bass, 1981). However, the contingency theories, as a whole, are considered to be particularly relevant to the understanding of leadership in professional organizations because they allow for the possibility of leadership to emerge from among followers.

#### Implications for the Label and Definition of and Rationales for Participative Leadership

In line to Hersey and Blanchard's situational leadership theory, when subordinates are very mature, the leader is expected to delegate responsibility for deciding how the work is done by subordinates and allow them considerable autonomy. Hence, the terms "delegation" and "autonomy" explain the type of participation expected. While according to Vroom and Yetton (1973) the term "participative, group decides, style" is assumed to represent the concept of participative leadership. In the later case, the style of the leader, in terms of participation, depends on answers to several questions regarding three factors - quality, acceptance, and time. The rationale for participation is to increase satisfaction and performance of the employee.

Evaluate of How The Theories Fit into the  
Governance of Higher Education

The application of contingency theories in the study of leadership in academic departments is quite common, probably because decision making at this level is less equivocal than at higher levels of the academic organization (Bensimon, Neuman, & Birnbaum, 1989). For example, the Vroom Yetton model appears to be better suited to higher education organizations, because it uses multiple criteria to determine participative or autocratic decision making (Floyd, 1985).

An application of the Vroom Yetton model to the study of decision making among department chairs concludes that they frequently chose autocratic styles of decision making in situations where a consultative style would have increased the likelihood of the faculty's acceptance of the decision (Taylor, 1982). An analysis of studies on the behavior of leaders (Dill, 1984) suggests that "when given a choice of leader roles, faculty members consistently preferred the leader as a . . . 'facilitator' or one who smoothed out problems and sought to provide the resources necessary for the research activities of faculty members" (p. 79).

Bensimon, Neumann, and Birnbaum (1989) suggest that Kerr and Jermier's theory of substitutes for hierarchical leadership is

highly relevant for academic organizations. Despite being one of the few contingency theories in which leadership is not seen as residing solely with the official leader, it has received little attention in the study of academic leadership. If leadership in higher education were to be viewed from this perspective, one could conclude that directive leadership may not be effective because characteristics of academic organizations (such as faculty autonomy and a reward structure that is academic discipline and peer-based) substitute for or neutralize the influence of leaders (Birnbbaum, 1989). Because alternatives such as stressing local or reducing self-governance and self-motivation are not in the best interests of the university, it may be more fruitful for administrators to assume the role of facilitator rather than controller.

### Cultural and Symbolic Theories

#### Introducing the Theories

Bensimon, Neumann, and Birnbbaum (1989) compared the previous theories discussed and those that follow. The leadership theories (trait, power and influence, behavioral, and contingency theories) assume that leaders are a central focus of organizational life and exist in a world that is essentially certain, rational, and linear. Organizations are presumed to consist of people, processes, and structures that can be described, analyzed, and made more



efficient and effective through empirical, quantitative research, and rational analyses. Cultural perspectives and symbolic approaches, in contrast, assume that organizational structures and processes are invented, not discovered. Organizations themselves symbolize meaning imposed by human upon an equivocal, fluid, and complex world. The interpretation of facts, descriptions of events, or cause-and-effect relationship is more than their existence. These approaches propose that leadership functions within complex social systems whose participants attempt to find meaningful patterns in the behaviors of others so that they can develop common understandings about the nature of reality. Within this context, it is as important to study how leaders think and process organizational data (Srivastra & Associates, 1983) as it is to look at their behavior.

According to some scholars and analysts leaders can be successful to the extent to which they are able to articulate and influence cultural norms and values. They are expected to influence culture by creating new symbols and myths, developing organizational sagas (Clark, 1972; Martin et al., 1983), and establishing and reinforcing consistent values, and in other ways transforming the culture of the organization (Deal & Kennedy, 1982; Peters & Waterman, 1982; Schein, 1985). This is believed to lead to

increased commitment to the organization, motivation by participants, and organizational excellence.

The way language is used, the way power is distributed and decisions made, and, particularly, symbols, stories, myths, and legends that infuse specific organizations with meaning, all of these depict culture (Deal & Kennedy, 1982; Martin, 1982; Selznick, 1957; Tierney, 1985). Culture can be seen as the “social or normative glue that holds the organization together. . . It expresses the values or social ideals and beliefs that organizational members come to share” (Smircich, 1983, p. 344).

The leader manages culture to suit the strategic ends of the organization. Leadership of this kind can be thought of as “the management of meaning.” Smircich and Morgan (1982) state, people emerge as leaders,

. . . by virtue of the part they play in the definition of the situation. . . their role in framing experience in a way that provides the basis for action, e.g., by mobilizing meaning by articulating and defining what has previously remained implicit or unsaid, by inventing images and meanings that provide a focus for new attention, and by consolidating, confronting, or changing prevailing wisdom. . . [Leadership] involves a complicity or process of negotiation through which certain individuals, implicitly or explicitly, surrender their power to define the nature of the experience to others. (Smircich & Morgan, 1982, p. 258)

Leaders as much as they can influence culture, they can be restricted by it under their discretion. There is no consensus that culture can in fact be managed. However, meaning normally develops through the constant activities and interactions of everyday organizational life. Hence, leaders need to appreciate and operate within the cultural expectations of an organization so that they may not lose their influence and authority.

Leaders may affect the sentiments and commitments of organizational participants, but have little effect over the tangible outcomes of organizational behavior (Birnbaum, 1989a; Lieberman & O'Connor 1972; Pfeffer 1981; Pfeffer & Salancik, 1978). Their instrumental effectiveness is also questioned because of the socialization they pass through and the internal and external constraints they encounter (Cohen & March, 1974; March, 1984; Pfeffer, 1977, 1981). The fact that leaders spend considerable time in ceremonial and symbolic activities may be important because they symbolically signal that the organization is functioning as its sponsors and supporters believe it should. However, these have little objective relationship to organizational goals (Feldman & March, 1981; March, 1984; Meyer & Rowan, 1983).

Implications for the Label and Definition of and  
Rationales for Participative Leadership

Participative leadership from the cultural and symbolic perspective is for leaders and followers to be in a position of having a “shared meaning”. Leaders start to understand their institutional cultures by identifying internal contradictions or incongruities between values and structure, by developing a comparative awareness, by clarifying the identity of the institution, by communicating so as “to say the right things and to say things right,” and by acting on multiple and changing fronts (Chaffee & Tierney, 1988, pp. 189-91). Leaders who understand an organization from cultural perspective design strategies of change that have meaning to institutional members and subsequently elicit acceptance and support from these members.

Cultural and symbolic views of leadership propose that organizational participants develop and recreate shared meanings that influence their perceptions on their activities through a period of interaction. These shared meanings are assumed to define the culture (the dominant values, norms, philosophy, rules, and climate that reflect basic, unquestioned assumptions that organizational participants have of themselves and of their environment) of the organization.

How The Theories Fit into the  
Governance of Higher Education

Conceiving colleges and universities as cultures was originally introduced in a case study of Reed, Swarthmore, and Antioch (Clark, 1970, 1972). This study indicates that leaders may play an important role in creating and maintaining institutional sagas. Since increased specialization, professionalization, and complexity have weakened the values and beliefs that provided institutions with a common sense of purpose, commitment, and order, the role of academic leaders in the preservation of academic culture may be more critical today than in the past (Dill, 1982). Academic leaders may not be able to change culture through management. However, their attention to social integration and symbolic events may help them to sustain and strengthen the culture that already exists (Dill, 1982).

Sometimes effective leaders give symbolic meaning to events depicted by others as perplexing, senseless, or chaotic. They do so by focusing attention on aspects of college life that are both familiar and meaningful to the college community. Cultural and symbolic approaches to studying leadership appear to function on organizations as cultural systems (Chaffee & Tierney, 1988; Kuh & Whitt, 1988).

A study of cultural and symbolic perspectives on leadership indicates that college presidents who are sensitive to the faculty's interpretation of financial stress are more likely to elicit the faculty's support for their own leadership (Neumann & Mortimer, 1985). One of the most important contributions to the understanding of leadership from a cultural perspective is the work on the role of substantive and symbolic actions in successful turn around situations (Chaffee, 1984, 1985a, 1985b).

A study of 32 presidents reveals that they used six categories of symbols--metaphorical, physical, communicative, structural, personification, and ideational--when they talked about their leadership role. Understanding the use of symbolism can help academic leaders to become more consistent by sensitizing them to contradictions between the symbols they use and the behaviors they exhibit on their campuses. Leaders may become more effective by using symbols that are consistent with the institution's culture (Tierney, 1989).

The "techniques of managing meaning and social integration are the undiscussed skills of academic management" (Dill, 1982, p. 304). A recent examination of colleges and universities from a cultural perspective provides administrators with the following insights: (a) senior faculty or other core groups of institutional

leaders provide continuity and maintain a cohesive institutional culture; (b) institutional policies and practices are driven and bound by culture; (c) culture-driven policies and practices may denigrate the integrity and worth of certain groups; (d) institutional culture is difficult to modify intentionally; and (e) organizational size and complexity work against distinctive patterns of values and assumptions (Kuh & Whitt, 1988, p. vi).

Generally, cultural and symbolic perspectives on leadership were first suggested in the early 1970s in Burton Clark's case study of Reed, Swarthmore, and Antioch. It is only recently that this view of leadership attracted serious attention. Cultural and symbolic perspectives are especially useful for understanding the internal dynamics of institutions in financial crisis, particularly in differentiating the strategies leaders use to cope with financial stress and to communicate with constituents. Hence, both faculty and administrators can benefit a lot from understanding and employing these perspectives as they attempt to work together.

### Cognitive Theories: Faculty Participative Leadership

#### Introducing the Theories

Cognitive theories of leadership like symbolic approaches emphasize that leadership comes from the social cognition of organizations (Cohen & March, 1974; McCall & Lombardo, 1978). In

many ways, leadership is a social attribution--an explanation used by observers to help them find meanings in unusual organizational occurrences. "Leaders" may be perceived as causative factors in organizations because of the expectations of followers, because of leaders' salience and prominence, because of the human need to impose order and seek causes for otherwise inexplicable events and outcomes, or because leaders conform to prototypical models of what followers expect leaders to be (Calder, 1977; Cronshaw & Lord, 1987; Green & Mitchell, 1979; Price & Howard, 1981; Weiner, 1986).

Perception and cognition have played a major role in leadership research. Many dependent measures such as leadership behavior ratings, satisfaction, and role ambiguity are judgmental or memory processes. Social psychology has been strongly influenced by attribution theory which is concerned with the cognitive processes which underlie interpersonal judgments. Recently, leadership theorists have begun to apply attribution-theory-based propositions to judgments involved in the process of leadership.

Calder's (1977) attribution theory of leadership states that leadership processes and effects exist primarily as perceptual processes in the minds of followers and observers. In fact, most of the measuring instruments used in leadership research ask the



respondent for perceptions of the leadership process. These perceptions, judgments, and attributions are distorted by the biases which the perceiver brings to the situation. Each individual holds an implicit personal theory of leadership which serves as cognitive filter to determine what the observer will notice, remember, and report about the leadership process. Cognitive processes of selective attention and judgmental bias enable leaders to take credit for successes and attribute them to internal causes like their ability and effort, while they shift the blame for failure, which they ascribe to external causes like luck and difficulty of the task (Bradley, 1978; Salancik & Meindl, 1984).

#### Implications for the Label and Definition of and Rationales for Participative Leadership

Leadership is associated with a set of myths reinforcing organizational constructions of meanings that helps participants to believe in the effectiveness of individual control. These myths influence the perceptions of leaders as well as of followers, so that leaders are likely to have exaggerated beliefs in their own efficacy. For example, the confidence that has been found to be a characteristic of leaders may be more perceptual than instrumental. "Experience does seem to result in a feeling of having more control over the situation and probably increases the individual's confidence

in approaching [the ] task” (Fiedler & Garcia, 1987, p. 41). Ayman and Chemers (1983) note that the structure of leader behavior ratings depends more on the culture of the raters than on the behavior of the leader. They concluded that leader-behavior ratings are more a function of the implicit theories which guide the “eye of the beholder” than they are of what the leader actually does.

Cognitive biases (Kahneman, Slovic, & Tversky, 1982; Nisbett & Ross, 1980) allow followers to “see” evidence of the effects of leadership even when it does not exist. By creating roles in which leadership is expected, followers construct an attribution that organizational effects are the result of the leader’s behavior. Leaders, then, are people believed to have caused events. “Successful leaders . . . are those who can separate themselves from organizational failures and associate themselves with organizational successes” (Pfeffer, 1977, p. 110). Assessments by others of a leader’s effectiveness may be related less to the instrumental behavior of the leader and more to perceptions of followers of the degree to which the leader appears to do leader like things.

In the same vein, Bensimon, Neumann, and Birnbaum (1989) indicate that one of the key features of interpersonal judgments is the strong tendency for an observer to develop causal explanations

for another person's behavior. These explanations often center on the question of whether the behavior was determined by factors internal to the person, such as ability or motivation, or factors external to the person, such as situational forces, role demands, or luck. Studies show that observers have a strong bias to attribute a person's behavior to internal causes may be due to their desire for a sense of certainty and predictability about the person's future behavior.

#### How The Theories Fit into the Governance of Higher Education

As indicated, cognitive theories have significant implications for perceptions of academic leaders' effectiveness. Leaders, in many situations, may not have measurable outcomes except social attribution, or the tendency of campus constituents to assign to a leader the credit or blame for unusual institutional outcomes. From this perspective, leaders are individuals believed by followers to have caused events (Birnbaum, 1989). Leaders themselves, in the absence of clear indicators, are subject to cognitive bias that can lead them to make predictable errors of judgment (Birnbaum, 1987) and to over-estimate their effectiveness in campus improvements (Birnbaum, 1986).

On the one hand, these distortions in the observation of leadership effects are very problematic. The relationships observed

among these measures may reflect the implicit theories held by the follower or the leader themselves rather than accurate reflections of the constructs studied. However, it is also true that perception, judgments, and expectations form the core of interpersonal relationships. As Chemere (1984) indicated, the desire and expectations of a subordinate for some type of leader behavior (for example, consideration) may elicit or compel that behavior. This is important insight specially when one examines the leader/follower perspectives.

### Organizational Theory: Faculty

#### Participative Leadership

When the conceptions of organization vary, theories of leadership vary too because a particular definition of leadership implies a corollary image of the organization within which leadership is exercised (Bensimon, Neumann & Birnbaum 1989). For example, if colleges or universities are considered bureaucracies, we imagine the leaders as employing rational thought in making plans and decisions, as acting on the basis of logic, as getting expected results-or as correcting their action according to information provided through preestablished control systems. When colleges or universities considered collegiums, leaders are engaged in the forging of consensus among multiple constituents or using

interpersonal skills to manage processes of consultation. Leaders also strive to meet people's needs and helps them realize their aspirations. When the institutions considered as political systems, leaders are considered as mediators, negotiating among shifting power blocs and exerting influence through persuasion and diplomacy. Finally, if institutions are considered as symbolic systems, and particularly as organized anarchies (Cohen & March, 1974), leaders make modes of improvements through unobtrusive actions and through manipulation of symbols (Birnbaum, 1988; Bolman & Deal, 1984). From the perspective of the organized anarchy, leaders are constrained by existing organizational structures and processes; thus they are generally capable of making only minute changes in the margins of their organizations (Birnbaum, 1988).

What implications do these perspectives have on participative leadership, in general, and on faculty participative leadership, in particular? What interpretations do we expect from administrators and faculty as they look the concept through these lenses? As reflected in the the theory of leadership, as theories change, it is likely that leader/follower relationship and interaction will change.

This section briefly examines works on leadership, in general, and participative leadership, in particular, in the context of higher

education through the lenses of the organizational frames. The section, (a) introduces the organizational frame, (b) assesses how the frame fits into the higher educational settings, (c) draws the implications for faculty participation, and (d) presents the evaluation of the impact of the frame on higher educational settings.

### The Structural Frame (The University as Bureaucracy)

#### Introducing the Frame

The structural frame looks into organizations as mechanistic hierarchies with clearly established lines of authority. The essence of bureaucratic leadership is making decisions and designing systems of control and coordination that direct the work of others and verify their compliance with directives.

Bureaucracies are ultimately centralized systems. Therefore, the bureaucratic leader has final authority and therefore may be framed as a heroic leader. "Much of the organization's power is held by the hero, and great expectations are raised because people trust him to solve problems and fend off threats from the environment" (Baldrige et al., 1978, p.44). Since bureaucracies create differences in status between individuals higher and lower in the organization and people tend to deal with each other in their official

capacities. Bureaucratic leaders are often seen by subordinates as distant and aloof.

How Does the Bureaucratic Frame Fit into  
the Higher Educational Settings?

The university, in one way, follows a bureaucratic model in that the academic organization makes academic decisions and the administrative organization makes administrative decisions (Corson, 1960; 1975). It is a corporate person by virtue of its state charter. It has a formal hierarchy with established channels of communication and authority, a formal structure of rules, regulations, record keeping, and requirements. Decisions and problems often lie within the domain of a particular office (Baldrige, 1971b). The university's administrative hierarchy, formal division of labor, and clerical apparatus are also part of bureaucratic elements (Blau, 1973). Bureaucracy is evidenced also by the fixed salary scales, academic ranks, the tenure system, and the separation of personal and organizational property.

Baldrige and Kemerer (1977, p. 255) have summarized the following characteristics that are associated with a bureaucratic interpretation of higher education organizational decision making:

(a) higher educational organizations have a formal hierarchy with bylaws and organizational charts which specify organizational

levels and role relationships between members; (b) there are formal lines of communication to be observed; (c) authority relationships, while sometime unclear, nevertheless are present; (d) specific policies and rules govern much of the work of the institution - deadlines to be met, records to be kept, periodic reports to be made, and so on; and (e) decision making often occurs in a relatively routine, formalized manner using decision councils and procedures established by institutional bylaws. The bureaucratic characterization holds true for routine decision processes such as admissions, registration, course scheduling, and graduation procedures. The application of management techniques to financial problems facing colleges and universities helps to systematize decision making in a bureaucratic manner.

#### The Structural Frame and Its Implication for Faculty Participation

How does the bureaucratic image relate to faculty participation in the governance of higher education? The authority and responsibility placed in the faculty, as a body, by tradition, by custom, or by formal bylaw or regulation, as well as, the freedom of speech and of thought accorded the individual member of the faculty have organizational and administrative consequences that are unique to the higher education (Corson, 1960).



As indicated in the previous sections, the organizational machinery through which the individuals who serve on college and university faculties are enabled to participate in institutional governance must be viewed at three levels: departments, college, and the university-wide. In a university, where department may have 30 to 50 or more members, the departmental faculty has a major vehicle for faculty involvement. In these institutions, the departmental faculty will likely have regular meetings, a secretary in addition to a chairman, and bylaws specifying its organization and processes.

The college faculty is the principal mechanism for faculty involvement in governance in the independent college. Where the full-time faculty is relatively small, i.e., from 75 the total membership meets as a body and often engages vigorously in debate. It may also function through a number of committees, sometime entirely too many (10 or more to conserve teachers' time). The larger college faculties have an "executive committee or council" made up of the dean, assistant deans, and department heads. Many college faculties have their organization and processes formally established in published bylaws.

The faculty's right to be consulted and to make decisions on educational questions is generally claimed and usually acknowledged. Yet their influence in governance is repeatedly challenged as institutions grow larger. The demands of administration create central staffs where the president and the deans tend to accumulate authority for decision making. The faculty's influence is further reduced by an apparent indifference and unwillingness (of many faculty members) to devote time to consideration of those questions on which the faculty's advice or decision is sought.

#### Evaluation of Its Impact

Leaders labeled bureaucratic tend to be seen as hierarchical and authoritarian, if not autocratic. They may be seen as having a "muscle view of administration" (Walker, 1979, p. 5). A study of 40 small liberal arts colleges reports that presidents who were classified as bureaucratic received negative judgments from campus constituents, both in terms of their human relations skills and administrative skills. Faculty and their fellow administrators perceived them as remote, ineffective, and inefficient. Although bureaucratic leaders would appear to emphasize efficiency, students on their campuses were found to be dissatisfied with basic services, such as registration processes, financial aid, and the

quality of housing. Additionally, the administrative teams of bureaucratic presidents, rather than displaying alternative complementary styles (e.g., collegial), were found to function in a hierarchical fashion, both in the way they communicated and interacted with the president and with their own subordinates (Astin & Scherrei, 1980).

A study of the relative influence of administrators and faculty on colleges and universities reveals a high level of bureaucratic control in private, less selective, liberal arts colleges and in community colleges. In these institutions, faculty senates were nonexistent or were dominated by administrators (Baldrige et al., 1978). Bureaucratic leadership has been associated with administrative dominance over decision making (Baldrige et al., 1978; Bensimon, 1984; Reyes & Twombly 1987; Richardson, 1975; Richardson & Rhodes, 1983). The findings reported in a recent study of community college presidents show that presidents gave greater importance to attributes associated with the heroic image of bureaucratic leadership, such as integrity, good judgment, and courage, than to attributes associated with the symbolic frame, such as tolerance for ambiguity and curiosity. Rational skills, such as producing results and defining problems and solutions, were rated higher in importance than collegial skills, such as motivating

others, developing collegial relations with faculty, and being a team member (Vaughan, 1986).

In brief, when colleges and universities are seen as a bureaucracy, the emphasis is on the leaders' role in making decisions, getting results, and establishing systems of management. Besides the complexity role differentiation, the image does not facilitate participation. The most it can offer is consultation under the discretion of the leader.

Baldrige and Kemerer especially, have argued that, in many ways, the bureaucratic paradigm falls short of explaining university governance, especially as it concerns decision making processes. While the model discusses much about authority that is legitimate (formalized power), it neglects the informal power based on threats, mass movements, expertise, and appeals to emotion and sentiment. It rejects the political issues, such as the struggles of groups within the university who want to force policy decisions in favor of their special interests. It explains much about the formal structure but little about the dynamic processes of the institution in action. The model deals with the formal structure at one particular time but does not explain changes over time. The model does not thoroughly explore the crucial tasks of policy formulation. It explains how policies may be carried out after they are set, but it

overlooks the process by which policy is established. To this end, other authorities have suggested the collegium (the human resource frame) as another image that may describe the higher educational institution governance.

### The University as Collegium (The Human Resource Frame)

#### Introducing the Frame

The “collegium” or “community of scholars” is another frame advanced to describe decision making and governance within higher education (Millett, 1962; Parsons & Platt, 1968). Proponents of this frame contend that the institution of higher education is best depicted by considering it (or at least the faculty of the institution) as a collegium, a community of equals, or a community of scholars (Goodman, 1962; Millett, 1962).

Since members of a collegial body are presumed to be equals, their leaders are not appointed. They are selected by their peers for limited terms and are considered “first among equals” as they serve the interests of the group members. Rather than issue orders, they try to mold consensus and to create the conditions under which the group will discipline itself by appealing to the group’s norms and values. Leaders are more servants of the group than masters, and they are expected to listen, to persuade, to leave themselves open to influence, and to share the burden of decision making.

While decision making in the collegium may be understood as a rational process similar to that discussed under the bureaucracy, leaders place emphasis on the processes involved in defining priorities, problems, goals, and tasks to which institutional energies and resources will be devoted. Within this perspective, leaders are viewed as less concerned with hierarchical relationships. They believe that the organization's core is not its leadership so much as its membership. The job of leaders is to promote consensus within the community, especially between administrators and faculty.

Characteristics seen as essential for the collegial leader are being modest, perceiving the unspoken needs of individuals and goals of groups, placing institutional interests ahead of one's own, being able to listen, facilitating rather than commanding group processes, and influencing rather than dominating through persuasion. Leaders gain acceptance, respect, attention, and trust of campus constituents and colleagues by demonstrating professional expertise and interpersonal skills (Baldrige et al., 1977).

Under the human resource or collegial paradigm, effective leaders are those who view themselves as working with respected colleagues. They see talent and expertise diffused throughout the organization and not lodged solely in hierarchical leadership. They

believe that it is the responsibility of leaders to discover and elicit such expertise for the good of the community. The leader's job is not to control or to direct but to facilitate and encourage.

Leaders in collegial settings should follow certain rules if they wish to retain their effectiveness. To be effective, they are obliged to live up to the norms of the group, conform to group expectations of leadership, use established channels of communication, give only orders that will be obeyed, listen, reduce status differences, and encourage self-control.

Generally, when studying the organization and management of colleges and universities as a collegial system there is an emphasis on consensus, shared power, common commitments and aspirations, and leadership that emphasizes consultation and collective responsibilities as important factors. It is a community in which status differences are deemphasized and people interact as equals, making it possible to consider the college or university as a community of colleagues--in other words, as a collegium.

Collegium members interact and influence each other through a network of continuous personal exchanges based on social attraction, value consensus, and reciprocity. People who interact with each other in groups tend to like each other (Homans, 1950, 1961). As interaction increases, so does liking. Obviously, spending

more time with people who share the same values reinforces those values. As people in a group interact, share activities, and develop common values, the group develops norms-expectations about what people are supposed to do in given situations.

Collegiality, seen as a community of individuals with shared interests, can probably be maintained only where regular face-to-face contact provides the necessary coordinating mechanisms and where programs and traditions are integrated enough to permit the development of a coherent culture. Size is probably thus a necessary, but not sufficient, condition of a colluim, and this limits the passability of the development of collegiality on an institutional level to relatively small campuses.

#### How the Collegial Frame Fits into the Higher Educational Settings

The ideal academic community from the point of view of faculty is a college or university in which the three interrelated values--pursuit of learning, academic freedom, and collegiality are strongly held and defended. The three basic values of faculty are believed to come from long academic tradition and tend to be conveyed through socialization in the universities for centuries.

The term "collegiality" in reference to university context has many meanings (Bowen & Schuster, 1986) It can refer to the quality of relations among colleagues within an academic



department or among faculty members in different academic departments or at a complex campus across schools or colleges within a university. The term also can be ascribed to the relationship between the faculty and the administration. Sanders (1973) also identifies collegiality as “marked by a sense of mutual respect for the opinions of others, by agreement about the canons of good scholarship, and by a willingness to be judged by one's peers” (p. 65).

The higher education literature of “collegium” or “community of scholars” seem to have at least three different strands running through it (Bowen & Schuster, 1986): (a) the right to participate in institutional affairs; (b) the membership in a congenial and sympathetic company of scholars in which friendships, good conversation, and mutual aid can flourish; and (c) the equal worth of knowledge in various fields that precludes preferential treatment of faculty in different disciplines. Baldrige, Curtis, Ecker, and Riley (1978) have critically elaborated these three strands.

The first strand refers to the description of collegial decision making and approach (participation in institutional affairs) and argues that academic decision making should not be like the hierarchical process in a bureaucracy but instead have full participation of the academic community, especially the faculty.

The community of scholars would administer its own affairs, and bureaucratic officials would have little influence (Goodman, 1962).

John Millett, one of the foremost proponents of this model, has succinctly stated his view as follows:

I do not believe that the concept of hierarchy is a realistic representation of the interpersonal relationships which exist within a college or university. Nor do I believe that a structure of hierarchy is a desirable prescription for the organization of a college or university.....I would argue that there is another concept of organization just as valuable as a tool of analysis and even more useful as a generalized observation of group and interpersonal behavior. This is the concept of community . . . The concept of community presupposes an organization in which functions are differentiated and in which specialization must be brought together, or coordination, if you will, is achieved not through a structure of superordination and subordination of persons and groups but through a dynamic of consensus. (Millett, 1962, pp. 234-235)

The second strand refers to the discussion of the faculty's professional authority and draws its argument from Talcott Parsons' (1947) claim of the difference that exist between "official competence," derived from one's office in a bureaucracy, and "technical competence," derived from one's ability to perform a given task. Parsons concentrated on the technical competence of the physician, but others have extended this logic to other professionals (scientist in industry, the military adviser, the expert

in government, and the professor in the university) whose authority is based on what they know and can do, rather than on their official position.

The literature on professionalism strongly supports the argument for collegial organization. It emphasizes the professionals' ability to make their own decisions and their need for freedom from organizational restraints. Consequently, the collegium is seen as the most reasonable method of organizing the university. Parsons (1947), for example, notes that when professionals are organized in a bureaucracy, "there are strong tendencies for them to develop a different sort of structure from the characteristic of the administrative hierarchy--bureaucracy. Instead of a rigid hierarchy of status and authority, there tends to be what is roughly, in formal status, a company of equals" (p. 60).

The third strand in the collegial image is the utopian prescription for operating the educational system. In recent years there has been a growing discontent with the alienation that students are facing or the impersonal treatment of people to each other in contemporary organizations and society at large. The multiversity, with its thousands of students and its huge bureaucracy, is a case in point. The discontent and anxiety this

alienation has produced are aptly expressed by students in many ways.

As an alternative to this impersonal, bureaucratized educational system, many critics are calling for a return to the “academic community.” In their conception such a community would offer personal attention, humane education, and “relevant confrontation with life. Goodman’s The Community of Scholars (1962) still appeals to many who seek to reform the university. Goodman cites the need for more personal interaction between faculty and students, for more relevant courses, and for educational innovations to bring the student into existential dialogue with the subject matter of the student’s discipline.

Birnbaum (1991) has examined and presented characteristics of the collegial frame as exercised by faculty and administration working together as community of scholars that describe the frame clearly (Millett, 1962). According to Anderson (1963), all kinds of collegial groups share to some degree the same types of characteristics. Members of collegial groups usually have some special trainings or qualifications that set them apart from others. Interaction among them is informal in nature.

The college is egalitarian and democratic. Members of the administration and faculty consider each other as equals and as all

of whom have the right and opportunity for discussion and influence as issues evolve. The hierarchical structure and rational administrative procedures seen at many institutions, which emphasize precision and efficiency in decision making, are absent at the collegial institutions. Instead, because all members have equal standing, there is an emphasis on thoroughness and deliberation. Decisions are made by consensus, and not by fiat, so everyone must have an opportunity to speak and to consider carefully the views of colleagues. Certainly, some members are more influential and persuasive than others, but from the personal characteristics of members, rather than from their official or legal status.

When the faculty members at a college attempt to reach consensus, they allow sufficient time in their deliberation to make it possible for participants to state their reservations or opposition and to feel that they have been heard and understood. If they do not have this opportunity, it is believed that frustrated critics may later withdraw their support at crucial times or engage in other disruptive activities.

Sustaining a sense of community that permits collegial organization requires shared sentiments and values on such matters as the general purposes of the organization, loyalty to the collectivity, and agreement about institutional character as

reflected in the shared understanding of members, rather than necessarily by a written document, and this is evident at the college. Problems related to dualism of control or differences in values between trustees, faculty, and administrators that cause conflict on many other campuses are generally absent there. There is a general agreement on the expected and accepted relationships among and between the groups. Faculty are predominantly locals who are loyal to the institution; they derive their greatest satisfactions and rewards from their activities within the college, rather than from groups outside it.

#### Implication for Faculty Participation

In a collegium, differences in status are deemphasized, people interact as equals in a system that stresses consensus, shared power and participation in governance, and common commitments and aspirations. Behavior is controlled primarily through the group's norms (Homans, 1950, 1961) and through acceptance of professional rather than legal authority (Etzioni, 1964).

Collegiality as a many-faceted concept includes faculty participation through committees and senates, in the affairs of the institution especially in educational matters such as admission of students, curricula, degree requirements, and faculty appointments and promotions. Faculty members also believe that they should be

informed, at least, if not consulted, on other matters of departmental or institutional significance including campus building plans, finances, appointments of presidents and deans, and the like.

The collegial model views decision making as a process of deliberation by academic professionals. It presumes that: (a) there is a consensus within the professional academic community as to the purposes and goals of higher education and the role of the faculty; (b) academic professionals should be the key participants in governance because they alone have the expert knowledge required; and (c) administrators and faculty have a commonality of interests that transcends their role differences.

Collegiality refers also to membership of faculty person in a congenial and sympathetic company of scholars in which friendships, good conversation, and mutual support can flourish. Collegiality contains in addition the ideal that knowledge within any one field is worth as much as knowledge in any other field, and no faculty member should receive preferment over any other simply on the basis of academic field.

Any collegial group has an administration to provide support services and to represent the college's interests to its various publics, but the administration is understood to be subordinate to the collegium and carries out the collegium's will. Administrators

are often members of the faculty who agree to serve for a limited time and then return to their classroom responsibilities.

Administrators therefore tend to be amateurs, rather than professionals.

Faculty in collegium tend to think of the president as having been elected, since the person was recommended to the college trustees by a unanimous faculty search committee. The faculty colleagues expect that the president will make decisions about ordinary problems as arise. However, faculty member also view the president as their agent rather than as independent individual. They concede that the president has some extraordinary power not available to other members (and in fact they understand that it is important to them that these differences exist), but they see the president not as a "boss" but rather as serving as *primus inter pares*, or "first among equals." In that capacity, the president is thought of as the group's servant as well as its master. At larger and more highly structured institutions, the faculty may refer to the president, vice-president as administrators.

From the collegium perspective, presidents are viewed as the center of influence (Kerr & Gade, 1986) and as responsible for defining and articulating the common good (Millett, 1974). While the skills seen as important for a bureaucratic leader connote



attributes related to getting results, leaders in collegial systems rise to power because others see them as exemplifying the group's aspirations and accomplishments to a high degree (Homans, 1950).

The president and the other members of the collegial body are constantly engaged in processes of social exchange (Blau, 1964). The satisfactory exchange of these benefits leads to mutual feelings of obligation, gratitude, and trust. Persons in leadership positions in collegial systems are expected to influence without coercion, to direct without sanctions, and to control without inducing alienation. They must provide benefits that other participants view as a fair exchange for yielding some degree of their autonomy. Their selection as leaders provides them significant leverage to influence their communities, their new status has been legitimate by the participation of their constituencies, and these constituents have certified, at least initially, both their competence and their commitment to group values.

#### Evaluations of Its Impact

An extensive review of the literature on faculty participation in decision making observes that the literature on the collegial model includes discussions of the responsibility of the collective faculty assume a leadership role on campus. However, limited attention has been given to the roles of individual faculty leaders at

the policy making level (Floyd 1985). Based on the available literature, collegial leadership tends to be associated with positive campus outcomes. For example, a case study of 10 small independent colleges attributes high faculty morale and satisfaction in part to leaders who were aggressively participatory, empowering, willing to share information, and willing to promote a strong role for faculty leadership (Rice & Austin, 1988). Presidents and faculty members, however, do not agree on the proper role of faculty leadership in community and state colleges as compared to in universities and independent colleges. According Baldrige and associates, these findings lend support to the declaration that collegial governance has died, except perhaps in elite liberal arts colleges (Baldrige et al., 1978).

Anderson (1983) compared conditions in higher education in the late 1960s with those in 1980 and detected a significant decline in collgiality. The author states,

High levels of democratic governance were especially noticeable in the most effectively managed institutions and were generally absent in the least effective institutions . . . for an institution to be successful, the faculty must be creative, energetic, and dedicated to their institution. Sustaining these qualities for a prolonged period of time is a monumental task and cannot be achieved through bureaucratic management . . . The level of institutional financial support and faculty salaries appear to have less effect on faculty morale than the meaningful participation of faculty in governance.

Regardless of financial pressures, college and university leaders should maintain their commitment to collegial governance traditions. (p. 6)

In the same vein, Austin and Gamson (1984), referring to the rising incongruity between the bureaucratic structure of academic administration and the collegial structure of faculties, observed:

The collegial structure has become so fractured in many institutions that it can do nothing more than provide the backdrop for departmental competition over scarce resources. One result is that decisions normally reserved for the collegial structure are made in the bureaucratic structure. This shift in power away from faculty toward administration is probably the most important change in higher education that has occurred in recent years. It may move the culture of colleges and universities away from normative to more utilitarian values. (pp. 3, 18)

As mentioned above, under present conditions, faculty members perceive that their role in academic decision making has declined. This change, which has occurred gradually over many years, is in some cases a source of resigned disappointment, in others a cause of serious faculty discontent, and all a source of poor morale. All of these changes have tended to make academic life more bureaucratic and more rigid. As Clar, Boyer, and Corcoran (1985) suggest:

. . . higher education seems to undergo a gradual paradigmatic shift, termed variously from faculty hegemony to student

consumerism and from education community to economic industry. (p. 23)

The apparent erosion in faculty participation many authors ascribe (Austin & Gamson, 1984; Floyd, 1985), in part at least, to the important changes in the governance of institutions stemming primarily from the increasing size of institutions individually and the increasing scope of the entire higher educational establishment.

Starting at the top, the control of higher education has been greatly centralized through the increasing role of the federal government, the establishment of state legislative committees on higher education, the creation of statewide coordinating bodies, and the formation of central offices of multi campus institutions. Much decision-making has been lifted out of the institutions and shifted to higher layers of authority, a process accelerated by faculty collective bargaining.

To some extent, because of increasing size and complexity, centralization has also occurred within the individual colleges and universities. This has been especially true as the institutions have become larger and as difficult times have developed. Matters once handled internally, which faculties could be consulted in their unhurried and sometimes cumbersome manner, have tended to gravitate toward the central administrations where they could

receive decisive and prompt action. The importation of the marketing and management mentality into academic administration has probably contributed to the declining influence of faculty in policymaking. This mentality has been an outcome of difficulty times and it may be that the survival of many institutions can be attributed to management. There is a clear need, however, for a reconciliation of the values of management and the values of faculty participation in academic policy-making. Indeed, the new popular literature on management in non-academic enterprises emphasizes broad participation of employees in decisions affecting them.

Internally, while many presidents consider themselves to operate in a collegial mode, campus constituents do not always see them that way (Bensimon, 1988). To be an effective collegial leader may require considerable attention to communication processes. From the comparative descriptions of authoritarian and democratic leaders (Powers & Powers, 1983), it can be inferred that effective collegial leaders gain authority by demonstrating the ability to orchestrate consultation rather than relying on authoritarian tactics. Collegial leaders do not act alone; they use processes and structures to involve those who will be affected by the decision made.

The collegial approaches have been conceptually challenged by many critics. Some blame the absence of strong leadership on the myths of the collegium, maintaining that dual leadership does not work (Keller, 1983). Studies of public institutions also suggest that a purely collegial approach is not likely to be effective in the majority of these institutions, as it ignores the conflict and adversarial relations that may be characteristic of unionized institutions and fails to take into account the influence of external authorities in institutional affairs (Mortimer & McConnell, 1978).

Some critics (Bensimon, 1988) contend that, the collegial model does not completely describe the college. The model ignores the fact that there are differences in legal authority between various participants that are spelled out in the college's charter and in civil law; it overlooks the importance of some standard procedures that have codified and no longer appear under the control of any individual or group; and it assumes general agreement on values when in fact many matters are the subject of great contention.

Still other critics (Baldrige, 1977) suggest that faculty and administration consist of two distinct cultures, making a process of developing consensus based on shared values unlikely. Furthermore, invoking the best interests of the institution as the evaluative

criterion guiding decision making gives the process a sense of rationality, even though it is based on a standard that is undefinable. From this perspective, collegial approaches, such as consultation, can be thought of as myths to make decision making appear rational rather than political (Lunsford, 1970).

Baldrige (1971a) contends that there are obvious cracks in the collegial armor. The experience of the late sixties demonstrated that all members of the academic profession do not hold similar views about the purposes and goals of higher education. As one observer has commented “. . . the modern university is most emphatically not a cloistered retreat for like minded scholars” (Leslie, 1975, p. 709). In 1972, the president of the AAUP called attention to three growing threats to the collegial view of the academy (Kadish, 1972, p. 122):

1. Claims of the professor as an employee, which led to an adversary relationship with the institution;
2. Claims on behalf of direct social involvement by the university and its faculty, which split and embittered many faculties;
3. Claims for the application of democratic political precepts in decision making within the university, which undercut the professor's elitist claim to authority based on expertise.

Economic pressures and a trend toward egalitarianism in organizational membership have continued to fuel these threats.

The growth of faculty collective bargaining across the spectrum of American higher education is testimony to a lack of faith by many faculty members in the ability of existing collegial governance mechanisms to satisfy their needs, especially their economic needs in an increasingly economy-minded environment.

Perhaps of equal significance in contributing to the breakdown of the collegial model is the growing apathy of academicians toward participation in governance, an apathy reinforced by the increasing complexity of campus management. Baldrige and his associates argued that the collegial model is a value-laden conception of organizational functioning in higher education and seems less descriptive of what actually happens than of what many people believe should happen. The political frame is another image that is considered to portray the decision making and governance of higher education institutions.

### The University as Political System (The Political Frame)

#### Introducing the Frame

The political frame views organizations as formal and informal groups struggling for power to control institutional processes and outcomes. The frame assumes that formal authority, as prescribed by the bureaucratic system, is severely limited by the political pressure exerted by groups. Officials are not free to issue



a decision, but must maneuver between interest groups, building lines of communication between powerful blocs. Hence, decisions are not simple bureaucratic orders but negotiated compromises between competing groups. Since no group is strong enough to impose its will on all involved, they form coalitions with other groups that have some commonality in their goals and that will work together to achieve them (Bacharach & Lawler, 1980).

Policy formation is a focus in all stages of the political model because policy commits an organization to determine its long-range destiny and to set its definite goals and strategies for reaching those goals. Some of the basic assumptions regarding political processes in organizations are:

1. Even if policy making may be a political process, everyone does not get involved because the majority of people most of the time find establishing policy an uninteresting, unrewarding activity; hence, policy making is usually left to administrators;

2. There is a fluid participation because people who are active move in and out of the decision-making process, not spending much time on any given issues, and usually, major decisions are made by those small elite political groups who persist;

3. In dynamic social systems, conflict does not indicate the breakdown in a community but is natural, expected, and vital to

promoting healthy organizational. The conflict increases as resources become scarce;

4. Formal authority, as prescribed by the bureaucratic system, is severely limited by the political pressure and bargaining power of interest groups; and

5. The decision making process does not occur in a vacuum because external interest groups exercise much influence over it.

While coordination in the collegial and the bureaucratic systems is done through the development of stable vertical or horizontal interactions, in the political system the focus of coordination is through conflict. Organizational politics involves acquiring, developing, and using power to obtain preferred outcomes in situations in which groups disagree (Pfeffer, 1981). There are at least two important processes through which groups create and develop their positions--the formation of coalitions and the process of negotiations.

Politics is the pursuit and exercise of power to achieve desired objectives. Therefore, the purpose of forming coalitions is to join with other individuals or groups in order to achieve a level of power and influence that cannot be achieved by acting alone. Coalitions can preserve or change ongoing balances of power. The formation of coalition can be extended throughout entire

organizations by linking triads together. Although the bureaucratic model suggests that the power of higher-level officers will always prevail over lower-level ones (and therefore that no coalitions are necessary), a political system makes it possible for lower-level participants to form coalitions that can be stronger than their superiors.

Coalitions are possible only through negotiation processes. Prior to their decisions to join forces with others, parties must try to assess their own power, the power of potential coalition partners, the degree to which the interests of the parties coincide, and the potential costs and benefits of forming alliances. Negotiation processes are often carried on by identifiable people who assume roles connecting the boundaries between institutional subsystems. They interact with each other as representatives of a group rather than as individuals. Negotiators in these boundary-bridging roles must engage in two sequential and continuing processes. In one process, they have to negotiate with representatives of the other group to discover the most advantageous outcomes and compromises that can be achieved. In the other process, they have to negotiate with the members of their own group in order to understand their desires, clarify their

willingness to accept potential outcomes, and help the members to adjust their aspirations as the political process unfolds.

Parties in political processes have different priorities. As they interact through negotiations, compromises, and coalition formation, their original objectives change. Since the groups with which they interact are also modifying their positions, the social environment in which they are functioning changes more quickly than they can respond to it. It is impossible to predict which of the numerous alternative outcomes will in fact take place. The actual outcome is likely to be the resultant by-product of many forces and may be neither intended nor preferred by any of the participants (Steninbruner, 1974). Political outcomes are difficult to predict because they may depend greatly on the forums in which they discussed and the timing with which alternatives are considered.

#### How the Political Frame Fits into the Higher Educational Settings

Colleges and universities governance and decision making can also be seen as political system in which interest groups struggle over the development of policies and resource allocations in an effort to influence organizational outcomes (Baldrige, 1971; Birnbaum, 1989). Drawing upon a study of New York University and its difficulties in matching income with expenditures, Baldrige (1971) ascribed the political frame to describe better the

governance and decision making of the university and college as compared to the collegial and bureaucratic systems. For Birnbaum (1989) to consider the university as a political system is to focus attention on uncertainty, dissension, and conflict.

According to the political perspective, colleges and universities are split into interest groups that usually exist in a state of armed coexistence with varying goals and values. Faculty members, administrators, and other constituents are interest groups, each with a distinct point of view about what the university should do and each seeking to impose that point of view upon all other groups. Therefore, the problems caused by the dualism of controls are manifested and constant conflicts between administrative and professional authority incur. Even within the broad categories of faculty members and administrators it is possible that there are many subdivisions of interest that are not always consistent with those of others with similar status in the organization. Faculty in different disciplines and departments are as much divided by their professionalism as united by it (Clark, 1963). Academics are highly ideological, and the ideologies of different academic departments, and therefore, the preferences they might have in institutional decision making are quite disparate (Ladd & Lipset, 1975). Hence one cannot refer to the battles as

merely between the administration and others or the faculty and others.

Faculty members and administrators together with the other groups normally live in coexistence. When resources are plentiful, these groups engage in minimal conflict. However, when resources are tight, these groups mobilize and outside pressure groups attack or internal groups try to take over the decision processes. When resources are plentiful and everyone gets what they want, these ambiguities and disagreements cause no problems. But when resources are scarce, their specific allocation becomes vigorously contested and conflict is inevitable. In this situation, choices have to be made not between good and bad things but rather between competing goods.

People in the institution differ about which objective is most important, and even those who agree on the objective often disagree on how it can be achieved. In a collegial system decisions can be made by consensus. In a bureaucratic system decisions can be made by fiat. But in the institution where the interests of various groups are too diverse to achieve consensus, and the socialization and expectations of the various participants make authoritarian decrees unacceptable and therefore unenforceable, decisions can be made only through political processes.

Resources are no longer under the sole control of a small group of administrators, decision making is diffused and decentralized, and the organization is too complex to control activities through bureaucratic systems. As centralized authority weakened, consensus for preferred goals diminished. The institution is fragmented into special interest groups, each competing for influence and resources. The conflicts of interest create a struggle for power, and the outcomes of this power confrontation are necessary sets of compromises and adjustment that permit all groups to continue to function with some degree of effectiveness. This struggle for power and this set of compromises portray a political process. The influence of any group is limited by the interests and activities of other groups; in order to obtain desired outcomes, groups have to join with other groups, to compromise their positions, and to bargain.

Power determines the political processes. Power at the university is diffused rather than concentrated. Many individuals and groups have power of different kinds in different situations. Legal delegation is not the sole source of authority. Many groups are able to exercise power in different ways. Administrators have power through their access to budget and personnel procedures, to sources of information, and to internal and external legal authority;

faculty and other professionals have power related to their specialized expertise, to tradition, and to external guilds (Baldrige, 1971; Clark, 1983). Clerical and blue-collar groups may invoke the power of their unions in order to influence policies. It is also possible for groups to obtain power through informal contacts and through appeals based on moral or ethical principles, such as equity. These groups and subgroups attempt to exert influence so that their preferences are reflected in the policy and the allocation of institutional resources such as money prestige, or influence.

Some groups are stronger than others and have more power, but no group is strong enough to dominate all the others all the time. Those who desire certain outcomes must spend time building positions that are supported by other groups as well. This requires the development of coalitions among various groups. Tradeoffs and compromises are often among the costs that must be paid.

To consider a college or university as a political system is to consider it as a super coalition of sub coalitions with diverse interests, preferences, and goals (Cyert & March, 1963). Each of the sub coalitions is composed of interest groups that see at least some commonality in their goals and work together to attempt to achieve them (Bacharach & Lawler, 1980). Membership, participation, and



interests constantly change with emerging issues in a political systems.

Individuals or groups with different interests can interact by forming coalitions, bargaining, compromising, and reaching agreements that they believe to be to their advantage. Social processes lead the faculty and administration to enjoy each other, interact with each other, engage in common activities, and in doing so share and sustain important values. This process is possible because of the relative size of the group.

Decisions in political system are made through political processes--coalition building, bargaining, and influencing. The assumptions in a political process of academic decision making can be summarized as follows. First, powerful political forces-interest groups, bureaucratic officials, influential individuals, organizational subunits push a particular problem to the front and force the political community to consider the problem. Second, there is a struggle over where the decision is to be made, because this can determine the outcome. Third, decisions are often performed by the time one person or group is awarded the decision-making right, causing options and choices to be limited. Fourth, political struggles are more likely to occur over critical decisions than routine decisions. Fifth, a complex decision network is

developed to gather the necessary information and supply the critical expertise. Sixth, during the decision-making process, political controversy is likely to continue--compromises, deals, and plain head-cracking are often necessary to get any decision made. Finally, the controversy often continues so that it is difficult to know when a decision is made, because the political processes appear to unmake and confuse agreements. In the political arena of the university, loose coupling between what is said and what is done is the rule rather than the exception. Hence, the political model may be especially considered as descriptive of decision processes within a loosely coordinated, fragmented academic institution.

#### Implication for Participative Leadership

Faculty and administrators attempt to influence policy decisions in order to see that their values are implemented in and through the organization. When leadership in higher education is viewed through the political frame, leaders are considered mediators or negotiators between shifting power blocs and as policy makers presiding over a cabinet form of administration. The leader's power is based on the control of information and manipulation of expertise rather than on official position within a hierarchical structure, as in the case of the structural frame, or the respect of

colleagues based on professional expertise, as in the case of the human resource frame.

Under the political paradigm, effective leadership is seen as catalytic (Whetten, 1984). Catalytic leaders concentrate on building support from constituents, on establishing jointly supported objectives, and on fostering respect among all interest groups. They rely on diplomacy and persuasion; they are willing to compromise on means but unwilling to compromise on ends (Birnbaum, 1988).

There are tactics recommended to academic leaders who wish to be politically effective. These tactics include giving constituents advance notice of actions they plan to take, being sensitive to timing announcements with the mood of the campus, keeping members of the cabinet informed and enlisting their support, and personally soliciting the support of constituents (Kellerman, 1987; Richardson, Blocker, & Bender, 1972). During financial crises, a style of leadership that combines political insight (involving important campus constituencies) and rational management processes (gaining good information) will be more beneficial than resorting to a bureaucratic crisis-centered style of management (McCorkle & Archibald, 1982). Scholars disagree, however, about the benefits of consultative processes during crises (Hammond, 1981).

Since organizations consist of different groups with legitimate interests, political leaders try to find solutions to problems in a manner considered acceptable by various constituencies. Because these systems are too complex and fractionated to be coordinated either through their structure or through appeals to common norms, leaders influence outcomes by analyzing the preferences of different groups and designing alternatives that can find common groups between them (Lindblom, 1968) and by developing compromises that facilitate the formation of coalitions that support the leaders' interests. Under the political frame, leaders assist the organization to manage its own affairs, assist in the process by which issues are deliberated and judgments are made, and then take actions to implement decisions (Tucker, 1981).

Walker's (1979) highly personalized observations about presidential leadership demonstrate a complex understanding of organizations from an open-systems perspective that incorporates both political and symbolic elements of university organization. In the democratic political model of leadership, presidents are problem solvers rather than bureaucratic decision makers. The difference is that decision makers see themselves as single-handedly making tough choices, whereas problem solvers see

themselves as presiding over a process that involves negotiating, interpreting, and compromising with many powerful individuals over many potentially good solutions. The problem-solving style requires that leaders be open and communicative so that all parties have access to the same information. They first consult the people closest to the problem, and then they avoid committing themselves irrevocably or too early to a preferred solution that may undermine the emergence of more plausible options. Leaders who adhere to this style should also be sensitive to giving and sharing credit with others, valuing patience, perseverance, criticism, and fairness.

The political leader gives high priority to the informal learning about the concerns and attitudes of the many institutional constituents and low priority to data and analytical reports (Dill, 1984). The leader knows that leadership depends in good measure on presence and timing. Influence is exerted by people who are present when compromises are being effected and coalitions are being negotiated.

The leader sees the campus as a democratic community whose leadership depend on the consent of the governed (Walker, 1979). Persuasion and diplomacy are the leaders most reliable administrative tools. Conflict and disagreement are considered as normal rather than as an indication of organizational pathology. The

leader recognizes that others may have different views in good faith. The leader does not attack opposing opinions but uses them creatively recognizing that others can have different views in good faith. There are many ways that objectives (for example, excellence or access) can be achieved, and not to become irrevocably committed to any single proposal or program. The leader is willing to compromise on means but unwilling to compromise on ends.

Since political systems have many sources of power (those groups that attempt to exercise influence) and leadership in the institution of necessity must be referred to in the plural rather than the singular. Representatives of each of the various coalitions and subgroups are all leaders in the sense of representing or altering the interests of their constituencies, entering into negotiations with other representatives, and seeking outcomes acceptable both to their constituencies and to their coalition partners. Of course, not all groups and therefore not all representatives, have equal power. The central power figure is the one who can manage the coalition (Thompson, 1967).

The major leadership role is to assist the community manage its own affairs, to assist in the process by which issues are deliberated and judgments reached, and to take the actions necessary to implement decisions (Tucker, 1981). Leaders are,

therefore meant to serve. Since a college or university consists of different groups with legitimate interests, the leaders try to find solutions to problems in a manner that constituencies find acceptable (Walker, 1979).

In addition to providing what might be thought of as mediated progress, the leaders perform many other important services that are often not given appropriate recognition by the constituent community. Two of these services are the design of programs that help clarify group values and the facilitation of constituent involvement in governance by reducing the cost of participation.

Leaders design programs that help clarify group values. The rational model suggests that leaders should first seek agreement on values, and then design programs consistent with these values. However, values can be clarified only by inventing alternative policies and programs, and then selecting between them (Lindblom, 1959). The relative importance of excellence or diversity in a specific situation at the institution can therefore be determined only by designing policies whose various outcomes differ in terms of these values. It is through the selection process that relevant values are disclosed. The political leaders, to this end, function by having alternatives designed by self or others and by developing systems that deliver relevant information concerning them to

participants in the political community (Wildavisky, 1979). The leaders minimize conflict by ensuring that the alternatives that the leaders design are plausible and fall within the constraints of important constituents and by focusing attention during debate on common bonds between participants. While constituencies may struggle to achieve their objectives, the leaders may recognize that they do not wish to destroy the other side or wreck the organization.

In a political community, the cost of participation is reduced through representation. Each member is able to get the benefits of the group activity even without participating. Hence, mere dissatisfaction with the state of affairs is not enough to activate political interest without the special incentives of cost benefit.

#### Evaluations of the Impact

One major advantage of political systems is that they permit decisions to be made even in the absence of clear goals. In an organization where institutional consensus about preferences and agreement on how to achieve them does not exist, decisions can be made only through the exercise of power (Pfeffer, 1981). Political systems also simplify the influence process, since they need not involve the active participation of everyone in the organization but only their representatives (Weick, 1979). They also simplify budgeting processes.



Another advantage of political systems is that their inefficiency provides institutional stability. There is a lot of consistency in collegial organizations because people tend to think alike; there is consistency in bureaucratic organization as well because people follow the same rules. In both cases, having similar data and sharing uniformity of opinion or action make it possible for small changes to be amplified as they move through the system. Everyone knows what is going on, an unexpected situation may become volatile, and balance becomes precarious. But in an organizations where people have access to different data from different sources on which they place different interpretations, no one knows the totality of what is happening, and their activities often resemble random movements that cancel each other out and provide stability.

There are some disadvantages as well in the political systems. First, some groups at the institution attempt to control information as a source of power to achieve their own ends, and this may weaken other organizational functions. Second, competing for resources means that groups have to present the reasons why their claims are stronger than those of other groups. This in turn may lead to advocacy, the hardening of positions, and difficulty in developing reasonable compromises. Third, since all programs are

not reviewed all the time, programs that are no longer effective may be allowed to continue if no one challenge them. The systems therefore have little accountability. Fourth, coalitions can arise that are not concerned about protecting the weak. Finally, political processes may sometimes be used in situations in which more rational approaches are feasible and could be more effective.

Some critics (see for example, Millett (1978) have argued that people who espoused the political frame gave little attention to a structure and process of leadership within the university that could help achieve political compromise, and even less about the university as a producing organization concerned with providing certain particular outputs. Further, they did not present any clearly defined structure or process by which political compromises could be affected nor did they resolve the dilemma of internal political process versus external subsidy. The process of political compromise is assumed to have, some how helped the university continue to function.

Other critics of the political aspects of campus leadership have focused on the president's role in resolving conflicts among power blocs within the university. Power blocks are depicted as a "conspiracy against leadership" (Kerr & Gade, 1986, p. 143), and polycentric authority is seen not as a system of checks and balances

(Walker, 1979) but as a system “organized more to stop things than to get things done” (Kerr & Gade, 1986, p. 145). Partial support for this view might be found in the belief that consensus politics is under strain because interest groups or power blocs tend to compete rather than to cooperate, unlike the consultative processes associated with a political style of leadership (Kellerman, 1987).

### The University as Organized Anarchy (The Symbolic Frame)

#### Introducing the Frame

The symbolic frame corresponds many of the ideas presented to describe cultural, symbolic and cognitive theories of leadership. It exhibits a tradition of research that analyzes how organizational decisions are made when rationality is limited, goals are equivocal, and claims on the leaders’ attention exceed their cognitive capacities (Cyrett & March, 1963; March & Olsen, 1979; March & Simon, 1958).

The symbolic view of organizations challenges two basic beliefs about leadership: (a) the efficacy of leadership, and (b) the differential success among leaders. The belief about the efficacy of leadership presumes that leaders have the power and resources to make choices that will affect organizational outcomes. The symbolic view, however, states many factors that become constraints to administrative discretion. The consequences of

autonomous actors, loose coupling of organizational elements (Weick, 1976), and cognitive biases are considered to severely circumscribe the influence of leaders. Hence, the influence of college president is more symbolic than real (Cohen & March, 1974; Pfeffer & Salancik, 1978 ).

The belief about differential success among leaders assumes that individuals possess attributes that determine their success or failure as leaders (March, 1982). The symbolic frame also emphasizes that academic leaders usually have more influence than other organizational participants. Those leaders can use that influence to make marginal changes supporting their own desired outcomes. However, leaders are not as important as individuals, but, as a class they can help organizational participants to work together. Moreover, the differences between leaders are minor and difficult to measure reliably (March, 1984). Leaders need to emphasize symbolic management and focus their attention on the expression of key system values, while decentralizing everything else so that they may properly coordinate loosely coupled systems (Weick, 1982).

How Does the Symbolic Frame Fits into the  
Higher Education Context

According to the symbolic frame, organizations are systems of reality invented through the continued interaction of the participants. Cohen and March (1974) described colleges and universities as prototypical organized anarchies, a term coined to identify organizations with three characteristics: problematic goals, unclear technology, and fluid participation in decision making. When institutional purposes are vague and often articulated to rationalize previous actions, the reasons that certain educational practices appear to have certain results are not known, and authority structures and participants constantly shift, traditional notions of organizational rationality cannot be applied.

Decisions are often by-products of unintended and unplanned activity because the organization's goals are ambiguous. While the previous frames assume that people in designated roles follow rational processes to develop and implement solutions to identified problems, the organized anarchy frame suggests that problems, solutions, participants, and opportunity choices make up four loosely coupled streams flowing through the organization (March, 1984). When organizational choices are made, problems, solutions, and participants are associated with not for any logical relationship

but because they are current. These connections develop much as if their elements were all thrown into a large container and mixed up, a process referred to as “garbage-can decision making.”

Relationships that may have occurred in the garbage-can by chance can be taken to be integrally connected by participants who create their versions of reality through processes of retrospective sense making because of cognitive biases and limits to rationality (Weick, 1979).

When leadership in higher education is viewed through the symbolic frame, leaders serve primarily as facilitators of an ongoing process. This perspective, which is influenced by the cognitive approaches to leadership emphasizes the effect leaders have on the expressive side rather than on the instrumental side of organizations. Leaders channel the institution’s activities in subtle ways, not by command but negotiation, and not by planning comprehensively, but by trying to apply preexisting solutions to problems (Baldrige et al., 1978). An administrative leader may be seen as one who brings about a sense of organizational purpose and orderliness through interpretation, elaboration, and reinforcement of institutional culture.

Eight tactical rules have been suggested for leadership in the organized anarchy (Cohen & March, 1974). These rules have been elaborated and illustrated with practical problems relevant to the administration of higher education (Birnbaum, 1988):

1. **Spend time:** a leader who is well informed about an issue and gives it full and consistent attention is more likely to be in a position to influence outcomes.

2. **Persist:** initial rejection of an idea, project, or solution should be seen as a temporary condition rather than an irreversible defeat; the longer a leader persists in pushing for something, the more likely it is to get accepted.

3. **Exchange status for substance:** leaders who can suppress their need for recognition by letting others take the credit or by sharing credit with others may be more successful in gaining approval for programs they suggest.

4. **Facilitate the opposition's participation:** sharing problem-solving authority with opponents is likely to diminish their aspirations and discourage expressions of discontent.

5. **Overload the system:** proposing many new issues and new projects simultaneously may increase the likelihood that some will be accepted without close scrutiny.

6. Provide garbage cans: making a proposal always involves the risk that it will attract other unrelated and unresolved problems; to avoid having one's proposal buried by such "garbage," always try to make "garbage cans" available in the form of alternative forums in which other people's problems can be expressed.

7. Manage unobtrusively: large scale effects may be more obtainable by making small and unobtrusive changes rather than major changes, which can trigger opposition and alarm among campus constituents.

8. Interpret history: records of meetings, decisions made, and significant campus activities should be prepared long enough after the event so that they can be written to appear consistent with actions seen as desirable in the present.

Bensimon, Neumann, and Birnbaum (1989) indicated that the increased reliance on symbolic theory to understand leadership in academic organizations can be attributed to several factors - the popularization of corporate cultures along with the warning that scholarship was neglecting the tools of symbolic management and the use of research methods in higher education that are anthropologically based (i.e., ethnographies, naturalistic studies). Thus, studies are more likely to observe cultural features of



organizations and symbolic aspects of management than seen in classic quantitative studies.

### Implication for Faculty Participation

Within the symbolic frame, organizations are viewed as loosely coupled. Looking at the faculty and administrators through this frame, in one way, each group may be considered as autonomous. Subsequently, as Corson (1960) suggests, faculty and administrators will at least have two structural arrangements operating to a large degree on a parallel basis. However, according to the symbolic frame, organizational structures and processes are invented. Hence, the present structures are perceived by the different groups differently. Because of the symbolic frame, conception, interpretation, and understanding of these structures by each group and the members of the group varies. Therefore, the process of decision making involves the determination of connective tissues to unite these parallel structures into an operating whole and to understand the faculty and administrators' conceptions and interpretation of their reality.

The fact that the organizations have unclear goals makes decision making even more complicated if a system is not designed to facilitate interaction between the faculty and administrators both to understand each other and clarify the goals. Each group and

every member of the group are needed to create and to interpret the structure and process of the organization. Leaders who adhere to the symbolic frame are primarily catalysts or facilitators of an ongoing process.

Contemporary research can be placed side by side to reflect two major paradigms--the traditional, conservative, or social fact approach on the one hand, and the cultural, radical, or social definition approach on the other (Peterson, 1985). Some of the works examined in this review (Bensimon, Neumann, & Birnbaum, 1989; Birnbaum, 1988, 1992; Rogers, 1989) indicate that the understanding of leadership in academic organizations, at least among scholars, may be undergoing a paradigmatic shift from the rational perspective toward the cultural and symbolic perspectives. As a result, close attention is being given to the manifestation of symbolic leadership, as shown by works concerning the role of college leaders in the management of meaning, the construction of institutional reality, and the interpretation of myths, rituals, and symbols (Birnbaum, 1992).

Viewed from a rational perspective, it may seem practically impossible for a college and university leaders to overcome the challenge they face as they fulfill their responsibilities because of the ambiguity of purpose, the diffusion of power and authority, and

the absence of clear and measurable outcomes. However, when these leaders interpret their role from a symbolic perspective, they are less concerned with leaving a considerable effect and more concerned with helping their campuses make sense of an equivocal world. The leaders will be more concerned with influencing perceptual changes than in convincing others of the correctness of their decisions. Therefore, the rational choice in an organized anarchy, seems to be symbolic leadership.

#### Evaluation of the Impact

The symbolic perspective on leadership has attracted a fair amount of criticism. The suggestion that presidents may have only limited effects on organizational outcomes has been interpreted as discouragement of the presidency. The labeling of colleges and universities as organized anarchy, the comparison of presidents to light bulbs, and the rigor of Cohen and March's research methodology (1974) have been criticized heavily (see, e.g., Millett, 1978). As a consequence, there is a tendency to overlook the importance of the idea of symbolic leadership which, for example, suggest that presidents can have an impact on institutional functioning more through initiating and maintaining structures and processes designed to attend to the expressive side of their institutions than

through imposing rational control in an organizational and becoming antagonistic to it.

Despite the criticisms of organized anarchy, the symbolic frame in a form of “the atomistic model” (Kerr & Gade, 1986), the garbage-can model of decision making, and the institutional context of organized anarchy appears to be receiving support from research on administrative behavior (Dill, 1984). The underlying assumptions of “the atomistic model” are more or less similar to that of organized anarchy model. The model presumes that autonomy of the individual members of the academic community and the absence of clear purpose constrain the leadership exercise of the president. Moreover, the leadership of the president is also determined by the context. According to “the atomistic model”, presidents are able to maintain and guard the academic community and introduce incremental change. They do not appear to play an active role in the decisions being made, except perhaps when a serious internal or external threat arises. They are expected to be well informed, be sensitive about any threats, and be elective about intervention.

### The University as Cybernetic System

#### Introducing the System

According to Birnbaum (1989), the four organizational frames (bureaucratic, collegial, political, and anarchical) are invented

social constructs that “make sense” of organizational process. In many ways they are complementary to each other, even if they seem to be competing. Each is illuminating certain aspects of organizations and leadership while obscuring others. Hence, Birnbaum has proposed a fifth model--the cybernetic system as a way of integrating the important aspects of these concepts into a comprehensive view of how academic institutions work (Birnbaum, 1988).

The principle of cybernetic administration (Birnbaum, 1988; Morgan, 1986; Weick, 1979) reflects the integration of organizational theory, leadership theory, and higher education. Leaders should complicate themselves by learning to look at problems and events through the four different organizational frames and change their behavior to match changing situational demands. As they gain experience and are able to understand their organization through the multiforms, they should increase reliance on intuition.

#### How the Cybernetics Systems Fits into the Higher Educational Context

If faculty and administrators, as participants are able to see their organization through the conceptual lenses provided by the different organizational frames, a number of patterns might become

apparent to them. These patterns will guide each one or as a group to conceptualize participative leadership and when, why, and how they should practice it in the organization. People respond to a reality that they themselves created (Birnbaum, 1989, p. 178).

The cybernetics model assumes that, first, higher educational institution is a fragmented and hierarchical system and, second, that “. . . coordination is provided not by one omniscient and rational agent but by the spontaneous corrective action of the college's parts” (Birnbaum, 1989, p. 179-181). Within this model, institutions are seen as controlled in part by vertical negative feedback loops created and reinforced in the institution's (bureaucratic) structure and horizontal negative feedback loops created and reinforced in the institution's (collegial) social system. Both of these controls operate within constraints established by the organizational culture. The balance and relative importance of these loops are mediated by systems of (political) power and cultural and cognitive (symbolic) elements unique to the institution.

Cybernetic institutions, as mentioned earlier, tend to run themselves, and leaders tend to respond to disruptions or to improve activities through subtle interventions rather than engaging in dramatic attempts to radically change institutional functioning. This does not mean that leaders are unnecessary to the system or

that they have no effect on it, but rather that their effectiveness depends on their functioning according to specific cybernetic principles. For the system to work, leaders are expected to appoint capable and responsible monitors for outcomes considered by them to be important, to make sure that the monitors are free to present the negative feedback that is detected, and to know what kind of negative feedback is important.

In cybernetic organization (Steinbruner, 1974), institutional performance is continuously assessed by monitors--institutional leaders or groups interested in a limited number of specific aspects of organizational functioning. If organizational performance in a monitored area (e.g., minority enrollment, faculty parking) falls below the threshold considered acceptable by a monitor, the monitor is activated to alert others to the problem and to press for corrective action.

Effective cybernetic leaders are able to define and design problems in a manner that enables them to be addressed by ongoing organizational structures and processes. They make sure that data are collected that serve as indicators of the issues with which they are concerned and become more sensitive to the possibility of unanticipated consequences of their actions. They understand that

the sources of common cognitive errors and develop habits of thought that question the source of data and their interpretation.

Leaders should select personnel who emphasize different values and notice and interpret clues differently from them. They should educate themselves, listen to their followers, encourage dissent within, and seek opinions and perspectives that challenge the status quo. Moreover, they need to practice openness by sharing information and data widely and by using a variety of forums to communicate formally and informally with campus constituents.

Leaders should recognize that decision making is not an analytical, sequential process that culminates in a major pronouncement, but the incremental effect of many small actions that make some outcomes more likely than others. At the same time, they should be good bureaucrats by giving attention to the routine tasks of administration that influence the perceptions constituents form about the leader's competence and the institution's quality. The principles and practice of cybernetics may have great impact on the perception leadership participation of the members of the higher educational institutions.

#### Implications to Participative Leadership

The cybernetics systems seem to have many elements that encourage participative leadership. The fact that the system is



open for different perspectives, dissent, spontaneity, and autonomy (the fact the role of the leader is minimal in normal condition signifies this fact) shows that many leaders are expected instead of one leader. The characteristics of openness, communication, feedback, and forum for discussion indicate that decision making process is also participatory. The assumptions of the presence of social constraints and the organization as fragmented posits complexity and the need of many brains. On the other hand, under abnormal conditions the final decision maker is the leader, a hierarchical structure is intact, and the chance for a single person decision is also open.

### Conclusion

The preceding analysis disclosed that the importance of cybernetic perspective for effective leadership and the implications to participative leadership. It has also been suggested that academic organizations have multiple realities and that leaders with the capacity to use multiple lenses are likely to be more effective than those who analyze and act on every problem using a single perspective. Since current research (Birnbaum, 1989) suggests that the effectiveness of leadership may be related to cognitive complexity, many leaders have the flexibility to understand situations through the use of different and competing

scenarios and simultaneously respond appealing to the various organizational needs. This being the case, integrated approaches to leadership are represented by the cybernetic model and by strategic approaches that combine linear, adaptive, and interpretive modes of administrative thought and action (Bensimon, Neumann, & Birnbaum, 1989).

During periods of declining resources and when the environment of colleges and universities becomes turbulent, it is important to maintain a complex approach to administration (e.g., attending to multifaceted organizational processes and outcomes). One of the best ways for leaders to develop complex understandings of an organization is to develop awareness of the various leadership and organizational theories. Through these theories they are able to generate multiple descriptions of situations and multiple approaches to solutions. More complex leaders have the flexibility to understand situations through the use of different and competing scenarios and to act in ways that enable them to attend simultaneously to various organizational needs. As effective leaders, while they are seen as those who can simultaneously attend to the structural, human, political, and symbolic needs of the organization, ineffective leaders are those who focus their attention on a single aspect of an organization's functioning.

Ineffectiveness is related to individual rigidity and narrow interpretation of organizational needs (Faerman & Quinn, 1985; Whetten & Cameron, 1985).

Leaders who can think and act using more than one organizational model are able to fulfill the many, and often conflicting, expectations of their position more skillfully than leaders who cannot differentiate among situational requirements. While addressing the numerous, and often conflicting expectations they are required to value inconsistency and the paradoxical aspects of their institutions. The existence of such paradoxes means the bureaucratic and collegial systems coexist within an institution, that stability and change both may be equally valuable to an institution. For the leader, this depicts another attempt at developing analytical approaches that match the complexity of organizations (Cameron, 1984).

By applying integrated conceptual frameworks and perspectives, scholars may better capture organizational and administrative complexity that more effectively comprehends the presence and effects of complementary and competing characteristics within a single organization or individual's behavioral repertoire.

While discussing the effectiveness of an organization, Bensimon, Neumann, and Birnbaum (1989) contend that pluralistic culture can have no single acceptable definition of leadership or measure of effectiveness. Moreover, in higher education, views of effective leadership vary according to constituencies, levels of analysis, and institutional types. Plus, theories of leadership and organizational models influenced by the cultural paradigm suggest that the perceived relationship between a leader's acts and organizational outcomes may be a result of cognitive and perceptual filters and biases. Pfeffer (1978) indicated,

Leadership is the outcome of an attribution process in which observers-in order to achieve a feeling of control over their environment-tend to attribute outcomes to persons rather than to context, and the identification of individuals with leadership positions facilitates this attribution process. ( p. 31)

The implication is that as Bensimon, Neumann, and Birnbaum (1989) realized the difference between successful and unsuccessful leaders may be more apparent than real and more frequently based on luck and the exigencies of the environment than on specific behaviors or skills. The evidence that certain kinds of leadership have certain organizational effects is equivocal. Hence, by traditional measures of effectiveness, leadership in higher education faces a problem.

The authors contended that the answer to the dilemma of effectiveness in leadership does not lie in more and better research methodologies but in the ability to think about leadership differently. Referring to Selznick (1957, p. 157) the authors argued that in many colleges and universities, the obligation of leadership to interpret the role and character of the enterprise, to perceive and develop models for thought and behavior, and to find modes of communication that will inculcate general rather than merely partial perspectives may not belong solely to persons filling formal roles as leaders. In large measure, this responsibility may be fulfilled through the socialization of the participants, professional traditions, and institutional histories. Leadership in this sense may be seen as distributed rather than focused, as "a group quality, a set of functions [that] must be carried out by the group" (Gibb, 1968, p. 215). Hence, leaders who accept this idea may find social exchange theories to be useful to them in becoming successful leaders and influencing the future success of their institutions. When they want to know how well they are doing, it might be more beneficial to ask themselves how they are viewed by their constituents rather than assessing themselves against an arbitrary standard like charisma, decisiveness, or courage. They need to remember that organizational health depends not only on the acquisition of

resources and presumed high standard management skills but also on their efforts to involve constituents, to keep them informed, and to solicit their input (Whetten, 1984).

Since the interpretation of leadership is shaped by the research approaches and conceptual lenses used, it is important to advance leadership studies that use theories that give attention to multiple sources of leadership. In colleges and universities, leadership does not necessarily come solely from one leader and directive leadership under most circumstances, may be fully inadequate. However, the traditional theories that appear to have strong influence in the understanding of administrative leadership in higher education disregard the emergence of leadership from sources other than the official role of the leader. Hence, as Bensimon, Neumann, and Birnbaum (1989) noted research agenda for leadership in higher education must recognize that leadership, as is the case with other social constructs, is multidimensional and that its definition and interpretation will legitimately vary among different observers with different values whose assessments may be based on conflicting criteria, units of measurement, or time horizons. Consequently, at present, there is no consensus that a grand unifying theory exists or is likely to exist.

Every theory of leadership, organizational frame, and relevant institutional issues and perspectives analyzed in this review holds implications for participative leadership; at its core, each has a picture of what ideal participative leaders should be like, what they should accomplish, or how they should carry out the role of leadership. Therefore, conceptions of participative leadership depend on the theory or perspective being used and the type of issues raised.

Despite the different conceptions of participative leadership, theories of leadership and organizational models that are influenced by the traditional paradigm suggest the critical role that leaders play in affecting the type, quality and outcomes of participative leadership. In contrast, theories of leadership and organizational models that are influenced by the cultural paradigm emphasize the importance of participative devices created by leaders/followers interactions and interpretations. These leadership theories and organizational models presumed that the perceived relationship between a leader's acts and organizational outcomes may be a result of cognitive and perceptual filters and biases.

In brief, the complexity of the term participative leadership may as well be:

1. The fact that different authors, researchers, and reviewers are using different terms while presenting, describing, studying, analyzing, and reviewing the concept;

2. They attempt to give their individual definitions in spite of, contrary or even contradictory to the existing definitions;

3. The terms assigned and the definitions given to the concept obviously reflect the different values and perceptions they may have or develop;

4. They are affected equally by the different paradigm that exists for looking at the organization. Subsequently, they will espouse or employ different models as they attempt to study the concept;

5. Policies, purposes, objectives, programs, and procedures are drawn from these different perspectives without critical analysis. These in turn create further confusions.



## CHAPTER 5

### DIFFERENT PERSPECTIVES AND A STUDY OF PERCEPTION

This chapter assess first, the concept of participative leadership through the perspective of feminist scholars, second, as the concept is viewed and applied in church and parachurch institutions, and third, the effect of perception on the meaning and practice of the concept. The second part of the review is organized around the critical question of, "Is the concept compatible with Christian teaching?" and "What is the rationale for or against applying it in church institutions?"

#### Feminist Perspective

The feminist perspective of leadership suggests that leadership must imply authority with, rather than power or authority over. Therefore, it is considered to be an important corrective to past work in leadership studies (Carroll, 1984; Rogers, 1989). It reflects a different understanding about the study of women. Moreover, it reacts to the traditional concept of leadership which excludes feminine characteristics, alienates women from participation in leadership, and becomes an instrument for male domination over female. This part of the review briefly examines

the feminist literature to elicit how feminist leadership theorists conceptualize leadership, in general, and participative leadership, in particular, and the implication for the interpretation and the translation of the concept by faculty and administrators in colleges and universities.

#### The Prevalent Concept of Leadership--Non Participative

Feminist leadership scholars presented the prevalent concept of leadership as non participative. These scholars claimed that the prevalent concept of leadership is hierarchical that reflects men's ethos of power, domination, independence, and competition. Hence, they asserted that this concept of leadership needs a complete change or an integration of the female ethos of mutuality, cooperation, and affiliation (Carroll, 1984; Hartsock, 1981; Helgesen, 1990; Neustadt, 1960; Rich, 1976; Rogers, 1989; Rothschild, 1976).

Carroll (1984) has analyzed the contributions of feminist scholarship to the understanding of leadership in the political sphere. Carroll asserted that there are two major strains of feminist scholarship about women--the conceptual and the empirical. The conceptual strain reacts against conceptions of leadership as commonly defined by political scientists and

practiced by political leaders. The empirical strain is produced by researchers concerned with the characteristics, experiences, and attitudes of women who occupy leadership position. The conceptual reactions and the results of the empirical research have direct implication to the study of the feminist interpretation and practice of participative leadership in the higher educational institutions.

#### Equation of Power with Leadership

The feminist leadership scholars have reacted against the prevalent leadership concept for not being inclusive to the feminist characteristics, alienating women from participating in leadership, becoming an instrument for male domination, and not cohering with the emerging paradigm (Carroll, 1984; Rogers, 1989). Subsequently, they have been attempting to introduce important correctives to past leadership studies and practices. The reactions to the traditional concept of leadership and the empirical research have direct implication to feminist interpretation and practice of participative leadership in the context of higher education.

Carroll realized that the concepts of power and leadership have been closely linked in politics and in political science (Janda, 1972; Neustadt, 1960; Burns, 1978). Power, as discussed in social science literature has generally been equated with domination and

control (Carroll, 1984; Hartsock, 1981). An explanation for the common equation of power with domination and control is derived from the requirements for a capitalist system (Hartsock, 1981).

In the same vein, Rogers (1989) confirmed that the traditional leadership which currently dominates Western culture focuses on leading as the wielding of power in a hierarchical structure and upholds the patriarchal world with its emphasis on male-oriented values of rationality, competition, and independence. Rogers further indicated that traditional leadership training centers on the acquisition of technical skills to solve problems, on how to wield power and gain influence, match leadership style to the situation, and exchange contracts between leader and worker. In essence, leadership is the ability to gain and maintain the compliance of one's followers--on winning them over to organizational goals.

The traditional literature on leadership and political leaders, according to the feminist scholars, have overlooked women or portrayed them in a distorted manner (Burns, 1978; Dahl, 1961; Jennings, 1960). Hence, feminist scholars reacted by conducting empirical research. Their research during the past decade focusing specifically on women leaders was stimulated in large part by a desire to correct the neglect and the biased portrayal of women in

traditional research (Bernard, 1981; Gilligan, 1982). The scholars began to question the implicit assumption that the lack of parity between women and men at the leadership level was somehow natural.

Empirical research, dealing with women leaders in politics, focused largely on two questions arising from these concerns (Carroll, 1984). First, why are women so under represented in leadership positions and what are the factors working against their recruitment or election? Second, do female political leaders differ from their male counterparts in background, attitudes, and behavior and if so, how?

The feminist scholars viewed oppression based on sex as the most fundamental form of oppression that portrays the exercise of "power over" as a masculine attribute that has helped to perpetuate male dominance over women (Rich, 1976). For example, the oppression based on sex is manifested in the barriers of prejudice and discrimination that confront young women who have leadership potentialities. In general, women are under represented in leadership. Slater and Glazer indicated,

Thirteen of the 185 law schools in the Association of American Law Schools have deans who are women . . . Women constitute about 20 percent of the faculties at four-year institutions, but less than 10 percent of the full professors . . .

In 1975, 5.4 percent of the presidents of four-year colleges were women. By 1982 the number had risen to only 7.7 percent. In the federal judiciary, the court of appeals had 154 circuit judges as of May 1987, and only 17 were women. Of the 529 judges sitting in district courts, only 48 were women . . . In the Fortune 500 companies women represent a mere 1.7 percent of corporate officers. (cited in Gardner, 1990, pp. 178-179)

The scholars believed that a number of interrelated psychological, social, and economic factors have worked to insure the under representation of women in appointive and elective office holding positions. These factors include family responsibilities, women's own attitudes, discriminatory attitudes of male political leaders, difficulty in raising money, and the fact that most women who run for office must face incumbents and run in races for single seats interact in ways that keep many potential women candidates from seeking and/or obtaining political offices (Craik, 1972; Lee, 1977). These scholars concluded that the traditional leadership is oppressive, not inclusive, and does not enhance participation.

#### Female Concept of Power

Women's and men's concept and practice of power tend to be different. A number of feminist scholars asserted that there are marked differences between men's and women's concept and practice of power, styles of leadership, and in their whole approach

to the task of leadership, stemming from the sharply differing character of women's and men's life experiences (Alpert, 1973; Ruddick, 1983). Ruddick (1983) states that the experience of mothering leads to special leadership concerns on the part of women. Mothers must not only preserve fragile life, they must also foster growth and welcome change. The characteristics of the female power according to Alpert (1973) are empathy, intuitiveness, adaptability, awareness of growth as process rather than as goal-ended, inventiveness, protective feelings toward others, and a capacity to respond emotionally as well as rationally.

On the other hand, other feminist writers have looked at women's social experience in families and in the women's movement during its formative years for alternative conceptions of power. Rothschild (1976) argued that the experience of women's work in the precapitalist institution of the family has been based on a set of power relations different from those experienced by men in industrialized society. For this reason, women's and men's concept and practice of power differ. Rothschild maintained that "women will view power as energy, potential, competence for oneself, rather than 'power over' others. Women will seek to achieve and

maintain such power through personalized, supportive, and cooperative means” (1976, p. 6).

In spite of differences over whether motherhood or women's social experience should provide the foundation for a female-based conception of power, Alpert (1973), Hartsock (1981), Rich (1976), Rothschild (1976), and other feminist theorists generally emphasize similar qualities as essential to a reconceptualization of power. Supportive and cooperative relationships rather than relationships based on domination are stressed. “Power to” as characterized by energy, ability to get things done, and reciprocity takes the place of “power over” (Flammang, 1982).

#### Leadership Based on Feminist Perspective of Power

The reconceptualization of power by feminist scholars suggests, all together, a different leadership pattern. An effective leader is one who empowers others to act in their own interests, rather than one who induces others to behave in a manner consistent with the goals and desires of the leader (Carroll, 1984). Bunch (1987) also suggested that leadership should be conceived as people taking the initiative, carrying things through, having the ideas and the imagination to get something started, and exhibiting particular skills in different areas (Bunch & Fisher, 1984).



Leadership, as reconceptualized by feminists, has both educational and empathic functions. They have a responsibility to communicate their experience and information to followers in a comprehensible manner since leaders often have advantages of breadth of experience and access to information. They should always be sensitive to the feeling and desires of their followers, and their actions should reflect such sensitivity. Moreover, leaders should also nurture the potential of followers and help to build their confidence so that the followers will attempt leadership too (Crater, 1976).

Female leadership style. On the question of possible differences in leadership styles, the interests of more conceptual feminist scholars involved in the analysis of power and the interests of more empirical feminist scholars would seem to converge. Women leaders tend to be different from male leaders. Feminist scholars begun to document the nature of those differences, focusing primarily on differences in background and experience. Latter, they started also to document based on moral development (Gelligan, 1982). The writings of feminist theorists such as Bunch (1976), Gelligan (1982), Hartsock (1981), and Rich (1976) are fruitful sources for hypotheses about the ways in which

women's and men's exercise of power and style of leadership might differ. Similarly, the work of Rosener and Schwartz (1980), who distinguish between Alpha and Beta styles of leadership, provides useful hypotheses about possible differences in leadership styles. Alpha leadership, which one would expect to be the dominant style found among men, is characterized by analytical, rational, quantitative thinking. It relies on hierarchical relationships of authority" and tends to look for deterministic, engineered solutions to specific problems. In contrast, Beta leadership, which might be more common among women, is based on synthesizing, intuitive, qualitative thinking. It relies on adaptive relationships for support and tends to look for integrated solutions to systemic problems (Rosener & Schwartz, 1980, p. 25).

#### Anticipated Change

Different feminist scholars have suggested different changes that are desirable. They have presented normative, theoretical, and empirical justifications for the need of more integration of the female ethos in leadership and female participation in leadership (Amundsen, 1971; Capra, 1982; Kuh, Whitt, & Shedd, 1987; Schwartz & Ogilvy, 1979). However, they are guided by their different theories. Those who believe, as radical feminists do, that female

biology (and childbearing capacity in particular which is assumed to signify nurturing leadership style) is a source of differential perspectives between women and men would predict clear and persistent differences in leadership styles of women and men. At the other extreme, those who believe that organizational structures are deterministic, as many socialist feminists, (see for example Rothschild) would expect women moving into formal leadership positions to conform to dominant patterns and to exercise leadership no differently than do men in those positions. More moderate liberal feminists view differences between women and men as stemming from sex role socialization; they would anticipate differences in leadership styles between women and men in the short term that largely would disappear over the years as the socialization of women and men converges.

Some scholars have raised several normative questions regarding equality and representation that should be of concern to those interested in the study of political leadership within a democratic context (Amundsen, 1981). Can a system truly be considered democratic when one-half of its citizens are socialized to believe that they are unfit to become political leaders on the basis of an ascribed characteristic such as sex? If the viability of

a democratic system depends, in part, on the quality of its leaders, what damage is done if half of the most capable and talented individuals in society are systematically excluded from leadership positions, or discouraged from seeking them, as a result of their sex? Can political leaders (that is, men) whose experience in society is vastly different from that of a group they represent (women) adequately represent the interests of that group? (Carroll, 1984, p. 149). These are hard and pressing questions that portray the grievances of the feminist scholars and their interest to participate in leadership more.

Others have called for the abolishment of all power relationships and attempted to implement it in practice (Ehrlich, 1982; Flammang, 1982). Still, others thought structurelessness was a myth and that feminists should no longer reject structure, leadership, and the attendant exercise of power. Instead, they wrote about power and leadership based on the collective experiences of women, as distinct from the experiences of men. For example, one group based their writing in relation to the experience of motherhood and claimed that the "mother-child relationship is the essential human relationship," (Rich, 1976, p. 127). Capra predicts nothing less than a thorough redefinition of human nature,

which will have a profound effect on the further evolution of Western culture. At the heart of this redefinition will be a realization of the validity and the worth of the values of the female ethos, which in Western culture have long been unrecognized and unresearched (Capra, 1982).

#### Emerging Leadership Pattern--Participative

A number of feminist scholars have asserted that leadership concept based on new paradigm that emphasizes relational, participative management, and which integrates values of the female ethos is emerging. They have also predicted that women are particularly well-fitted to the emerging patterns of leadership because, compared to men, they are more intuitive, creative, adaptive, flexible, oriented toward people, and sensitive to the needs of others (Bernard, 1981; Gilligan, 1982; Schwartz & Ogilvy, 1979; Capra, 1982). This emerging pattern of leadership is, as a whole, participative.

#### Values of Female Leadership Ethos

Bernard (1981) analyzed the research of feminist scholars in the fields of history, literary criticism, economics, political science, psychology, and sociology. Her analysis called for a description of the social and group structures and the culture of the

female world, including its four major aspects--languages, household technologies, arts, and ethos. The world she found is characterized by mutuality, cooperation, and affiliation.

According to Bernard, although the female world is largely undervalued by society,

. . .it is a kinder, more relational, more constructive world than men's. Women lean to cooperate while men lean to compete. Women learn to empathize with others while men learn to manipulate them. Women learn to build and maintain social structures while men study ways of destroying them."  
(Abrams, 1981, p. 24)

From the results of her research, Bernard concludes that the female world is based on an ethos of love and duty, while the male world is based on an ethos of power and competition.

Other female social scientists have also challenged previous researches and discovered that men's experiences cannot be generalized to women. Gilligan (1982) recognized the difficulty of generalizing men's experience to women's through her study of women's moral reasoning. Drawing on literature, mythology, psychology, and interviews, she supports her hypothesis that, in contrast to the male vision of a hierarchy of power, women view the world as a web of relationships. For women, it is more important to maintain a network of relationships than to be "separate" and "on

top.” Women’s development is characterized by a recurring tension between caring for others versus self, and only at the most complex level is the self a legitimate object of care. Out of this insight, Gilligan notes, emerges of “morality of nonviolence” grounded in the ethic of care.

The notion of interconnectedness and its place in women’s reasoning structures has been reinforced in several additional studies. Belenky et al. (1986), Benack (1982) and Baxter (1990) found that women’s intellectual development is qualitatively different from men’s in the transition from certainty (dualism) to uncertainty (relativism). In addition, women’s preferred mode of learning includes hearing others, being open to people saying what they feel, and encouraging others to express their views (Baxter Magolda, 1990). Gilligan and Belenky et al. affirm and further develop Bernard’s conclusions that at the heart of the female ethos is the focus on relationships and the resulting values of duty, love, and care.

### The Emerging Paradigm

The feminist scholars have contended that a new paradigm will replace the old paradigm upon which Western culture has been based. The old or conventional paradigm was established in the

Western world by Copernicus and Galileo's mechanical world in which cause and effect can easily be delineated (Lucas, 1985, p. 166) and Newtonian laws of physics that assumed to define the parameters for understanding events in the natural world.

The image of a natural order led scientists to believe that they could control events and elements in nature and to seek ways to do so. This mechanical model of the world, originally espoused by physical scientists, is now embedded in Western culture (Kuh, Whitt & Shedd, 1987) and has great effect on the social life of the people. The negative effect is indicated, for example, by Sorokin (1954). Sorokin argued that the prevalent theories of evolution, of history, of human behavior, of the "how" and "why" of social processes inevitably stressed such negative factors as selfish interests, egoistic competition, hate, the fighting instinct, destruction, all powerful economic factors, and coercion as mode of operation of the ethos of the male world.

The feminist leadership theorists believe that a new paradigm that links with the female ethos is emerging. Schwartz and Ogilvy (1979), Capra (1982), and Kuh, Whitt and Shedd (1987) advanced that the old paradigm, based on an objective, rational, and mechanistic world view, is eroding and the model used as the basis for



describing how the world operates is no longer adequate.

Subsequently, they contend that a paradigm shift is occurring in Western culture, influencing the creation of knowledge in all fields.

The assumptions upon which meaning in the world is made are in the midst of a major transition. The transitions can be characterized by several threads that include, first, a shift from the mechanistic world view in which objectivity, control, and linear causality are supreme, to a world view marked by a more contextual, complex, and relational paradigm. The second thread is the decline of the patriarchal world and the end of the dominance of its values of objectivity, independence, and rationality (Kuh, Whitt & Shedd, 1987). These two threads concede a “network of relationships” as central to the way one makes meaning in the world. This tie to the female ethos is included in an analysis of several of the characteristics of the new paradigm.

While describing the new paradigm, Schwartz and Ogilvy (1979) identify seven shifts in Western culture, the world is perceived to operate. Rogers (1989) in turn, has examined four of them. They are shift from:

1. Hierarchically to heterarchical ordered world. While in a hierarchy, an authority figure stands atop a pyramid of power and

all communications, control, responsibilities, and resources flow downward, in a heterarchical information and authority flow across channels, and input from all members of a collective is considered valid and important and the system is marked by networks of interests, influences, and constraints (Lincoln, 1985).

2. The objective to the perspectival. While the emphasis of the objective view is on controlling variables and value-neutral processes and measures, in the prespectival world, "believing is seeing" (Kuh, Whitt & Shedd, 1987, p. 14). From this view one's experience, values, and expectations affect one's conceptualization of reality. Hence, in any situation, various perspectives of the event are present and must be solicited in order to create a shared sense of meaning in that context.

3. The image of a machine--like universe to one that is holographic. Holography is a guiding metaphor that posits that everything in a complex open system is interconnected in some way and that the vision each individual holds is considered legitimate and contained in the whole" (Kuh, Whitt, & Shedd, 1987, p. 23). The notion that organizational processes are holonomic rather than mechanical became a basis for the recent literature on organizational culture.

4. Linear to mutual causality. While the “if-then” philosophy undergird the notion of linear causality or a direct connection between an action and its outcomes, the mutual causality implies a symbiosis, a non-linearity that suggests that A and B cannot be separated into simple cause-effect relationships. Rather, they grow, evolve, or change in such a way as to make the distinction between cause and effect meaningless (Schwartz & Ogilvy, 1979, p. 14).

#### Recommended New Leadership Characteristics

The feminist leadership theorists have realized that in contrast to the traditional models which focused on leading as the wielding of power in a hierarchical structure, management book authors such as Peters and Waterman (1982) and Ouchi (1981) are promoting participative management and interpersonal skills as central to effective leadership. Moreover, the concepts such as transformative leadership (Burn, 1978), empowering followers (Bennis, 1985), and organizational culture (Sergiovanni, 1984) are focusing on a more relational perspective on the act of leadership. The theorists argue that these changes are resulting in the disintegration of the patriarchal world with its emphasis on male-oriented values of rationality, completion, and independence (Capra,

1982). Subsequently, Capra predicts a thorough redefinition of human nature that includes the realization of the validity and the worth of the values of the female ethos, which in Western culture have long been unrecognized and unresearched.

The emerging leadership pattern is characterized by three terms--transformative leadership, vision, and empowerment. Recent scholarship amplifies these themes and begun to recognize and focus on the relational aspects of leadership. Burns (1978) coined the term "transformative leadership," which he defined as a symbiotic relationship between leader and follower. According to Burns and Bennis (1985), transformative leadership is more akin to the new paradigm notion of mutually shaping/mutual causality. The needs, values, and goals of both leaders and followers mesh and create meaning and community in the context of the organization. Sergiovanni (1984) and others refer to this new form of leadership as "cultural expression." What is important is not so much the mastery of technical skills, but rather what the leader represents. The leader shapes and elevates the goals of followers by creating with them a vision for the organization which incorporates their most basic needs for security and safety as well as fostering self-actualization and social responsibility.

These concepts of empowerment, vision, and culture clearly reflect the assumptions of the new paradigm. To empower followers means that the leader must share personal power-- converting followers into leaders and being shaped by, as well as shaping one's followers. The emphasis on heterarchy vs. hierarchy is valuing the contribution of each person and the unique perspective the person brings to the organized enterprise. The leader attends to the culture of the organization, ceremonies, and kinships that shape people's lives and make them feel a part of something worthwhile. In the end, it is an emphasis on relationships, process, groups, networking, intuition, feelings, and perceptions, and, above all, on collaboration.

#### The Leadership That Integrates the Female Ethos

The language and the metaphors of the emergent paradigm parallel many of the values of the female ethos. Heterarchy connotes cooperation--the supremacy of a network of relationships over hierarchical authority. Subjective, or perspectival, requires a respect for all persons' input and implies a focus on process vs. task as vital in making meaning in the world. It also suggests a reliance on intuitive wisdom vs. logic. Mutually shaping recognizes that people influence each other in reciprocal ways and that there is an

interconnectedness between individuals and their environment. Holonomy emphasizes the cultural aspects of people in groups. The rituals, symbols, ceremonies, and kinship that are created with others in context are more powerful shapers of behavior in organizations and are not abstract goals set by those in authority. It would seem that women, by their nature and their socialization, are well prepared to function and to lead in the world of the new paradigm.

Antithetical to the strongest values of the male ethos, these topics are termed "soft," "poetic," and "impressionistic" by most management educational programs and, while perhaps necessary to employ on occasion, they are not seen as primary tools of the tough-minded manager (Bennis, 1985). While the conventional paradigm legitimated the male ethos, the new paradigm legitimates the female ethos. Thus, success in leadership no longer requires women to act like men, but rather to implement and integrate female ethos values into the practice of leadership. The assumptions of the new paradigm validate women's ways of knowing, of living, and of leading.

### Anticipated Change

What will new paradigm leadership, grounded in the values of the female ethos, comprise? Loden (1985) has developed a model of feminine leadership which, in contrast to the masculine model, is less hierarchical. The model focuses on process, intuition, and the importance of relationships.

Loden purports that, as compared to the traditional masculine model of leadership, feminist leadership emphasizes shared accountability and cooperation. This type of leader (whether male or female) tends to distribute the leadership functions, empowering and encouraging the autonomy of staff. Feminine leaders view themselves "at the center" of the team rather than "at the top" (p. 119). Because of a strong and steadfast concern for the quality of relationships, feminine leaders tend to negotiate, mediate, and facilitate conflicts rather than make arbitrary decisions. In contrast to the masculine model, which regards relationships as the necessary means to further one's ends, the feminine leader views quality relationships as worthy ends in themselves. Feminine leaders bring an openness and depth of feeling for other; caring and concern for the whole person is expressed. Emotions and intuition, long denied in the masculine model, are considered important for

problem solving in the feminine model. Finally, the emphasis on winning and political positioning is replaced with a focus on performance excellence and on challenging people to find solutions to new problems together.

Loden observes that the feminine leadership style is less efficient and less action-oriented than the masculine style. The processes used look more fragmented and less orderly. But in the world of the new paradigm, the world is viewed as perspectival, complex, and diverse. Change, ambiguity, and mutual causality are the norm rather than anomaly. A leadership style that is collaborative will more likely produce the long-term outcomes that are needed. A leadership style that is centered in an ethos of love, duty and care will also lead to a healthier, safer world.

While discussing how realistic it is to implement the new concept of leadership, Loden (1985) argues that feminine leadership is needed now in order to deal with poor employee morale and declining productivity, both significant problems in American corporations. Kuh, Whitt, and Shedd (1987) imply that a world defined by the new paradigm will require leadership that incorporates the values expressed in the female ethos. Ultimately, feminine leadership will receive credence not through the altruism



of those in power, but because it more closely resembles the “logic-in-use” in organizations. Cooperation, intuitive wisdom, and collaboration are already being espoused by the most respected scholars on leadership, and by many organizations that are focusing on improving organizational culture as a means of improving productivity (Block, 1987).

In answering the question whether the feminine leadership will eventually replace masculine leadership, Loden believes that we need to recognize and use both style, to view them as complementary. However, Bernard (1981) says the male and female worlds can never be integrated; they are different but equal. Capra (1982), on the other hand, holds that the shift to a new world view is a cyclical evolution and that just as the “yang,” or male-oriented, values have been dominant under the mechanistic paradigm, so the “yin,” or female related, values will rise to ascendancy under the holonomic paradigm.

In either event, the authors believe that transition to the new paradigm will not be easy. Capra (1982) describes the transition as “a deep reexamination of the main premises and values of our culture, a rejection of those conceptual models that have outlived their usefulness. . .” (p. 33). Masculine leaders must adopt a new set

of values and act in new ways. Feminine leaders must learn to trust their own style and to use it. During this phase of reevaluation and rebirth, discord and disruption might easily take over (Capra, 1982). The challenge then, in keeping with the values espoused by the female ethos, is to approach the transition with an attitude of collaboration. Ultimately it is in the best interest of both the male and female worlds to establish a more cooperative, altruistic culture and along with it a leadership style based in an ethos of duty, love, and care.

As a whole, the feminist leadership scholars contend that the prevalent leadership does not foster participation and therefore need, to integrate either the values of female ethos or be replaced completely. The prevalent leadership is hierarchical and equated with power. It does not include the values of female leadership ethos, alienates women from participating in leadership, and does not go along with the emerging paradigm. The female leadership, on the other hand is heterarchical, relational, and based on an ethos of duty, love, and care. It enhances participation. However, some authors argue that although the feminist theorists have worked to develop an alternative conceptualization of leadership, they have not demonstrated that this alternative model of leadership is

workable in contexts other than those of small groups and enterprises comprised of feminist women. In any event, considerable research on gender differences in leadership style has yielded conflicting results on many points (Gardner, 1990; Morrison, White, & Volsor, (1987). The type of participation prescribed by the theorists also varies. While some scholars consider participation to be sharing power as understood in the old leadership concept, others call for an integration of the values of the female ethos. Still others predict that as the new paradigm takes over the old paradigm, the female leadership concept will prevail.

Finally, and ironically, Bernard notes that many women, including feminist scholars, oppose the very concept of a female world because the differences with the male world can be used against women. She concludes, however, that "research devoted to understanding the nature of the female world-its functioning-can counteract the tendency to see the female component in societies as somehow deficient, deviant, versions of the male world" (p. 31).

## Participative Leadership in Church and Parachurch Perspectives

This section discusses the concept of participative leadership as it is viewed and applied in church and parachurch institutions. The section of the chapter is organized around the critical questions of: (a) How is the concept of participative leadership understood and interpreted in churches and parachurch organizations?; (b) Is the concept compatible with the Christian teaching?; and (c) What is the rationale for or against applying it in church institutions? In an attempt to answer these questions, related issues of importance include, the church as an organization, the democratization of the church organizations, and the concept of *diakonia* are discussed.

### Participative Leadership in the Church as an Organization

The institutional Church has some features similar to all other human institutions. Christians are human beings who, like all other people, create institutions that interpret and express some of their interests and commitments. The institutional church, in a way, as human creation experiences the changes and knows the tensions, ambiguities and frustrations of living interdependently in a changing world. It has the same polarizations, strife, tension and

frustration within it that all other institutions of society have had to acknowledge. History, tradition, and the scripture suggest that, in part, it has struggled with its organizational problems just as the other organizations have. Hence, many organizational and ecclesiastical students (Greenleaf, 1977; Lee, 1989; Schaller, 1989) assert that the findings of the studies of the other organizations are more or less applicable to the church, especially in relationship to its main objectives of service and the development of its members and the utilizations of their gifts, abilities including their leadership potentials.

Church growth and other organizational behavioral studies generally affirm the importance of leadership, leadership style, organizational structure for the involvement of members of the organization vis-a-vis for the successfulness of an organization (Clark, 1972; Greenleaf, 1977; Lee, 1989; Schaller, 1989; Smith, Carson & Alexander, 1984; Weiner & Mahoney, 1981).

For the church to be effective or fulfill its mission, objectives, and requirements or standards, the need of having conducive organizational structure and leadership style is becoming more apparent. This has been of great concern in the church right from the beginning. Apostle Paul wrote letters to the churches to

encourage, organize, and instruct them in the faith. For example, he writes to the Christians at Corinth, "All things should be done decently and in order" (1Cor. 14:40). Along this line, Clark narrates about the organizational tasks of a spiritual leader,

A Christian leader has to be able to draw people to Christ and to help them grow in their relationship with Christ; he has to be able to help people come together to form community based on Christ; he has to be able to organize to the community in such a way that people get all the help they need to be good Christians - in that order of importance. In order to be a good community dynamically developing, a leader has to do these three things. (Clark ,1972, p. 135)

Clark further describes the Christian community as a ". . . social grouping which can meet all the basic needs a person has in order to be able to live as a Christian" (Clark, p. 70).

Weber (1983) wrote extensively on the topic of bureaucracy. Weber and his classical sociology of authority discusses the church as an organization. His theory of authority includes a topology distinguishing between traditional, rational-legal, charismatic, as well as, many hypotheses on the inner functioning and transformation of the different types of authority. Schutz (1975), using Weber's sociology, has tried to discuss to what extent the charismatic authority functions at different levels of the church. He poses important questions including, "Who emits and transmits

authoritative worlds?" and "Who receives financial support for work in the church or its mission?"

Lutheranism relates to the branch of the Protestant Church adhering to the views of Martin Luther. At this juncture, it is very important to consider one of the beliefs in the Lutheran traditions which is directly related to leadership and organization. This belief is with respect to the priesthood of all believers - every Christian is a priest to everyone else in the Christian community. Moreover, the context of the Lutheran churches in the United States of America is considered to favor the need of respect to the individual and the importance of giving him or her the opportunity to grow, to work according to his or her own interest, and to have a say in the matters that affect his or her life.

By allowing people of all levels to participate in decision making, organizations help them to make a full and worthwhile contribution which enables them to develop their potential. Within this framework, generally attributed in varying degrees to Argyris (1964; 1983), Likert (1961), McGregor (1960) and Bennis (1985), the development of the individual is an end in itself and not a means to an end. Ironically then, there is some doubt as to whether performance is a suitable yardstick against which to judge the

benefits of participative leadership especial when we consider the unique character of the church as an organization. Although the institutional church has many similarities with other institutions, it also manifests one profound difference because of its own unique source, history and its relation to the transcendent source of life, Jesus of Nazareth. This difference has a direct effect on its leadership (Holmberg, 1978; Richards & Hoeldtke, 1980; Schaller, 1989).

Wofford and Kilinski (1973) have contrasted two kinds of organization-- "authority centered" and "team centered." The authors criticized the authority-centered approach that involves the typical organization chart and is essentially a control system, where leaders spend their time attempting to motivate people to accomplish the tasks they set for them and the members are not expected to make decisions and goals. Instead the authors recommend the team-centered organizational approach because: (a) it is an organization in which the basic unit of communication is the group rather than the individual; (b) there is a large amount of mutual influence within each group; (c) group members manifest their love for, and acceptance of, one another; (d) the group possesses a high degree of responsibility for decisions and actions



within its area of responsibility; (e) since many individuals belong to more than one group, coordinated efforts are possible as information is conveyed from one group to another; (f) the membership of the official board of the church is made up of the leaders of all major groups; each group, therefore, has a communication link with the board; (g) the organization has a minimum number of organizational layers; and (h) members participate actively in their areas of responsibility (p. 160).

Holmberg (1978), Richards, and Hoeldtke (1980) argue that the although a team-centered organization is closer to the biblical model than the authority-centered organization, it falls short because it presupposes institutionally based assumptions. What the church needs, the authors contend, is a noninstitutional organizational model, one that creates community rather than committees and agencies, one that shows how an organism rather than an organization functions. The church, the body of Christ, is a living organism. The struggle to understand leadership must begin, the authors assert, with the recognition that Jesus functions as “head over everything for the church, which is his body.” As head He is the source and origin of the church, the one who sustains the whole body and supplies all that the church needs for growth.

By referring to the New Testament (1Cor. 11, Ephesians 1:22, 4:15, 5:21-30, Colossians 1:18, 2:10, 2:19), Richards and Hoeldtke (1980), affirm that the New Testament concept of head ship is completely different from that of the Old Testament. While the Old Testament head ship is hierarchical and implies lines of authority and responsibility, the New Testament head ship is organic, a relationship between Jesus and His followers. Hence, there is no hint in the New Testament of the concept of head ship as ' the position of head or chief; chief authority; supremacy'. Rather, Christ is the head, the servant leader. Leadership in the church is, therefore, leadership under Christ, which does not imply a position above other members, but relationship.

Looking at the function of Christ as the head, the authors argued that the "servant" model best capture the implications of head ship and reject the "chain of command" model for Christian relationship. Therefore, authoritarian and managerial attitude is not considered as appropriate according to these authors. They have also advocated for the key elements of participation such as ownership, consensus and freedom of the believers (Richard & Hoeldtke 1980, p. 303).

Bergendott (1951) gives historical analysis of the Swedish and German Lutheran view of ministry as compare to Luther's intention of priesthood of all believers. The author emphasizes on the priesthood of believers as key factor to Lutheran tradition.

Mober (1962) also, writes of church growth from the organizational perspective. He highlights how effectiveness is related in a context of change. He claims that the need to uphold tradition hinders the intellectual freedom necessarily to cultivate prophetic insights. Hence, he suggests that there is a need of an open system lest the lay people withhold information about public and professional life. Routine duties consume time and energy and hence, clergymen lack the clarity and conviction needed to preach about the actualities of current life necessitating the need for the support of the laity.

Worley (1976) considering the church as a voluntary organizations, writes that the chief distinction between the voluntary and the nonvoluntary organization is the way power is diffused in one and centered in the other. In churches and other voluntary organizations, the elected leaders have only a limited amount of power. They may have authority--the right to decide--

but their ability to make things happen is limited because the power is so widely distributed. In Worley's words,

Power is lodged in every member and group. Each person has total control over his piece of power. Control of this power is exercised through attendance and contribution of resources (time, money, ideas, skills) to congregational goals. This is real power, as any budget and finance committee can attest at stewardship time. ( p. 31)

Worley (1976) further asserts that the church as the body of Christ needs a change in its utilization of the gifts of all its members and writes,

The cultural era is over, finished, when bishops, church executives, district superintendents, or judicatory officials can decide which gifts of which people the church will use. The features of our culture. . . . are doing their work so that the old conditions that supported static, hierarchical organizations, unilateral decision making, and unidirectional communication can never develop again. A new, fraternal, collaborative relationship must emerge that enables persons with their variety of gifts to decide mutually how, when, and which gifts will be used, or the church organization will die. (Worley, 1976, p. 691)

Regarding the church's organizational structure, style and type of leadership, Winter (1968) writes,

Protestantism takes a pragmatic view of organization. As long as agencies contribute to the preaching of the word, the administration of the sacraments, and the maintenance of pure teaching, they are justified. In brief, Protestantism upholds a dynamic principle of order - the disclosure of the world with power in the community of faith. (Winter 1968, p. 105)

The above statement leads to the systems theory as identified and described by Rudge (1968). This theory is considered as an ideal organizational theory against which one could compare the congregational structure, participation of members as related to the effectiveness of the congregation which is considered to be the body.

Rudge (1968) links the system theory to the body of Christ image of the church. He claims that when the Bible speaks of the church as the "body of Christ," it affirms the unity of the Christians with each other and with Christ himself. Hence, growth of this body is possible only when members are intimately linked and at the same time share sustenance and strength with one another. The theory seems to be highly supportive to the participative approach. The theory as developed by him briefly: (a) emphasizes relationship between the different parts of an organization, noting the influence of the parts upon the whole and upon each other shows the continual state of adaptation of the organization to the world around it, enabling it to be both faithful and relevant to its purposes; (b) offers a perspective of wholeness; (c) keeps the church to see itself in relationship with other systems in its environment; (d) increases

greatly the effectiveness of any planning process by identifying all the components of the church and its environment that will act as resources or constraints upon the plan; and (e) enables the leader or group to predict more accurately the effects and implications of alternative cause of action.

Worley (1976) suggests that the church can be taken as “ a massive amount of information that is stored.” Every aspect of the church organization according to Worley, is taken to be an information, as information available to participative persons. For Worley, words such as “climate”, “character”, and “personality” of a church organization become important since they point to information available to people in those organizations (p. 39). Because of this, it is also possible to raise issues such as climate of a church organization, participation of members in the leadership of the organization and the impact of their interactions on the success of the church. Teaching and learning done in the church or any organization that belong to a church is related to the climate of the church. The climate of the church, in turn, affects power, members' motivation at all levels, the need or lack of need for achievement, and social relationships. If the church or any organization that belong to the church wants to remain effective, it

must foster conditions that create expectancies, bring about positive learning and the encouragement of Christian thought and action.

What are the conditions and what is the nature of a church organization that will support and encourage the development of the individual member or any group who passes through organizations such as the colleges? Although very little empirical research has been done about the Church in general, scholars many times have included its organizations such as educational institutions in their research. Findings are considered to be applicable to the Church and its related organizations (Schaller, 1989; Lee, 1989). Obviously, the ambiguities and/or clarities of organizational and leadership results do affect the ecclesiastical ministry and the discussions on leadership and organizations within the church spheres.

In brief, while some ecclesiastical authorities consider the church as an organization, others contend that it should not merely be treated as an organization. Still, others argue that the church cannot be both an organization and an organism. Those who consider the church as an organization posit that some of the organizational, leadership, and other research findings are also applicable to it. According to the previous discussion, the church and its

organizations can take any form and needs to utilize their members. The purpose is to help the individual grow as they serve in and through the organizations. Every member of the organization is free to be and serve by adhering to the leadership of one Lord which makes it unique as an organization. This necessitates an analysis of the concept participative leadership from theological perspective. The analysis is interrelated with the analysis of languages, theories, and empirical findings of the studies from other perspectives.

#### Strategy for the Analysis of the Ecclesiastical View

Ecclesiastical scholars from different churches address the origin of the ministry and the exercise of authority of the church. This process becomes complex as it reflects the particular theological background of different scholars. Furthermore, scholars may differ as they interpret, relate, and communicate based on the use of current languages, theories, and findings (Carroll, 1991). In whatever form the analysis of these issues is presented, the complexity is further increased by the fact that every ecclesiastical tradition wishes to find its own church order confirmed by the New Testament. Consequently, discussion of such questions seems to belong to the field of systematic theology



(Harling 1972; Schutte 1975; Holmberg 1978) and requires rigor and expertise beyond I have. Hence, I have deliberately focused on two issues that more relate the concept of participative leadership and seem to successfully portray the dilemma that ecclesiastical scholars are facing as they interpret and practice the concept in various church organizations. These issues are “democratization of the Church” and “*diakonia*”. The work of Lehmann (1971) and Kung (1971/1972) are mainly central to the analysis of these issues.

#### Democratization of the Church

When ecclesiastical scholars discuss the concept of participative leadership although they agree on its importance, they differ in their labeling and analysis of the concept (Kung, 1971/1972; Wofford & Kilinski, 1973; Schaller, 1986; Lee, 1989; Carroll, 1991). For example, while some use the phrase “democratization of the church” (Kung, 1971/1972; Lehmann, 1971) others, like Schaller (1989), react and claim that this term is value laden and obsolete and at worst counterproductive. Instead, Schaller suggests to use other conceptual framework for looking at different approaches to leadership, such as, David Whetten’s categories of “hunters” and “gatherers” or “charismatic” and “catalytic”, Johns’ identification of two types of leadership in an

organization--concern with institutional maintenance and concern with organizational change; and Burns' suggestion of "transactional" and "transformational" leader. To see how the scholars analyze and what dilemma they encounter as they try to understand and practice the concept of participative leadership in their respective organization, this study will take the phrase "democratization of the church" as an example.

While referring to the Church in general, Lehmann (1971) assumed that the context of the church in the United States is democratic. To the extent that the Church lives in the context of the modern and democratic world, Lehmann argued, the greatest possible "democratization" of her organization is admittedly necessary. However, this does not mean that from the theological point of view the Church must undergo any fundamental change of structure or any radical loss of identity.

Are there any foundations of a democratic form of life in the Church in the New Testament? In answering the question, Lehmann referred to the scripture, Mark 10: 42-45, and contended that since the life, mission and service of the Son of Man, Jesus Christ, is taken as the true form of life in the Church, there can be no analogy with any form of rule or power in the world. Consequently, the

words “democracy”, “democratic and “democratization”, when used in the context of the Church, do not have to do with a form of rule or power so much as with a form of life. The basic New Testament law of a Church form of life and the conditions of contemporary society to a democratic form of life in the Church must, therefore, be directed towards democracy not as a form of rule or power, but as a form of life.

In the same vein, Kung (1971), raised different pertinent questions and arguments and came to the same conclusions. Kung’s question seemed to challenge those elements that challenge the “democratization of the church”. Why priests? What need is there for a special Church “office today? In a pluralistic and democratic society, what sense is there in the polarity between office and people, “above” and “below,” speaker and hearer, one who gives orders and one who carries them out, giver and receiver? Are special Church offices excluded a priori by a pluralistic and democratic industrial society’s insistence upon maximum cooperative decision making, upon maintaining itself through its own achievements and upon specialization within a system of division of labor? How do Church offices function and what is their actual effect?

In attempting to answer the above questions, Kung (1971) asserted that democratization is not a panacea for all the ills of society. It is not sole principle of social structure to be applied equally to state, family, economy, cultural, and religious institutions. Like democracy, democratization is an analogous-- indeed, and ambiguous - political concept. It can be defined only historically and can at best be used for theological purposes only after it has been carefully translated and analyzed in the light of the norm of the New Testament message. Hence, Kung concluded that democratization of the Church cannot mean exchanging the rule of the officials for that of the people (i.e., a direct people's sovereignty), but an increasing coresponsibility of all members of the ecclesiastical community through an appropriate share in decision making, freedom and solidarity for the good of the whole and of each individual. It is not the violent overthrow of the values and leadership of the Church without distinction, but the dynamic process by which a way of life (not a form of sovereignty) is set up. This conforms better than what we have so far known to the Christian message and to the modern feeling for the greatest possible freedom and the best possible equality (equality before the law). This, according Kung, is achieved at all levels of the Church

(both from “above” in the institutions of the Great Church and from “below” on the parochial and quasi-parochial grass-roots level, in the macro structures and micro structures), both in the light of people’s convictions (principles, attitudes, manner of life, modes of behavior) and institutionally and structurally (constitutional and juridical forms of organization).

#### Church as Community of Believers

Both Lehmann (1971) and Kung (1971) indicated that democratization of the church must be justified in the light of the Gospel of Jesus Christ and cannot be merely the reflection of the uncritical adaptation of the Church to the spirit of the age. For these authors, the Church bears the name of Jesus Christ, hears His word, and is sustained by His Spirit. The Church can never be identified with a particular class, caste, clique, or authority. Like Jesus Himself, His Church addresses itself to the whole people and particularly to the underprivileged. The Church is the whole community of believers in Christ who regard themselves as people of God, body of Christ, and structure of the Spirit.

The decisive criterion of this community is not a privilege of birth, state, race, or office. What is decisive is not whether someone has an office in the Church or what office the person has,

but whether and to what extent the person is purely and simply a believer, that is, one who believes, obeys, serves, loves, and hopes. Church means the whole believing community which awakens faith in Jesus Christ, invites commitment in his Spirit, makes the Church present in the world through the Christian witness of daily life and thus carries on the cause of Jesus Christ. This is accomplished through the proclamation of the gospel--often done more by the humbler folk than by the hierarchy and theologians, more by deeds than by words. It is everyone, not just a chosen few, to whom the proclamation of the Christian message in all the different kinds of congregation is entrusted. According to the Gospel, individual and social life is required of all. All are entrusted in baptism in the name of Jesus and are responsible for each other, for the congregation, and for the world. These basic functions include a community of liberty, equality, and fraternity. Based on the New Testament, both authors have discussed the basic characteristics of a democratic community which are freedom, equality, and fraternity.

#### The Freedom of the Christians

According to the New Testament, the Gospel, faith of Christians, and the Church as the community of all believers are not

factors which prevent, minimize, or suppress freedom. They are effective guarantees, ultimate safeguards, and foundations of freedom. Because Christians have accepted faith in the freedom “to which Christ has set them free” (Galatians 5:1), they have succeeded to the “law of freedom” referred to in James 1:25 and 2:12. Their freedom is inseparably attached to their faith and status as Christians (Galatians 2).

If Christians sacrifice their freedom to any of the powers that may enslave them they will also sacrifice the Gospel and their salvation. Hence, the Church is a community of free people. Its members are freed for freedom: liberated from slavery to the letter of the law, from the burden of guilt, from dread of death; liberated for life, for service, for love--people who are subject to God alone and not to anonymous powers or to other people.

The Christian freedom is not their dowries as creatures, but the gift of God in the Spirit of Jesus: “Now the Lord is the Spirit, and where the Spirit of the Lord is, there is freedom” (II Corinthians 3:17). This affirmation could be readily applied as a norm to the life of the Church. As a gift of God, the Christian’s freedom is not at people’s disposal, cannot be manipulated or eliminated. The immediate experience of God enjoyed by the Christians, who know

that God has accepted them as sons and daughters has allowed them to call God by the intimate form of address "Abba" (Romans 8: 14-16), cannot be subjected to further mediation, "for there is one God, and there is one mediator between God and men, the man Jesus, who gave himself as a ransom for all" (I Timothy 2: 5).

The New Testament interprets the Christian's freedom quite radically as freedom from sin and death (Romans 8: 2). It defines the Christian community consistently as the sphere of life: "We know that we have passed from death to life, because we love the brethren" (I John 3: 14). The Christian form of life is characterized by life, because it is sustained by the "new life of the Spirit" (Romans 7: 6). The Christian is characterized, not by a weak immaturity, but by the practice of freedom which reminds other people of their freedom, enables them to put it into practice, and educates them in its use. The Christian has shining examples for the Christian form of life that is so distinguished by freedom in the activity of Jesus and of Paul.

The New Testament concept of freedom, which proclaims that the Christian is not at the disposal of all the powers of this world, should be thought of not in a purely individual sense, but in a social and ecclesiological context. The Christian community, the Church,



is above all the fellowship within which eschatological freedom is realized here and now in anticipation. Free fellowship means that believers are no longer enslaved and subjected to the elements, the gods of this world, the powers of fate, or the law and the letter of the law. They have been set free by Christ and are bound only to the "law of Christ" (Galatians 6: 2) which is love.

Freedom is both a gift and a task for the individual Christian and the Church. This freedom must be made concrete in the individual's own existence. It cannot remain merely a moral appeal in the Church that is directed mostly at others. The Church should be both a sphere of freedom and an advocate of freedom in the world! In such a community of free persons, in the light and power of Jesus, all members without distinction should be able to remain free in today's world from worldly powers (enslavement to the economy, science or the state), idols (cult of persons) and false gods (worship of possessions, pleasure, power). Through faith in God, neither regarding the world as an enemy nor falling prey to it, Christians have confidence that history has a meaning and that the reconciled world has a future. As advocates of Jesus Christ, the Church may not or should never be an institution for domination.

The Christian community, the Church must testify to the truth of the freedom and do this through the form of life. According to the New Testament, this bears the imprint of the free word and frankness. This is characterized by free renunciation, generosity, and concern. This is accomplished through encouraging lively spontaneity, eliminating disabling legalistic thinking, destroying all cramping conventions, granting peace and joy (Romans 14: 7), and liberating from selfishness, the enslavement of "vital interests," and fear.

#### The Equality of Christians

Based on the New Testament, Kung (1972) and Lehmann (1971) indicated how the equality of Christians have a bearing on the democratization of the Church. Christians are "children of the free woman" (Galatians 4: 31) and members of the community of the free who have been set free for freedom (Galatians 5: 1) and experience God immediately. On the basis of this freedom which which the Church has received and made concrete, the Church should be a community of fundamentally equal people. To be sure, this is not an equalitarianism that would put the multiplicity of gifts and ministries all on the same level. Whatever their differences among themselves, Christians have the same fundamental rights. It is

through a free decision that individuals have joined the community of faith or remain in it.

Those who are unequal--rich and poor, high and low, educated and uneducated, white and non-white, men and women, should be brought together in the church in a solidarity of love. Faith in the crucified Christ cannot and is not intended to abolish all inequality in society; the kingdom of equality achieved is still to come. But this faith is capable of dissolving social differences (master and servant), cultural differences (Greeks and Barbarians) and natural differences (man and woman) in the community. All members of the Church enjoy equality of rights in principle. In principle, they have the same rights and the same duties.

As an advocate of Jesus Christ, the Church can never be a Church of a class, race, caste or officials. In the Christian community, all the natural and social distinctions which are valid in the world lose their validity and become relative:

For in Christ Jesus you are all sons of God, through faith. For as many of you as were baptized into Christ have put on Christ (like a garment). There is neither Jew nor Greek (distinction between races and religions), there is neither slave nor free (distinction between social classes), there is neither male nor female (distinction between sexes), for you are all one in Christ Jesus. (Galatians 3: 26-29)

In the Christian community, every member is equal to every other member, like a brother and sister “for whom Christ died” (Romans 14: 15) and no member should despise another member or set oneself up as a judge: “Why do you pass judgment on your brother? Or you, why do you despise your brother? For we shall all (equally) stand before the judgment seat of God” (Romans 14: 10).

In the Christian community there should not be discrimination between people:

For if a man with gold rings and in fine clothing comes into your assembly, and a poor man in shabby clothing also comes in, and you pay attention to the one who wears fine clothing and say, ‘Have a seat here, please,’ while you say to the poor man, ‘Stand there,’ or ‘Sit at my feet,’ have you not made distinctions among yourselves, and become judges with evil thoughts?” (James 2. 2-4)

There is fundamental prerequisite for the division of the community into many different services (I Corinthians 12). This division of the community or body does not imply any distinction according to class or rank: “God has so adjusted the body, giving the greater honor to the inferior part, that there may be no discord in the body, but that the members may have the same care for one another” (I Corinthians 12: 24). No brother may be so presumptuous as to assume a special dignity: “You are not to be called rabbi

(master), for you have done teacher (master), and you are all brethren" (Matthew 23: 8).

Among the people of God, no respected persons should determine decisions and in the body of Christ, no member, however humble, should suffer contempt. However, this fundamental equality must be preserved and protected by the constitutional structures of the ecclesiastical community, so that these will never encourage injustice and exploitation. No one in the Church has the right to abolish this fundamental equality, to suppress it, or to perpetuate inequality through the rule of people over people.

Equality should be evident especially in the Church, so that whoever wishes to be great and foremost should become the slave and servant of all. Church structures should likewise be so constituted as to testify to the fundamental equality of the members. The Church should be both a place where all have equal rights and advocate equality of rights in the world! In such a community of equals, therefore, all members should be able to live, act, suffer, and die in today's world in a truly human way. Christians are completely supported by God to commit themselves for the human race.

### Christian Fraternity

On the basis of the freedom and equality, the Church is a community of brothers and sisters. The evangelist Matthew, a strong advocate of Christian fraternity, emphasizes Jesus' instructions to his disciples and opposes any kind of "personality cult on the part of Christians which might harm the equality of the brothers". Immediately after the servant hood passage (Matthew 23: 8), it is stated: "And call no man your father on earth, for you have one Father, who is in heaven" (Matthew 23: 9). Within the Christian community, in which all are free and equal, there is no place for any kind of paternalism which tend to establish positions of power and to foster an attitude of immature dependence on the one hand and an attitude of paternal authority, disguised as spiritual or clerical authority, on the other.

The idea of patriarch does not have any place in the community of Jesus. What is important is the will and kingdom of God and the form of the rule of God in Jesus. This manifests and becomes visible as fraternity, love, and an attitude of service to others. The authority which is recognized as valid in the community of the Church is the authority of love and care. In this fraternity, there can be no authoritarian clerical father.

Like freedom and equality, Christian fraternity is also a gift (the result of being children of God) and at the same time a demand. The truth of this fraternity must be proved in the community itself --in mutual admonition, correction, and in an unselfish readiness to settle disputes by arbitration. The very name brother or sister binds the Christian (Philemon: 16; I Corinthians 6: 1-11) to each other, and each to his/her own special service and task.

As an advocate of Jesus Christ, the Church can never have a patriarchal authority structure as its government. Only one is the holy Father, God himself; all members of the Church are his sons and daughters and they must not be reduced to the status of minors. In this society people may establish only fraternal and not paternalistic authority. Only one is lord and master, Jesus Christ himself; all members of the Church are brothers and sisters. The supreme norm is not the patriarch, but the will of God, which, according to the message of Jesus Christ, is directed to the welfare of all.

In freedom Christians are united in dependence and duty, power and renunciation, autonomy and service, being master and being slave--a riddle whose solution is love. In this riddle the master becomes slave and the slave, a master. Although the democratic

demands for the greatest possible freedom and the best possible equality seem basically in opposition to one another, the belief is that they can be reconciled.

*Diakonia : Service of the Christian Community*

The task of the Christian as an individual and as a community is to serve. The authors of the New Testament did not use any of the terms which correspond to the modern concept of "office" to denote functions within the Church community. They were consistent in their avoidance of these Greek words when they were speaking of services, functions, order, and leadership in the Christian community. These Greek words that correspond office came later after reflection and are not without their own difficulties since they express a relation of domination and are not biblical concepts.

Whenever the authors of the New Testament wanted to describe the "services" performed by individuals in the Christian community or to characterize the tasks carried out within the community as whole or in its missionary activity, they always used a completely ordinary, non-religious word with a somewhat humbler flavor that suggests no connotations of officialdom, authority, domination, and positions of dignity or power--the word *diakonia*, service (more exactly, service at table).



The word diakonia is a different categorical term which often is used as a synonym for charism in Pauline usage. The choice of this word shows clearly that the early Christian authors wanted above all to express a distinctive attitude which prevailed in their communities. This attitude resulted from the freedom, equality and fraternity of Christians who were ready to make themselves available for the task of building up their community. It was not an official attitude which was based on privilege and authority, but is an attitude from which the obligation to serve arose.

#### The Norm--Servant Hood

Jesus instructed and set a standard about serving in the gospel tradition during the controversy among the disciples, the Last Supper, and washing of the feet. The norm is "the highest should be the server (table server) of all." Jesus' instruction to the Christian communities conveys the fundamental structure of office in the New Testament community.

The Christian communities and their understanding of the nature of office at different time and places is clearly spelt in the New Testament by the different evangelists. For instant, Mark (Mark 10: 42-45) wrote about Jesus reply to the ten, who had taken offense at the request made by the sons of Zebedee to enjoy the

special privilege of experiencing power at Jesus' right and left hands. The practical consequences for Christian equality and fraternity is also discussed by Matthew in Chapter 23 of His gospel.

Again Luke gave special emphasis to Jesus' prophetic norm for the New Testament office by situating his variation of the theme of the servant in the context of the Last Supper and making the word servant the key-word for the function of the apostles. He stressed servant hood as the norm who serve in community. He said,

The kings of the gentiles exercise lordship over them; and those in authority over them are called benefactors. But not so with you; rather let the greatest among you become as the youngest, and the leader as one who serves. For which is the greater, one who sits at table, or one who serves? Is it not the one who sits at table? But I am among you as one who serves. (Luke 22: 25-27)

In the fourth gospel, the attitude of service that should characterize the Christian in office in the Church is also expressed in the symbolic action of the washing of the disciples' feet. The incident as written in John 13, occupies the place that is taken up in the synoptic gospels by the accounts of the institution of the Eucharist: "I have given you an example, that you also should do as I have done to you" (John 13. 15).

In all these traditions, the mission, life, and service of Jesus are shown as examples for the task of the Christian Church. The community of Jesus does not have a power structure such as the one that is present in the world, with its contrasts between rulers or masters and servants, princes and slaves, the first and the last. Neither does it have an office that is constituted simply through knowledge and dignity corresponding to the office of the scribes. Under the demands made by the rule and kingdom of God in the mission of Jesus, there is a complete reversal of these secular norms for those believers who are prepared to change and to build up the community of Jesus. The life and order of the Church community, according to the basic New Testament law, is above all *diaconial*. It is a life and order of service, a better way of expressing the “democratic” form of life in the Church, and perhaps a “diaconally democratic” form of life that is important for the world.

There is, of course, authority in the Church. Service in the Church has to be recognized as authoritative and this authority has already been characterized as an authority of brotherly or sisterly love and care. Authority is only legitimate when it is based on service and not on power, prior rights, or privileges from which the

obligation to service is then considered to flow. Service and authority are in no way mutually exclusive. Both Jesus and Paul provide striking examples of the coincidence of service and authority, of the exercise in service, of truly great authority, and of freedom. Hence, from the New Testament perspective, it is better to speak about Church ministry rather than about Church office.

Kung (1971/1972) asserted that the concept ministry unlike the concept of office, is grounded in the New Testament. As a functional concept it is not subject to being misinterpreted through institutionalization. Even in its literal sense, it is a summons to service, for which every functionary can be held responsible in practice. Its misuse is thus recognizable. Hence, Kung suggested to make exact theological and terminological distinctions and correlations among the concepts.

Power can also be used for good or bad purpose. Even in the Church, power cannot simply be abolished. When effectively channeled, it can be used to carry out functions that serve the common welfare. The use of power may be unavoidable. When individuals or groups use it to dominate others it is wrong. It is wrong because it is done to retain a privileged position or increase one's personal power. Power can be used responsibly in the Church

only in terms of service and is to be evaluated according to its quality as service. Power which comes from service is genuine. The opposition is, therefore, not between power and service but between the use of power to dominate and its use to serve. Domination especially through external power is the opposite of service and is the misuse of power. Church leaders are expected to restrain themselves from the temptation to use power to dominate other.

The norm practiced in early Church. Each of the New Testament communities ordered its life and work differently depending on the historical situation and the environment in which it was placed. Generally, it did this freely and more or less convincingly as a diakonia or service in accordance with prophetic norm of service summoned by Jesus. There is documentary evidence to show that this basic New Testament law of diakonia was in fact carried out and given a concrete form in various orders of service in the Christian communities. A few examples of these services in the New testament will clarify the meaning.

The different Christian missionary communities, which were founded by the apostle Paul were exercising their freedom fully. Although they were answerable to him, they were themselves responsible for instituting their respective services, orders,

functions, and offices that were necessary to the life of the individual community. There was a group of office-bearers whose task was to serve the community in Thessalonica. They were to be esteemed very highly because of their work. In other words, their service to the community in the concrete, not their office in the abstract, was to make them respected by the community. They had as much responsibility as the few who had been appointed by the whole community to carry out special tasks (I Thessalonians 5: 12).

In the community at Philippi, there were leaders and preachers who were either elected or else simply confirmed in their office by the members of the community. They were called by secular titles taken from the Greek word of unions and associations--*episkopoi* or overseers and *diakonoi* or servants. This was clearly a step towards the institutionalization of the services or offices. Appointment to various necessary services in the communities founded by Paul cannot be regarded as an apostolic ordination or as the result of spontaneous enthusiasm on the other (I Corinthians 16: 15-20). In this passage, Stephanas and his family, who were the first converts in Achaia, placed themselves at the service of the community. Paul believed that this kind of voluntary service deserved to be recognized as authoritative and that the Christians

at Corinth ought to be subject to all those who worked for the community.

The principle can be summarized as follows: (a) service performed in order to build up the Christian community is always official service; (b) every Christian was bound to serve the community according to their individual abilities and gifts; (c) there was, at this period, no office, to which an individual had to be appointed or ordained as a prerequisite of service to the community; (d) Paul recognized a multiplicity of functions and every member of the community had charisma (I Corinthians 12: 28; Romans 12: 4-20.); and (e) all had to use their gifts to further the welfare, the unanimity and the peace and of the community and they all had to perform an external service, that of building up the community of Christ and of considering those outside the community (I Corinthians 14), and an internal service, that of love (I Corinthians 13).

These New Testament services are collegial offices. There are many scriptural examples of such collegial offices--the 12 apostles in the primitive Christian community, the leaders in the Pauline missionary communities, and the bishops and elders in the communities of the pastoral letters. The bishops and elders

mentioned in these later letters written at the turn of the first Christian century were candidates appointed to a clearly defined, already established office by the imposition of hands and were supported in their office by their communities.

In addition to the communities referred to in the pastoral letters, which represent an advanced stage of institutionalization and consolidation, other communities with distinctively fraternal orders of service are also mentioned in the later writings of the New Testament (Matthew; John). Towards the end of the period covered by the New Testament, life in the Christian communities and their offices and services were clearly pluriform.

#### The Functions--Diverse

The Church as community of liberty, equality and fraternity does not mean making everything alike and uniform. On the contrary, it requires multiplicity of forms: pluriformity, mobility, and flexibility. The New Testament states that there exists countless differences rooted in a fundamental liberty, equality and fraternity - differences not only among persons but also among functions. Inasmuch as this indeterminate multiplicity and differentiation of functions, tasks and ministries exist, it is misleading to speak of Church office in the singular.



It is possible to discern distinctions in the New Testament. To preach the gospel, there are the functions of the apostles, prophets, teachers, evangelists, and admonishers. As auxiliary ministries, there are the functions of the deacons and deaconesses, the distributors of alms, and the care takers of the sick and the widows who serve the congregation. For leading the congregation, there are functions of the first fruits, those who preside such as the overseers and the shepherds. Paul considers all these functions in the congregation as gifts of the Spirit, as a share in the authority of the Lord of the Church, and as a calling by God to definite ministry in the congregation--in short, as charisma. Subsequently, charism is a phenomenon in the Church that is not primarily an extraordinary but an everyday thing, not uniform but multiform, and not limited to a particular group of persons but altogether universal. Therefore, every ministry has authority in its own way when it is carried out to build up the congregation in love has authority .

Paul does not expect unity and order in the Church to come through the distraction of differences but from the working of the one Spirit. The Spirit is the one who gives each person charism to serve others in subordination the Lord. The criteria for discerning genuine charism is that it binds a person to Jesus and his lordship

and it is related to the congregation. Thus every ministry in the Church is oriented toward united responsible action and mutual understanding in the spirit of collegiality and exchange of ideas in the manner of partnership, communication, and dialogue.

### The Call--Priesthood of All Believers

In order to show the biblical basis of the concept of "the priesthood of all believers", Kung (1971/1972) asserted that the New Testament avoids the word "priest" in the sense of sacrificial priest. The One, eternal High Priest, replaced all other priests by offering His life as sacrifices for all. The congregation does not, therefore, offer a second sacrifice of reconciliation over and above that of Jesus; but it does offer praise and thanks for the once-for-all sacrifice of Jesus Christ in which it has been given a share through the Eucharistic celebration. For this reason the one who presides at the Eucharistic celebration must not be considered a sacrificial priest. Such a view contradicts the New Testament in general and the letter to the Hebrews in particular. Since everyone has access to God through the One High Priest (1 Peter; Revelations), the universal priesthood of all believers follows. Its concrete content is the immediate access of everyone to God, spiritual sacrifices, the proclamation of the word, baptism, Eucharist, the

forgiveness of sins, and mutual intercession for one another.

Therefore, from a New Testament point of view, the term priest should be dropped as specific and exclusive term to identify people who serve in the Church because all believers are priests.

Instead of speaking of priesthood (official priesthood, ordained priesthood), Kung suggested that the Church should select the terms that indicate functions. As early as the New Testament functions are, people who preside, overseers, deacons, elders, shepherds, leaders. Many of these designations, which at first were definitely non-cultic and non sacral (bishops, pastors, presbyters, and deacons), have lasted along with other later ones, down to the present day. This is perfectly all right.

If there is a need of a general term for all these ministries, one might suggest ministry of leadership in the church. A persons who presides over church ministry could be called leader or presider (of the congregation, diocese, or state Church). Moreover, since the English word priest (pretre, prete, presbitero, prester) comes originally from the noncultic title of the congregation elder, it can be replaced (as is in fact done in some churches) by presbyter or elder or presbyter by pastor.

### The Charisma--Different

Every member of a Church has charisma. However, the ministries or charisma in the Church are different. For example, according to Paul all ministries or charisma are not permanent public ministries in the congregation. One group of charisma--for instance, the charisma of admonishing, consoling, counsel, knowledge, discerning the spirits--are clearly more in the nature of private endowments and virtues given by God which are put at the service of others and used as occasion offers. But other charisma--those of the apostles, prophets, teachers, evangelists, deacons, presiders, overseers, shepherds--are public functions in the congregation which are established by God and are permanently and regularly carried out.

In the case of the first group, the New Testament names mostly the gift and its effect; in the second case, it is the persons who are indicated. It is possible to name the persons because the calling obviously does not come and go arbitrarily, but remains bound to certain persons with a certain permanence, so that these persons in the Church are appointed apostles, prophets, etc. In connection with this second type of special charismatic ministries --that is, with the structure of permanent public ministries in the

congregation--one can speak of the diaconal structure of the Church, which represents one particular aspect of the general, fundamental charismatic structure of the Church. Yet there is no difference in the importance of these different ministries.

As mentioned earlier, it is clear that the Church's ministry basically is a calling, a charism in the strict sense. But charism and institution are obviously not identical. Institutionalized ministry (called "office") is taken to be simply as charismatic. All charisma directly or indirectly are related, incorporated in, and subordinated to the institution. Hence, charism or a calling from God in the Spirit of Jesus Christ, stands by itself and does not flow from the institution. It is a free calling to a free ministry in the Church, which the Church leadership can suppress or even worse extinguish only at its own expense.

A direct or indirect efficient bureaucratizing of a charism contradicts the New Testament. As the New Testament shows, a charism has no need at all of prior legitimation by a Church institution. On the contrary, there are institutions and representatives of institutions who have nothing charismatic about them. For instance, there are ordained Church functionaries who carry out their ministry mechanically and show no sign of a genuine

calling or of the Spirit of Christ. Where there are no human leadership qualities, ability for dialogue, communication, an understanding of people, initiative, imagination, willingness to serve, and a trace of the liberating Spirit of Christ--there is no real ministry and leadership. A person who has gifts and puts them to use is performing a genuine ministry and leadership even if the person does not have an institutional authorization.

Therefore, charism without institution can be alive (the Spirit breathes where He wants), but institution without charism is dead. Only where the Spirit is, is there life. There is always a tension between charism and institution that never relax even within the individual minister. Charism and institution must be distinguished even if they are not hostile to one another. Although they are oriented to each other the conflicts that possibly exist between them are often fruitful.

### The Structure--Variety

The pattern of service established by Jesus was clearly defined for the community of faith. However, it was manifested in many different ways. The pattern of service that Jesus, Paul, the prophets, and the teachers used indicates that various congregations could develop different structures at different times and places.

Congregations that were established by Paul voluntarily remained responsible to him as minister of the Gospel, but at the same time set up for themselves the ministries for order and leadership which seemed necessary for their life as a congregation.

Acts and the Pastoral epistles show an advanced stage of institutionalization (ordination) in the Pauline congregations as well. But other congregations (in the circle of Matthew or John) still manifest clearly fraternal structures, so that as late as the end of the New Testament period there is a great variety (which cannot be harmonized) of congregational structures and a great variety of forms which the ministries of leadership (partly charismatic, partly already institutionalized) have taken on. But this variety did not destroy the unity of the congregations with one another. The question arises, however: Is it still possible under such circumstances to maintain that there is a special apostolic succession of the ministries of leadership?

#### Apostolic Succession and Leadership Ministry

The special apostolic succession of the ministries of leadership consists in the leading and founding of churches. They are rooted in the proclamation of the gospel. They have remained important even when there could no longer be new apostles. The

bishops are not in a direct and exclusive way the successors of the apostles (even less that of the the college of the Twelve). Rather, the mission and ministry are carried out by the entire Church that remains *ecclesia apostolica*.

The leadership ministries of bishops and presbyters or pastors are distinguished from one another based on legal or disciplinary grounds and not on theological ground. The prevailing order, as such cannot be traced back exegetically and historically to a divine institution or institution through Jesus Christ, but are traced back to a long and complex historical process:

1. As the overseers (presbyters) succeeded as the chief and eventually as the sole leaders of the congregation over the prophets, teachers and other charismatic ministries, the collegiality of all the believers gradually becomes the collegiality of particular groups of ministers in contradiction to the congregation, so that a distinction between clergy and laity began to emerge.

2. As the monarchical episcopates of a single overseer gradually came to the fore front over a plurality of overseers (presbyters) in the congregations, the collegiality of the various overseers or presbyters became the collegiality of the one overseer



with presbyters and deacons, so that the distinction between clergy and laity became even more established.

3. With the expansion of the Church from the cities to the rural areas, the overseer who had been president of a congregation became the president of a whole Church district, a diocese or a bishop in the modern sense; the apostolic succession was then formalized by counting the list of series of successions. In addition to the collegiality of overseer and presbytery, the collegiality of the individual monarchical bishops among themselves and later, though only in the West, with the Roman bishop gained importance steadily. From the functional and historical perspective, Kung argued that a special apostolic succession of the ministries of leadership for leading and founding churches can be advanced under the following conditions:

1. The Church leaders, as special successors of the apostles, exist in the Church surrounded from the very outset by the other gifts and ministries, especially by the successors of the New Testament prophets and teachers. These people enjoy their own underived authority in cooperation with the Church leaders.

2. The apostolic succession of ordained Church leaders does not occur automatically or mechanically; it presupposes and

requires faith, which is active in the apostolic spirit. It does not eliminate the possibility of failure and error and therefore needs to be tested by the believers as a whole.

3. The apostolic succession of Church leaders must take place in the community of mutual service of the Church and the world. Entrance into the apostolic succession of the ministries of leadership should normally result, according to the New Testament understanding of the Church from the cooperation of the presiders and the congregations. This can be done in quite different ways. The usual procedure should probably be that the congregational leader, with the cooperation of the congregation, issues a call.

4. If we take into account the structure of Pauline or gentile Christian churches, then still other paths to the ministry of leadership and apostolic succession of Church leaders must be left open - especially in case of emergencies. Such paths would be a calling by other member of the congregation or the spontaneous appearance of a charism for leading or founding a congregation. The presbyterial-episcopal church structure, which de facto - and legitimately - came to prevail in the postapostolic era, must remain even today, at least in principle, open to all the possibilities that existed in the New Testament Church. This thesis has important

implications for the missions (valid Eucharistic celebrations in China or South America, for example, could be possible even without a presbyter), ecumenism (recognition of the validity of the ministries and sacraments of a church whose presiders are not historically in the special apostolic succession), and for the Church's own internal affairs (passing judgment on opposition groups).

The decline into an institutional ministry cannot be said to be normative; nor can the change with respect to the origin, as such, be called apostasy. The New Testament data shows that there are various models of congregational order and leadership in the New Testament which cannot be reduced to one another, even though they were combined with one another in the course of time. The New Testament therefore does not allow us to canonize one congregational structure alone. This does not mean simply one more difficulty for the Church. On the contrary, it gives it the freedom to move with the times and to be capable of new developments and modifications of Church ministry for the good of believers and the congregations. The individual New Testament models need not be imitated, but the crucial New Testament elements must be

preserved and put to the test under completely different conditions, so long as Christianity exists.

To summarize, according to the New Testament, the following characteristics are essential for the ministry of leadership in the congregation. It must (a) be a service to the congregation; (b) follow Jesus' norm, which permits no relationships of domination; (c) remain bound to the primary apostolic testimony; and (d) exist in the midst of a plurality of different functions, ministries, and charisma.

The historically conditioned character of these developments places details in the picture of the traditional priesthood are clearly of a later date. At least a claim can be made that they are normative on the ground that they have been there from the beginning. Therefore, there is not an irreversible development in regard to these elements. No decisive objections against a new understanding and a restructuring of the Church's ministry of leadership today can be derived from this development.

The following are of special significance: (a) The Church is the people of God and the community of believers; (b) the character of Church ministry as service and its collegiality are stressed; (c) the universal priesthood is strongly emphasized; (d) the charismatic

dimension of the Church is recognized and clearly presented; and (e) the local church receives due regard.

### The Nature and Characteristics of Church Leadership

It is more difficult today than ever to define the essence of Church office. From the New Testament perspective, it has been made clear that it is a matter of leadership or of presiding within the congregation. This concept of congregational leadership on local, regional, or universal level can be sociologically subsumed under the concept of religious leadership.

Sociology of religion suggests that religious leadership manifests itself in different forms. The following are types of persons found among religious leaders: first, the founder who starts a tradition, an institution, or community in some large or small way; second, the reformer who brings new impulses, energies, and perhaps even a new direction to an already existing tradition, institution, or community; third, the prophet who speaks powerfully to a particular situation out of personal immediate religious experience, without founding anything new or even making any long-range plan; fourth, the seer who offers the followers personal interpretation, as the prophet does, but more to the group immediately surrounding; fifth, the magician who is able not only

to make interpretations but to achieve very definite concrete effects; sixth, the soothsayer whose ability is not so much to bring about specific things as to indicate by a particular practical method; seventh, the holy person, who interprets what is of ultimate but through personal life; eighth, the priest who deals with the divinity as the cultic person; and finally, the religious person who because special personal commitment in the religious community exercises influence through example and enjoys more than ordinary authority.

These are all charisma, callings in the broadest sense of the term, and something from each of them has made its way into the traditional understanding of office at one time or another. But it is clear that the Church's ministry of leadership, which began in multiple forms in the New Testament, cannot simply be identified with any one of these sociological types. Some of these roles are expressly rejected even in a modern form, at least by the younger generation of pastors. The roles of the magician and soothsayer and that of the sacrificial priest, considered as a consecrated mediator set apart from the congregation are rejected along with a particular concept of sacrament (*opus operatum*).

What is essential for the Church's ministry of leadership?

From the New Testament perspective, which part of the Church ministry can be changed and which ones remain the same? Which among these functions are constants and which are variables? Both constants and variables specify the historical essence of Church ministry in its historical external form and bring to light the continuity amid the discontinuity and the discontinuity amid the continuity.

Those that vary. According to the New Testament, what are the variables?

1. The Church's ministry of leadership does not have to be a full-time ministry: It need not be a profession in every case. As many people's free time increases, a part-time ministry might be very practical, especially for non-territorial congregations. However, this does not mean turning priests into workers (worker-priests), but making workers priests.

2. The Church's ministry of leadership does not have to be for life. It need not in every case be a life's work. The imposition of a time limit can result in more intense involvement. It is desirable that bishops should resign their ministry on account of advancing age or for other serious reasons.

3. The Church's ministry of leadership does not have to be based on rank; it need not be a sign of social status. It is clear that there is neither a sociological nor even a theological basis for that sacralization of the Church's ministry which accompanied the formation of a social class. This concept sets its holder as a sacred person apart from the rest of believers and above ordinary Christians to be a mediator with God--thus making ordination appear more important than baptism. A christological grounding of ministry in the Church, which by passes the Christian community and isolates the Church leader from the congregation, contradicts the New Testament conception of the universal priesthood. All believers share in the priesthood of Christ and all are set apart from the world by faith and baptism in order to live according to the gospel for the world and for their fellow believers.

4. Training for the Church's ministry of leadership does not have to be academic; it need not be scholarly. There are congregations which do not necessarily require leaders with academic standing. Of course, there is a need to give the leader a training appropriate to the needs of the congregation.

5. The Church's ministry of leadership does not have to be celibate; the single life need not be part of it. The fact that



celibacy defended as compatible with the freedom of the gospel of Jesus Christ and also as pastorally expedient is a matter of a purely ecclesiastical law from the Middle Ages. It can only be defended in the light of the gospel as a freely embraced calling (charism) and not as a universally binding law.

6. The Church's ministry of leadership does not have to be exclusively male: it need not be a men's association. Full participation of women in the Church's life, on the basis of equal right, is something that belongs to a suitably renewed Church today. This means not only including women as coresponsible in the different advisory and decision-making bodies, but also the admission of women to all the Church's special ministries and to ordination. Sociocultural reasons have been advanced against the ordination of women for a territorial and a non-territorial ministry of leadership, but no decisive theological reasons have been presented. The New Testament congregations were ahead of their time in their attitude toward the position of women. Inhibitions and objections regarding the full equality of women, explicable in terms of social psychology, can be overcome in the course of time, as experience in the political sphere shows.

Those that are Constant . 1. The Church's ministry of leadership is meant essentially not to be a form of domination but a service to the community--a permanent ministry to a Christian congregation (spiritual leadership). Both the New Testament and the demands of modern democratic society require that the ministry of leadership be grounded in terms of function. The function is not to be understood as primarily sacramental consecrator, but as primarily ecclesiastical social.

2. The Church's ministry of leadership is a permanent or, in certain instances, a temporally limited function which arises from a vocation (charism) that defines the person.

3. The Church's ministry of leadership is meant essentially not be an autocratic authority absorbing all other functions, but one ministry in the midst of a multiplicity of other charisma and functions: a stimulating, coordinating and integrating ministry to the congregation and the other ministries, whether these are permanent (catechists, administrators, social welfare workers, various auxiliary ministries, theologians) or not (groups for making visits, various acts of individual initiative, etc.).

An approach of this kind avoids accumulation competencies which is irresponsible in this age of specialization and allows for a

fresh differentiation of functions. The head or leader of the Church does not need to be a professional theologian, trained psychological counselor, financial expert and educationalist. These functions are not linked with priestly or episcopal ordination. For instance, the theologians in the Eastern churches, now as in the early Church, are mostly lay people. However good it may be, no academic training can prepare a person adequately for all these functions; even talents that are well above average cannot meet simultaneously all the increasingly specialized demands. Some doubling up of particular functions may be feasible in individual cases and can scarcely be avoided in practice, but in principle the accumulation of function should be avoided. To this extent, the distinctiveness of the ministry of leadership consists in being a ministry to the congregation and to the other ministries and in continuing the specifically apostolic ministry of founding and leading churches.

4. The Church's ministry of leadership is meant essentially to be not a rigid and uniform system, but a ministry in the midst of other ministries, which itself can take on many forms: a ministry that is flexible, mobile, pluriform according to the time and place. Congregations vary. Their structures are different and the leaders of congregations are also be different.

5. The Church's ministry of leadership is meant essentially not to be a ministry under arbitrary control of people, but one which can be understood as putting into effect a mandate from the Lord of the congregation and as a free gift of the Spirit; a ministry arising out of a calling from God in the Spirit of Jesus Christ, a calling which must be examined by his community, a calling which finds expression in an inner compulsion, an inner awareness of competence and of being impelled toward practical ministry. There is a part of the congregation and the existing congregational leadership (perhaps to be regionally superordinated) can and should play in the concrete calling of a person to ministry in the Church; but not even the Church leadership can give a vocation to someone who does not already have one

Thus the ministry of leadership in particular is a charism in the strict Pauline sense; a calling from God in the Spirit to a particular ministry on behalf of the congregation. Of course it is not sufficient to appeal to a charism, to a calling from God, to an inner impulse toward the ministry of leadership. Anyone who thinks of this vocation must be willing to go along with one thing: to let the vocation be put to the test. In this sense there is not only a calling from God, but in derived sense a calling through the

congregation and those at its head, who have to orient themselves in self-examination according to the fundamental calling from God.

6. Any ministry of leadership in the Church of Christ, whether institutionalized by imposition of hands or not, presupposes the bond with the original testimony and the original mission of the apostles, presupposes succession in the apostolic faith and personal confession, ministry and life. Any ministry of leadership in Christ's Church, ordained or not, presupposes the mandate of the Lord of the congregation. Ministries of leadership in particular are bound in a very special way to satisfy the demands of the gospel and to be the Lord's disciples. The ministry of leadership in particular is a charism in the strict Pauline sense: a calling from God in the Spirit to a particular ministry on behalf of the congregation. It is not sufficient to appeal to charism, to a calling from God, to an inner impulse toward the ministry of leadership. Anyone who has a vocation must be willing to let the vocation be put to the test, Test the spirits, is addressed to the whole congregation and certainly in a special way to those who lead it. In other words, there is not only a calling from God, but in a derived sense a calling through the congregation and those at its head, who have to orient themselves in

their own self-examination according to the fundamental calling from God.

### Conclusion

Reviewing the literature pertaining the issues of the church as an organization, “democratization of the church” and ‘diakonia’, the authors show that the concept of participative leadership is:

1. equally identified by different terms, debated, and attempted to be applied in different ways in different organizations of the various denominations;
2. more or less applicable as understood, researched, promoted, and debated upon by different organizational and leadership theorists;
3. required by the leaders as they face different challenges as a result of rapid changes and as they try to include all members of the organization irrespective of race, gender, social status, education, and the different gifts;
4. not contradictory to any of the leadership concept as prescribed by the scripture, especially the New Testament and practiced by the early church;
5. drawn from the ecclesiastical teaching regarding, “the church as a body”, “the charisma”, “the priesthood of all believers”,

“diaconea”, “the Christian life of freedom, equality, fraternity, and the subsequent formation of community”; and

6. coherent with the Biblical concept of leadership, the servant hood leadership as taught by Jesus and demonstrated by His life that contradicts the leadership norm of domination, authority, and power which is hierarchically organized.

#### The Study of Perception in Social Reality

There is a common held assumption that colleges and universities have common purposes and that faculty and administrators work together effectively in achieving those purposes (Corson, 1960). Some even argue that college as a collegial community should work to develop equitable rules of governance that meet the interests and talents of the faculty, students, administration, boards of trustees, and the public and private constituencies that support the institution (Carnegie Foundation for the Advancement of Teaching, 1982). Others, however, seem to posit that the opposite can also happen. They claimed that college in governing itself has the potential for building consensus among faculty, administrators, students, and trustees, but also for imprisoning these various groups in rigid cell-blocks that work against positive collegiality in a scholarly

community (Dye & Bing, 1990). In fact, some say that it appears that governance of colleges and universities is shaped more by external factors and study results indicate that that academic governance in general is not as collegial as used to appear in the 1960s and 1970s (Pedro, 1985). Still for others, the authority of various constituencies to participate in leadership or to make decisions is often thought to be unclear and frequently contested. Which view is right? And how do we know? The different of views seem to be a reflection of the difference that exist between people working in the college setting. This part of the review explores the potential existence and formation of perceptual differences between faculty and administrators with regard to the concept of participative leadership in higher education.

Kenen and Kenen (1978) have noted that although individuals react to their own definitions of the situation and act upon these perceptions, studies of subjective aspect of social reality were often neglected in the 60s. Hence, few studies investigated faculty perception of the university (Al, 1973; Parsons & Platt, 1972) and attempted to find whether perceptions varied by type and size of institution, by sex or rank, or by issues involved in institutional governance. These findings show that faculty perceptions of



influence and power do differ by institution, shift with the standing of the observer--with rank, sex, and experience in governance--and vary with the question to be decided. Academics also vary in family background political persuasion, and life goals (Ladd & Lipset, 1975) and institutions vary in values, norms, and applications of sanctions.

Numerous other studies of colleges and universities have consistently identified difference between administrators and faculty perception of their institution (White, 1990). Studies especially based largely on faculty perspectives (Austin & Gamson, 1983; Bowen & Schuster, 1986; Rice & Austin, 1988) present differences in faculty and administrative beliefs. Blackburn, Lawrence, and their associates (1990), in a representative national survey of faculty and administrators, found consistent differences between faculty and administrators views of the organization on several dimensions, including views of the organization climate, academic workplace, and administrative supportiveness.

Previous work done on perception of faculty influence on decision making tended to emphasize consensus rather than diversity in faculty perspectives. Hartnett and Centra (1974), for example, report that professors tend to agree about the character of

the university: perceptions of the institutional environment do not differ by rank, teaching load, or discipline. Like Hartnett and Centra, the Kenens (1978) found much agreement among faculty respondents, but found significant differences in views between senior and junior faculty, rank, and between members of the faculty who are (or have been) department chairs and their colleagues.

Recent work on faculty values and attitudes has, however, undermined the myth of homogeneity. Faculty members do not think alike. Austin and Gamson (1983) found that individual characteristics such as age, stage in career, and gender may predict faculty members' perceptions of the academic workplace and their commitment to undergraduate education. Specific differences in perceptions of psychological climate were also found for faculty by gender (Thoreson et al., 1990).

The work of Kenen and Kenen (1978) has indicated that influence is perceived to be defused in educational and appointment policy: senior faculty and department chairs are perceived to exert a great deal of influence in these areas, but not at the expense of administrators or trustees. These data are also affected by institutional settings and the respondent's position within the institution. Rank appears to affect more perception than sex or

chair ship. Junior and senior faculty are differed most frequently in their assessment of influence.

With respect to denominational institutions, respondents perceive influence to be distributed hierarchically. In each policy area, the faculty ascribes most influence to the administration, with department chairs next, followed by senior faculty and junior faculty. Trustees are thought to wield somewhat greater influence on educational and staffing decisions but not on financial decisions. These findings qualify Blau's (1973) suggestion findings that financial responsibility resides in the hand of the trustees. The explanation is considered to be that financial policies are subject to external control by church bodies at many denominational institutions just as they are subject to legislative approval in public institutions.

Senior faculty are perceived to exert little more influence than trustees in areas such as curriculum and staffing, areas in which professional qualifications and standards are involved. Control over one's professional standards and areas of professional competency, a commonly accepted criterion for defining a professional group, is seen to be less prevalent at private

denominational institutions than at public institutions especially in private nondenominational schools.

Miller and Seagren (1991) have investigate how faculty perceive the improvement of faculty participation in higher education governance. The finding suggested the need of changes in four thematic categories of higher education's status - organizational, administrative, culture modification, and policy amendment. With respect to the organizational, improving organizational barriers which inhibited quantity and quality of participation, increasing in service activities to develop better informal relations, allowing more members to serve in governance, and giving greater budget control by faculty were identified. Administrative measures that need to be considered include replacing the management model mentality with collegial model, rewarding participators, altering decision making procedure - establish, enforcing criteria for faculty service in governance. With regard to cultural modification, the recognition of the value of participation and the clarification of the role of administrators were cited. The importance of developing reward structure and faculty control in decision making were also pointed out in the policy amendment dimension.

In short, these studies echo the results of a broad literature review that conclude that there are faculty and administrator differences and for that matter differences among faculty themselves on many separate organizational variables that can be counter productive. Moreover, although these differences may vary from institution to institution, they occur in all institutional types.

Research on how administrators perceive faculty is much less extensive (Blackburn, Pitney, Lowrenc, & Trautvetter, 1989). Tichr (1983) indicated, managers often use implicit models composed of their own somewhat subjective and biased views of the managerial problems (Tichr cited in White, 1990, p. 177). Such implicit models filter, focus, underline, and guide perceptions about organization and subsequently create a great deal of difficulty in resolving differences.

By summarizing extensive literature and research on leadership in higher education, Bensiman (1987) indicated the importance for an administrator to recognize multiple "cognitive frames" or different implicit models of how their institution functions. The author further asserts that, "Leaders who incorporate elements of several frames are likely to be more

flexible in responding to different administrative tasks because they are able to enact different images of the organization and provide different interpretation of events that is more than just consistent differences” (p. 4 ). This indirectly suggests that percepts of different groups may reflect more different implicit models of how their institution function.

As indicated those differences may continue to be counterproductive especially if both faculty and administrators are not aware of them or pretend they do not exist. However, if both faculty and administrators are able to discern and air them out, discuss and argue on equal ground, they may accept each other more, resolve their differences, accommodate each others view or/and decide to work together for the same effect. The need for shared leadership, open communication, and sense making in the situation they are in becomes self-evident.

In their leadership analysis, Smircich and Morgan (1982) showed how concepts and ideas that dominates management theory and ideology shape managerial practice and reality of organization. For them, leadership, like other phenomena, is socially constructed through interaction that emerge from the constructions and actions of both leaders and followers. The authors contested that if a group

situation embodies competing definitions of strongly held reality, no clear pattern of leadership is likely to evolve. They also believed that leadership by nature is dialectical because it is interactive process which is shaped through the interaction of at least two points of reference, i.e, of the leader and of the follower. Hence, they have suggested a pattern of organization that replaces hierarchical leadership with patterns of more equalized interaction in which each member of the group has an obligation to define what is happening, and then to respond accordingly. This arrangement, they believe, can increase the adaptive capacity of the organization and encompass a model of human development in line with the ability of human beings to take responsibility for their action.

Furthermore, Birnbaum (1991) recognizes the perceptual differences among members of the higher education,

The important thing about colleges and universities is not the choices that administrators are presumed to make but the agreement people reach about the nature of reality. People create organizations as they come over time to agree that certain aspects of the environment are more important and that some kinds of interaction are more sensible than others. These agreements coalesce in institutional cultures that exert profound influence on what people see, the interpretations they make, and how they behave. (p. 2)

According to Bensimon, Neumann, and Birnbaum, (1989), leadership is also defined not only by what leaders do but also by the ways in which potential followers think about leadership, interpret leaders' behavior, and develop shared explanations for the causes and outcome of ambiguous events.

Organizational analysis have also ascribed varying degrees of importance to the interactive process and how much influence has perception on this type of process. Barnard (1938) states,

In an exhaustive theory of organization, communication would occupy a central place, because the structure, extensiveness, and scope of the organization are almost entirely determined by communication techniques. (p. 91)

Katz and Kahn (1978) also state, "Communications - the exchange of information and the transmission of meaning, is the very essence of a social system or an organization" (p. 428). The amount and kind of information determine the certainty in the decision making process. The implication is that the more certain that knowledge, the easier and better the decision making. Unfortunately, information does not flow automatically into an organization.

Whatever is happening inside or outside an organization is subject to the perceptions and interpretations of the decision makers (Duncan, 1972). Since the process of communication is by



definition a relational one, it affects the process. The social relations occurring in the communication process involve the sender and receiver and their reciprocal effects on each other as they are communicating. If a sender is intimidated by a receiver during the process of sending a message, which likely happens more in hierarchical organizations, the message itself and the interpretation of it will be affected. Intimidation is just one of a myriad of factors with the potential for interrupting the simple sender-receiver relationship. Thus, the same external or internal conditions can be viewed differently, depending upon who is doing the perceiving and under what condition. In brief, as Birnbaum (1991) noted there are many ways in which the environment can be experienced, interpretations made, meanings attributed, and responses selected.

When two people perceive the same person or message in an organization in two or more different ways, the perceptual process is subject to many factors. These different perceptual biases may develop through the individual decision maker's experiences in the organization. Status differences, different perceptual models, sex appeal, departmental membership, personal needs, values, and so on can enter the picture and lead to distortions of what is being sent

and received. Moreover, the situation in which the communication takes place also has a major impact on what is perceived.

Most communication take place in interaction with others. How one person perceives another in the interaction process vitally affects how a person will perceive the communication. People are more emotion-inducing than physical objects. For example, research has shown that one person's interactions, and thus perceptions, are affected by even the expectations of what the other person will look like. Zalkind and Costello (1987) have summarized much of the literature on perception in the organizational setting and noted that even physical objects can be perceived differently. Organizational factors added to this, the whole situation becomes even much more complex. Hence, perfect perception, a perception uniform across all information recipients is impossible in any social situation. An analysis of perceptions in organizations must, therefore, be taken as basic conditions in the communication process.

Organizational conditions become even more important when the characteristics of the perceived are brought into the discussion. The literature has indicated that the characteristics of the perceived person affect the perception. Zalkind and Costello (1987) cite four conclusions from research regarding the perciever:

1. Knowing oneself makes it easier to see others accurately.
2. One's own characteristics affect the characteristics that are likely to be seen in others.
3. The person who is self-accepting is more likely to be able to see favorable aspects of other people.
4. Accuracy in perceiving others is not a single skill.  
(pp.227-29)

Organizations develop their own cultures, with language rituals, and styles of communication (Kanter, 1977, p.40). It is clear that organizations attempt to socialize their personnel so that communication problems are minimized (Pascale, 1985). However, despite the presence of a common culture and socialization effort, organizations still contain the seeds of communication problems when their vertical and horizontal components are considered. If an organization is to function, there must be some degree of consensus or understanding about the nature of reality. Furthermore, how issues must be prioritized and how certain events are to be interpreted require negotiation.

As Birnbaum noted, reality is what participants agree it is. It is not waiting to be discovered but is waiting to be invented. To Birnbaum, the process of negotiating agreements about the nature of reality--"making sense"--is the process of organizing. Along this line, Weick (1979) writes, "Organizations are in the business of

making sense. If they attend to anything with consistency and regularity, it is to their sense-making activities" (p. 250).

Miles, Snow, and Pfeffer (1974) have realized that decision makers can take four stances in their perceptions. They can be "domain defenders" who attempt to allow little change to occur; "reluctant reactors" who simply react to pressures; "anxious analyzers" who perceive change but wait for competing organizations to develop responses and then adapt to them; or "enthusiastic prospectors" who perceive opportunities for change and want to create change and to experiment. What ever stance they take, however, it is important for decision makers to realize that others are equally in the process of making their individual spontaneous responsive stance based on their individual perceptions. As Arensberg (1978) reflected,

Culture as shared meanings and organization as ordered behavior together leading to cooperative result, are not merely planned and commanded, they are always partially spontaneous responsive, both self realized and socially sanctioned and inspired. (Arensberg cited in Gregory, 1983, p. 362)

Those stances and perceptions, if unnoticed, can interfere even more with leadership, in general, the decision making process in particular. This is the primary reason why exploring the potential existence and formation of different or similar intentions,

perceptions, and rational that exist in the college setting by unraveling the faculty and administrators' perceptions of participative leadership is very important. How can this be accomplished?

After analyzing conceptual, empirical, and philosophical literature on the concept of "participative management," Adrian (1987) ascribed the equivocalness of the result to the defectiveness of the research methodology. The author further affirmed that the epistemological assumptions of the interpretive paradigm are more appropriate. Light (1990) has also criticized the quality of research done on faculty for a lack of a good frame work. Hence, prior to launching the study, it seems to be appropriate to select the right frame work and paradigm for the study.

CHAPTER 6  
METHODOLOGY, CONTEXT, ANALYSIS,  
AND INTERPRETATIONS

This chapter introduces the methodology and the context.

First, the participants are described as well as the procedures used to gather the data, the options for interpretation and analysis of the data, the planned presentation of the results, and the assumptions about the data. The second section sets the context for the study including the presentation of the institutional history, purpose, inter governance, and mechanisms of participation.

Methods and Procedures

This section briefly describes the epistemological basis for choosing in-depth interviewing as the instrument of investigation of the perception and intention of another person, the selection of participants to be interviewed, the interview process, “profile” composing, and options for interpretation and analysis of the material. First, a brief history is presented of the my biases and the development of my interests and values as related to the subject of this research.

### Point of View

A significant part of the study was based on the assumption that it is possible to discover intentions and perceptions of other persons through my connections with them, through words as they communicate with me, and through my knowledge of my own words and actions as I see them reflected in others. As I found verification through my own perceptions of the concept and through hearing the repeated views expressed by others, I came as close as possible to knowing more about other human beings.

My interests, values, and familiarity with the research problem are the motivation for this study. Hence, I started this study, recognizing the “vested interest” I have in its outcome. However, I am not interested in the outcome taking one direction or another, but rather come with curiosity to explore the problem as it unfolds, nourished by the values of the interviewees and the researcher in their interaction. It is not, of course, possible to keep one’s research pure, “objective,” and without the influence of or by one’s interests, values, or presence (Bateson, 1979; Glaser, 1978). It is possible and preferable to search for, recognize, and state such bias (Myrdal, 1969). For example, my Christian values about human beings, Argyris’ Double Loop Theory, and Argyris’ criteria for

effective participation in leadership have influenced me in trying to understand the concept. Moreover, the results of my former study on participative leadership and Smircich and Morgan's (1982) view of leadership as the management of meaning and the defining of the realities of other people have encouraged me even more to explore the issue through an inductive approach by learning the perceptions and values of those who are presumed to be involved in participatory leadership. As I was reviewing the literature my exposure to the conceptual dimensions and boundaries of participation in organizations as espoused by H. Peter Dachler and Bernhard Wilpert (1978) has further inspired me to use their view as a frame of reference in my literature review and analysis of the data.

#### Epistemological Bases for Choosing In-Depth Interviewing

I intend to use the qualitative method believing that it will help me learn about the interpretation and intention of another person, and how the person thinks and feels about a concept. To know what is going on in another person's mind requires close interaction with the person. Therefore, considering the researcher as a research instrument, an in-depth interview will be used to get close to the study participants and investigate the problem. The following is a brief explanation of the my assumptions and the



philosophic positions that strengthen the choice for the qualitative approach to this study.

The difference between “objectivity” and “subjectivity” cannot be taken for granted, and the observer cannot be conveniently eliminated. As Eisner (1991) realized, what we know is always mediated by mind, therefore, we cannot know the world in its “pure” objective state. The experience we have is a transaction, rather than involving independent subjective and objective entities. Therefore, according to Eisner, what we trust ultimately depends upon the features of the text we read and what those features enable us to understand, see, or anticipate. A text is likely to be believable because of (a) the coherence or tightness of the argument it presents, (b) the extent of meaningful consensus it achieves from the its investigators or readers, (c) its usefulness in understanding a situation (comprehension) and in anticipating the future (functions as a predictor, a map, and a guide). The works of Peshkin (1992), Blumer (1969) , and Spradley (1979) have also provided the pieces of theoretical structure underlying the methodology of this study.

A significant part of the study is based on the assumption that it is possible to discover another person’s intentions and interpretations through the researcher’s connections with them,

through words as they communicate with the researcher, and through the knowledge of the researcher's own words and actions as the researcher sees them reflected in others. As the researcher finds verification through the perception of the concept and through hearing the repeated views expressed by others, the researcher will come as close as possible to know more about other human beings.

Alfred Schutz, in The Phenomenology of the Social World (1967), explores these concepts in depth. The basic assumption of the research methodology in line with Schutz's thinking is that if faculty and administrators talk to me about their perception of "participative leadership" and about their roles in leadership and what it means to them in their lives, I will then know more than I do now about the interconnections of their perceptions and thinking in a Lutheran liberal arts college setting.

#### Selection of Participants

Based on the above epistemological theory and assumptions, data was collected from institutional documents and from personal interviews with faculty and administrators at a Lutheran liberal arts college. For this study, six faculty members (three female and three male) and seven administrators (four male and three female) were selected. The college was chosen because of its accessibility

and because it possibly represents a “typical” Lutheran liberal arts college. In selecting the interviewees, not as representatives, I considered differences in gender, ethnicity, field of study, previous experience, and position held. Interviews were held with 12 purposefully selected faculty and administrative members. To learn about the research process and interview schedule, I conducted a pilot study through interviewing at least five people who were as close to the realities of the actual study as possible as recommended by Seidman (1983, 1991).

#### Interview Process

Informal unstructured interviewing procedures were closely followed using the methodology developed by Seidman and Sullivan (1983). The process can be described generally as open but focused. The purpose for this method of research is sense-making (Seidman, 1991). The task of the researcher was to listen as the interviewees reflected aloud and talked about their perceptions of the topic. To elicit candid responses, anonymity was assured each interviewee. During the interview sessions, respondents were asked both to reply to the general questions and to comment freely. The aim was to secure exhaustive answers. However, when it appeared

to me that I could elicit more information from the participants, I asked more probing questions.

Each participant was interviewed at least twice, each time for 60-minutes. All interviews were audiotape. Interviews were spaced at least 2 days apart to allow time for reflection, and, when possible, no longer than a week apart. The interviews were held in a place mutually agreeable to participant and interviewer.

Prior to the first visit, contact with the participant was made through a friend, followed by a confirmation letter and a date set by phone for the first meeting. During the first visit, the purpose and nature of the research was explained and the prospective participant completed a brief information form that included data about the participant and his/her decision and willingness to participate. If they agreed, the date was set for the next meeting. Interviews were transcribed verbatim, resulting in 30 to 50 single-spaced pages for each participant.

Each of the two interviews per participant opened with a focusing question from the interviewer and started with a less threatening question. For example, (a) Can you tell me how you came to be at \_\_\_\_\_ College? (b) Can you tell me about how as a faculty member/an administrator you perceive your leadership

role in this college? (c) What is it like to be a faculty/administrator with this leadership role? (d) What mechanisms exist for faculty to participate in decisions which affect them in this college? (e) In what way(s) does the role of an administrator affect the participation of the faculty? (f) How can faculty participation in higher education be improved? (g) In your view, what are assets and hindrances to faculty participation? (h) Does the college's relationship to the Lutheran Church affect participative leadership at this institution? If so, in what way?

After the interview has begun, I rarely asked questions, and then usually only for clarification. I commented occasionally to move the talk to another level, or to check my understanding. But mainly the words were those of the participant. The rationale of this interview methodology is explained in greater detail in The Work of Community College Faculty, Seidman, 1983.

#### Options for Interpretation and Analysis

The mechanics of working with the material required more than one copy of each transcript. Along with the profile-making, the analytic process continued by identifying themes, marking transcript margins, and collecting and filing theme material so that it was easily retrieved. No interview process guarantees that the

protocols are full of references to, or insights on, the basic topics of primary interest to the researcher, though the in-depth interview makes this more likely.

Before all the data were collected, it was not possible to say exactly what final form the analysis would take. But the process of analysis began in part with the first field experience and built gradually as the material was collected. The analysis form was based on a question of perspective. For example, "Do you as a faculty find your participation in leadership satisfactory?" The procedure for analysis was based on different ways to organize the data. I grouped participant interview material according to what was expected or wanted by the faculty/administrators.

Because I could not construct a scaffold for unknown conclusions, I saw this analytic and interpretive process as a combination of the meanings the participants made of their perceptions and the meanings that I, as researcher, found in the words participants', seen through assisting lenses of other observers and writers in related inquiries. The final form of the analysis and presentation of results was, in part, in the words of the participant interviewees and their profiles and, in part, through the interpretation of the thematic material that emerged from the

collection of transcripts during the ongoing process of field research and analysis (Seidman, 1983).

#### Planned Presentation of Results

Results of the study were summarized in a final chapter of the dissertation. This summary, also, included an assessment of the usefulness and effectiveness of the methodology, implications for educational policy change, and indications for further research.

Results from this study will illuminate for faculty and administrators the concept of participative leadership in a Lutheran liberal arts college. Implications for the future relationship between faculty and administrators in the college may be revealed through the words of the faculty and administrators as they talk about their perceptions. More importantly, perhaps, the possibility for new connections, insights, and understandings for leaders may be delineated as they consider a leadership reform in the college, in general, and in the relationship between faculty and administrators, in particular.

To investigate how faculty and administrators of a Lutheran college perceive the concept of participation, I employed the qualitative research process. I have analyzed transcripts of in-depth, phenomenological interviews of the selected participants.

Selection of participants was based on the specified criteria of differences with respect to race, ethnicity, gender, age, years of service and experience, fields of study, the general interest of the participants in the concept, and their willingness to participate in the interview.

### The Description of the Context

To understand the concept of “participative leadership” at this college, an examination of the organizational context is necessary. First, a brief history of the institution is presented to understand the founders’ bases and the source of the institutional pride for its establishment. Second, recent published College faculty and administrative mission statements or philosophy, goals, and objectives are reviewed to gain an understanding of the professed institutional values resonating from the institution. Next, the governance structure is introduced to pinpoint the institution’s formal power structure. Last, a description of the players and their perceptions of participation and its manifestation at this institution is identified. This subsequently will lay the foundation for understanding the nature of the faculty and administrators’ perceptions of their interpersonal relationships in the College.



The institution of higher education represented in this study is a four-year liberal arts college of the Evangelical Lutheran Church in America, enrolling approximately 1,500 undergraduate students. It offers the role of values and religion in preparing students for lives of leadership and service. It is located at the center of a town of approximately 8,500 residents situated half an hour from a metropolitan area of 100,000 people. The College has a history of movement. After several relocations and internal reorganizations the college made the present town its permanent home in 1935. The campus is dominated by an immense facility of 30 multi-story and box buildings scattered all over.

### Institutional History

The foundation of the institution dates back to the middle of the 19th century when an enthusiastic teacher, who also preached the gospel, began a course of instruction on the edge of the frontier town. The College was modeled after the classical German gymnasium and later organized into a liberal arts college directed primarily to prepare pastors and parochial school teachers. Its founding purpose was to provide a strong basis in biblical languages for the study of theology, the returned a central emphasis on the standard curriculum which was--four years of Latin and Greek,

mathematics, rhetoric, natural philosophy, and a capstone course on mental and moral philosophy. Hence, the development of the College for the laity, historically, seemed to have been subordinated to theological training. Today it retains a church affiliation with National Church Evangelical Lutheran Church of America. However, the ecumenical spirit of this denomination encourages the College to welcome students from all religious groups as well as those who espouse no religious affiliation.

#### Institutional Purpose

The brief statement of institutional purpose identified by the leaders is included in the document prepared for the faculty in the Faculty Handbook. It states that the College is “...established and maintained for the purpose of providing higher education in fields of human learning in an atmosphere of Christian value to prepare students for Christian living and for full-time service in the Church as well as for various professions and vocations” (p. 3).

The distinctive character of the College education is also marked by five dynamic interactions: (a) rigorous academic expectations and strong personal support; (b) the liberal arts and a

concern for usefulness and careers; (c) a commitment to leadership and a tradition of service to others; (d) a spirit of exploration and discovery and a foundation of faith and values; and (e) a global outreach and Midwestern roots.

To capitalize on these interactions, the College's strategic plan lists two major goals to enhance the educational experience:

1. Provide a distinctive educational experience for students, focusing on intellectual vitality, leadership development, commitment to the arts, multicultural and global experiences, and a purposeful community of faith and learning.

2. Enhance the College's reputation for excellence by increasing its public awareness, expanding the fiscal base, attracting a diverse and talented student body, providing needed facilities and equipment.

The philosophy statement, the major goals, and the dynamic interaction characteristic of the College education are quite broad. However, it describes the paradox inherent in an institution of higher learning which proudly keeps up its religious affiliation and yet embraces pluralisms. It values the search for knowledge and truth while preserving the transmission of knowledge. It acknowledges students' needs for career preparation and yet

stresses the need to integrate knowledge into a meaningful whole. Moreover, it emphasizes the inherent worth of the individual and at the same time attempts to build a unified community. The essential potential conflict between the right of the individual and rights of community addressed in the philosophy statement is one of the important issues which is comparatively more relevant to this dissertation.

A review of the document further suggests an institution striving to meet the changing needs of local, state, and global communities. As indicated in the Faculty Handbook, "The heart of the plan is the College's continuing mission: challenging and nurturing students for lives of leadership and service as a spirited expression of their faith learning" (p. 1). The College, as a community of faith and learning, helps students discover and claim their callings--putting together their learning with their faith and values; their understanding of themselves and their gifts; their perspective on life and the world, and the opportunities for participating in the church, the community, and the larger society in purposeful and meaningful ways.

What the College tries to achieve is also concisely expressed in its statement of objectives. These objectives expound the

philosophy in a more specific manner and are published in its annual Bulletins. Close scrutiny of the objectives reveals institutional desires for determining what a student gains through the curriculum and a description of the kind of environment the institutional hopes is created for learners. The succinct current statement of objectives stresses: intellectual development, self-realization and selflessness, vocational proficiency, cultural appreciation, and the College's religious commitment.

The stated objectives deal primarily with academic program offerings. However, the need for administrative units to work as a teams when implementing the philosophy of the institution is acknowledged. Additionally, the need for the College and its departments to profess compatible values for effective organizational functioning is stressed. Above all, the need for diversity which reflects multiple visions is deemed vital for ultimate institutional survival.

While the College adheres to the values of the Lutheran heritage, its current policies on admission and staffing reflect the ecumenical trend the Church is following. Although a solid majority of its enrollment remains Lutheran, the College now welcomes much larger numbers of non-Lutheran students, and appoints members of

non-Lutheran churches to its staff and elects them to its board. The course offerings of the Department of Religion also reflect current emphasis both on ecumenicism and on quality. It is, however, clear that the new trend has not affected the religious commitment of the College. The Board of Regents, the president, and faculty wholeheartedly share that religious commitment. Although their number has been reduced, the requirement that student curricula must include courses in religion has also been maintained.

The institutional goals reflect concrete evidence of a commitment to implement and comply with the philosophy and objective statements. Although the goals are articulated succinctly, they obviously are difficult to measure or assess. A great emphasis is given to leadership service by students, faculty, and administrators to the institution's intellectual, social political, or other communities.

The College, in keeping with its definition of leadership as "taking responsibility for our communities and making them better through public action" (p. 9), believes everyone on campus can contribute to society. It expects its students to accept responsibility for issues that face their communities and the world and to assume leadership in addressing these issues while they are

enrolled and after they graduate. To this end, it has designed leadership experiences to help them explore and understand their leadership potential. Through these experiences, students gain a broader understanding of community and their obligations to contribute to community welfare and growth.

The College also tries to provide a nurturing environment that encourages students to take risks and helps them meet goals through four components of support: (a) leadership workshops and retreats that help students identify personal strengths; (b) a monitoring program that matches talented student proteges with role models who have made significant contributions to their communities; (c) academic course work that identifies leadership characteristics and theories and helps students design action plans to address policy issues; and (d) outreach efforts that allow the College to bring groups together to define and address issues in their locality, region, and beyond. These four leadership components are coordinated through the Institute for Leadership Education, governed by a coordinating committee of faculty, administrators, and students.

Faculty are also encouraged to be involved in the local community by serving on boards and committees of service

organizations, or contributing time and effort to schools, religious organizations or civic groups. Such involvement, however, is at the discretion of the faculty members.

### Institutional Governance

The system of College governance has been brought into conformity with the prevailing pattern in American higher education in the 1970s. The College is granted autonomy through separate incorporation under a charter drafted by the its Board of Regents. Ultimate authority is vested in its corporation, consisting of the voting members of the church-wide assembly of The Evangelical Lutheran Church in America (ELCA), the Bishop, Executive Director of the Board for Education of the ELCA , the members of the Board of Directors and Executive Officers of this corporation, and such other persons as provided in the by-laws. The meetings of the members of the corporation is held at the church-wide assemblies of ELCA at a time designated by the Bishop of the Church.

Responsibility for administration of the College generally is vested in the Board of Regents. The scope of the Board of Regents' powers has been augmented; most notably the Board is vested with the full legal and organizational authority to govern the functioning of the College through the administrative structure.



The Board of Regents consists of 15-25 members elected by the Board and ratified by the members of the corporation for a term of 6 years. Board members are eligible only for two consecutive terms, and the provision that all board members must be Lutherans has been modified. Not less than three-fourths of the members of the board are members of the Lutheran Church and a simple majority are members of the Evangelical Lutheran Church in America. The president of the College is an ex-officio Board member. The executive director of the Division for Higher Education and Schools, two bishops of synods within the two regions of the ELCA, and up to three international representatives are voting members of the Board. Moreover, at the invitation of the Board, the faculty elects representatives (the Group Chairs) to attend meetings of the Board of Regents as observers.

The Board of Regents elects the president of the College and appoints other administrative officers, faculty members, and staff members as may be deemed necessary from time to time on nomination of the president. The president is elected for a term of 6 years and is responsible to the Board of Regents both for administration of board policies, educational planning, and a quality

program. Quality in this case involves a strong faculty and a strong administrative staff.

Internal governance. With regard to internal governance, College developments followed a line of growth rather than of transformation. A period of splendid growth has affected college governance by leading to expansion and specialization in administrative functions and structure. Subsequently, the role of the faculty in governance has undergone significant change in organizational structure and in the extension of the sphere of faculty responsibility.

The need for efficient service by competent personnel was the motivating force that resulted in a larger and more complex administrative structure (see Appendix B). Administrative officers, who had been dividing time and effort between administration and teaching, became full-time administrators. Complex duties assigned to administrators became burdensome with continuing growth and thus divisions of functions led to creating of new offices. Staffs serving major administrators were expanded. The pursuit of quality revealed needs previously unmet and resulted in offices and appointments designed to meet them.

The president is the chief executive officer and spokesperson for the College and reports to the Board. The president, together with the administrative officers, faculty, staff, and students, is charged with leading the institution and developing the necessary long range plans, data, and strategic recommendations needed for the Board to govern the College. The president appoints vice-presidents for Academic Affairs, Student Life, Administration and Finance, and Development to assist in carrying out the mission of the College. Moreover, other offices include a college chaplain, director of Admissions, director of Church Relations, director of College Relations, and the assistant for Community Projects who all report to the president as they endeavor to apply the College's policies and procedures in their respective areas.

The faculty and mechanisms for "participative leadership".  
According to the Faculty Handbook, the 85 full-time and approximately 40 part-time faculty members at the College form a close "living-learning" community with students. Approximately 70% of the full-time faculty hold an earned doctorate. Policy matters relating to faculty are set forth in the College Faculty Handbook, which is in the process of being approved by the Board of Regents.

The Faculty of the College as defined in Section 2.1 of the Faculty Handbook consists of all academic and administrative faculty. For the purpose of this study, in line with the handbook definition, administrators include administrators who accept full-time administrative appointments and serve in one of the following positions: the College president, the four vice presidents, the chaplain, and the associate dean for academic affairs. Faculty, on the other hand, are defined as full-time academic faculty employed by the College to provide the equivalent of seven-sevenths course load in contractual services, of which at least four-sevenths must be classified as teaching equivalences but not serving in an administrative position mentioned above.

The faculty recognize and accept the authority of the Board of Regents and College president in rendering the final decisions on all policy, fiscal, and personnel matters. All actions of the faculty are taken as direct recommendations to the College president. With their consent and if elected or appointed, full-time faculty serve in faculty governance as members of committees or holders of governance positions.

The formal mechanisms and theory that allow faculty to participate in leadership are clearly spelled out in the Faculty

Handbook. Eligibility for and conditions of service on committees or faculty governance positions are described in Sections 1.5, 1.6, and 1.7 of the Handbook. All faculty, as stated below, are expected to find appropriate ways to participate in the system of faculty governance:

In appreciation of the principles of participatory governance and in the interest of the general well-being of the College, the faculty and College administration accept their responsibility to work meaningfully and sincerely with each other in addressing matters of mutual concern and interest.  
(p. 7)

The College continues its history of a strong ethical posture as evidenced in its recent statement of purpose. The president together with constituents from all units of the institution, has succeeded with identifying the college's philosophy, objective, and goals. By including representatives from every unit of the college the leaders seem to have been trying to created a strong sense of ownership among the faculty through introducing the Faculty Handbook. Although the use of a democratic process for decision making has been time consuming, it appears to have been worth the investment. The culmination of these efforts are documents such as the Faculty Handbook which mirrors the institution's vision of itself. If what is written in the document is operative, the

administrators are attempting to lead most often by sharing power, but at the same time serve the right to size power to deal with specific issues.

The chief administrative officer of academic programs is the vice-president for academic affairs and dean of the faculty. This person is responsible for providing leadership to the academic programs of the College and for working with faculty in the development and proper conduct of the curriculum. This includes, but is not limited to, the determining graduation requirements, monitoring students' academic progress, supervising academic departments and support services, the delivery of instruction, the assessment of educational outcomes, and the introduction of curriculum revisions. Dean of the faculty is also responsible for making recommendations on faculty appointments, promotion and tenure, faculty development, and the general welfare of the faculty.

A chart which displays the faculty organization and flow of information within the governance system of the faculty is presented in (Appendix B). Faculty are organized into three academic sections by grouping together the full-time and part-time academic faculty from departments which share similar interests and disciplines. Professional librarians are assigned to groups by

the Faculty Council based on the College librarian's recommended assignments. The number of full-time academic faculty in each group shall be nearly equal (no deviation larger than six faculty). These groups are organized around the general rubrics of 'social sciences,' "natural sciences," and "humanities." Groups function autonomously to fulfill the following duties and responsibilities: (a) to elect two group representatives; (b) to nominate, and in some cases elect, group faculty members to various committees in accordance with eligibility criteria; (c) to meet at least twice each term to hear reports from committee representatives and to review and discuss curriculum-related proposals developed by departments or programs within the group; (d) to establish peer review panels in accordance with procedures described in Section 2.7.3.g of the Handbook; (e) to convene meetings of the group representatives and the group department chairs to review group staffing requests and proposals; these individuals shall also meet with the dean of the faculty to discuss faculty resource allocation prior to departments submitting their staffing requests to the Faculty Council.

Academic departments and department chairs. Departmental structure continues to be basic in faculty organization. Combination majors of earlier days have given way to separate majors offered by

the cooperating departments who thus attain major status. The total number of departments offering majors has increased and the structure of several of these has become complex, as single departments offer several majors.

Academic departments consist of the faculty who are primarily involved in the delivery of instruction in one of the College's academic major areas. Within the standards and policies set by the faculty, departments have the primary responsibility for maintaining and improving the quality and integrity of their major and minor programs. Departments (or other program areas) may establish their own advisory committees to guide them in their work. Such advisory committees, however, shall have no faculty governance authority.

A department chair is appointed for each department of the College. The appointment is made by the president upon recommendation of the dean of the faculty. The dean's recommendation is based upon feedback regarding the performance of assigned duties and responsibilities received from consultation with all department faculty and with other individuals as is reasonable and appropriate.



A uniform system of 3-year terms that may be renewed has replaced a mixed system of rotating chairmanships, chairmanships of indefinite tenure, and renewable term appointments. Unless recommended otherwise by the dean and the president, appointments shall be for a 3-year term and are renewable.

Curricular changes, provision of offices and office staffs, and additional majors have so increased the responsibilities of departmental chairs that, where necessary, lightened teaching loads afford compensation. In carrying out their duties and responsibilities, department chairs consult with department members, the associate dean for academic affairs and the dean of the faculty. The department chair schedules department meetings as often as the department deems necessary.

The department chairs receive an annual written evaluation by the dean of the faculty. In carrying out this evaluation, the dean solicits feedback from all department members and from other individuals as is reasonable and appropriate. The president may remove a department chair prior to the expiration of his or her term of office for failure to carry out duties and responsibilities; such removal is based on the recommendation of the dean of the faculty and only after the dean consults with department faculty.

The faculty council. The Faculty Council coordinates the flow of information between standing committees and the faculty, and functions as the strategic planning body for academic affairs. As such, the Council advises the dean of the faculty regarding administrative decisions affecting the academic programs of the College. The Council consists the six group representatives and the dean of the faculty. The Council selects one of the group representatives as chair of the Council.

There are at least two meetings of the faculty during the fall and winter terms; in September, November, January, and March, unless special circumstances require other arrangements. The Faculty Council, in consultation with the president, schedule these meetings and set their agenda. Faculty meetings are conducted in accordance with the most recent edition of Robert's Rules of Order. The dean of the faculty conducts faculty meetings.

The privilege of vote is granted to faculty who hold a ranked or titled faculty appointment, are employed full-time by the College, and have at least four-sevenths of their workload assigned as teaching equivalency; faculty who hold a shared faculty appointment; and the following administrative faculty: College president, dean of the faculty, associate dean for academic affairs,

and chaplain. All full-time and part-time academic and administrative faculty have the privilege of the floor during all faculty meetings. The quorum for a faculty meeting, and for faculty ballots conducted by mail, is a simple majority of the voting members of the faculty.

The following procedures apply to the functioning of all standing committees, subcommittees, and institutional committees:

(a) All full-time academic faculty are eligible for election or appointment to committees, subject to specific qualifications stated in committee descriptions; (b) elections to committees takes place in March or April of each year. Faculty elections precede Group elections. Unless noted otherwise, elected faculty receive a majority of the votes.

Division. The divisional structure adopted in the 1940s was originally designed partly to serve administrative purposes and partly to promote communication between cognate departments. Administrative functions were never clearly defined and were abandoned in 1957. Thereafter, the divisions served the purpose of promoting faculty growth through study sessions at which the departments involved rotated in presenting programs.

In 1965, the divisions were reorganized into faculty groups. The reorganization somewhat broadened the purpose established in 1957. Groups would continue to promote faculty growth, e.g., through presentation of position papers for discussion. But the groups might also study and discuss current issues such as curricular change or conditions of faculty service. For such purposes two groups might arrange joint sessions.

The essential change consisted of bringing together individuals from the entire range of the curriculum instead of associating all members of cognate areas, such as the natural sciences. Four groups identified by number were established. To assure intermingling of departments in all groups, assignment to group membership was left to the president, although members were free to express preferences, or at a later stage to ask for a transfer. Occasionally, entire regrouping may also occur.

A function in College governance was some years later given to the groups when they were assigned to elect members of standing committees. In alternate years, two groups elect group members for all standing committees for 2-year terms. Reports from committee members keep the groups informed of committee transactions.

The system of faculty standing committees provides the structure and process by which the faculty fulfills its responsibilities and obligations. The faculty's committee system has been reconsidered and reorganized several times during the quarter century. The motive for reorganization has in part been adjustment to changing circumstances by means of addition or transfer of functions, but the main purpose was to reduce the number of committees by consolidation or elimination. In that respect, accomplishment has been minimal. A number of formerly independent committees have been consolidated with the already heavily burdened Committee on Educational Policies. That committee has, therefore, established a number of standing subcommittees, or which normally only the chairman is a member of the parent committee. Establishment of ad hoc committees has also now become so normal that a school year rarely passes when one or more are not at work at some specially assigned duty.

A few of the standing committees are still purely faculty or faculty-board committees. The former classification of faculty-student committees has become extinct, because student members now serve on almost all standing committees. Transitionally, advisory student members were assigned to most faculty

committees but now student members, chosen by student government, sit with voice and vote. While presidential appointment of committee members has given way to group elections, appointive positions have been reserved for the president on several committees. Committees which establish subcommittees select the subcommittee members. Adhoc committees have been established by board or administrative action, or by faculty resolution. Membership varies and may embrace board and faculty members and students.

Faculty business meetings, at which the president or, in his absence, the dean of the faculty presides, are conducted each month during the school year. Special meetings, occasioned by pressure of business, are not infrequent. During the summer term meetings of the summer faculty may be convened as needed. A Faculty Seminar, terminating in faculty and group meetings, occurs regularly just before the opening of a school year. Monthly study meetings, ending in a social hour, were conducted in the previous administrations but were discontinued after the institution of the group system. Informal discussion sessions and luncheon meetings occur irregularly when convocation speakers and other notable visitors are on campus. Voluntary weekly faculty luncheon meetings and

occasional social meetings with board members, when the board is in session on the campus, also occur.

Major areas of concern. Responsibilities and Obligations of the faculty as presented in the Faculty Handbook include developing: (a) guidelines, standards and procedures for introducing curricular changes in the program of liberal arts education, departments of instruction, and major or minor programs of study; (b) standards for admission in the College, requirements for graduation and the granting of degrees of any type; (c) policies and guidelines to be followed in setting the academic calendar and class schedule; (d) guidelines, standards, and procedures for the appointment of faculty, the evaluation of faculty for reappointment, promotion and tenure, and the continued professional development of faculty; (e) the quality and appropriateness of programs and services which support teaching and the curriculum, including the library, academic computing, writing and study skill centers, and specialized study programs; (f) the expectation of and means to bring about the highest level of professionalism in the teaching, scholarship, and service of the faculty; and (g) the establishment of standing committees and the delegation of authority to them as indicated in Section 1.6. (P. 8).

In other areas of College functioning, represented by the institutional committee structure, in which the faculty, along with other constituents of the College (e.g., students, staff, alumni), advise key administrators on academically related matters for which these administrators have responsibility. These include, but are not limited to: (a) the mission, vision, and strategic plan of the College; (b) the budget of the College; (c) selection of the chief administrative officers of College, particularly the president, dean of the faculty and dean of students; (d) plans for additions or changes to the physical plant (e.g., of existing space, new construction) of the College; and (e) policies and procedures for the general operation of the College.

The curriculum remains a primary area of faculty concern. Certain developments during the last quarter century have led to a growing tendency of the faculty to assume of the initiative in this area. In 1957, at the instance of the president, the faculty resolved to participate in summer workshops conducted by the North Central Association to promote institutional self-study.

The impetus toward this development came from the president. The dean of the faculty has regularly been deeply involved in the various projects. Guidance from the president contributed heavily



to the development of the 4-4-1 curriculum, particularly toward the innovative calendar it embodies. But it was the faculty that chose the various projects, staffed their committees, and shaped resulting policy decisions. Its current emphasis on curricular studies indicates clearly that the faculty not only regards this area as its special responsibility, but also that it is no longer content with periodic curricular upheavals, but regards curricular revision as a continuously ongoing process with which it must incessantly concern itself.

Faculty are responsible for developing new courses, deleting or changing existing courses, initiating of new programs, discontinuing existing programs, or making other program modifications. In such development efforts, faculty follow published academic guidelines and procedures as established by the appropriate faculty governance body. They also fulfill administrative duties as assigned in their annual contract or letter of appointment and as described in the relevant section(s) of the Faculty Handbook.

Faculty provide assistance to their chair and colleagues in the development, maintenance, and acquisition of department resources. These resources may include, but are not limited to, laboratory

facilities, instrumentation, equipment and supplies; curriculum materials; teaching aids; audio-visual materials; computer software and hardware. In addition, a faculty member may be assigned (by the department chair or dean or the faculty) the responsibility of hiring and supervising support staff for their department or program.

Conditions of faculty service are another area in which the interests of the faculty are obviously involved, including such matters as: methods of faculty recruitment, promotion and tenure policies, retirement and dismissal, and compensation for faculty services. Much has been done toward establishing definite procedures, toward keeping compensation in line with mounting inflation, toward providing fringe benefits, in all of which the faculty has had a voice.

Conditions of faculty service, however, are also a matter of concern for the administration and Board of Regents. Clashing viewpoints and interests have at times produced strained relationships and led to complaints about lacking or impeded communication. The faculty has sought alleviation of strain by requesting representation at board meetings. The board has granted the faculty the right to elect two representatives who may sit with the board with voice but without vote. Neither this, nor

arrangements for social contact with board members present on campus for meetings, have been wholly effective in relieving strain.

Faculty shall be responsible for remaining active in their professional organization(s). Such service may include, but is not limited to, meeting attendance, program and organizational development, leadership, committee and board membership, and professional presentations.

Individual faculty members have held membership in the American Association of University Professors (AAUP) through the past quarter century. In 1958, a number of these members organized a campus chapter of that association. The influence thus brought to bear on campus that of an organization dedicated to a defense of faculty rights, which in that period has drifted into a militant stance and into promotion of adversary relationships between faculties and administrations and between boards and faculties. One may hope, however, that confrontation will be avoided and that strain will be eased by accommodation, because the faculty, no less than administration and board, is committed to maintaining the Christian character of the College.

No set of rules or professional code can either guarantee or take the place of a faculty member's personal integrity. As

professionals, faculty and administrators alike have a stake and interest in fostering a working environment that is collegial and cooperative. Further, faculty should be familiar with and abide by the prevailing ethical standards of their discipline(s) or professional organization(s).

The College, moreover, affirms and supports the principles of academic freedom as set forth by the American Association of University Professors in the “1940 Statement of Principles of Academic Freedom and Tenure” (AAUP Policy Documents and Reports (1990), as stated in the Faculty Handbook verbatim:

Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition. Academic Freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

(a) Teachers are entitled to full freedom of research and in the publication of results, subject to the adequate performance of other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

(b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be

clearly stated in writing at the time of the appointment.

(c) College and university teachers are citizens, members of a learned profession and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution. (pp. 3-4)

## CHAPTER 7

### ANALYSIS AND INTERPRETATIONS

This chapter deals with the analysis and interpretation of the data. This chapter mainly focuses on the emerging themes for the whole group of participants, the different groups, and individuals. An individual and a group thematic content analysis were conducted to analyze the interview data for all 13 interviews (Carney, 1972). The purpose of the analysis was to elicit major emerging themes by delineating the different characteristics of the concept and by comparing and contrasting minor themes that evolve from the views of individuals, different groups, and all participants.

#### Identifying Emerging Themes From the Whole Group

In the first step, answers to every question were categorized in thematic form regardless of who answered the question. Even if contradictory ideas were highlighted, they were considered to describe the context best as interpreted both by faculty and administrators. My interest here was the general idea, with less emphasis on the possible differences that may exist between individuals or groups.

Participants were first presented a very general introductory question that referred to the labeling and the definition of the

concept of “participative leadership.” The interviewees then started to answer the question as they seemed to understand it. Since the interviewees were encouraged from the very beginning to use any term they were familiar with, they were not hesitant to come up with different labels, definitions, justifications, devices, interpretations, evaluations, prescriptions, and metaphors for the concept “participative leadership.” The combination of all these factors that are based on the views of the individual, different group, and the whole group have offered me different perspectives that help better identify and clarify the concept of “participative leadership” in a college setting.

#### Labeling the Concept

Although I used the phrase “participative leadership” as a spring board for discussing the concept of participation with the interviewees, the interviewees were not confined to that phrase alone. They were asked for a commonly used term, or for a phrase that they as an individual preferred to use, and if they thought that the terms would equally be understood by their colleagues. Some indicated that the Leadership Department had recently been introducing more the idea of “participative leadership” to the college community. Moreover, during the interview, while two

participants preferred to use the same phrase--"participative leadership",--others came up with an additional one to five phrases. As a whole, the participants used more than 21 additional phrases while discussing the concept of "participative leadership." The phrases used include: Japanese style of management, governance by faculty, bottom up approach as opposed to top down approach, participative management, participative decision making, shared leadership, site-based management, shared decision making, shared governance, participative environment, shared governance instead of dictatorship, democratic decision making process, faculty-driven model, consensus leadership, team management, team leadership, shared vision, collegiality, and democratic leadership. Yet, in general, directly or indirectly, participants indicated that they did not care which term was used as long as they saw it being practiced.

The fact that the participants labeled the concept of "participative leadership" by a number of different phrases may suggest they are familiar with the concept. However, the scope, intensity, and even the type of understanding that exists among them as individuals and as a group varies. When asked if their colleagues were using the same phrase and if they thought they



could be understood by them, the answers, as presented below range from doubt, “. . . find out . . . I don't know the lingo. . .”, to a great certainty “. . . I don't think there would be confusion with the word participative”. It also ranged from asserting individual differences, “. . . I think you're going to find different terms from anyone you talk. . .” to suggesting a difference between groups, “. . . the language that administrators use isn't necessarily the same language that the faculty use. . .”.

“. . . I use team mostly . . . find out . . . I don't know the lingo.”

“. . . I don't know that there's any one term for it that we use, but I think what we try to accomplish is to . . .”

“. . . I think you're going to find different terms from anyone you talk . . . I think the term I use for “participative leadership” is really the team concept. A concept of team management, or team leadership. “

“I think many of them [the faculty and administrators] would use the term shared leadership. I think some of them might not. I think that part of the difficulty always on the campus is the lexicon, the language that administrators use isn't necessarily the same language that the faculty use. However, we do have a clear statement of mission and a clear statement of vision, . . . “

“Shared leadership, may be, but I don't think there would be confusion with the word participative. I think people understand that they're going to participate and that it's a shared concept and shared decision making.”

### Categorizing the Labels

The participants' intent as they suggested different phrases for the concept of "participative leadership" was not to categorically fit into the alternate types of faculty participation (separate jurisdictions, shared authority, and joint participation) as suggested in the literature (see for example Floyd, 1985). This assertion is confirmed by the fact that it has been possible for most interviewees to give phrases that can at the same time fit into any of the three categories of participation. Or, the definitions that the participants attached to these terms or phrases included more than one or interacted with the definitions of phrases that belonged to other categories. While labeling, it is not clear that the participants were consciously distributing power to an individual or a group of faculty or an administrator. Obviously, this became even less clear as they started to raise variety of issues that require the input of both faculty and administrators for decision. From the outset, the labels can be categorized as follows: (a) those that ascribe more power to faculty, (b) those that emphasize the sharing of authority among faculty and administrators, and (c) those that stress more joint participation.

### Category 1.

- \* bottom up as opposed to top down approach
- \* faculty driven - model
- \* governance by faculty
- \* site-based management

Category 1 encompasses phrases suggested by four female participants (three faculty and one administrator). The category seems to ascribe more power to faculty. It also reflects more the early European model, the era of great academicians, or the German university model. By inference, this category also signifies that faculty should play the central role in making decisions about educational matters, while administrators from outside academic areas make nonacademic decision. The category also reflects the concept of separate jurisdictions which draws upon organizational dualism (Corson 1960) and views faculty as having a sphere of relatively independent action.

### Category 2.

- \* shared governance instead of dictatorship
- \* shared (vision, leadership, management, decision making, governance)
- \* collegiality

- \* consensus leadership
- \* Japanese style of management

Category 2 includes phrases suggested by six people (female and male who hold both administrative and faculty positions). The category reflects more to the ideal that authority for decision making should be shared among the constituencies of higher education. It endorses the need for sharing authority between faculty members and administrative officers in most areas, with primary responsibility varying depending on the subject area. This pattern of participation is believed to have been introduced to rectify the limitations of separate jurisdictions that assume the possibility of the existence of clear role differentiation.

### Category 3.

- \* participative (environment, leadership, management, decision making)
- \* team (leadership, management)
- \* democratic (leadership, decision making process)

The phrases in this category were suggested by most of the faculty and administrators. It reflects more the participative pattern of "joint participation" which focuses less on the specifics of how authority is to be shared and more on approaches for

encouraging the joint participation of faculty and administrators over the broad range of institutional decisions. It evolved in reaction to the specifying distribution of authority among the parties. It also assumes partly that there is significant conflict between faculty and administrators.

#### Defining the Concept

Even if most of the participants indicated the phrase they would use to label the concept, they did not restrict themselves to that particular phrase while attempting to define the concept. Hence it is not clear whether they were defining the phrase they espoused most or using other seemingly equivalent phrases that came as a result of the subsequent discussion. However, the combinations of all the definitions do elaborate the concept more and delineate the different dimensions of participation (Dachler & Wilpert, 1978). Moreover, most of the definitions are able to portray more or less those elements which the individual participants wanted to emphasize. For some, the emphasis may be on the scope of participation, while for others on the impact of participation. Still for others the emphasis may be on the values of participation or on the mechanisms and processes of participation.

The following definitions are more or less representative of all other definitions given by the participants.

This one, given by faculty, stresses the participant's input, authority, and method of participation:

. . . . governing ourselves by the committee structure and having a certain amount of authority, as faculty, over the decisions that will affect us, personnel decisions, calendar decisions, curriculum decisions. . . . . bottom up approach as opposed to a top-down approach, . . . that everyone becomes a part of the process and regardless of the role you play and the length of time that you may have been part of the organization that everyone has something to say about what is going on and has a voice in the way in which decisions are made and the manner in which a direction is chosen for the organization . . . that everyone participates, in the ideal situation, whether it's through teams or focus groups or networking within the organization, somehow everyone is listened to and their input is valued in some way as part of the process of leading the organization.

This (given by another faculty) emphasizes the equality of all participants:

Equitable input, shared responsibility in terms of seeking information to bring to the situation. . . In a participative leadership situation, every member of the committee has equal voice, equal input, valuable insights to offer and should not be excluded from any part of the process. They would . . . the leaders, they would make contacts to references, sit in an interviews and vote and have equal say. Site-based management - a certain group of people ought be responsible for the technology and their decisions for the whole district, based on their input, and it's not just simply one person. It is not top-down model.

This definition (given by an administrator) takes participation as empowerment:

. . . . it's a group of people who share leadership roles, collaborate and where people feel empowered to make decisions and don't always look to an authoritative figure for direction.

These two delineate how participants come to a decision:

. . . .Where the people involved, faculty members or a whole college, have some say in how things are done, how the place is run, delegation of responsibility. Ultimately, a decision has to be made and lots of times that can be made by a vote, the majority rules and I think other times decisions are made by leaders, be they appointed or elected, just leaders because it is their particular position at the institution, president, deans, chairs, whatever. . . . refers to a process where everybody involved in academic institution, . . . had an opportunity to participate in the decision making that affects the institution.

This one (given by faculty) draws participative leadership from leadership itself:

. . . .By definition leadership has to be participatory. Participatory leadership is redundancy.. leadership. as taking responsibility for communities and making them better through public action. Educational experience is a collaborative experience. . to promote education is to give ownership of that educational experience to the person who is seeking education. contractual relationship. .. . instructor and student are students growing together. Education requires dialogue and the dialectic.

This definition (given by administrator) stresses the role of participative leaders:

. . . I think it's leadership that facilitates a process for coming to decisions, rather than leadership that dictates decisions so that I think participatory really means getting the key people who will be affected by a certain decision to provide the information that is needed for the administrative leadership, so to speak, to make the decision based on the information that has come from others. . representative input. . . Allow faculty to have opportunities to give their view about what is needed or what is desired.

This one (faculty) suggests that decision needs to be by consensus:

. . . leadership that tries to involve as many people and ideas as possible so that there is a collective leadership. Consensus leadership would be another term... . involving as many people as possible. .

This definition (of an administrator) takes participation as a team:

. . . . participative leadership is really the team concept and when you have a team concept and you develop the feeling of team, you hopefully pull away from titles, salaries, the expectations of this person's closer to this person on the totem pole, and you break down a lot of those barriers and hopefully get more participative because there is a feeling of, if we're going to handle these goals as a team, we all should have input and state our feelings and set our goals together.

This definition (of an administrator) relates participation with mission and process and tries to differentiate between



participation towards the formation of mission and participation in governance:

. . . . means participating in the leadership necessary to bring about a vision to which we aspire. . . shared vision consists of the statement of what's possible, the statement of both the values and the goals to which we aspire. When we talk about the shared vision at . . . college, we are talking about the aspirations we have for the foreseeable future. Participatory governance, on the other hand, means both the structure and the vehicle through which we arrive at decision.

This takes participation as role differentiation:

. . . .more related to role differentiation - integrated or related to the mission statement of the college.

In brief, some definitions have related participative leadership to the leadership concept and to the mission and goals of the organization. Others have taken participative leadership as team, empowerment, and role differentiation. While some definitions stress the value of input, authority and equality of participants, other definitions have emphasized how participation should operate and have delineated the skills that participative leaders need to master.

#### Justifying the Practice of the Concept

To find out the participants' rationale for espousing the concept of "participative leadership," they were asked two

questions: "Why do you want faculty to participate?" "What are the advantages and disadvantages of faculty participation?"

The participants came up with about 56 different notions to justify the concept of participative leadership. Although some of the notions may be more or less interrelated, they are categorized into nine themes that both expound the importance of the concept and the motives of the faculty and administrators for seeing the concept being implemented in their college setting. These themes are: (a) those that refer to identity, satisfaction, and work life of the faculty; (b) those that are oriented to the quality outcome, the mission of the organization, and the fulfillment of student needs; (c) those that are oriented to the communication, learning, and joint control of the organization. Those rationales can also be categorized into two groups--those that address the needs of the faculty as workers, and those that address the performance of the mission of the organization. They can as well be categorized as those that are value-oriented, and those that are processes-oriented. The nine categories of interrelated themes are:

**Mission Fulfillment Oriented.**

- \* Since we have one mission
- \* to promote the mission of the college getting a much different

perspective, building commitment to mission

- \* quality of educational institution
- \* provide higher quality of education being made, if a decision is made quickly by an administrator it would not be of the same quality, it would be more people having input at the institution.
- \* fulfillment of the mission of the organization

Students Need Oriented.

- \* since students are finally what hold us all together we are committed to their wholeness--physical, mental, social, and spiritual, and this requires an integrated effort.
- \* give ownership to the person seeking education
- \* quality student--number increases
- \* student satisfaction
- \* model to show students how to be good citizens

Quality Outcome Oriented.

- \* faculty think that they have the vision where to go, we have something to contribute
- \* we have more contact with the students in classroom
- \* collective brain power
- \* gestalt, it the whole, collective effort
- \* six heads are better than one

- \* variety of alternative solutions for a problem
- \* the more you have faculty involved in things, the better off you are
- \* faculty are pretty bright people, usually pretty conceptual oriented and have good minds, so I think part of it is that if you have a problem to solve, get some good critical, creative thinking involved and I tend to look to for faculty for ideas and critical thinking and analysis
- \* getting good ideas
- \* the whole is greater than the sum of its parts, best outcomes
- \* involves reaction to shaping of, adding, deleting, and subtracting
- \* help making unpopular decisions (face saving?)

Faculty identity oriented.

- \* we are a lot of what goes on here
- \* we are part of it
- \* ownership, the faculty think that it is the college, because we tend to outlive administrators and we certainly outlive the students in terms of the years spent at the institution

Faculty rights oriented.

- \* we will be affected
- \* because the issue affects us
- \* It will affect them therefore they should do it

Faculty moral oriented.

- \* if we don't involve ourselves we'd be little more than just minimum wage employees
- \* encouragement, to be heard, become an important part, empowered, encouraged, supported
- \* help people feel that they had a role, accountability, and responsibility
- \* drive faculty members or people within the institution to more of a sense of belonging to the institution
- \* moral, or motivation
- \* people don't necessarily like to be told what to do, they want to feel that they have some ownership in it
- \* feeling part of the team, of the group
- \* faculty will feel invested
- \* a sign of trusting the faculty
- \* faculty will not feel that they are stifled

Quality of work life.

- \* collaborative experience, life long experience
- \* collegial body
- \* there has to be some kind of common ground where administrators and faculty respect one another and try to reinforce and complement

one another, because I think for a college or university to be effective there has to be symbiotic relationship

- \* cooperation with administration

High communication and high learning.

- \* awareness creation,
- \* continual learning from the exchange of ideas
- \* learn from confronting new ideas diversity - is very important
- \* getting access to all different perspectives that people bring
- \* means of convincing faculty
- \* give them more information, communication

Joint control oriented.

- \* sharing some responsibilities
- \* empowerment, enhance commitment to a decision
- \* starting point common interest, build consensus, at least build a winning coalition put together ideas
- \* positive democratic manner, a democratic process while consulting the constituency
- \* they will support the decision and promote them if they've had a part in it
- \* take ownership of the decision
- \* build consensus, get support

- \* tactical and strategic
- \* by empowering get power
- \* building consensus, sharing values, creating stronger bonds of communication, critical thinking, looking at problems from different perspectives, understanding varying points of views on issues, bringing private squabbles into public spaces so they can be handled with

#### Disadvantage of Participative Leadership

The participants also raised some of the the disadvantages of participative leadership. For example: It takes more time. Requires patience on everyone's part, requires a high tolerance for ambiguity which not all professors have, some professors who come out of disciplines that are more outcomes oriented are very frustrated with participatory leadership, business departments for example would just as soon--this is a generalization--this business department, once they've had their say, they would just as soon have me decide and they would salute and go on and say, yes. I don't mean to denigrate the people, their approach to things is, well, let's have a discussion and once the discussion is through let's decide it and then let's go do it. The English department on the other hand would probably prefer to talk it to death. So I think that's when it's least

useful. It's sometimes difficult to get things done and it's difficult to move in the face of stiff environmental constraints when you have a more democratic style of government.

#### Describing and Interpreting/Evaluating the Concept

I asked the participants different questions to elicit the interpretations and assessments they had of the concept of "participative leadership" as they saw it operating in their working place. While the major question stressed how they saw the concept operating, other related questions include: How is the relationship between the faculty and administrators? In terms of administrators and faculty, what functions does "participative leadership" include? What roles do faculty and administrators play in the process of "participative leadership?" Do all faculty participate in leadership? Why or why not? These and similar questions are assumed, more or less, to help delineate the common held practices or what Sackmann (1992) calls the directory knowledge or Argyris and Schon's (1978) theory of action, or Fitz Heider's (1958) everyday theory.

Assuming that the participants were doing some interpretation while trying to describe their common practices, I intentionally did not differentiate the descriptions from the



interpretations/evaluations of every day theory/theory of action and espoused theory as suggested by some theorists (Argyris & Schon, 1978; Sackman, 1992). The participants gave about 33 different ideas. Since the answers to these questions deal with a wide variety of issues, they are categorized into four groups: (a) the content--the scope, (b) the mechanisms and the procedures, (c) the faculty and administrators and their roles, (d) the obstacles.

The Content--Issues and the Scope. How much and on which issues do faculty participate? The participants considered many important issues that required decisions through "participative leadership." Although the answers to these questions were interrelated, they can be categorized as follows: (a) mission related --long range and strategic planning, college culture, (b) curriculum related--developing curriculum, choice of text books, determining courses, course cancellation, choice of technology, (c) instruction related--teaching, student advising, classroom management, assessment, research, student recruitment and orientation, standards, student profile, (d) personnel issues--recruitment, staff reduction, tenure and promotion, contract renewal working load, working conditions, peer review, professional development, faculty discipline, (e) financial and administrative--budgeting,

salaries and benefits, physical administration, student aid tuition, and (f) resource allocation--fund raising, alumni, office space, campus construction.

**The Mechanisms and the Procedures.** The answer to the question "What participative mechanisms exist and what is the procedure for reaching a decision?" were mainly drawn from the Faculty Handbook because most of the participants referred to the handbook every time these issues were raised. Although most of what is in the Handbook has not been operative because the handbook is being reviewed, the type of devices and, generally, the procedures are spelled out clearly in the "Context" section.

**Faculty and Administrators and Their Roles.** This study concerns all faculty and administrators of the College. From the participants perspective, the issue of differentiating the faculty from the administrators did not cause much trouble. There was very little perplexity except when the positions of department chairs, academic associate dean, and vice president was raised. While the associate dean and vice president are considered to be administrators with some faculty roles, the department chairs are considered to be faculty with some administrative roles. Yet, the participants, generally have considered the department chairs as

faculty and the dean and vice president as administrators in their discussion.

While I primarily planned to study gender differences only, the perceptions of some participants started to indicate a possible difference of participation between the tenured faculty and those who are not. Hence, most participants seemed to have had two criteria--position and tenure status--while discussing the concept of "participative leadership."

There is generally a participative climate. One of the participants further perceived that there is more camaraderie and collegiality in comparison to the corporate world. Faculty have an opportunity and obligation to serve in committees. Subsequently, most of the faculty are involved in governance of the college. The informal meetings in the den help both to socialize and recruit faculty to participate through committee representatives.

The present structure gives opportunities for participation. The various committees serve an effective device for faculty to participate in college leadership. Administrators are in favor of participation. They provide information, have a vision for how both particular interests fit or don't into the larger picture of the

College. They either become or assign mentors to encourage, orient, and to train new faculty to participate in the various committees.

The participants indicated that role differentiation is both a blessing and setback to the "participative leadership" process. Even if they expressed that there should not be we/they attitude in the process of "participative leadership," they also realized that because of the primary assignment given to faculty and administrators, the potential for conflict is there. In the process, while faculty become watchdogs for those issues (teaching, research, assessment) that they feel are their main responsibilities or think they will affect, administrators wanted to champion over the budgetary, personnel, and issues that affect the whole organization. Faculty have their own perspective and they do not have a single perspective. Similarly, administrators have administrator's perspective and some administrators assume responsibilities that go beyond the role that some faculty expect of them. As one participant graphically portrayed, turf issues are a cause of conflict and there is no way to solve it unless both concerned parties are involved: ". . . turf related issues are cause for conflict (p. 10). Roles has to be defined by the individual themselves; partners in process, common ground reinforce and

complement one another because I think for a college or university to be effective, there has to be a symbiotic relationship between faculty and administration”.

Obstacles. When participants were asked whether some factors were considered obstacles for “participative leadership,” they gave with different points that included:

1. Time. Some participants indicated participation required time. Many faculty do not have the time and, therefore, are reluctant to participate. Moreover, less time was allotted for some issues that required more discussion and some faculty took unnecessarily more time to discuss certain issues.

2. Tenure Status. The tenure status difference has a tremendous effect on the quality of participation. There is a difference between tenured and new faculty participation in leadership. Tenured faculty feel equal with administrators. There is a first name familiarity sincere respect from the administrators. They speak their opinion boldly. Non-tenured faculty, on the other hand, are afraid to participate. As newcomers, they are reserved about giving their opinions and feel they should sit back and listen. They are more like spectators, especially during the discussion of

controversial issues. The more controversial the topic the more restrictive is their participation.

3. **Skepticism.** A sign of some skepticism and mistrust seemed to be evident in some faculty members. Eliminating two positions caused the participants to openly discuss their assessment of the quality of decision, the process through which the decision was made, and its impact on the faculty. In the process of the decision the participants indicated how a better “participative process” could have improved the situation.

4. **Lack of Feedback.** A lack of positive feedback can also discourage some participants from giving priority to participate in leadership.

5. **Faculty Attitude.** The attitude of some faculty members can also affect the intensity and impact of participation. Some faculty seem to be more stubborn in the way they approach things and they don't come to a decision very quickly. Some faculty sometimes feel they are above policy and structure, they can be the most difficult people to try to change.

6. **Faculty Input Not Considered.** When faculty input is not considered during a decision, faculty can become even more reluctant to participate. Some participants saw the Handbook with

some skepticism. Even if a policy is set and a committee is formed, some faculty feel that decisions are ultimately controlled by administration.

7. Defining Roles. When groups have a tendency to define people's roles before they understand their strengths and weaknesses, it becomes counterproductive to participation.

8. Lack of Administrator's Commitment. The biggest hindrance would be an administrator who is not committed to that interaction. Some administrators believed that a more authoritarian model was appropriate and I think if an administrator doesn't truly believe that participation on the part of the faculty through good communication and sharing of information is a good administrative model, I suppose that is the biggest hindrance. Otherwise, I think it's just a matter of how well designed the governance structures are and the mechanisms for sharing information and for communicating. The more ineffectively those function, I think the greater barrier you will have to faculty participation.

9. Peer Pressure. Peer pressure is another slightly different manifestation of the paranoia of tenure and non-tenure hindrance.

Suggestions for improvement--prescription. At the end of an interviewing this study, participants were asked questions that encouraged them to give prescriptions or suggestions for the improving “participative leadership” in their organization. The answers, more or less, attempted to address those issues labeled before as the obstacles to “participative leadership”. The suggestions included the following issues: time, structure, policy and procedures, skills and trainings, personal attitude, and communication.

1. Some faculty find it difficult to participate in leadership because of a lack of time. However, participants also listed time as one of the important factors for effective participation. They preferred to have more time for discussion and for feedback. Meetings have to start and end on time. Time should not merely be used for discussion but prompt decision is also important. The used time must pay off. It is also good to choose a strategic time, to identify the rhythm of the year for “participative leadership” meetings.

2. Although it is important to use the existing structure, the participants suggested that people within the structure must support the individual. For example, non-tenured faculty can be



encouraged to speak their opinion if they feel departments are supportive. The importance of clearly defined roles and the need for open dialogue to resolve role conflict is also mentioned. Informal meetings and small group retreats are also believed to facilitate more understanding with each other.

3. Although the participants mentioned policies that foster status difference such as tenure ship create a difference of participation, they did not suggest an alternative solution. Bearing in mind that non-tenure participants feel that there is a price to pay when they speak out, they suggested a system and a climate of trust that encourages open non-defensive dialogue among all participants. They did suggest making people comfortable to speak in an atmosphere that's characterized by openness, honesty, and candor and learning how to deal with conflict in a public forum. Recognizing that conflict isn't bad, that sometimes reasonable people will disagree, that learning how to do that in a civil way are all things that foster participation.

4. The participants indicated that communication is one of the solutions to every problem organization faces. There should not be a hidden agenda. People must be open and have mutual respect. People who participate must be interested both in sharing their thoughts

and acknowledging the different perspectives that may exist among the group members.

5. The importance of training for all members of the group was also mentioned by the participants. They suggested that leaders especially should have facilitative and listening skills. Participants should also be exposed to all factors that involve in “participative leadership.”

6. The participants also indicated that policies and structures without the right attitude toward participation cannot work. Hence, everyone needs to participate with the impression that everybody is there because they want to be, because they have something to offer, and because they feel they have a common interest with the others. Hence, each one must be willing to take responsibility, commit themselves to the common goal, and to be open to others.

#### Group Analysis

In the second step, the answers from different groups were compared and contrasted to see if there was a commonly held theme that ran across the answers given by each group member; to see if these themes were distinct to that particular group; and to determine in what way the theme contributed to the clarification of the concept of “participative leadership.”

Position and gender differences were in comparing and contrasting the themes. The importance of contrasting and comparing was to find out the unique contributions that each group brought. If there were no contradictory ideas or the ideas elicited from the contrasting groups were substantially similar to the themes elicited from the whole group, then there was not any additional information than the information. Four types of groups compared:

1. All faculty members with all administrators;
2. All female members with all male members;
3. Female faculty with male faculty;
4. female administrators with male administrators;

1. All faculty members with all administrators

What is the difference in the interpretation between faculty members and administrators with respect to:

Labeling the concept. The number of labels given by both groups divided equally between the groups. The only difference were that three of the four labels in Category 1 ascribed more power to faculty were given by faculty. It may show faculty's interest in sharing more power.

Defining the concept. Faculty gave the first five representative definitions. These definitions mainly stressed the participants' input, authority, and equality. They also highlighted the method of coming to decision and the impact of input in decision making. The last five definitions were given by administrators. These definitions focused more on describing the role of the participative leader, the way decisions were made, and the relationship of participation with mission and governance. The definitions also represent participative leadership as team and as role differentiation.

Justifying the concept. While faculty suggested 28 of the 56 phrases included as rationales for participative leadership, administrators suggested the rest. Most of the rationales faculty suggested were within the themes Faculty Identity Oriented, Faculty Rights Oriented, and Quality of Work Oriented. Administrators gave those that were in Student Needs Oriented rationales. The rationales within the other themes almost divided themselves in half between the administrators and the faculty. However, if one compared faculty rationales within the theme High Communications and Learning (awareness creation, continual learning from the exchange of ideas, and learn from confronting new ideas , and new

perspectives) with administrator rationales (getting access to all different perspectives that people bring, means of convincing faculty, and giving faculty more information), one can see that faculty rationales focus more on communication for learning while administrators rationales emphasize more task accomplishment through convincing faculty. Similarly, in the Faculty Moral Oriented section, the first four rationales faculty suggested justified moral for moral sake, while the other six rationales given by administrators linked moral with task accomplishment. Again, on the Joint Control Oriented theme, the last five rationales by administrators were explicit in their relation to mission accomplishment, while the first four rationales faculty suggested were not as explicit as those of administrators.

Interpreting/evaluating the concept. Both faculty and administrators preferred a joint participation pattern of operating in their college. While administrators and some faculty looked forward to improving faculty participation as a result of the policy in the new Faculty Handbook, others hesitated to confirm this because they thought administrators would still control the final decision.

The issue of tenure was stressed mainly by most faculty. Most faculty felt tenure ship encouraged people to to be open to administrators and participate boldly in meetings. Those who were not tenured were reserved and afraid to participate.

Administrators, however, felt there should not be any reason for fear. When faculty were asked to assess the relationship between faculty and administrators, they were not as open as administrators who interpreted the relations as follows:

“Pretty good relationship, tenure decisions difficult, resource allocation cause conflict, distrust among faculty.”

“For the most part it’s a healthy one, depends, question about trust, tension, long range planning, promotion, peer review. . . So I think it’s fair to say that, while the relationship could be better, it’s not bad, as part of it is based upon the cultural carry over from a time when, by everyone’s admission. . . .I think there’s a good deal of caution and skepticism, especially among some senior faculty, about whether or not we really are interested in participatory governance.

“. . . skepticism mistrust, labor management relation, lack of communication resource allocation and reduction of personnel are cause of conflict.”

## 2. All Female Members with All Male Members

What is the difference between the interpretation of female participants and male participants with respect to:

Labeling of the concept. While all the labels within the Category 1 that ascribed more power to faculty were only given by females, four of the other labels (shared vision, shared management, collegiality, democratic leadership) were suggested mainly by male participants. Over 75% of the labels were suggested by female participants. This may show their familiarity with the concept or their ability to expound the concept better than male participants.

Defining the concept. While female participants seemed mainly focused on the mechanisms, the impact, and the input of participation, male participants mainly focused on the concept and process of participation. Again, the definitions given by females seemed to be more elaborate than those of male.

Interpretation/evaluation. There is no uniqueness that one possibly can differentiate between the groups.

Suggestions for improvement. No noticeable differences were between the two groups except more female gave metaphors than males.

### 3. Female Faculty with Male faculty

Labeling the concept. While male faculty were content with the phrase “participative leadership” only, the female faculty

stated 11 additional labels for the concept. The labels varied from those in Category 1 to those in Category 3 pattern of participation.

Defining the concept. The difference of definitions identified previously in the male and female grouping were clearly portrayed with the faculty, also. Males focused on concept and females focused more on mechanism, roles, inputs, and impacts.

With respect to justification, interpretation, and suggestions for improvement, no differences were with the groups.

#### 4. Female Administrators with Male Administrators

There is a difference between the two groups on labeling the concept. However while defining the concept as indicated earlier, the definitions female gave focused more on roles, mechanisms, input, and impacts, while those given by males focused more on the concept and process of participation.

#### Individual Analysis

Each interview was analyzed separately to identify emerging themes across the four major questions that delineated labels, definitions, rationales, interpretations, and ideals mentioned by each individual interviewee that were unique to the individual. Themes that were thought to have been commonly held by the group or all participants were noted and not considered. Then the themes



were condensed and analyzed to see how they could fit to expound more on the concept of “participative leadership.”

#### Mission--A Call For

At least three participants attempted to relate the mission statement of the College with participative leadership. They argued that it is important for an institution to have a well-defined statement of mission and vision. Mission is more important than structure, policy, and practices. Everything the institution does should come out of the mission. The College as an institution has a mission statement which in one sentence says, “. . . the purpose . . . is to challenge and nurture students for lives of leadership and service as a spirited expression of their faith in learning.” As one of the participants put it, the mission statement is built upon the dynamic interaction between challenge and nurture, leadership and service, and faith and learning. So those three pairs of dynamic interactions constitute what they all subscribed to as the mission of the College. Hence, the mission statement of the College, right from the outset, implicates participative leadership.

The students, the faculty, and the administrators, according to the respondents, are therefore, gathered in the institution around the mission. This mission also relates the institution with the

church. In fact, as one of the participants, an administrator affirmed, the mission or the calling of the institution continues to come out of the gospel:

. . . I'll just be personal. If you ask me what is special about... . and distinguishes . . . from the . . . , for example, it has to do with the sense of the Lutheran, Christian understanding of "calling" that learning for itself and it's sake may be of value, but learning that (has) no sense of purpose or direction can also be empty and it can be demonic, it can be used in evil ways. That what we do, we offer a very good academic program, but our commitment to students is, we will help you, challenge you, or whatever, to put who you are, what you believe, what you value, what you're learning, your experiences with other people, your experiences with that bigger world out there, your sense of what needs to be done in view of society, put that together in some way that makes you glad to be alive and believe that you have something to do, something to give, that will make a difference. To me that's a calling, our students don't come here understanding what calling means, but the best teachers here, faculty, are here because of a calling. It's not a job, it's a calling, and our society has largely lost it. to me, that is what is distinctive, . . . . that's one way in which being related to the church informs or gives shape to the way in which the team thinks and talks and tries to work.

Since the most important aspect to respondents were either the vision or mission of the institution, both faculty and administrators were also expected to participate in the formulation and rectification of the mission statement. As members of a team built around the mission, they were to contribute whatever they

could to the team effort for the sake of either realizing the vision or fulfilling the mission. Some faculty are more focused while others take a much broader view of their role at the institution. And they think that it's important to have a mix of both. However, they also indicated that a special type of participation is required because they think that all members of the community are not committed to or do not understand fully the origin and the scope of the mission. Hence, one of the participants, an administrator, clearly spelled out the problem and possible solution as follows:

I think that mission or the calling of the institution continues to come out of the gospel, but there are people here, administrators, faculty and students who don't see any connection with the gospel whatsoever, and one of the challenges to maintain I think the character of our community is that there always be a critical mass of faculty and administrators and students who are informed by the Gospel and some understanding of calling and some appreciation for the heritage and tradition of the place, and are helping to then create that sort of shared vision of the future that is truly faithful to the call, even though that means sometimes some radical changes or some significant changes. . . . there are people who understand intellectually at least about change. I think people have to see continuity between what has been and what can be, but if maintaining what has been as the number one goal, then that's a stagnate place. If the vision for the future is so separated from what has been, people are mystified, they can't find their way. . . .

The activities that team members perform are expected also to aim at fulfilling the mission. Hence, as members of a community, individuals are encouraged to participate in meetings to discuss on and evaluate their work in light of the mission statement. One of the administrators narrated the process as follows:

. . . one occasion we were meeting with staff people and discovered that it was important that they understand their job as being part of the educational mission and not simply I clean rooms or I take care of the yards or I fix meals, or whatever it is, that they were doing that as part of the mission of the institution, and it seems to me that's when Luther talks about the milkmaid having a calling as holy as that of the pope or a priest, it is exactly that sense of everyone is contributing something within the gifts that God has give to the benefit of the whole, of the community, and the community is less when people are not contributing their gifts. It doesn't mean that everyone has the same gift but it isn't as if the contribution of any is less than the contribution of others because all is essential to make it work. It's an interesting thing sometimes where you can look at the ... . . where you're a student, you can look at . . . as a community and asked all the people who've worked largely unnoticed but who's work is essential to make living their possible. That if the garbage was not collected it would be impossible. If garbage simply accumulated every place, something would be gone from community. If sewers didn't work, if electrical things didn't work, but we don't often think of all the things. It used to be that when I worked in the city, if you got up early you saw people going to work who kind of get the city up and ready to do business, and there are people all around, and so it seems the priesthood of all believers sort of recognizes the contribution to the whole of all the many parts and it's consistent with the idea of team. Team is one way to talk

about what that is. We had secretaries with administrative staff with maintenance people with food service with whatever, and we talked about the institution, and the amazing thing that came out of that, it happened at the first meeting and with a little encouragement it just got repeated at all the meetings the we held, a woman talked about her calling as a matron. . .the maintenance people say, I think maybe I'm contributing as much to real learning with our work study students as some heads of the classroom, and that's exactly right. These people understood, they were part of the team, they had a calling. We don't do the same things but we all are contributing to the student. The second time we met then, it was in work groups, the maintenance people met together, food service, and the specific question was, "What is our piece of all of this plan? What are the things we do to make this happen?" We've done some of that. Year by year we've done a little. About every three years the plan has to be revised and we go through some proper--

In brief, the institutional mission implicates participative leadership. Moreover, the members of the institution are expected and encouraged to work, discuss, and evaluate their individual activities through participation in light of the mission statement. They claim to more or less relate and interact with each other because of the mission.

#### Education--A Collaborative Experience

The type of calling and the holistic service that the mission statement has promised, the educational process, the experiential learning, the modeling that the faculty and others are supposed to

show is aimed at the students. Some of the interviewees, in one way or another, have indicated the extent of their service to the student, the importance of “participative leadership” for that purpose.

The purpose of the College--the faculty, the administrators, and other members of the community as individuals, as a group, and as a whole - - is to challenge and nurture students for lives of leadership and service as a spirited expression of their faith in learning. As one of the participants noted, the type of service suggested in the mission statement is holistic and it requires an integrated approach. In fact, the interviewee noted, the student as a “whole” person is expected to need “holistic” service from a team that uses an integrative approach.

. . . The student is finally what holds us all together. . . . it is the student and whatever the educational experience we're committed to provide students, and there's a wholeness to it, as we look at it, I mean, being a college of the church, and historically, I mean, I think there's more wholeness to the way we think about ourselves and our community and our work and the pieces of it than you find in most other academic institutions or in most places. There is the possibility here for understanding people as whole people, and deal respectfully with the possibilities or potential for learning and growth and development academically and socially and spiritually and physically and all the rest. It's a whole piece, so to whatever extent the team understands being a team--I mean, in fact, if we can't live together as a team, how can we

advocate an integrated approach to learning? In some ways the most important thing around here is probably community.

In what ways are students to be challenged? Another interviewee, a faculty member suggested "participative leadership" as a teaching learning process that requires dialogue and dialectic not only between the student and the faculty but also between those who aim to serve the student.

. . . administrators, faculty, and students need to understand that the educational experience is a collaborative experience. I believe that much of what Paula Ferrari talks about is right on target in terms of education is a life-long experience and that the best way to promote education is to give ownership of that educational experience to the person who is seeking education. The educator, on the other hand, I think always derives the benefit of continually learning from the exchange of ideas with students and in that context I think we're all students. The instructor has some certain level of expertise in a narrow category--perhaps not so narrow, one hopes--there's a contractual relationship there. You agree to try to teach them things for which you are an acknowledged expert and in return the student agrees to reciprocate through some kind of vehicle, acknowledgement that they have learned from that experience, but I think the most important elements are both the instructor and the students are students growing together, that education is an enterprise that requires dialogue and the dialectic. I always tell my students that the most boring thing that could happen to me is if I'm sitting at a dinner party or something and I'm sitting around the table and everybody agrees with me or thinks like I think, because I can't learn anything from that kind of experience. I can only learn when I'm confronted with new ideas, ideas that challenge my frame of reference, but that has to be accompanied by civil

discourse, there has to be a mutual respect so that we can have a free exchange of ideas without personal innuendo and that based upon that kind of process, both parties can have a richer experience.

. . . I think the administration has a defined role in the college or university setting, but they also are partners in the process and I get distressed when I see faculty and administrators at each others' throats, which sometimes one sees in academic setting. Because that means that the system is not functioning properly. There has to be some kind of common ground where administrators and faculty members respect one another's specific responsibilities and try to reinforce and complement one another, because I think for a college or university to be effective, there has to be a symbiotic relationship between those two groups. And I think you need to include the students in that process as well.

Some participants have indicated that students have more opportunities for experiential learning. The experiential learning that students are expected to go through involves participative leadership. To this end, the Leadership Institute of the College, in line with the mission statement, has attempted to introduce leadership “. . . as taking responsibility for communities and making them better through public action”. As one participant noted, they have tried to create opportunities where students can develop their leadership skills through participating in the leadership of the community and evaluate their individual and group action and movements by dialoguing with their colleagues on campus.



How much effect does participative leadership have on students? In response to this question one of the faculty participant asserted that if faculty are unhappy about the way decisions are made and feel uninvolved, they grumble and share that with students in class. Students, subsequently, will resent administrative decisions. On the other hand, when the institution practices participative leadership, students will then have a chance to see a role model and start to practice it in student government and student leadership. They will also have a stronger role to play within the overall institutional decision making and as members of a democratic community.

As a whole, students are called to learn through the process of participation. They are exposed to experiential learning by participating in community leadership. Through examples and participative leadership role models, they are challenged to leadership and service.

#### Participation--Means or an End

Some participants have indicated that both the lack of enough and the over use of time are obstacles to participative leadership. Some times there is more discussion and less decision. Other times, important issues are not exhaustively discussed because of a

shortage of time. One of the interviewees, a faculty member asserted that faculty have all the opportunity to participate in the college as compared to workers in the corporate world. The committees, the departments, the councils are for them. Although newcomers may be afraid and reserved to boldly convey their ideas, they are obliged and encouraged to be members of committees and to attend different decision making meetings. On the other hand, those who are tenured are always active and up front to the extent that some discussions take more time than expected. The interviewee further stated,

I guess I think the corporate world is a lot more realistic about just how much participation you can have. I think a lot of corporations are getting - - I think companies again have been more realistic. They know it's great to have participation but they also know that the tradeoff to participation is a whole lot more time involved in the decision making process; the more people involved, the more cumbersome the process and I think just for reasons of profitability, most companies have had to find some sort of balance and I think usually companies will err on the side of sort of railroading things through if it reaches bottleneck, because they don't have time to sit and argue about things indefinitely, and I would say that's a big contrast to what happens here. . . I don't know if it's in all academic institutions, but there seems to be tendency for governance here to be a little bit more ponderous and time consuming. . . I guess I've always felt that faculty tend to love to argue about things and who cares how much time it takes. And I've sat in on some meetings where I've just kind of laughed to myself and thought, if these people were working for a company they'd be shut down just like that

in terms how much they were participating, because they have a tendency to go on and on, feeling that it's their right to do so and have their voice heard, but getting to that point where the law of diminishing returns in terms of just how much you're getting out of the continued information that you're sharing.

Two other participants (administrators) have different criteria and attitudes on the critical nature of faculty in participative leadership. While the first one focused on the value of input, the second one put it in perspective of time.

Faculty are pretty bright people, usually pretty conceptually oriented and have good minds, so I think part of it is that if you have a problem to solve, get some good, critical, creative thinking involved and I tend to look to faculty for ideas and critical thinking and analysis. I just think that's something they do well, for the most part, so you want to bring that into the decision making.

However the other participant said:

. . . because faculty are by their very nature are very critical, they think critically about almost everything, therefore, it is not quick, it is not easy to get anything done, like a document written or a policy written or a handbook written for procedures, nothing like that comes very quickly when faculty are involved in a committee like that, because they are always questioning everything and they're saying, well, we shouldn't be doing it this way, ow why are we doing it this way or we shouldn't see it this way. Because by their very nature and the jobs they do they are constantly criticizing, that's what they do, they criticize students. If you really want to look at it in a black and white issue, they're encouraging students but they're also critiquing students' work all the time, so there they critique everything that is put in front of them, because that's

what they do, so in this committee structure, everything takes a very long time to get everything accomplished, because they'll critique it to death until it becomes perfect or they can all agree on it, or they'll want to have a vote, faculty are really into voting on things. They don't don't do as much consensus building as they do critiquing, arguing and voting, and I've sat in on some of the faculty meetings where that happens.

Another participant (faculty) was asked a question derived from the above statement, "If there is a deadlock in a decision, what is the use of the process if some one ultimately is to give the decision?" and the response was as follows:

It depends on the particular issue and the context. For example, let's say that we have a matter in our Faculty Handbook here. Let's take a hypothetical one. Let's say that some members of the faculty want to start in mid-August and other members of the faculty want to start in mid-September. Well, those are pretty irreconcilable positions--I suppose you could start on September 1 as a compromise position, but let's say this is an either/or situation. In that kind of situation someone is going to ultimately make a decision because school has to start, and that would probably be the president, but presumably there would be a process there that would allow as much input as possible so that as much evidence would be brought to bear on this particular issue with the result that the decision that would ultimately be made would reflect the best interests of the faculty, the students and the administration as determined by this shared information process. That doesn't mean some people will be happy about it, because they didn't get their way, but there's being unhappy and there's being unhappy. You can say, well, I really think they made a bad decision but I can live with it because I understand what's going on here, or there's the other position,

this is the dumbest thing that's ever happened and I'm going to be angry with the administration for the rest of my tenure. And those are the kinds of things I think the style of discussion is so important in determining the outcome. To me, process is everything. Process will eventually lead to an outcome. I don't know if you expect consensus when there is tension, but it's desirable, and to me that is what one ought to shoot for within reason, but we know that consensus can't always be achieved and decisions still have got to be made. I think what's important in that sense is that people go away feeling that even if their position wasn't adopted, that they feel good about the process and they feel good about themselves, and that they don't see this as a situation where they've been dumped on or that their input hasn't counted or hasn't had an impact.

#### Tenure: Does it Promote or Hinder?

The tenure system is perceived to have a tremendous effect on the interpretations and practices of faculty participation in the leadership of the higher education. It was one of the important issues that interviewees repeatedly mentioned. Sometimes it was taken by some as a right, by others as a privilege, and still by others as something that needed to be earned. The way the faculty and administrators see tenure policies and practices has subsequently affected their view of "participative leadership." The interpretations given by the following faculty and administrators clearly portray the different views they have and their impact on participation..

Some of the participants have obviously noted that the tenure system has created status stratification. One of the interviewees (faculty) suggested that tenure contributed to a faculty member being fully accepted by the College community:

I sense that tenured faculty feel equal with administration. Not necessarily with the president, but with the deans, with the vice presidents. There's a level playing field. With non-tenured staff, I don't think that assumption is made that the familiarity of first names is not as easy for untenured folk as for the tenured faculty in terms of relationships. I think that the respect that is given from administration to faculty as a whole is sincere, and meaningfully given. The faculty does provide leadership in many ways and I think the administration appreciates it and uses it in terms of programming and decision making, but I think that the hierarchy of higher education in terms of tenure/non-tenure, first year/their year, those types of delineation make a difference in terms of a faculty member's feelings of ability to be taken seriously.

When asked, "How do you see a non-tenured person relating to the other faculty and the administrators?" the participant answered,

I think it's a combination of two things. First of all, the non-tenured people are obviously the newest, they don't have a sense of history, they don't necessarily have time to network, and so except for their own department, they don't get to know a lot of people for the first year or two, so it takes a while to simply build relationships and friendships and alliances and even facial recognition. You see somebody that you work with down the hall but you don't really know who they are, and that's not unusual. So I think it's a function of time, and then perhaps it's sometimes a function of the insecurity of the non-tenured person more than a superiority on the part of a tenured person. Some tenured people want everyone to know, they're

real concerned about position and procedure and you pick up on that, but other tenured folks are very willing to help, to advise, to mentor and are very approachable. And so, sometimes I think the distance between tenure and non-tenure is time-related but perhaps as much the insecurities or the unfamiliarity by the non-tenured folk of how do I fit in and who do I dare go to for help and until you get to know people and build a trust level in a small college atmosphere. It is difficult to say who your allies are.

Another interviewee (administrator) discussed the differences between faculty in slightly different way. The interviewee, however, suggested that the differences should not have been divisive:

. . . Again, part of the tension there is not really faculty/administration as much as I think it is internal within the faculty. We are a faculty that is bipolar, a healthy number of senior people who've been here for a long time and an increasing number of people who've come in the last few years, and I think there's a good deal of tension between the newcomers and the old guard. Some of that has to do with evaluation, some of it has to do with the cultural sagas which are passed down from generation to generation of faculty which bring up stories about administrative atrocities, but when there are personnel decision which are unpopular, that has the effect of exacerbating tensions.. . .

The interviewee further argued:

. . . I think some of it is a little bit of xenophobia, fear of the outsiders, fear of the unknown. . . And now we have a rigorous criterion reference system and so part of it is again a culture clash between the old timers who I think are somewhat suspicious about the younger people. The younger people

thinking that it's more difficult for them to get tenure than it was for the senior people and I think there is some of that bipolar character in the faculty is playing itself out. . . . That attests to the power of the culture, . . . . Again, I think part of the concern I have is that, rather than being judged on their own, the newcomers are sometimes unduly influenced by senior faculty. On the other hand, that's not a fair generalization because there are a large number of senior faculty who are very good mentors also, but . . . responsibility is to ensure that communication is improved between the older people and the younger people and it is a challenge.

One of the interviewees (faculty) when asked, "Are there any potential sources of conflict between the two groups (the tenured and non-tenured faculty)?" answered:

I think one has to do with tenure, how faculty are evaluated here. the administration has been very reluctant at this point to lay out a policy where people who are not tenured are told fine, that this is the reason for this, kind of a black box, you present your portfolio and the committee of faculty review the information and pass judgment on it. faculty would like that to be an open process so that when it is time for tenure decision, there are no surprises. But administration has been reluctant to do that. They would like us to keep the authority to deal with faculty as they see fit. That I think is probably the biggest issue.

Another interviewee (faculty) also indicated that tenure also determines the attitude to, the way for, and the reason for or against participation in leadership:

Well, I think there are so many people around here who just don't do much of anything. I think the tenure system tends to



sort of stymie that process of removing people with a bad attitude who just don't want to participate, so I guess someone could work with them to see if there's a niche that they could fit into, is there anything that they're interested in participating in. That really jaded attitude is hard to get away from. . . . . first of all I would not say that tenure means that everybody just gets off the fast track, because I were to look at our faculty right now and to say who are the people who I really look at as the power people, and I don't mean power in a bad way, people who can really motivate others on the faculty and who really have a voice on behalf of faculty members. They're all tenured and I guess maybe that's the way it should be, but they haven't just sat back. I think for some people tenure is actually an empowerment to become more involved. There's a little less concern about voicing your own opinions. There's a feeling that it's okay to disagree in public with the president or the dean and that it can't necessarily come back to haunt you. I guess I would honestly say as a junior faculty that there have been times when I probably haven't said things that I would have said otherwise because I was concerned. Nothing like a huge ethical dilemma or anything like that, but just times when I probably would have spoken up more but you just sort of think, wow, I'm junior faculty, I think it's best to just disassociate myself from some of the controversial issues. . . So tenure for some people may be sort of a release from having to be involved and participate, but I think for a lot of people in sort of those midyears before they really get to the point where they've thinking about retirement, I think that can be a real effective time for them to be in leadership positions and to participate very actively because they feel sort of from any constraints that they had before and they've been around long enough that they know the system, they know where to plug in to make a difference, they know a lot of the faculty here so they've networked enough already to sort of understand.

The following interviewee (faculty) was asked, "If a newcomer to the group were to ask you, 'What are the unwritten rules I should know to function really well here?' what types of unwritten rules have you sensed?"

. . .I think there is an expectation here that if you're new, not tenured, that you are working with tenured faculty members and the statements that are made. In faculty meetings, if you pay attention to who talks, people who are not tenured don't say much. That's just a very controversial topic. The more controversial the topic, the more restricted the participation seems to be.

Another interviewee (faculty) reinforced this fact by indicating that a culture prevailed that encourages tenured people to speak and non-tenured people to keep quiet during faculty meetings. Hence, the interviewee suggested that a union might offer a forum for non-tenured people to discuss openly and without fear the governance systems of the college:

One thing about AAUP and groups like that can do is provide that forum and the faculty can get together in a nonofficial setting to discuss issues that concerns them. We can do that to a certain extent at faculty meetings, but faculty meetings tend to be more formal, you have a chair, it's conducted according to the rules of meetings, there are some people that do most of the talking and other people that don't. I think they've got an understanding there that if you're not tenured, you don't say a whole lot at faculty meetings and so it's not really conducive to a lot of rally open, frank honest discussion. That kind of discussion can take place at an AAUP meeting, the people can feel more freedom to say what they really think. . .

As noted by the participants, the tenure system is considered to have both a negative and a positive effect on faculty participation in leadership. Two other participants from the administrative point of view reinforced the negative effect:

I think that in the faculty culture the view is, if you're tenured you can say anything you damn well please, but if you're not tenured you should keep your mouth shut. My view is, if you're not tenured, that's the time to open your mouth, because I'm far more worried about tenuring a person who is paranoid and afraid to speak his or her mind than I am about tenuring a person who speaks, but you see, that's not been a part of the culture here, so when I meet with junior faculty I encourage them to be risk takers and to speak their mind and so forth. But then it doesn't take them long to find out that the view is, you shouldn't say that, you're not tenured. I think that notion of tenure is killing higher education. What we're doing is taking bright young people and putting them in a position where the fear of job security, they're afraid to speak their minds. And that is not coming from the administration. I have no evidence that it has ever come from the administration but it really exists in the faculty culture, and it's a great frustration for me because on the one hand, I hire people and encourage them to be risk takers, and within a year they come back to me and say, I was told I shouldn't do that if I want tenure. . . . But I think tenure, as you may know, there's a lot of serious discussion around the country about eliminating tenure, and I think one of the good reasons for it is that people are just tired of frustrating bright young people and keeping them under the oppressive arm of whoever, either the administration or the faculty, and saying if you don't behave in a certain way you're not going to get tenure. I think that is hurting higher education.

The second participant was asked, "What is the effect of administrators as faculty fulfill their leadership role?" The interviewee gave an answer that conveys the negative effect of the tenure system:

. . . Well, I think in higher education with the whole tenure process that the effect is very limited because you have a system in place that kind of protects the faculty in their leadership role and there is not much to be done to impact the tenure process. Again, it is a very structured format in terms of how faculty members get through that process and get tenured. I think the thing that makes it difficult for the administration as faculty is doing their leadership role is that, again, we are impacted by changes in our society and I keep referring to it as the market, but interest in majors change- - there are cycles, where may be now health care is very popular and education is again popular, but 10 to 12 years ago business was very popular and that's been on a down- swing, and so as the market fluctuates, sometimes the students' interest--the impact of tenure on the administration is very difficult, because there is this structured, very formal process of giving someone job security for life and yet that puts the institution or the administration in a very difficult situation financially, because you are obligated to keep those people teaching, and yet your markets may change enough that ten years down the road it may not be financially responsible for the institution to hold so many positions in an area in a department, and yet you also have to very careful not to, of you have the trends in a certain area, not to hire a lot of people, have them go through that process and be stuck with these sorts of positions, and one of the ways to impact your tenure process is that you have want the need of the institution.

As clearly stated above, there are different perceptions about the tenure system. However, perceptions are reality for those who perceive them as they function in the college. That may as well be the reason why another participant when asked, "If people who are not tenured have to be encouraged in order to get involved, how do you foster that type of culture?" answered by echoing the question as follows:

For a lot of junior faculty, I think it would be a question of strongly being convinced that that's the case, that you can speak your mind and that it won't come back to haunt you. A lot of it is just what sort of environment is created here. Do we all trust each other? Or is there an environment of watching your back all the time? I think, again, you can get different readings from every person you talk with, I guess I've never really felt I've had to be a back watcher here. . . I think the bottom line is, deadly, it needs to be an atmosphere of trust where people from their first year on see model behavior that shows them that it's okay to be controversial, or it's okay to raise an issue or to ask a question, or to take a stand on something and that is not going to adversely affect your ability to be renewed or to stand for tenure, so I don't know. That's kind of intangible. That's hard. How do you create that kind of atmosphere?

In brief, tenure is an issue that was constantly discussed during the interview period with the participants. Even questions that seemed likely not to lead to the tenure issue, encouraged participants to discuss issue and its relationship with participative

leadership. Sometimes tenure is taken to be a right, by others, a privilege, or still by others as something faculty earn.

Subsequently, its effect on participative leadership has been perceived to vary. As a right, it is considered to encourage faculty to participate fully; as a privilege and an earning, it is considered a divisive mechanism. As important as it may seem to be for faculty to have effective participation leadership, its operation remains paradoxical and controversial.

#### The Challenge for Improvement

Indicators. According to most participants, there is always room to improve the quality of participation. One participant (an administrator) showed the need for improvement by comparing the type participation in the College with participation elsewhere as follows:

. . . I think that the dean has to depend on strong faculty leadership, department chairs, and they would comment back. I don't know that that always happens. I'm not really confident that department chairs are our strongest faculty always. It always seemed to me that open communications is the solution. There are always hidden agendas and people aren't always able or willing to speak those out and I think there are some hidden agendas. One of the problems with a church-related school is that people adopt this view that it's not, in our case, Christian like to challenge somebody's behavior or conflicts on values is sort of seen as unchurch like or unchristian and that works against what we've been talking

about. And what I've observed here, a little bit of that happens here. People don't always say what's on their mind.

When the interviewee was further asked, "Could you give me more about the differences of this college and other places?", the interviewee started to compare using various factors as indicators for effective faculty participation.

One would be the forcefulness in which they challenge decisions or challenge the people who are presenting ideas. You're looking for a certain sense of energy and how involved they are in decision making. Are they just sort of passive, raising their hands, or are they asking good questions or are they challenging it? Initiative to suggest new ideas and new approaches, rather than just being reactive to something the administration leads. How often do initiatives come from the faculty, or from a department, or from an individual I think is another indicator. I guess a their indicator is sort of do the president and the trustees value faculty leadership or do they see it as interference with their responsibility to lead and to govern? Faculty morale probably is another indicator. Trust level with the administration is another indicator.

The need for improvement was further reinforced by many of the participants' conveyance to participate more in leadership. The participants have not only shown their interest in seeing "participative leadership" practices improved in the College, but have also come with different suggestions that range from structural change and more communication to specifics such as training and a change of attitude. Most of these suggestions are

included in the analysis of the whole group and the different groups sections. This analysis only includes some issues that some individuals tried to emphasize in their discussion. These issues referred to importance of training, improvement or creation of structure, evaluation of the tradeoff, and changing the individual and group attitude.

Training. Many interviewees indicated how much they have been helped by the orientations, trainings, and the advice they got from mentors and other colleagues on how to function properly and be active participants in the institution. By the same token, they brought different suggestions to show the importance of training for effective participation. With respect to the training of the participative leadership facilitator, one of the interviewee (faculty) suggested:

. . . I think participative management is getting people involved but I think it's shortcoming is that you have to have someone who then is good at sorting out what it is that you're dragging up from all the people who are involved, and I don't think that's something you lean automatically. I think there are some natural characteristics, liking people and flexibility and openness to other's ideas that you have to have to operate in that world. I think a lot of it is just practice. Not becoming impatient, not shutting people down prematurely, not just listening to people and then just going on with what you were going to do anyway. . . .



When one of the participants (administrators) was asked how the problem of confrontation could be addressed in the participative decision making process, the answer highlighted the importance of training:

What I usually try to do is you have to keep conversation going and I think you need to have the participants be able to clearly identify what the issue is or what the value or the perspective or the philosophy behind what you're saying, because more often than not it's a conflict of values of ideology that isn't very well articulated so people don't necessarily know why somebody is favoring this decision or the other and it comes back--we haven't talked about training. I think there is an element of training that goes into participatory leadership. People will give you the idea but they don't trust their feelings or don't trust that someone else will respect their reasons for that decision, so you get a lot of what I call hidden agendas and what you need to do is get those agendas out. . . . I think the goal is to get the real agendas on the table so people can talk about it. I think the other thing is that people don't understand that participatory leadership doesn't always mean consensus, or consensus doesn't necessarily mean 100 percent agreement. The people who disagree can continue to disagree but understand why the decision was made and tell somebody else why the decision was made and that the other people can understand why there was some opposition and can understand why there's opposition and so people can respect differing points of view.

When the participant was asked "What is the importance of training in participatory leadership?" the participant answered:

. . . even though our society does a lot with groups, I don't know that one should necessarily make the inference that people work well in group settings and I think if people aren't

sensitive and learn how to communicate effectively in groups then I don't think participatory leadership can work as well as it could if people don't say what they mean, that gets in the way. If they tend to be aggressive rather than assertive that makes people defensive. They need to understand what's happening in that dynamic or it will get in the way of the group. The role of the leader needs to be understood and clarified and the person who's the convener, the note taker, is he the key decision maker, does everybody in the group have the same authority on the decision. If you don't take time to even talk about what that means, how the group is going to run, you're not clear on goals and purposes, so whoever convenes it needs some training about certain things that he or she could do to make things better. When you're a staff that meets all the time, I think taking some time once or twice a term to stop and process how well the group is making decisions and how people feel about their roles in the group is important, because if that doesn't happen then you might have people who don't want to come to the meetings, feel they're a waste of time. They never tell you that out front but I think people need, particularly if they're not just an ad hoc group but an ongoing group like a permanent staff or something, you need to take time to talk about how well the group makes decisions and a lot of people don't do that. Because I've had some group work and I've always had to work with student government maybe I'm more sensitive to that issue than other people and they probably don't do enough of that on the faculty side. The faculty sort of resent the idea that they should be trained on anything. In fact, we have to invent new words for it most of the time. As a result, I don't know if the faculty or faculty leadership always works as well in groups as they could.

When asked "What are the processes in participatory leadership?" the interviewee answered:

I think, clarifying what it is that needs to be decided on, that's not always that clear, people have different perceptions of it.

. . . where does the final decision making rest? Is it going to be with group totally, is the leader going to set limits on there and make the final decision with input, does the leader have authority to make the decision or will he have to take it up one more level, so this is just part of a process. In theory, I think that's what needs to happen. I think in practice you just sort of roll into it and sometime muddy the water by not being real clear what the limits are on decision making or if there are limits on participation, what those are. So I think clarifying the issue or the problem, indicating what the expectations are with the group is important.

One participant (faculty) indicated the importance of training for participation in leadership by relating to the mentor ship experience the participant had as a new faculty member:

. . . I think it (faculty feeling a sense of participation) depends on the amount of experience and I think there are those people who come in from other institutions who have had a lot of experience but those . . . who are in teaching for the first time, I think there's a sense of needing to try to figure out what happens here first before you can really fully participate and I think those people who come along the fastest in terms of becoming involved in the process of participation are those people who have mentors here who encourage them to be vocal and to be involved and to learn what goes on here quickly so they can become a viable member of the faculty community. I guess some departments do a good job of that and I think others probably don't do as good a job and I think that some of those faculty members feel a little bit marginalized in terms of their ability to participate fully. . . . mentor for me and I'm sure for a lot of other people and really encouraged people to get involved and speak up. And I think that's important. When we talk about participatory leadership, if you don't understand how the system works and that participation is valued and

accepted, then it's going to be pretty hard to find a place for yourself.

Another participant (administrator) contended that since "participative leadership" is an evolutionary process, it can be improved and participants learn more by doing it:

The other thing I want to say about participation is that participatory governance and leadership is really an evolutionary process. The more you do it the more you learn how to do it, and we are learning how to do it. We're learning all the time about the value of it and I think that's an important maxim, that no matter how much participation you think you have, somebody probably always thinks you need more or less. As I mentioned to you last time, some people think I'm too participatory, and I need to make more decisions. Other people think I don't consult enough. It just goes with the territory. But I do believe it's an evolutionary process and success has the effect of breeding success and once you do something well, that helps to set the model for more involvement.

Improving or creating structure. The participants in one way or another mentioned the importance of improving the structure to improve participation. One of them (administrator) related it to communication:

I think communication is key, good communication, and having good mechanisms for regular communication so that information shared widely and shared when decisions are made, but I think more importantly even, you have to have good mechanisms in place for the faculty to be able to communicate their needs and desires in a regular way to the administration and then I think you have to have a good governance structure in place that

encourages dialogue between administration and faculty as part of the decision making.

Although a union is one of the devices faculty use to participate in the governance of higher education as mentioned by one of the leaders, it does not seem to be operational in the College. It seems that there are no many faculty supporting it and administrators are not in favor of such a device. However, the Handbook recognizes the importance of such devices. In fact, as one of the participants indicated, the AAUP gave a grade of B+ for the currently revised Handbook. Some of the interviewees expressed that such a device can help to effectively facilitate the participation of faculty in leadership and to safeguard administrative decisions and faculty benefits. For example, one of them (faculty) stated his interest as follows:

. . . there have been forums. We had a small AAUP chapter on campus here, very small organization, but that organization concerns itself with these issues and provided a forum for people to talk about it. I think AAUP has a positive role to play on this campus but it has not been acknowledge as yet by the faculty as a whole and nobody in administration. I think the administration tends to see AAUP as an outlaw group, a group of rabble rousers and campus rather than a part of the voice. . . I think it's an opportunity may be to bring faculty together to discuss issues that are important, policy issues, and not always in a conflictual way, we've had a forum where we've talked about the issues that are affecting all college campuses, we talked about national trends, things like that,

and how those things might play themselves out at . . . One thing about AAUP and groups like that can do is provide that forum and the faculty can get together in a nonofficial setting to discuss issues that concerns them. We can do that to a certain extent at faculty meetings, but faculty meetings tend to be more formal, you have a chair, it's conducted according to the rules of meetings, there are some people that do most of the talking and other people that don't. I think they've got an understanding there that if you're not tenured, you don't say a whole lot at faculty meetings and so it's not really conducive to a lot of rally open, frank honest discussion. That kind of discussion can take place at an AAUP meeting, the people can feel more freedom to say what they really think. . . . Unofficially, I think they're (the college) reluctance steams from a notion that AAUP is an organization that deals only with the interests of faculty, it always puts the administration as the enemy, and is not willing to work for the good of the entire institution. I think that's the perception.

As mentioned above, another interviewee raised the issue of a union in a slightly different way. This administrator affirmed that "the American Association of University Professors (AAUP) looked at the new Handbook, they gave us a grade of B+ on it so we felt pretty good about it". The AAUP is according to this interviewee,

. . . a national organization of professors at those colleges and universities where there are bargaining units. The AAUP is an advocate for faculty and I would say their primary mission is to protect the rights of faculty. Because one of our concerns was that our old handbook did not have enough faculty participation and we wanted to get the governance back into the hands of the faculty in a formal way and we knew that the AAUP would really be looking for that and so the faculty asked them to review it. . . . We don't have units here. Instead there

are academic departments and other different standing committees.

Again another interviewee (administrator) raised the issue of AAUP in different way. The participant said,

. . . I didn't really sense that there was all that much administration versus faculty, with the exception of a small number of faculty who are members of the local chapter of the AAUP and they were very vocal and much of their reaction to the decision was directed at the administration. But as far as I have been able to determine, it's a small number of faculty who believe very strongly in some of the AAUP principles which I don't fully subscribe to and the college doesn't subscribe to, and I think the clash which occurred there was circumstantial by virtue of that particular decision.

In general, the above statements indicated that a union in this college seemed not to be recognized both by the faculty and the administrators. Members of the college community are divided in their view of its use for faculty participation in leadership. However, the interest by some faculty for such a device seemed to partly arise from the recognition of the need to participate more in leadership.

#### Metaphors for Participative Leadership

The participants attempted to express their ideal image for participative leadership by using nine different metaphors. These metaphors were: community, priesthood of all believers, web, town

meeting, big wagon wheel, round table, team, synergy, and chaos -- cosmos. These different metaphors seemed to disclose different dimensions of participation.

Community . This metaphor conveys the individual as integrated in the whole and the whole made of different parts, each nurturing the other. One of the participants (administrator) introduced the subject by raising a question,

In some ways the most important thing around here is probably community. Most of our arguments are about whether or not we are functioning, do we practice what we preach. Are we in fact functioning as a community that respects people, all of the belief systems that go into this place?

Another participant (faculty), seemingly to have heard the question, while relating participative leadership with community almost presented an answer to the previous question as follows:

. . Well, maybe it's the sense of community that one experiences at a place like this, the way in which we deal with one another on a day-to-day basis. I would hope that we treat one another in ways that are consistent with those values that the Christian faith holds up as being very important and I think that what makes this the type of place that it is, is that sense of community and the way in which we deal with one another on a day-to-day basis, the way in which we respond to each other's needs. I think it tends to foster and strengthen community participation involvement. And I would hope that those principles upon which our faith rests are principles that are manifested each day as we go about doing our tasks. And so in that sense I guess there is that tendency for openness and a desire to engage and involve people. . . .



In the perspective of team leadership, this interviewee (administrator) described how a community functions:

I think we talked about the fact that one occasion we were meeting with staff people and discovered that it was important that they understand their job as being part of the educational mission and not simply I clean rooms or I take care of the yards or I fix meals, or whatever it is, that they were doing that as part of the mission of the institution, and it seems to me that's when Luther talks about the milkmaid having a calling as holy as that of the pope or a priest, it is exactly that sense of everyone is contributing something within the gifts that God has give to the benefit of the whole, of the community, and the community is less when people are not contributing their gifts. It doesn't mean that everyone has the same gift but it isn't as if the contribution of any is less than the contribution of others because all is essential to make it work. It's an interesting thing sometimes where you can look at the ... . . where you're a student, you can look at . . . as a community and asked all the people who've worked largely unnoticed but who's work is essential to make living their possible. That if the garbage was not collected it would be impossible. If garbage simply accumulated every place, something would be gone from community. If sewers didn't work, if electrical things didn't work, but we don't often think of all the things. It used to be that when I worked in the city, if you got up early you saw people going to work who kind of get the city up and ready to do business, and there are people all around, and so it seems the priesthood of all believers sort of recognizes the contribution to the whole of all the many parts and it's consistent with the idea of team. Team is one way to talk about what that is.

The Doubleday Roget's Thesaurus: in Dictionary Form gives three categories of apt synonyms for the term community. The first category refers to the identity--public, society, commonwealth, commonality, state, population; the second one, activities--sharing, participation, collectivism, communion, cooperation; and the third one, relationship--similarity, likeness, affinity, resemblance, fellowship, rapport. These words closely reflect the meaning of community that the people who attempted to symbolize their participative leadership concept were trying to express.

Priesthood of All Believers. This metaphor revealed that each member of the community has the potential -resource, abilities, skills, and gifts--to serve the community. Moreover, each individual's resource and service for the community, although different, is equally important as of the other. Two of the interviewees (administrators) expressed their understanding as follows,

. . . I think we all have, it goes back to the adage about each having, that there being many gifts, and we each have our own special gifts and I would hope that an institution of this type is utilizing the gifts of the members to the fullest extent possible and taking advantage of opportunities to engage and involve people based upon the gifts that they have to offer.

The second interviewee presented the metaphor in the following way:

. . . there is a concept that Luther believed in what he called the priesthood of all believers, by which he meant that the church and the priests and the people in the parish, as in the priesthood of all believers, and Luther sought to break down the barriers which existed between the clergy and the laity and in some ways, when you asked the question, what immediately popped into my mind was the notion of the priesthood of all believers as a metaphor for faculty and administrative participation. . . . I do believe that it is important to build in faculty and administration a shared vision for the future and a shared commitment to goals and in a way it's very much like the concept of the priesthood of all believers. I mean, people who believe in this institution and believe in what it has to offer are going to be able to contribute to it in ways that we are going to tap resources that we otherwise might not tap. The question is, how do you bring people into the priesthood, and even though that's a predominantly religious metaphor, I think it could apply in other places than just a Christian institution or a Lutheran college, because I think when we have the notion that everyone is valued and that difference is important and different perspectives bring about good things, that everyone is seen and conceived of as a member of the priesthood-of all believers - I think that's the most valuable metaphor to use.

A Web. This metaphor revealed the importance and inevitable relationship that an individual has or needs to have for the people revelation and operation of the whole and the individual. Here is how one the interviewee (administrator) put it,

.. . . I see leadership requiring a lot of partnership, a lot or relationships, people have different skills, you bring people

together, Connectedness, and a web has a lot of connections, rather than being hierarchical. I don't think that a bureaucracy is going to function very well any longer and so I think you have to bring people together who have expertise skills and look at particular issues. And so Connectedness; participation, and I guess I see a web as being a metaphor that maybe describes that, that leadership is more horizontal than it is vertical.

The Doubleday Roget's Thesaurus: In Dictionary Form gives three categories of apt synonyms for the term web. These words closely reflect the meaning of the community that people who used this image were trying to express. Web as a verb is to entangle; as a noun, it can be trap, snare, booby trap, entanglement, mesh, and net, or it can also be network, tangle, snare, labyrinth, crisscross, jumble, and maze. These two categories of terms seemed to show the unavoidable relationship and commitment participants could have.

A great big wagon wheel. For the whole to reach its destiny or achieve its goal, the commitment and the involvement of the individual is imperative. If some individuals seem reluctant to present themselves and fulfill their responsibilities, like a flat tire, the whole will not function to the maximum. The participant (faculty) who suggested this metaphor presented it as follows.

. . . And that was sort of the image that I had at that meeting. Everybody came together and we just rolled with it, we made

the decision as a group, everyone was happy with it because there was enough leeway between where we started and where we ended up and we really were able to, our whole faculty, we were able to move on and I look at where I am now and I think my analogy would be a flat tire. There are some of us that are coming together, but at any given time, and it's not always the same person, there is somebody in our department that might be so caught up with a particular personal research project that he or she is just not available to be part of the group, and so this side is kind of flat, whereas at another time, this person took a semester sabbatical, and . . . that person is gone from the wheel, and all this first year as a newcomer at the . . . I've sort of felt like it was a flat tire bumping along.

This being the case, it is important that the both the individual and the whole be aware of each one's need for the other.

Town meeting. This metaphor suggested the importance of interaction with everyone or the inclusive nature of participative leadership. The participants indicated that to challenge those obstacles for working together it is important

. . . to give time and commitment I think communication is key, good communication, and having good mechanisms for regular communication so that information shared widely and shared when decisions are made, but I think more importantly even, you have to have good mechanisms in place for the faculty to be able to communicate their needs and desires in a regular way to the administration and then I think you have to have a good governance structure in place that encourages dialogue between administration and faculty as part of the decision making.

Nevertheless, the interviewee (administrator) addressed the question as follows:

Leadership and service are the flip sides of the same coin, so that's an advantage. The disadvantage is that one of the difficult things is drawing the line for the definition of participation, how many people are we talking about? How many do we include? At what point does it become so cumbersome that we can't effect the change that we want to? I think that's one of the drawbacks, is that yes, you say participatory, but it isn't a town meeting, it isn't everybody? Then who do you exclude? At some point it does become exclusive and that balance is difficult to find, so that you always run the risk of leaving somebody out who feels like they should have been included, how do you address that without bogging down the whole process?

Hence, while this metaphor indicated the legal right of the individual to participate in decisions that affect him/her, the participant also suggested the importance of small group meetings for effective participation.

Round table. This metaphor revealed the need for high communication within small groups irrespective of the status difference. It also suggested that there should not be anyone left out but everyone is equal and is exposed both to challenge and be challenged by others. The participant (faculty) stated it as follows:

A round table because there's no head or foot, everybody is equal. You can all see each other, there can be, hopefully will be, an ongoing dialogue among the people who are seated there at the round table. Nobody's back in a corner.

The metaphor, in general, referred to the conference for deliberation by the participants, the discussion carried on at a round table conference, and to the participants in such a conference.

Team. This metaphor emphasized the complementary nature of the members of the group and the common goal that they have and need to accomplish. One of the interviewees (administrator) expressed it as follows:

. . . in the sense that everybody feels a part of what's going on. In the ideal community I think that should happen, too, but I think a lot of communities are not necessarily that way. I think a team is more the impression that everybody's there because they want to be, they have something to offer, that they may sit on the bench but that they're still participating in some way. That there's a common goal or objective and I think communities don't necessarily always have that.

When another interviewee (administrator) was asked, "How do you define team leadership?" the interviewee answered,

I think that the most important aspect of leadership is either vision or mission, however--I mean, you understand mission very well, and I think more important than structure and more important than policy and more important than practices is a shared vision or a shared sense of mission. And that team is built around that, and then people contribute whatever it is that they have to contribute to the effort of the team, for the sake of either realizing the vision or fulfilling the mission, and that. .

The Doubleday Roget's Thesaurus: in Dictionary Form gives three categories of apt synonyms for the terms team and teamwork. These words closely reflect the meanings of participants were trying to express. While team is taken to be a crew, unit, group, gang, force, works, side, opposition, band, clique, squad, club, body, faction, and bunch, teamwork is presented as cooperation, coordination, community, collaboration, unity, esprit de corps, common cause, alliance, fellowships, concert, collusion, unanimity, and harmony.

Synergy. This suggested the group differences and how the groups can accomplish their goals by complementing each other. Here is the explanation given by an administrator,

. . . I think the process of involving students and faculty and staff with ideas and reacting to ideas actually made it a more focused proposal, it was a better proposal, and I think I used the word energizing, if I could sort of put aside the coming back at night having to sit down at the computer and write it, coming into a meeting and leaving a meeting with a better idea or two better ideas, I actually found energizing. It could end up with an experience where people are fighting. The other side of participatory leadership is that you don't get any agreement, people fight you on it, and it just seems like more hassle than it's worth and you say, well, why did I do this? And so I've been in negative situations. . . . they had good input into that and I don't think anybody was dissatisfied with the decision that was mad, but again, sometime I've been on search committees where somebody really is holding out for a candidate, but when it works well I think there is a sense of



synergy and energy and sort of coming together and people feeling good about the outcome.

Chaos and cosmos. This metaphor emphasized the diversity - the potential conflict and the challenges that could exist both on the individual and the group level of participation. It also revealed the potential that each individual and group have to create and to change because of participation. From chaos is believed to come cosmos. This metaphor conveyed the fact that participative leadership should encouraged to include diverse perspectives. As expressed by one of the participant (faculty) :

. . . that out of sometimes questioning, out disarray, a collective energy should evolve to present organization, plans, solutions, progress, development. . . I always think to make change there has to be some dissonance. Dissonance should be looked upon as some dissonance needed, is healthy. I think we do have some people who don't do any amount of tension or dissonance. They always interpret it as negative conflict, em battlement. .. . we still see it as sides, we still see administration and faculty as polar. We still see them as separate and not functioning together in a . . synergy, that they aren't necessarily functioning together to make improvement and change.

Another participant (administrator) suggested the importance of the need to accommodate or give a chance to failure as people try to take risks:

. . .I guess another idea that I would offer is that I would hope that a place like this also provides the opportunity for

someone to fail, that because of grace that we can provide encouragement for people to take risks in an effort to demonstrate leadership and that when that is done and the person isn't totally successful, that they can learn from that and grow from that, and I hope that we are the type of institution that encourages risk taking and the opportunity to fail, because through failure comes a great deal of growth and development as well.

The Doubleday Roget's Thesaurus: in Dictionary Form gives three categories of apt synonyms for the terms chaos and cosmos. These words closely reflect the meaning of the terms chaos and cosmos as used by the participants. Chaos: disorder, confusion, turmoil, pandemonium, tumult, disorganization, uproar, ferment, agitation, commotion, and furor, cosmos on the other hand is order, harmony, concord, system calm, tranquility. The American Heritage Dictionary defines cosmos as the universe regarded as an orderly, harmoniously whole, or any system regarded as ordered, harmonious, and whole.

In general, considering the definitions, explanations, and examples given to the metaphors, it is clear that each one of them contributes to the whole and are interrelated to each other. Moreover, even if they seem to range from an emphasis on the whole to an emphasis on the individual, from an emphasis on stability to an emphasis on change, from an emphasis on consensus and

homogeneity to conflict and diversity, and from systematically interwoven to informal relationship, they all clearly disclose the concept of participative leadership.

The metaphors may be roughly categorized into the four organizational theories as follows: Category A--community, web, and priesthood of believers, seem to emphasize more collegiality; Category B--Big wagon wheel, town meeting, and round table tend to focus on the political system; Category C--team and synergy stress more order and accomplishment, inclusive yet structured and bureaucratic; Category D--chaos and cosmos tend to emphasize the autonomy, diversity, change, conflict, reminds an anarchic system] and order and harmony which link back to the other categories.

#### Relationship with the Church

The participants were asked the question, "Does the fact that the College is related to the Church have any effect on the way faculty participate in leadership? If yes, in what way?" When they answered the question they raised important factors that have an effect on and describe more participative leadership. These factors referred to Christian values, the mission statement, the structure of the College, and the attitudes and interpretations of the

community members of the ways participative leadership operates in the College as its relationship to the Church.

The participants' ways of starting to answer the question varied. Three of the participants started to answer the question with a negative, ( "I don't think there is any effect. . . , "No, it does not. . .", and "It shouldn't affect very much). Five of the participants began their answer affirming, ("Yes, in two ways. . . " , It has a mixed effect. . . ", "I think it has great effect, . . . ", "Two ways probably, . . . ", and "Well, may be, . . .". Two other participants started with a phrase that convey the doubt their doubt of their knowledge, " I don't know, . . .". However, all of the participants generally indicated that the relationship of the College has an effect on the ways the faculty participate in College leadership. The analysis focused on theses answers.

No--I don't think so--It Should not affect very much

The participants who started their answer with these phrases were not indicating there is no effect at all, but they perceived the influence to be minimal, or did not want to see too much Church influence in the College community. One of the interviewees who seem to have an interest in and a commitment to participate in accordance to the mission statement asserted that faculty do

support the mission and there is no hindrance. However, the interviewee at the same time indicated the perplexity that an individual faces while trying to fulfill the part of the mission “faith and learning” and at the same time encourage the spirit of diversity. According to this interviewee, the fact that there is an interest in mainstreaming and at the same time endeavoring to include students for academic excellence is considered to be kind of oxymoronic. The interviewee (faculty) stated,

. . . I have wondered about this, and it was one of my first questions at my interview and I said, “How can we hire and attest to wanting diversity, welcoming diversity, and fair hiring practices, and yet hire people who can support the mission of the school?” Which to me, central is that faith and learning. How can you hire to match faith and yet always welcoming diversity? It’s the same issue in education that says, we must mainstream and include all students but we are going to work toward academic excellence. I think that’s kind of oxymoronic, I don’t see how those two things can exist, and I’m not sure how you can always hire to support the mission of the school and yet be grasping the broadest diversity. I think that from when I was a student until now, as a professor, I see an increased awareness and participation in church activities. Perhaps it was my youthful unawareness, I won’t use the word ignorance, and perhaps as I’m approaching middle age I see it differently, maybe it hasn’t changed as much as I think it has, but I feel a resurgence of that interest in the church and I was willing to, my first year, I was even willing to ask my colleagues for donations to the chapel. I thought that was kind of a risky thing to do because I see that as very important and central to the campus. I think it’s 1) a symbol and 2) a testament to daily faith and so I think that’s very important.

I'm hoping that it also continues to help us focus on that mission. I see it only as an encouragement and support, I don't see it as hampering faculty from participating.

When further asked, "In what way do you think then it will affect participative leadership?", the participant answered,

I think the president's phrase is very aptly put. He said, "Christianity is not the only religion on campus but it is the privileged religion." And I think we're very open and accepting people of other faiths, and yet I think that we have many focused Christians and many of them Lutherans who are good role models and that they live their witnessing faith, but I experienced as a child a teacher who was very dogmatic, things that were said to student were actually very inappropriate and unacceptable in public school, but some of my friends were told that they would go to hell if they didn't profess faith in Jesus Christ as lord and savior, and I can tell you that one of those children, now as an adult, will never have a faith because of that. I think that living a Christian life rather than--and being willing to talk about it, but not stifling other with it, not destroying others with it. . . . I think we should use our faith to save people rather than condemn them. And I think that's a different attitude there. And I think those people who are involved on campus are living healthy Christian lives and I hope that continues to be a model.

Another participant (faculty) indicated since people from other religions and atheists are accepted as students and hired as faculty, there is no effect. The only difference the participant saw between public school and the church college is the three days a week of chapel hour and some religious courses offered. However,

these arrangements, according to the interviewee, do not have any effect on the ways faculty participate in College leadership.

A third participant (faculty) again reinforced the idea that the effect of the relationship must be minimal. According to this participant, by in large, the interaction of the church and college has been positive. These institutions have been preparing mutual supportive agenda. The leadership education is also compatible with Christian ideals. Moreover, the interviewee asserted that the College is not a church and includes non-Lutheran, non-Christian, and even non-believers both as students and faculty. The worry of the participants as indicated below is on parochialism.

. . . My sense is that it shouldn't affect it very much, in this sense. . . . I think that institutions shouldn't need to be affiliated with religious organizations or anything else to be able to do the kinds of things we're talking about. On the other hand, I do think that the church, the Christian tradition here, the Lutheran tradition here, is one that . . . was created to provide teachers and preachers for German immigrant families, so in that sense it's always had a focus that was intended to be of service to other people, which involves the notion of participation. Now, the role of the college has evolved substantially from that relatively narrow focus, but I hope that the service orientation will continue to remain as one of its strengths and I think it is one of its strengths. So just to answer your question, I really can't say that the relationship between a church and another institution generally says much one way or the other. I think you have to look at the particular set of circumstances. The consequences are very dependent upon the climate that's created by the

interaction of those two kinds of institutions. I think by and large that interaction has been fairly positive, but's very important for the college to understand that it's not the church, that we have many people in this community who are not Lutheran and may not particularly like Lutheranism. And that doesn't mean they don't have something extremely valuable to contribute to this institution. In fact, that in itself may be valuable, that it forces those of us who claim to be Lutheran, whatever that means, . . . to challenge whatever assumptions we have and keeps us fresh and reflecting on what does it mean to be a college of the church. . . . I think what we're doing with respect to leadership education is certainly compatible with what I consider certain Christian ideals, so I don't know what to say beyond that. From my perspective there seems to be some good relationship between the church and the college, the church is related to the college is some ways, but it's different and to the extent that they can identify an agenda that's mutually supportive, great. But I do worry about parochialism, not because the church is inherently parochial or the college is inherently parochial, but any time you bring together groups of people who have a tendency to have shared backgrounds and Scandinavian, German, Caucasians out of the Lutheran tradition, that's kind of a very broad focus of humanity and we have to make sure that we understand that. That's inappropriate and we have to understand that that gives us a very particular kind of perspective that may be valuable but it's certainly not the only perspective and maybe not--

#### Yes, There is a Positive Effect

Five of the participants indicated that the relationship has partly a positive and partly negative effect on participative leadership. Some of their arguments regarding positive influence included reference to the mission of the college, the values of



Christianity, and the use of metaphors that are inherently rooted in Christian teaching.

Mission statement. The mission statement is considered to be the link of the College with the Church and a determining factor and a challenge for the ways faculty are supposed to participate in the leadership of the College. The mission statement of the college, as one of the interviewees put it, is constantly evolving from the Gospel which in turn is considered to be the mission of the Church. Hence, both institutions collaborate as they attempt to fulfill their mission. One of the participants (administrator) said,

I think that mission or the calling of the institution continues to come out of the gospel, but there are people here, administrators, faculty and students who don't see any connection with the gospel whatsoever, and one of the challenges to maintain I think the character of our community is that there always be a critical mass of faculty and administrators and students who are informed by the Gospel and some understanding of calling and some appreciation for the heritage and tradition of the place, and are helping to then create that sort of shared vision of the future that is truly faithful to the call, even though that means sometimes some radical changes or some significant changes. . . the best teachers here, faculty, are here because of calling. It's not a job, it's a calling, . . . to me that is what is distinctive, and that's and that's almost distinctively Lutheran. . . that's one way in which being related to the church inform or gives shape to the way in which the team thinks and talks and tries to work.

The above statement indicates that the College community consists of two groups of people--those who don't see the connection of the mission with the Gospel and those who are already informed and actively participating. Moreover, the latter group are helping to create ' . . . that sort of shared vision in the future that is truly faithful to the call. . .'. This indirectly showed that the mission statement which is constantly being informed by Gospel is guiding the type and level of leadership participation of the members of the community.

The mission of the College includes the perspective of leadership that links leadership with service in a community. The church's servant hood leadership concept is believed to be the root that constantly informs the philosophy of the mission statement. The principle of serving one another and others in a community subsequently enhances the concept of participative leadership both in the College and the Church. One of the interviewees (administrator) noted:

. . . Is there something in the saga? Traditionally there is a person and then a center that has promoted what they call servant leadership, and generally it seems to be that's closest to what has been true here at . . . that it's been the servant leader, leadership has been exercised in being helpful. My concern was that I think . . . graduates were so interested, understood very well how they could be involved in helping

others, sort of neighborly ways, but had not learned as well how to work through systems and structures and government and the rest to work at community change. That's what . . . is helping us to do, but it seems to me it's the servant leader has been the sort of the paradigm, the model, what we've talked about mostly here.

The fact that the Church encourages the spirit of ecumenism and a global perspective constantly influences the mission and objectives of the College is also assumed to create the atmosphere and practice of participative leadership as stated by a member of faculty:

. . .I know it has an effect on how some people view others, because of their background. One of the things that keeps coming up in our vision statement for the college is that we want to have this diverse student body and we want to emphasize multicultural and global experiences. And then when it gets to the faculty, there's some kind of a statement that has been rewritten now that states something about a faculty who would support a college of the Christian church, and there is a group of us who continually speak out to say that that's sort of a narrow part in the faculty for a position statement and that we are in a way defeating what we're trying to do in terms of diversity and multicultural sort of thing. I read it as saying. "you have to be a practicing Christian, a believing Christian, in order to teach at. . . ." The administration doesn't read it that way, but I still don't like the way it's written. I think we could go non-Christian to expand our diversity. But in terms of the leadership, I don't know that it has any great effect. I think there are certain values at a place like this that we do uphold. I would certainly hope that the faculty and administration uphold the value of honesty and individual people are valuable and worth

something, and even though those are not necessarily just Christian values, I would certainly hope at a place like this they were important and perhaps lived more than at a college that is not associated with a church.

The mission, or the call, that most of the “best” faculty are believed to have and students are expected to own when they leave the College is assumed to be drawn from the mission and long tradition of the Church. The commitment that supposedly is assumed to be seen among faculty is also accounted to the call that the faculty are believed to have. An administrator stated,

. . . the best teachers here, faculty, are here because of a calling. It's not a job, it's a calling, and our society has largely lost it. To me, that is what is distinctive, . . . that's one way in which being related to the church informs or gives shape to the way in which the team thinks and talks and tries to work.

Christian values. The Christian values of caring, serving, listening, and compassion are assumed to enhance relationships, communal living, and interactions. The values of openness and honesty are also assumed to create good relationships and communication. All of these values are constantly taught in and through the parishes and local churches and have a positive effect on participation in the College. A faculty member narrated,

. . . I have sense that (this could be totally wrong) but my sense is that because we're affiliated with the church, there's

more an attitude of wanting to cooperate and wanting to be more of a community, rather than just the top-down organization that we might get in a state university. Just because I think the church at its very foundation supposedly espouses those values that caring for, listening to, valuing individuals, and what they have to say and sharing with the larger group. Whether that in reality translates through 100 percent, I don't know, but I would think there's maybe more of value in participation here than there might be other places.

Another participant (administrator) said:

. . . I think we could go non-Christian to expand our diversity. But in terms of the leadership, I don't know that it has any great effect. I think there are certain values at a place like this that we do uphold. I would certainly hope that the faculty and administration uphold the value of honesty and individual people are valuable and worth something, and even though those are not necessarily just Christian values, I would certainly hope at a place like this they were important and perhaps lived more than at a college that is not associated with a church.

One way students learn how to be responsible is by practicing and experiencing democratic ideals. The College is assumed to fulfill this mission both by teaching ethics and challenging faculty to be role models. Moreover, as one of the interviewees (administrator) noted, there is a plan to introduce or to strengthen the Spartan model of teaching ethics in the College. This model seemed to be in line with the Church's way of nurturing the

Christian values. This is how one of the interviewees presented the model by contrasting it with the Athenian model:

. . . two different approaches to ethics and values and it's from the Hastings Center . . . it uses the Athens Model and the Spartan Model. And the Athens model is the one that says people today in every major ought to have the capacity to reflect ethically on the issues facing society and that discipline of study. So there's the course work especially that helps people think critically, analytically, understand contemporary issues, etc., The Sparta model . . . . tries to produce good citizens, and so it's not just leaning how to think, reflect, to do ethical reflection, it's how are people shaped to behave ethically and that a primary factor is the community that tries to nurture this needs to live ethically. So the issue is bigger than are we teaching ethical reflection in every discipline. It is, how do we as a community think and behave, live ethically? And then how do we nurture good citizens. . . . it's the learning by doing, it's the involvement, it's partnership, it's global reflection. All of that becomes part. It's in the classroom and out of the classroom, it's a total experience. . . there are not a lot of institutions today who will buy that model. . . . public institutions can't even think about this, we can. And we can talk about the fact that the gospel and the history of the Christian community has a privileged place here. It is not the automatic answer, but it is always privileged, it has its place and you don't have to apologize or defend that you are now raising theological or biblical questions about an issue. It has a place in the reflection. And I think in my own mind I have identified the primary vision of what a college that takes its church relationship seriously will be thinking and talking about out. . The other piece of the developing partnerships with parishes of the church locally and regionally. I think the day of being recognized by the national church body as an institute of the church, that that's gong to continue maintaining the level of identity and sense of mission. . . . . We are not a church, we are

not a congregation, we're an educational institution so we have a different mission than a congregation but we all share concerns for society and very specifically we share a concern for people and the quality of life in this area and we need to be in partnership with parishes and talking about how we will respond to the challenges.

Metaphors. The priesthood of believers, the family, and the community metaphors used by the participants are believed to have come from the Christian teaching and tradition. These metaphors are affecting the leadership views and practices of the members of the College community. These metaphors obviously portray more participative leadership practices. Hence, they are assumed to be of positive influence to the way faculty are participating in the leadership of the College. As people are enriched with the belief of "priesthood of all believers," every member is expected to have the potential to offer leadership service and expected to serve. Since the family metaphor symbolized an intact relationship between members, everyone feels part of the college community. Moreover, parishes, local churches, and individual Christians are expected to be role models of participative leadership for the students of the College. They also offer a place so that students may have the chance to practice and develop their leadership capabilities through experiential learning.

In short, the Church through its teaching, life, and mutual interaction with the College is believed to positively influence faculty participation in the leadership of the college. It offers places and resources for experiential learning and helps students develop leadership skills.

Yes, There is a Negative Effect

Mission statement. The participants have also indicated some negative effects. The very mission which is believed to be a source of participative leadership is also assumed to be divisive. As some of the participants noted, the members of the community are divided into two groups - those who are assumed to be more informed of, to have more understanding of, and a commitment to the mission or the call, and those who are less informed, who have less understanding of, with less or no commitment, or those who may likely be against the mission. The first group is, of course, expected to create an atmosphere of shared vision and help the latter group feel at home.

Some of the participants have also inferred the notion that although Christianity is not the only religion in the campus it is a privileged religion. Some believe this has a negative effect on participative leadership. For example, the assumption of the need to have a critical mass of the first type of faculty and administrators



to fulfill the mission of the college affects leadership criteria. The way that the faculty will be evaluated may as well be affected because the criteria will naturally include the commitment of faculty to the mission. How is this commitment to be measured?

Values. As the values mentioned above are assumed to positively nurture the climate of community that is more participative, the interpretations of some values are also believed to have a negative effect. These values are used by one group to measure the character of another group. Hence, values are also divisive since those who are assumed not to be Christians are being judged by the Christian. Moreover, these values may be interpreted differently by different churches or individual Christians. The fact that there are different interpretations is believed to cause even more division among members of the community vis-a-vis participative leadership. One of the interviewees (administrator) illustrated with two examples:

Two ways, . . . One is around perceived values. . . . The one question was whether to recognize a gay and lesbian student organization, where the position of the church, which is external, in the minds of some people felt that the college shouldn't recognize a gay or lesbian organization. I don't really think the church has a problem with it, in fact they just came out with a new statement that's pretty liberal. In fact, it was so liberal they fired everybody that wrote it. Too bad. The other was whether we should have condoms on campus to

distribute to students, and the argument sort of was that they're there as a birth control device, the church is against premarital sex and therefore we shouldn't do it. But the other argument was, well, this is a health issue and we're concerned about AIDS and sexually transmitted diseases. We were able to sell the last argument so that meant that the condoms were limited to the health center for distribution and not in vending machines or other non-health contexts, which is okay, but there's an example where other values might influence the situation. I'll get calls sometimes from parents who say students are drinking and I thought this was a Christian college, or why do you let this happen, I thought it was a Christian college. So they have their definition of Christian which is not necessarily a church view or a college view but they feel that it's unchristian like to do this. Well, the argument on the faculty position that some students had was, how could a Christian college let two faculty members go? That's very unchristian like. Students have to be reminded that even in your own parishes the church might vote to get rid of your minister because he's not very effective or if the church is having budgetary problems, rather than a minister and an assistant minister, they might have to decide to let one of those positions go. People still have to make decisions that being part of a church or being Christian or whatever your value doesn't mean that somehow you can't make tough decisions or reallocate resources, but I think that's one of the ways I've seen that play itself out. A lot of times it's just sort of the church isn't all that monolithic, it's got its own hierarchy and people here have all kinds of different views and so people are sort of projecting church views that may or may not--we end up talking sometimes about what it means to be a college of the church, how are we different than. . . or another small school that's not church connected. What does that mean? And there are probably certain traditions that affect the academic calendar, like how are you going to handle Good Friday or certain religious holidays that are kind of built in and we always have to do this battle about how we can be as

welcoming as we can of our international students who may have Muslim or Buddhist traditions, whatever, that are not Christian, how can they feel a part of the place without the college giving up it's own heritage and it's own roots. . . . Hiring decisions probably get indirectly influenced. You don't have to be Lutheran to work here but there's a sense of our new hires to understand not only what it's like to be at a small college but a college of the church. Chapels aren't mandatory and the calendar goes three times a week. So I think those ways it affects it. What I would know less of, but I suspect it's probably true, is how the church itself goes about making political decision, may influence the president and other people who have seen that model at work, we use the same model here but I'm not party to the inside part of the church, but it has a subtle influence. I don't think so much on whether people should participate or not directly, but sorts of decisions are okay for people to come together and talk about. I don't think it's anything about the church per se that precludes participatory decision making, but there may be other people who are closer to that.

Some of the leadership training given in some of the seminaries and the pastoral leadership practices seen in some local churches is presumed to be more of a one-man show, hierarchical. The trainings and practices, however, are sometimes reflected in the organization and leadership of the church colleges as hampering participative leadership. A faculty member stated,

The first way that comes to mind is a negative way and I'm not saying this is a reflection on the Lutheran church, but with some church based institutions, I think the authority that's inherent in a church structure also tends to be in the educational structure as well. There are some religious group that are very authoritarian and it would be real easy for that

same kind of thinking and philosophy to carry over into the college. That isn't the way it should be. So in that sense it can be a negative influence. On the other hand, if the church is a more enlightened one, they can see the virtue in participation, the virtue in collectively assuming a common goal, realizing that everybody has something valuable to share. I've seen churches that work that way and I think there are people here within the administration that kind of almost perceive the institution that way, too. We're a big family and everybody has their right and a responsibility to be involved in that.

The interviewee was further asked, "Do you think these two tensions, the authority and the family group, could be resolved somehow?" to which the participant answered,

Maybe to an extent. Even in a family you have some authority structure. You can't have a laissez faire system where everybody is doing whatever they want. There needs to be some sort of structure there. . . . I work with families, and healthy families have the opportunity for everybody to share in the decisions, in families its the parents, but the happiness of the family depends to some extent on everybody having some input in family decisions. It should be the same way here. The administration needs to have some authority, there's no question about that, but if the whole is to operate in a healthy way, that means everybody has to have a voice, everybody has to have some opportunity to say what they think and be taken seriously and sometimes they have to . . .

### The Leadership Challenges

Three of the interviewees, in one way or another, pinpointed the paradox that exists in the mission statement, practice, and

attitudes of the College community. These paradoxes have been creating many challenges to those people who have been trying to promote participative leadership in the College. As a result, they have been raising different questions that portray these challenges: How can the college of the Church be committed to accomplish its mission for example of “faith and learning” and at the same time encourage diversity (other views, religions, and groups that practice behavior assumed to go in line with Christian values)? How can a leader aim at having critical mass of committed Christians (students, faculty, and administrators) and at the same time fairly recruit others who are believed not to be committed to the mission in order to promote diversity? How can you as a leader build cooperation, partnership, and consensus between the two groups? How can those who are assumed to be committed to the call create shared vision with those who are not believed to adhere to the call or those who may as well be antagonistic to the call? How can staff be evaluated fairly without considering the relationship of the college with the church?

Since, questions such as those mentioned above are not easily answered, the participants presented these types of questions as challenges:

And I have wondered about this, and it was one of my first questions at my interview, and I said, "How can we hire and attest to wanting diversity, welcoming diversity, and fair hiring practices, and yet hire people who can support the mission of the school?" Which to me, central is that faith and learning. How can you hire to match faith and yet always welcoming diversity? It's the same issue in education that says, we must mainstream and include all students but we are going to work toward academic excellence. I think that's kind of oxymoronic, I don't see how those two things can exist, and I'm not sure how you can always hire to support the mission of the school and yet be grasping the broadest diversity. I think that from when I was a student until now, as a professor, I see an increased awareness and participation in church activities. Perhaps it was my youthful unawareness, I won't use the word ignorance, and perhaps as I'm approaching middle age I see it differently, maybe it hasn't changed as much as I think it has, but I feel a resurgence of that interest in the church and I was willing to, my first year, I was even willing to ask my colleagues for donations to the chapel. I thought that was kind of a risky thing to do because I see that as very important and central to the campus. I think it's 1) a symbol and 2) a testament to daily faith and so I think that's very important. I'm hoping that it also continues to help us focus on that mission. I see it only as an encouragement and support, I don't see it as hampering faculty from participating.

When further asked, "In what way do you think it will affect participative leadership?", the participant (faculty) answered,

I think the president's phrase is very aptly put. He said, "Christianity is not the only religion on campus but it is the privileged religion." And I think we're very open and accepting people of other faiths, and yet I think that we have many focused Christians and many them Lutherans who are good role models and that they live their witnessing faith, but I experienced as a child a teacher who was very dogmatic,

things that were said to student were actually very inappropriate and unacceptable in public school, but some of my friends were told that they would go to hell if they didn't profess faith in Jesus Christ as lord and savior, and I can tell you that one of those children, now as an adult, will never have a faith because of that. I think that living a Christian life rather than--and being willing to talk about it, but not stifling other with it, not destroying others with it. . . . . And I think we should use our faith to save people rather than condemn them. And I think that's a different attitude there. And I think those people who are involved on campus are living healthy Christian lives and I hope that continues to be a model.

The participant referring to the policy in the Handbook further contended,

I don't know. I know it has an effect on how some people view others, because of their background. One of the things that keeps coming up in our vision statement for the college is that we want to have this diverse student body and we want to emphasize multicultural and global experiences. And then when it gets to the faculty, there's some kind of a statement that has been rewritten now that states something about a faculty who would support a college of the Christian church, and there is a group of us who continually speak out to say that that's sort of a narrow part in the faculty for a position statement and that we are in a way defeating what we're trying to do in terms of diversity and multicultural sort of thing. I read it as saying, "you have to be a practicing Christian, a believing Christian, in order to teach at. . ." The administration doesn't read it that way, but I still don't like the way it's written. I think we could go non-Christian to expand our diversity. But in terms of the leadership, I don't know that it has any great effect. I think there are certain values at a place like this that we do uphold. I would certainly hope that the faculty and administration uphold the value of honesty and individual people are valuable and worth

something, and even though those are not necessarily just Christian values, I would certainly hope at a place like this they were important and perhaps lived more than at a college that is not associated with a church.

Another participant (administrator) has succinctly described the paradox and the subsequent challenge leaders would face as follows:

I think it has a mixed effect. In some ways it has a very salutary effect because we try to conduct business within the context of the ethos of a community that values the principles of Christianity and the way in which--I mean we try to say about ourselves that we are self-consciously aware of the connections between faith and learning and the connections between the way we act and we do things in terms of our Christianity and our heritage as being rooted in the Christian tradition. The other side of that is that not all of our faculty are Christian, not all of our faculty are Lutheran, and not all of our faculty believers, I think, we conduct ourselves always in accordance with the principles that we say we do, and the big challenge is to include diverse perspectives and to broaden the priesthood, to use my metaphor, in such a way that people can be comfortable. One of the big issues that faces colleges of any church is the extent to which the church relationship is going to affect or impact how they work and how they act and how they believe, and my own personal view is that a church related college that doesn't openly confess its church relationship and doesn't attempt to be very intentional about that relationship is moving down a hypocritical path, and probably will lead itself to sever its ties with the church. I didn't come here expecting for the church ties to be diminished, and but I also know that many people who work here don't care at all about the church relationship and that is a source of tension. When we look at documents which ascribe the nature of the community, for example, we have people who



react very strongly and sometimes quite negatively to the Lutheran expression of Christianity or to Christianity itself. And I think that's going to be a challenge for us in the future. We try to attract high-quality faculty that come out of the graduate schools and we don't require that they be Lutheran or Christian or that they sign a loyalty oath or anything like that, like some of the fundamentalist schools do, but I will say that that's one of the big challenges we face in the future is to figure out how to express our church relationship in such a way that people will not only be comfortable with it but they will actively support it, and I'm not sure, I think most observers are very optimistic about all that. We live in a very secular age and most of us come out of public universities where the separation between church and state is very strong, the separation is necessary, and so when you come into an environment like this where there is no such thing as separation of church and state, I find it liberating. Some people find it constricting, and so I think the best answer to your question is that I think you will find that among the leadership of this institution, all of us are very much committed to the church relationship and in fact I recognize fully very well that I wouldn't be here were it not the case that I am openly supportive of that relationship. . . I think as long as . . . has the ties that it has to the church, and as long as we value those ties among the senior leadership team, we will be employing people who maintain the strength of that commitment, and the question is whether or not we will be marginalized or whether or not we will be able to sustain that vision for others. It is a pretty imposing challenge. About half of the students who come here identify themselves as Lutheran, but that doesn't really mean much because that identification as you know, when a student hits the age of 18, they may have come out of a Lutheran background but that doesn't mean that they even necessarily value the connection, so it is an important question for us and I would like to think that we will act in accordance with our beliefs, that we will treat one another in a way that is compatible with our

understanding of the Christian gospel, but that we will do it in such a way that non-Christians and non-Lutherans will be welcomed into the community. We are not an exclusionary body.

On the other hand, I don't think it's a very healthy thing for the college or the culture of the college to have people who come here who are openly antagonistic to the church relationship and so when I hire faculty, I simply say to them, if you can't support the mission of the college, if you are uncomfortable with the way we do business, you're probably not going to be happy here and then I would just as soon that you not come and come and find yourself openly agitating in opposition to the mission of the place. And so far, I feel very confident and very fortunate that I've hired faculty members who understand that this is a place that stands for something. And not all of them are Lutheran or professing Christians but, on the other hand, I think the people I hire are people who do support the mission of the college. Some of them are struggling in their own personal lives with their own faith issues, whether they're Christian or not, but it comes up often and will continue to come up. And the leadership question for me is how do you go about building a coalition, how do you go about building the commitment, how do you go about building partnership and, to use the religious metaphor, how do you go about building the priesthood if you have people who don't want to be a part of it, and that is an important question. . . . I want to make the point, too, that that's a very important point to make about a college like this one, is that the separation between the questions that we deal with in our lives and the questions we deal with in our jobs is not quite so severe as it is in a public institution and some of us like it that way and some of us don't like it that way. . . . some of us find a great deal of comfort working in an environment where it's okay to talk about these kinds of things and some of us find that very chilling.

As a whole, the very mission which is assumed to prepare students for their call to participate in the leadership

of the community through faculty presumed committed to this call is also assumed to be divisive. The fact that the College is aiming at mutually fulfilling the mission of the church and at the same time seeking a community that fosters learning and diversity is considered to be paradoxical. The Christian values such as respect of the individual, care, listening, compassion, and service that are assumed to foster participation and tolerance at the same time are taken to work together with values that are assumed to exclusively guide Christian living and practice. Hence, one group uses these values to judge the life and practices of others. As a result, healthy communication between the members is hampered. Although there are Christian traditions and teaching that encourage community, servant hood, priesthood of all believers, and family hood that greatly symbolize participative leadership, some of the pastoral trainings and practices demonstrated in the local churches are more a one-man show or hierarchical. These hierarchical structures and practices that are evidenced among churches are in some ways reflected in the attitude and practices of the leaders of the college.

The challenge the leaders are facing include the reconciliation of the two seemingly paradoxical tasks of the college, the recruitment of faculty who are committed to the mission but are also open both to sharing their vision and tolerating other views. They are also expected to build partnership, cooperation, and consensus between groups with diverse views and utilize their resources to fulfill the mission of the college.

## CHAPTER 8

### SUMMARY, DISCUSSION, AND IMPLICATIONS

The purpose of this chapter is to provide a summary, discussion, and implications of the present study. The problem addressed by this research will be restated, and its relation to the past literature will be summarized. The desire of the present study will be reviewed, and the results, of the literature review and the interviews will be outlined. Strengths and limitations of the present study will be addressed, and suggestions for future research will be made. This chapter will conclude with a discussion of the implications of the results for theory and practice of the governance of higher education.

#### The Problem Addressed in this Study and Its Importance

The importance of participative leadership for the work and success of higher educational organizations is usually confirmed through moral and theoretical arguments, and sometimes empirical evidence. However, many leadership scholars indicated that there has been vagueness of definition and lack of clarity as to what practices are actually participative. Hence, a need exists to clarify

the meaning, as well as to clarify the practices of participative leadership in an organizational context.

The present study aimed at examining how university and college faculty and administrators understand and interpret the concept of “participative leadership.” The examination involved both an intensive review of the literature and an analysis of a series of in-depth interviews with faculty and administrators at a small Lutheran liberal arts college. It was an exploratory study that attempted to clarify the concept by drawing the faculty and administrators’ understanding of the concept, their rationale for embracing it, and the conditions and ways they desired to see this approach practiced in their college.

### Summary and Discussion of Findings

#### Theoretical Based on Documents and the Literature Review

The complexity of the concept and the need for a comprehensive frame of analysis was shown by presenting the diagnosis of the terms participation, leadership, and their interaction. These terms and their interactions are found to mean many things to many people (Mitzi, 1980; Austin & Gamson, 1983). The interpretation of leadership, participation, and the categorization participative leadership, in particular, are also

determined by the contexts, the paradigms, and the type of disciplines under which they are studied. Therefore, the need for a comprehensive frame of analysis for eliciting different dimensions of participative leadership was realized and suggested.

Using five general questions drawn from the suggested framework of analysis (Dachler & Wilpert, 1978), a review was made of the works of different of major higher education literature analysts of participative leadership (Austin & Gamson, 1983; Floyd, 1985; Olswang & Lee, 1984). Although the context is the same, these analysts had different emphasis. Subsequently, the labels they assigned to the concept, the rationales they adopted the structures and processes they identified, and the type of issues they were concerned about as they reviewed the literature were not the same. The implication is that their analysis both clarified the concept and revealed more of its complexities. Yet, all of the analysts indicated the importance of faculty participation in leadership for organizational effectiveness and at the same time the need to clarify the meaning and practice of the concept.

The concept of participative leadership was also reviewed through the perspective of the different leadership and organizational theories. Naturally, as the theories changed, the

labels, the rationales, and the structure and process of participative leadership changed (Bensimon, Neuman, & Birnbaum, 1989). The analysis included the implications for and evaluation of faculty participation. Assuming that both faculty and administrators, as individuals and groups, are conceptualizing and attempting to practice participation according to the different theories, I believe participants will have some difficulties communicating with each other. Participative leadership through the perspective of leadership and organizational models influenced by a traditional paradigm suggest the critical role leaders play in affecting the type, quality, and outcome of participative leadership (Corson, 1960). In contrast, leadership and organizational theories influenced by the cultural paradigm emphasized the importance of participative devices created by leaders, followers, interactions and interpretations (Birnbaum, 1988, 1992; Cohen & March; March, 1984; Rogers, 1989). Hence, the different theories, as much as they clarify and promote certain dimensions of participative leadership also conceal and discourage other dimensions of participation.

The feminist perspective of leadership is considered to be an important corrective to past work in leadership studies because it suggested that leadership must imply authority with, rather than

power or authority over (an idea that is analogous to participative leadership) (Carroll, 1984; Rogers, 1989). Hence, a brief review of the work of feminist leadership scholars was included. As the number of female faculty and administrators increased and the influence of feminist literature is likely to be more, the need of reviewing the concept of participative leadership from the feminist leadership perspective was apparent. According to the feminist literature, participative leadership is assumed to go in line with the female social need, biological make up, and cultural ethos (Block, 1987; Capra, 1982; Kuh, Whitt, & Whedd, 1987; Loden, 1985; Rogers, 1989; Schwartz & Ogilvy, 1979).

The mission statement, the structure, policies and the characteristics of the faculty and administrators of the church college reflect the mission, structure, and policies of the church enriched by Christian values. The definitions, the rationales, and the structural process of the concept of participative leadership are, therefore affected equally. Hence, the work of major ecclesiastical leadership scholars is also reviewed to see how the concept is viewed from the church perspective. The ecclesiastical literature as other literatures identified the concept by different terms, present different rationales for and ways of implementation



(Kung, 1972/1971; Schaller, 1989; Lee, 1989). However, the concept, as a whole, coheirs with the biblical concept of servant hood leadership as taught by Jesus and demonstrated by His life. While the feminist leadership perspective challenges for change by accommodating feminist ethos which is assumed to go in line with the new paradigm, the religious perspective--with unchanging divine values of freedom, equality, and fraternity, reinforces the importance of the practice of participative leadership in any setting.

The last part of the literature review attempts to find whether perceptions varies by type and size of institution, by sex or rank, or by issues involved in institutional governance. The literature indicate that faculty perceptions of influence and power do differ by institution, shift with the standing of the observer--with rank, sex, and experience in governance--and vary with the question to be decided (Austin & Gamson, 1983; Bowen & Schuster, 1986; Rice & Austin, 1988; White, 1990). Academics also vary in family background political persuasion, and life goals and institutions vary in values, norms, and applications of sanctions. Numerous other studies of colleges and universities have consistently identified differences between administrators' and

faculty members' perception of their institution. While previous work done on perception of faculty influence on decision making tended to emphasize consensus rather than diversity (Hartnett & Centra, 1974; Kenen & Kenen, (1978) in faculty perspectives, recent work on faculty values and attitudes has undermined the myth of homogeneity. Faculty members do not think alike.

#### Empirical Findings, Methods, and Procedures

The data for this study was collected from institutional documents and was based on the naturalistic paradigm from personal in-depth interviews of faculty and administrators at a Lutheran liberal arts college. The interview guided by general questions helped to get a deeper insight into how different faculty and administrator participants in higher education understand the concept of participative leadership. By studying participative leadership from different participants' perspectives, a more holistic understanding of the concept emerged. Research conducted in a church related college setting provided opportunities to elicit the unique church leadership perspective. An understanding of participative leadership and its implications was drawn (a) for administrators, (b) for faculty, and (a) for the college in general.

1. Although gender, status, and position difference have bearings on how the participants understand and intend to apply the the concept of participative leadership, individual participants regardless of their position, status, and gender, gave different labels, rationales for, and ways of interpreting, implementing, and evaluating the concept.

2. Different participants had different issues of emphasis as they answered the question. Some answered from the perspective of the student, some from the perspective of the faculty, and others from the perspective of the organizational mission. Although these issues are interrelated, the understandings and interpretations of the participants also varied with the issues.

3. Although every one of the participants looked for improved participative leadership, the image each one had and the respective metaphors they envisioned are different. As they were describing their ideal model, they used different metaphors ranging from chaos and cosmos, a participative leadership that portrays the inclusion of divergent views with new outcome or change, to a metaphor that signifies consultation and the building of consensus or homogeneity and predicted outcomes. While some of them advocated for participative leadership that showed order and connectedness,

others expected participative leadership that emphasized autonomy and decentralization. While some supported participative leadership instrumental for task accomplishment, others wanted participative leadership viable for relationship building, satisfaction, human resources development, or participative leadership as an end in itself.

4. Although unintentional, the criteria and the results of participant's respective evaluation of their college governance from the perspective of "participative leadership," differ. For some faculty, there is very little appropriate mechanism for participation and faculty are not participating enough in the college. For others, there is enough. Some faculty and administrators see a positive effect of church relations with a college on participative leadership, while others see the negative effect, and still others see no effect at all.

5. In general, the participants suggested improvement of faculty participation in higher education governance through the change of organizational structure, administrative procedures, cultural modifications, and policy amendments. They proposed to remove organization barriers inhibiting quality and quantity of participation by in service activities, allowing many to participate

in activities, and allowing faculty to have a control of their budget. According to some participants, administrative procedures needed to be more collegial to facilitate a reward for participation and to alter the bureaucratic decision making procedures. Both faculty and administrators needed to encompass cultural modification that recognized the values of participation and clarified the roles of faculty and administrators in the process. Training and policy amendments that encouraged faculty to have control over their fate is also thought to be important.

#### Implications of the Study

The present study relied on an in-depth interview with seven administrators (four male and three female) and six faculty (four female and three female) in a Lutheran liberal arts college to generate descriptions and insights into their perspectives of participative leadership. Even if the data collected are from one context with few people were involved, the data are helpful to identify, describe, and interpret what “participative leadership” involves in higher education. Some of the interpretations and differences of faculty and administrators are discussed. The result has provided a more holistic understanding of the concept of participative leadership in a higher educational setting.

Other qualitative research that includes an interview of administrators, faculty, and students, and the observation of their practices can give deeper insight into how different participants in higher education perceive the concept. A more holistic understanding of the concept may emerge. Research conducted in a variety of settings would also provide opportunities to compare findings and determine the similarities and differences that exist among colleges. Understanding what is involved in participative leadership and leadership with others and what the implications for administrators, faculty, and the organization is also helpful.

#### Implications for Practice

This study have some significance for practitioners and researchers in the field of educational administration. In general, the study challenges the assumptions that some people may have regarding the definitions, labels, rationales, and mechanisms of participative leadership. The findings through the literature review and data confirm that many individuals and groups can have many labels, definitions, rationales, and participation methods that change constantly.

Several implications about the nature of participative leadership, especially with respect to the relationship between administrators and faculty, can be drawn from the study.

1. The nature of participative leadership among different groups of faculty and administrators is widespread and contradictory, or at least contrary. To compound its nature, participative leadership is manifested in different ways for different people. Therefore, practitioners in the educational administration may want to examine how participative leadership is derived and manifested in their relationships, as administrators with faculty and as faculty with administrators. In building successful participative leadership relationships, it may be helpful to know from each other if participation is viewed as consultation, consensus building, delegation, bargaining, autonomy that promotes decentralism, or all of the above. It is also important to know what rationales each one is attaching to the practice of participative leadership--goal achievement, human development, works' satisfaction, or all of the above.

2. Position held, gender, educational background, and types of issues may dictate the type of participation and the extent to which it can be promoted. Practitioners who want to create a climate

where participation develops must design an atmosphere considering all of these factors. This research suggested that people have different images of participation because of the different variables mentioned, hence, open discussion considering these issues is important for creating good atmosphere.

3. Although structure is not the only variable that promotes successful participation, it can become both a hindrance and an instrument for participation. Hence, it is important to create a viable structure and also assess the existing participative mechanisms.

4. The individual faculty members' and administrators' value, understanding, and commitment to the mission statement also affects how they are related to each other and how they participate in leadership. Therefore, understanding and trying to alter these factors affects the nature of participation in an organization.

5. Participation in any form is an unwritten (and often unspoken) expectation of organizational players in the different roles of faculty and administration. When faculty and administrators share expectations of one another, relationships and productivity in the workplace are enhanced. Therefore, faculty and



administrators could enhance their relationships by discussing and documenting participative leadership expectations of one another.

6. Restructuring higher education to provide faculty with authority and influence that will make them partners with administrators and others in working to improve higher education and create a better working/ learning environment requires a change in the perspectives of all participants. Changing their perspective depends on the knowledge, understanding, and reeducation of every constituent of the organization.

7. The differences in background and personal characteristics of the participants, though slight, may result in different perceptions. For example, faculty and administrators have divergent views in how they see and interpret participative leadership and its effect in their college. But a comparison of their responses to the questions reveals their interest in embracing and improving the implementation of the concept.

8. Embracing the interpretive paradigm, I recommend that faculty and administrators in individual colleges meet and develop “participative realities” appropriate for their particular context. This involves the need for faculty and administrators to deal with

the mission, policies and procedures, structure, and culture, including the use of language of the organization.

### Implications for Research

This study raises several questions worthy of note for researchers. First, at the outset, it looks like participants as individuals or a group have one set of labels, definitions and ways of implementing the participative leadership approach. However, the literature review result and the data indicated the opposite. Participants as individuals or as a group have different labels, rationales, and ways of implementing and evaluating the concept of participative leadership. As issues of concern keep changing, the understanding and interpretation of the concept also change. Therefore, researchers need to consider these conditions as they attempt to study the phenomenon.

Second, participative leadership must continue to be studied from naturalistic point of view. Seeing participative leadership through a naturalistic lens gives better insight into the whole picture and dimensions of participation. Further examination of participative leadership considering every constituent of the higher education organization (for example students, faculty, and

administrators) through the eye of the naturalist may uncover more component parts of the phenomenon.

Third, participative leadership in relationship faculty and administrators must be examined in the context of other non-church related liberal arts colleges. Researchers need to consider issues of concern, organizational missions, participants's values and backgrounds in their studies.

Fourth, participative leadership that refers to faculty and administrators must also be examined considering gender as a criterion. Although a criterion for the sampling in this study was three female administrators and four faculty, inquiry regarding gender and participation was not a dominant theme. As more females are added to teaching and the administration profession of higher education, more must be known about the similarities and differences of the understanding implementations of participative leadership considering sex differences.

Fifth, an in-depth interview based on the naturalist paradigm in many ways allows the inquirer to gain deeper insight from the participants about the phenomenon. However, if the inquirer is unable to build trust among the participants by, for example, giving enough time and clarifying the purpose, it can be disastrous.

Despite, the my conveyance to secure participants' anonymity, one participant felt threatened by me and declined to participate. A lack of trust between me and this particular participant was intense right from the beginning. Therefore, more time for building trust between and inquirer and participant is important.

Sixth, the phenomenon of participative leadership and the methodology of naturalistic inquiry fit together. Just as the naturalistic paradigm is appropriate to the discovery of the understandings and interpretation with participative leadership of faculty and administrators through interactions of the inquirer and the participants, participative leadership is experienced by both faculty and administrators through the interaction with each other . Ultimately, naturalism is the "best fit" for learning about a phenomenon like participative leadership which means different things to different people.

Finally, while a body of knowledge is developing about the leadership of the academic institution, further attention should be directed to the experiences and interpretations of different employee groups in a variety of colleges and universities. Such institutional variables as gender, public or private support, church related or not, position, and status should be considered.

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## Appendix A

### CONSENT FORM

The purpose of this study, entitled "Participative leadership: A Study of Faculty and Administrators in a Lutheran Liberal Arts College," is to examine the concept of participation by systematically inquiring into various aspects of faculty participation in the leadership of higher education. The study will attempt to investigate, specifically, the faculty's and administrators' perception of the faculty's role in leadership, reasons for participating, hindrances to the process, and how they think it operates.

The primary data collection will be the personal interview. The interviews will be held strictly confidential, which in this context means: (a) respondents will be identified throughout the study by number only; (b) recorded interviews with an electronic device and first hand field notes will not be shared; (c) no person or institution will be directly identifiable at any time during the study; and (d) no quotes will be directly attributable to any individual.

You may contact faculty advisor, Dr. John Smith, UNI Department of Educational Psychology (273-2694) or the Office of the Human Subjects Coordinator, University of Northern Iowa, (319)/273-2748 for answers to questions about the research and about the rights of research subjects.

I am fully aware of the nature and extent of my participation in this project as stated above and the possible risks arising from it. I hereby agree to participate in this project. I acknowledge that I have received a copy of this consent statement.

-----  
 (Signature of Respondent or responsible agent)

Date

-----  
 (Printed name of Respondent)

-----  
 (Signature of investigator)

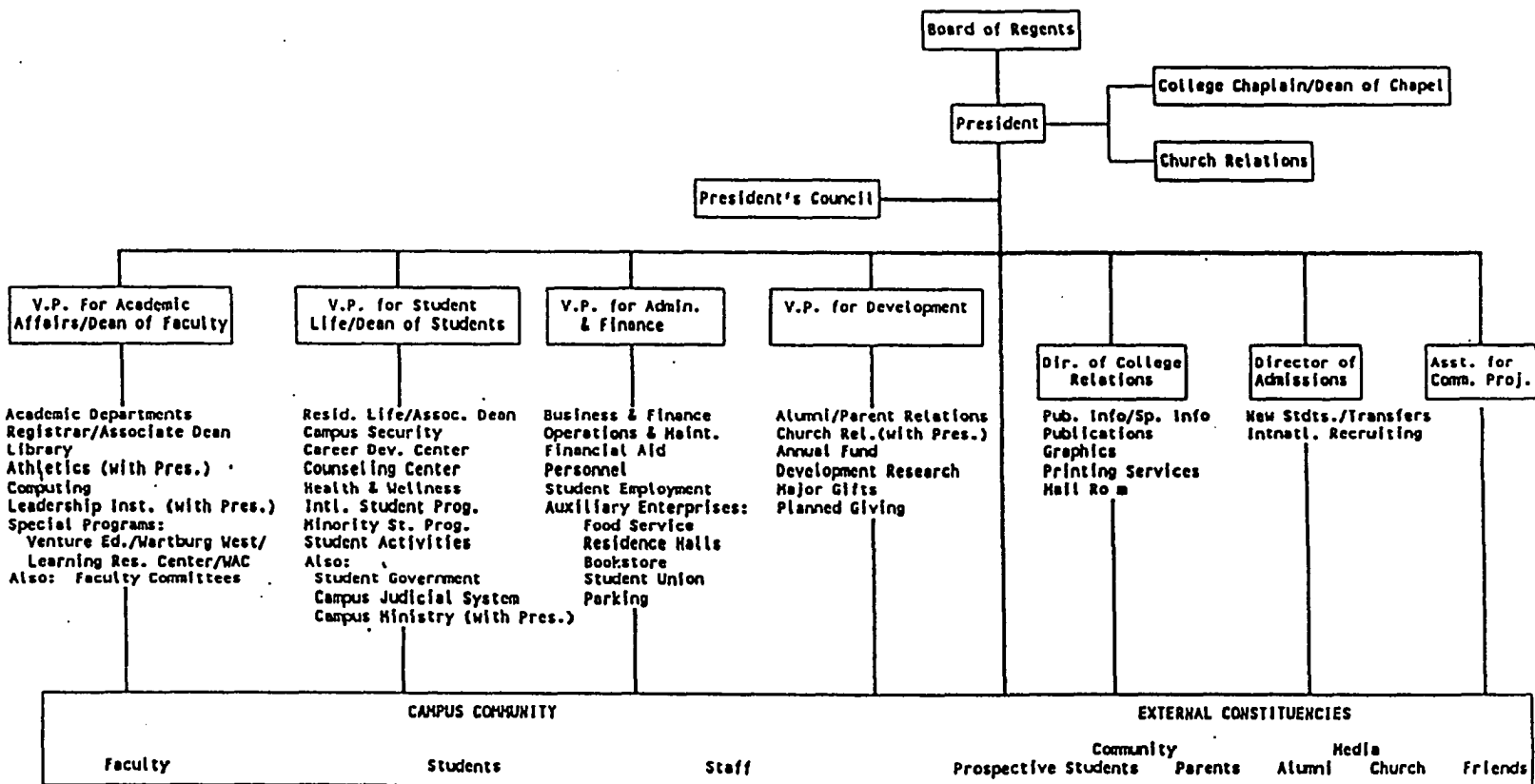
Thank you for participating in this research.

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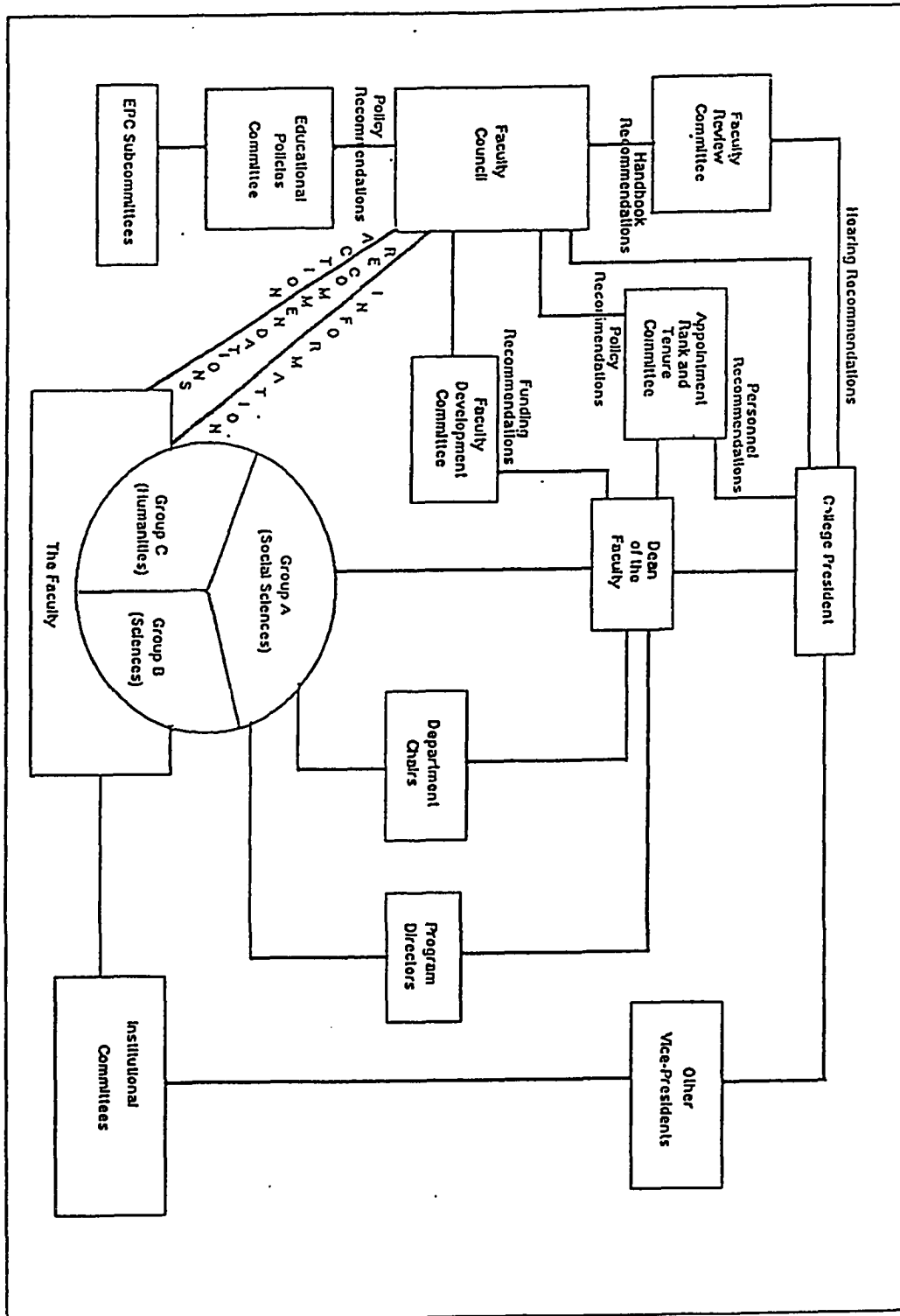


Appendix B

Institutional Organization Chart



Appendix B (continued)



Appendix B: Faculty Organization Chart

**Appendix C**

**Sample Interview Protocol**

Date: \_\_\_\_\_; Interview No: \_\_\_\_\_

Gender: \_\_\_\_Female\_\_Male

Age: \_\_\_\_35 to 45; \_\_\_\_46 to 55; \_\_\_\_55 to \_\_\_\_

Ethnicity:\_\_\_\_\_

Position:

\_\_\_\_\_  
\_\_\_\_\_

Year of

Service:\_\_\_\_\_

Field of Study(ies):

\_\_\_\_\_  
\_\_\_\_\_

Have you been an administrator? \_\_\_\_\_Yes \_\_\_\_\_No

If yes, please

explain:\_\_\_\_\_

Have you had specific leadership roles in the faculty? \_\_\_\_Yes

\_\_\_\_No

If yes, please

explain:\_\_\_\_\_

\_\_\_\_\_

**Appendix C (continued)****Usages, Definitions, and Descriptions**

In the first part of the interview I am interested to know more of your view of the concept of “participative leadership”: which word you use/would like to use for, your definitions and descriptions of the concept in reference to the relationship of faculty and administrator in this college?

- 1.1 How would you refer to “participative leadership” in this college?
  - 1.1.1 How would you like me to refer to it as I discuss with you?
  - 1.1.2 Would others in this college understand it the same way if I use the term, “...”?
- 1.2 In your view, how would you define the term?
  - 1.2.1 What would you say are the most important functions as you would like to see it operating in the relationship between faculty and administrators?
  - 1.2.2 Most group who exercise participative leadership develop a pattern of behavior or a way of doing business. Sometimes we refer to this as the group’s operating style. Could you describe the most important aspects of such a group if the group is composed of faculty and administrators as you would like them see operate in this college?
    - 1.2.2.1 What would be the role of a faculty in this process ?
    - 1.2.2.2 What would be the role of an administrator ?

**Philosophy**

2. In your view, what is the role of faculty in leadership of the college?
  - 2.1 What are the reasons for designating this role for the faculty?

**Appendix C (continued)**

- 2.2 Would all faculty assume this responsibilities ? Why? or Why not?
- 2.3 What is the effect of administrators as faculty fulfill their leadership roles?
- 2.4 In what ways do you find participative leadership to be most useful? Least useful?

**Types of Participation**

- 3. How would you describe the relationship of faculty and administrator in the college?
  - 3.2 Are there any potential sources of conflict, or tension, between the two group?
    - 3.2.1 Would you please give me some examples?
    - 3.2.2 How do you believe this type conflict could be resolved?
  - 3.3 What type of mechanisms are there for faculty to participate in decision making which affects them in this college?
    - 3.3.1 when should faculty participate?
    - 3.3.2 Are there areas where faculty should not participate? Which ones and why?
    - 3.3.3 I would like to learn a little more about how a group with participative leadership works by asking you to think of a recent, important issue that the group had to deal with?
      - 3.3.3.1 Could you tell me what it was about, and how the group handled it/ have handled it?
- 3. 4 If a newcomer to the group were to ask you, "What are the unwritten rules for the faculty and administrators relations here at this institution the unspoken things I really need to

**Appendix C (continued)**

know to get along and to be effective in group?" what would you say?

**Evaluative and Possible Improvement**

4. In your view, which factors hinder faculty participation? And which factors foster faculty participation?
  - 4.1 How can these obstacles be overcome?
  - 4.2 Under what circumstances is it likely that faculty will resist participating in institutional decision making?
  - 4.3 What can administrators and faculty do to strengthen the process of faculty participation in the decision making process?
  - 4.4 What metaphor would use for the ideal relationship between faculty and administrators?
  - 4.5 Does the fact the college is related to the Church have any effect on the way faculty is participating in leadership? If yes, in what way?