

# Leadership and Change in Higher Education: The Need for Collaborative Leadership and an Application for NPOs

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## Introduction:

### Time of Change, Restructure and Reform in Japan: Who is the leader ?

The purpose of this paper is to discuss changes and leadership in higher education. The current economical situation of Japan is still under a period of ongoing recession, after the bubble economy decade and the lost 10 years. The estimated GDP growth rate of 2002 was minus 0.5%, which is the lowest of the G7 countries (Hitachi Sogokeikaku Kenkyusho, 2002), and the average unemployment rate of the year 2002 was 5.4%, 5.5% for men and 5.1% for women (Statistics Bureau and Statistics Center, 2003). People have been getting tired of watching debates on television programs between governmental leaders and economists. Their arguments are always concluded by the single theme, "change". As a matter of fact, the Prime Minister Koizumi's slogan is "structural reform with no sacred precincts" (Jiyuuminshutou, 2002), and he always says "no economic recovery without structural reform" (Koizumi Souri, 2002). It has been 15 months since he took the prime minister's position; however, Japanese people still wonder what he is doing. Employers have been using the word "restructure" as an excuse of firing employees; thus, restructure means being fired to many business people, and they are afraid of even hearing the word. The word itself is stressful for many people.

On the other hand, housing reform shows on television have been very successful. When Japan experienced the bubble economy, people could build houses without worrying about personal bankruptcy; however, more people choose to reform their houses under the current economic situation. Reform shows on nation wide, non cable television have been more popular than ever before. For example, a 45 minute program airs three times a week at noon, and a one-hour program on Sunday evening's prime time (20:00-21:00). The reformers or architects from these programs became charismatic individuals; they are called masters of reform, and people prefer to use the ideas and skills of these masters rather than building new houses.

Making changes with reliable leaders makes people excited and creates positive images of change; however, making changes without reliable leaders makes people confused, worried, and stressed. Fullan (2001) explains this as the following:

If you ask people to brain storm words to describe change, they come up with a mixture of negative and positive terms. On the side, fear, anxiety, loss, danger, and panic; on the other, exhilaration, risk-taking, excitement, improvements, and energizing. For better or for worse, change arouses emotions, and when emotions intensify, leadership is the key (p. 1).

The current situation in Japan suggests that Fullan's comment holds true; when the leaders are reliable and skillful, people are positive toward changes, but if they are not, the change is stressful.

## 1. Review of Related Literature

### (1). Change: What is change?

As described in the introductory section, changes, ranging from big to small, occur in various parts of our society. The fundamental change was recognized in science, and it explains the many changes of our lives. Most of us still believe and work based on the 17<sup>th</sup> century's Newtonian mechanical science foundation; however, the change started to be recognized in quantum physics, and it spread out into social science fields (Wheatley, 1999). Those viewpoints are called new science and include systems theory, complexity theory, chaos theory, communication theory, field theory and so forth. In order to understand these changes, some theory should be briefly introduced.

### Systems thinking

Systems thinking is the way to look, to think, and to deal with larger pictures rather than partial pictures. One of the first differences between new science and Newtonianism is a focus on holism rather than parts. Systems are understood as whole systems, and attention is given to relationships within those networks (Wheatley, 1999). Capra (1996) set two criteria of systems thinking; one is the shift from the parts to the whole, and the other is the ability to shift one's attention back and forth between system levels. He also mentioned that an important implication of the view of reality as an inseparable network of relationships affects the traditional concept of scientific objectivity (1996). Living things are all interrelated; thus, it is not natural to deal with them as parts, and the accuracy of understanding increases when seen as a whole system.

Systems thinking was developed by several different disciplines, such as physics, chemistry and social sciences. Bertalanffy (1968) reviewed the history and fields of systems thinking, and postulated general systems theory. According to him general systems theory is as follows:

General system theory is general science of "wholeness" which up till now was considered a vague, hazy, and semi-metaphysical concept. In elaborate form it would be a logico-mathematical discipline, in itself purely formal but applicable to the various empirical sciences. For sciences concerned with "organized wholeness," it would be of similar significant to that which probability theory has for sciences concerned with "chance events"; the latter, too, is a formal mathematical discipline which can be applied to most diverse fields, such as thermodynamics, biological and medical experimentation, genetics life insurance statistic, etc (p.37).

He also mentioned five aims of the general systems theory.

1. There is a general tendency towards integration in the various sciences, natural and social.
2. Such integration seems to be centered in a general theory of systems.
3. Such theory may be an important means for aiming at exact theory in the nonphysical fields of science.
4. Developing unifying principles running "vertically" through the universe of the individual science, this theory brings us nearer to the goal of the unity of science.
5. This can lead to a much-needed integration in scientific education (Bertalanffy, 1968, p.38).

In sum, many fields of sciences have recognized the importance of systems thinking, and those principles are similar in some ways; thus, the general systems theory was developed.

## Complexity theory

In the mid 1980s, researchers from several disciplines established the center which researches these systems related matters. The center is called Santa Fe Institute (Inoue & Ark Communications, 1998), and the center is now known as the nerve of the new movement called complexity. The movement has several principles.

1. The systems are complex.
2. The systems are spontaneously self-organized.
3. The systems are adaptive.
4. The systems possess a kind of dynamism that makes them qualitatively different from static objects (Waldrop, 1992, pp.11-12).

The movement has been seen in Japan since 1992. The first meeting of complexity was held in 1992 at Kyoto University (Inoue & Ark Communications, 1998). The movement still remains within limited fields like hard science and mathematics, but the complexity theory will be widely applied to human sciences and social sciences.

The complexity theory is similar to the general systems theory, but it is more sophisticated in some ways. One example is that the complexity theory uses computer systems and software to simulate what will happen in a particular situation (Inoue & Ark Communications, 1998). These computer systems and software were not available when the general systems theorists tried to establish a solid general systems theory in the 1960s. The complexity theory is the state of art in systems thinking. Systems thinking offered ways to look and to think. From social workers' perspective, Hirayama and Takeda (2000) said that systems thinking itself does not offer solutions to problems; however, it is a great assessment tool, and if the computer simulation software became available and was widely used, the complexity theory would at least provide a prediction of problems. Then, change agents are able to choose the better way to approach them, but still, they have to remember the four principles of complexity as listed above. These theories explain that change means seeing the world differently, and trying to understand groups, organizations, societies and the world from different perspectives.

## Change as ongoing process

Wheatley (1999) stated that "if we were to continue to draw from science to create and manage organizations, to design research, and to formulate ideas about organizational design, planning, economics, human motivation, and change processes (the list can be much longer), then we need to at least ground our work in the science of our times" (p.8). From these systems perspectives, everything is related to each other, and changes occur continuously as a natural process.

From educational perspectives, Fullan (1993) explained as the eight lessons of the new paradigm of change:

- Lesson One: You Can't Mandate What Matters  
(The more complex the change the less you can force it)
- Lesson Two: Change is a Journey not a Blueprint  
(Change is non-linear, loaded with uncertainty and excitement and sometimes perverse)
- Lesson Three: Problems are Our Friends  
(Problems are inevitable and you can't learn without them)
- Lesson Four: Vision and Strategic Planning Come Later  
(Premature visions and planning blind)

- Lesson Five: Individualism and Collectivism Must Have Equal Power  
(There are no one-sided solutions to isolation and groupthink)
- Lesson Six: Neither Centralization Nor Decentralization Works  
(Both top-down and bottom-up strategies are necessary)
- Lesson Seven: Connection with the Wider Environment is Critical for Success  
(The best organizations learn externally as well as internally)
- Lesson Eight: Every Person is a Change Agent  
(Change is too important to leave the experts, personal mind set and mastery is the ultimate protection) (pp.21-22)

Fullan (2001) stated that “a culture of change consists of great rapidity and nonlinearity on the one hand, and equally great potential for creative breakthroughs on the other” (p.31). From the perspectives of unmanageable change, his point is that leaders should understand change in order to lead it better. The list that follows summarizes his contribution to understanding the change process:

1. The goal is not to innovate the most.  
Pacesetters must learn the difference between competing in a change marathon and developing the capacity and commitment to solving complex problems.
2. It is not enough to have the best ideas.  
It is possible to be “dead right.” This is the leader who has some of the best ideas around, but can’t get anyone to buy into them.
3. Appreciate the implementation dip.  
The implementation dip is literally a dip in performance and confidence as one encounters an innovation that requires new skills and new understandings.
4. Redefine resistance.  
Resisters sometimes have ideas that we might have missed, especially in situations of diversity or complexity or in the tackling of problems for which the answer is unknown, and they are crucial when it comes to the politics of implementation.
5. Reculturing is the name of game.  
Structure does make a difference, but it is not the main point in achieving success. Transforming culture--changing the way we do things--is the main point.
6. Never a checklist, always complexity.  
It is clear by now why there can never be a recipe or cookbook for change, nor a step-by-step process. Complexity science is one of those remarkable convergences of independent stream of inquiry. (pp.34-46)

As indicated above, change is not an event, but it is ongoing process, and without understanding this new way of thinking, such as complexity theory toward change, misleading will occur, or the leader will not be able to lead the organization or group.

## **(2). Leadership: What is leadership ?**

Change is an on-going process, and changes occur in many stages of our lives. When the change is intense and has great impact on people’s lives, leadership becomes critical. Because these changes are in many different areas, the study of leadership has been done by many different disciplines, business, education, psychology, social work and education. The first question was if the leadership differs from one discipline to another; however, the fundamentals of leadership remain the same. The important points are two-fold; there is no perfect leadership to be effective for every kind of organization and group, and effective leadership depends on the organizational cultures and/or

the problems people are facing.

### **Brief history of leadership research**

Many leadership theories have been developed over time. The first theory of leadership was the "trait approach" or "great men approach", i.e. some people were born to be leaders (Heifetz, 1994, p.16). In history, both in western and eastern cultures, certain people strongly impacted countries, cultures and/or other people's lives. The trait approach explained that those men were born with special characters to be leaders because there was no way that others could lead the same. Next, social theorists started to argue that those people were born in times and situations that they could utilize their personality, thus the specific situation made them leaders. This view was called the "situationalists" theory (Heifetz, 1994, p.16). Then, in the 1950s, theorists began to synthesize the trait approach with the situationalist view (Heifetz, 1994, p.17). This posits that the appropriate style of leadership is contingent on the requirements of the particular situation, thus the contingency theory emerged. Then, the field of inquiry soon expanded into the interactions between leaders and followers, specifically the transactions by which an individual gains influence and sustains it over time, thus leaders and followers are influencing each other.

"These four theories attempted to define leadership objectively without making value judgments" (Heifetz, 1994, p.18); however, Heifetz (1994, p.18) argues that "problems emerge when we communicate and model these descriptions as 'leadership' because 'leadership' in many cultures is a normative idea -- it represents a set of orienting values, as do words like 'hero' and 'champion'." Thus, these four theories could not fully explain leadership, and they weren't useful when people applied theories into their practice. Let us look at some theorists' ideas to clarify leadership in the last half of the 20<sup>th</sup> century.

### **Premises of leadership in 1950s**

Selznick (1957) introduced three guiding ideas because leadership is not a familiar, everyday idea, in social science, or readily available to common sense. According to him, "it is a slippery phenomenon that eludes them both, and what leaders do is hardly self-evident" (p.22).

1. Leadership is a kind of work carried out to meet the needs of a social situation (p.22).

Selznick stated that we shall be concerned with leadership as a specialized form of activity, a kind of work or function (p.22). He explained that certain very general activities of leaders--e.g. facilitation communication within the group--reflect equally general characteristics of all human groups; and that the functions of leadership will be understood only as we develop a better understanding of the main types of groups and the recurrent problems they face (p.23).

2. Leadership is not equivalent to office-holding or high prestige or authority or decision-making (p.24).

He stated that it is not helpful to identify leadership with whatever is done by people in high places (p.24), and the activity they have in mind may or may not be engaged in by those who are formally in positions of authority (p.24).

3. Leadership is dispensable (p.24).

From his view, some cases don't require leadership. It becomes dispensable as the natural processes of institutionalization become eliminated or controlled (p.25), and this will provide some clues to the general conditions that call for leadership decisions (p.25).

Selznick and these premises emphasized the futility of attempting to understand leadership apart

from the broader organizational experience of which it is a phase; thus, a theory of leadership will necessarily reflect the level of sophistication they have reached in the study of organization.

### **Misconceptions of leadership in the textbooks of the 1980s**

By the 1980s, misconceptions of leadership became clear, and the textbooks of group dynamics that was used in the early the 1990s explained these misconception issues. Forsyth (1990) indicated that scholars and theories understood the misconceptions; however, some people still did not fully understand what leadership was. Misconceptions explained were as follows:

To lead is to control (p.213).

Many people, including some prominent political leaders, assume that good leaders are capable of manipulating, controlling, and forcing their followers into obedience (p.213).

The born leader (p.214).

Some people have special talent to lead groups. This idea was reviewed as trait theory in the previous section.

The formula for leadership (p.215).

Scholars and laypeople are constantly offering prescriptive suggestions to leaders (p.215). These proposals are trying to distill leadership into simple do and don't do lists, and assume that some formula exists for predicting leadership effectiveness.

Leadership is the answer (p.215).

People assume that the leader decides the mission and goals of the group, and their success is dependent on that leadership. In 2002, the Yomiuri Giants won the Japanese baseball tournament, and the media covered the success story of the new manager who took over the position at the beginning of this season. If the Giants did not do well this season, the fans and players would probably blame the manager.

### **Leadership: Working definitions of 1980s**

Forsyth (1990) defined that "leadership is a reciprocal, transactional, and transformational process in which individuals are permitted to influence and motivate others to promote the attaining of group and individual goals" (p.216). Then, he explained the important aspects of this definition.

1. Leadership is a reciprocal process (p.216). The leader, group members, or settings continuously influence each other.
2. Leadership is a transactional process (p.216). The leader and group members exchange information, talent, and skills.
3. Leadership is often a transformational process (p.216). Transformation of the leader supports the group members' growth.

### **Leadership in 1990s: Leading adaptive work**

The worlds we live in now are constantly changing, and people, organizations and companies are forced to adapt to sustain themselves. Heifetz and Laurie (1996) stated six fundamental principles for leading adaptive work.

1. Get on the balcony (p.125). It is important to see the whole picture rather than looking at the one particular part.
2. Identify the adaptive challenge (p.126). By looking at the whole picture, the leader should be able to find the place s/he needs to work on.

3. Regulate the distress (p.127). Changes require a lot of work. People need time and place to adapt to the new situation, or to find and discuss the issues they are facing.
4. Maintain disciplined attention (p.128). Some people have different opinions, and the leaders should pay attention to these voices.
5. Give the work back to the people (p.129). The leader is not the only one to create changes, but also the people should take initiatives to make changes.
6. Protect voices of leadership from below (p.129). The leaders need to know what to listen and what not to listen from the people.

### **New paradigm of leadership**

As discussed in the first section of this paper, today's science differs from the past, and this viewpoint introduced ideas to lead the changing world and the changing organizations. The chaos theory explains that chaos is the necessary process for creating new order, and the self organizing theory explains that "it is both sad and ironic that we have treated organizations like machines, acting as though they were dead when all this time they have been living, open systems capable of self-renewal" (Wheatley, 1999, p.77).

These new ways of looking at organizations explain that the ways of leading organization should be different from the past. Wheatley stated that "they recall us to the power of simple governing principles: guiding visions, sincere values, organizational beliefs--the few self-referential ideas individuals can use to shape their own behavior" (1999, p.130). She stated that "the leader's task is first to embody these principles, and then to help the organization become the standard it has declared for itself" (p.130). "Leaders are also obligated to help the whole organization look at itself, to be reflective and learningful about its activities and decisions" (p.131). Contrary to former views, the leader's role is not to make sure that people know exactly what to do and when to do it. Instead, leaders need to ensure that there is strong and evolving clarity about who the organization is.

Senge (1990) stated that "learning organizations demand a new view of leadership" (p.339), and he also stated that "in a learning organization, leaders are designers, stewards, and teachers" (p.340). "They are responsible for building organizations where people continually expand their capabilities to understand complexity, clarify vision, and improve shared mental models--that is, they are responsible for learning" (p.340).

Senge (1990) developed five disciplines of learning organizations, and these included systems thinking, personal mastery, mental models, building shared vision, and team learning (pp.6-9). He also said that "these might just as well be called leadership disciplines as the learning disciplines" (p.359). The following is a brief explanation of the five disciplines (Senge, Cambron-McCabe, Lucas, Smith, Dutton and Kleiner, 2000).

- Personal mastery: Personal mastery is the practice of articulating a coherent image of your personal vision--the results you may most want to create in your life--alongside a realistic assessment of the current reality of your life today. This produces a kind of innate tension that, when cultivated, can expand your capacity to make better choices and to achieve more of the results that you have chosen (p.7).
- Shared vision: This collective discipline establishes a focus on mutual purpose. People with a common purpose (e.g., the teachers, administrators, and staff in a school) can learn to nourish a sense of commitment in a group or organization by developing shared images of the future they seek to create and the principles and guiding practices by which they hope to get there. A school or community that hopes to live by learning needs

a common shared vision process (p.7).

- **Mental Models:** This discipline of reflection and inquiry skills is focused around developing awareness of attitudes and perceptions-your own and those of others around you. Working with mental models can also help you more clearly and honestly define current reality. Since most mental models in education are often “un-discussable” and hidden from view, one of the critical acts for a learning school is to develop the capability to talk safely and productively about dangerous and discomfiting subjects (p.7).
- **Team learning:** This is a discipline of group interaction. Through such techniques as dialogue and skillful discussion, small groups of people transform their collective thinking, learning to mobilize their energies and actions to achieve common goals and drawing forth an intelligence and ability greater than the sum of individual members’ talents. Team learning can be fostered inside classrooms, between parents and teachers, among members of the community, and in the “pilot groups” that pursue successful school change (pp.7-8).
- **Systems thinking:** In this discipline, people learn to better understand interdependency and change and thereby are able to deal more effectively with the forces that shape the consequences of their actions. Systems thinking is based on a growing body of theory about the behavior of feedback and complexity-the innate tendencies of a system that lead to growth or stability over time. Tools and techniques such as stock-and-flow diagrams, system archetypes and various types of learning labs and simulations help students gain a broader and deeper understanding of the subjects they study. Systems thinking is a powerful practice for finding the leverage needed to get the most constructive change (p.8).

### **(3). Conclusion of Literature Review**

In this changing world, we need leaders, and we want to choose our leaders. We want to choose leaders who understand the new science paradigm, and help us to grow. In order to choose or to select leaders within ourselves, all of us are responsible for our learning in new sciences and new ways to look at the organizations. If we don’t know it, we will stick with the old paradigm, and we will not be able to choose appropriate leadership.

Systems thinking explains that we are a part of systems, and somehow participate in organizations. Thus, we are all stakeholders, and responsible for our own learning and growth. If we don’t practice according to the new science explanations, entropy increases, and we would cease to exist.

## **2. Problem**

### **Introduction**

The purpose of this section is to identify leadership methods in higher education and in not-for-profit organizations (NPOs). Currently, higher education in Japan is facing difficult issues, and colleges and universities are restructuring several areas of their education and administration. A law to promote specified nonprofit activities became effective in 1998, and Japanese society started to recognize the importance of volunteerism and volunteer organizations (Imada, 2000). Leadership in these areas has been discussed; however, as society and science change, the leadership should change accordingly. The collaborative and/or participative leaderships have been used in higher education and in NPOs for two decades. In addition, taking the leadership role of NPOs is somehow



a part of social work educators' responsibilities in Japan. This paper will briefly discuss leadership issues within higher education in Japan, and leadership methods within these areas will be discussed.

### **Chaotic decades of higher education**

The current higher education system was introduced after the Second World War. There had been a modern higher education system since the University of Tokyo was established in 1877, but the General Head Quarter (GHQ) reformed the system in 1945, thus an external force implemented the big reform, and it made future reform difficult for the Japanese government (Ohsaki, 1999). The reform was not only in the field of education but also in many areas of Japanese society. After the GHQ's occupation, Japan experienced dramatic recovery and growth in many aspects, such as economy, culture, medicine, engineering, and of course in education, for almost 50 years, although there were some difficult times. This was also called the Golden Age of Japanese higher education. The numbers of children increased, and the pursuit of higher education also increased. The peak of this Golden Age was in the 1990s, and following were the major characteristics of higher education in Japan (Yamamoto, Fujitsuka, & Honda-Okitsu, 2000).

1. Most higher education institutions are private, and they expanded into the field of social sciences.
2. Those private universities are very diverse in size, prestige, history and quality.
3. Companies that employ new university graduates do not typically expect them to have acquired specialized vocational skills (p.197).
4. Geographical gap in educational opportunities is large.
5. Enrollment of graduate schools is very small (p.197).

Several reasons caused these five characteristics of Japanese higher educations. First of all, private educational foundations established higher education institutions to meet the needs of growing numbers of young people who pursued college education (Ohsaki, 1999). Secondly, social science related departments were easiest for those foundations to establish. Finally, because life long employment planning and on going on site job training made it possible for Japanese companies to employ new graduates without specific skills, many students didn't recognize the necessity of pursuing a graduate degree (Yamamoto, Fujitsuka, & Honda-Okitsu, 2000, p.197). Students were not too serious about studying, and universities have been called leisure lands (Kawanari, 2002); however, this situation ended as a consequence of the burst of the bubble economy.

After the bubble economy burst in the late 1990s, the situation changed dramatically. Life-long employment was no longer expected, and companies could not afford to train in basic vocational skills. The end of Japanese higher education's Golden Age was not only because of these economic related changes, but also because the life stages of people have changed over time. The average age of marriage is older than in the past, couples have been having fewer children, and more people began choosing not to marry (The ministry of health and welfare, 1998). More women have professional careers, and more people pursue graduate studies (The ministry of health and welfare, 1998).

Higher education institutions are now facing those changes, and many universities have attempted to change admissions, its education, and its relationship to the community. First, entrance examinations have been identified as an unhealthy screening system for new high school graduates and even harmful to the whole Japanese education system (The ministry of health and welfare, 1998). One

of the purposes of high school education is to prepare students for the college entrance examination, and memorizing examination items is a main character of this preparation. Many universities have created new admission systems including interviews, writing essays and/or an evaluation of extracurricular activities (Sakata, 2000). More universities have admitted non-traditional students and transfer students (Tohyama, 2001). Secondly, education curriculum includes more participatory classes such as seminar classes and practicum works, and less lecture courses (Kubo, 2001). To increase critical thinking skills, debate skills and/or creative skills, small participatory classes are more effective, and companies have asked universities to educate students in those skills. Finally, universities should not be called "ivory towers". Research should be done with and within the community as much as possible, and knowledge from academics should be available to the community at large (Ohsaki, 1999).

There has been a myth that many Japanese parents believed. If a boy can go to prestigious university, he will be hired by a highly recognized company or governmental agency or become a doctor, then he will be happy forever (Kariya, 1995). If a girl can go to prestigious university, she must be able to marry one of these boys above, and she will be happy forever. This perspective toward prestigious universities created a university entrance exam war for 18-year-old desiring attendance there. Then the myth grew further. If children want to go prestigious universities, they must attend competitive high schools. Thus, the high school entrance exam war for those ages 15 was created (The ministry of health and welfare, 1998). Is the myth true? In some cases it was true, but not for everyone.

First of all, these entrance exam wars became social problems (The ministry of health and welfare, 1998). After coming back from schools, children go to JUKU schools; these schools prepare students to take tests. These children don't have time to rest, play with others, nor talk with parents. They can't establish interpersonal skills and created many troubles, such as bullying, stealing, fighting or even committing suicide. Many people started to realize the myth was wrong.

Next, companies changed hiring criteria. When Japan experienced the bubble economy era, many companies could train their employees on their own. Thus, for those companies, hiring newly graduated students from prestigious universities was the easiest way to hire competent employees. Universities were called leisure lands (Kawanari, 2002), and students were busy playing and working part time for recreation money. Since the bubble economy burst, companies do not have any extra budget to train new graduates on their own, thus they have been hiring people who can find problems, plan to solve them, and act according to the plan. Thirdly, entrance exams have been assessing students' memorizing skills but not problem solving skills (Kariya, 1995), and universities have not been teaching these skills. Many people started to realize that these skills can be learned, but it takes time to master, thus children should be introduced to these when they are young.

Finally, the population of children has been decreasing (The ministry of health and welfare, 1998), thus the numbers of high school graduates is also decreasing (Okamoto, 2001). The universities are forced to accept lower academic ability students (Kubo, 2001) if they cannot attract prospective students, or they will go bankrupt.

Higher education is under a chaotic situation, and it is obvious that the Japanese higher education systems need to be changed, improved or reformed, and different leadership is very important to break through the issues. If the situation is chaotic, the leadership method should be selected according to the situation. Fortunately, chaos not only explains a situation but also explains the direction of

application. Mossberg (2001) shows the application of chaos theory to academe as follows.

If institutional leadership uses the real world model of chaos theory, what is basically incorporated into the leadership paradigm is a perspective that affects the leader's outlook on everything from crisis management and institutional strategic planning to curriculum reform issues. Institutional leaders will find chaos integral to assessment:

- A long-term view--a basis for optimism
- A view of the diversity characterizing the whole--a basis for realizing coherence
- A feedback system--a basis for continuous learning
- Structures for collaboration--a basis for integration
- A view of change--a basis for planning (p.219)

She continued that "once a system is understood in terms of change and complexity, then leadership can be proactive in supporting those structural and cultural initiatives which promote such principles as diversity, assessment through feedback, collaboration across discipline and organizational role" (p.219). Because the situation of higher education in Japan is chaotic, the application of chaos theory to the current reform movement will be effective as she pointed out.

### 3. Discussion

#### Leadership in education

From the systems' perspective, the learning organization approach should be considered. Senge introduced the learning organization approach, also known as the Fifth Discipline approach in 1990, and it describes the implementation of organizational learning in business, in NPOs, in government agencies and in schools. More than two decades passed, and many teachers and educational leaders recognized the effectiveness of learning organization approach. The five disciplines of learning organizations include systems thinking, personal mastery, mental models, building shared vision, and team learning.

The premise of this approach is that people have a natural desire to learn; in other words, all people are natural learners. As children grow, they learn many things naturally or willingly. This habit continues in adulthood, and teachers and especially higher educators have even stronger desires to learn. Needless to say, schools are the places to learn, thus learning orientation or learning organization is an appropriate approach in education.

#### Models of leadership in education and leadership continuum

Leithwood, Jantzi and Steinbach stated that the productive leadership depends heavily on its fit with the social and organizational context in which it is exercised (1999). They reviewed four contemporary international journals concerned with leadership, and a total of 121 articles were identified. Twenty specific leadership concepts were explicitly mentioned in the articles, and each of them was assigned to one of six broad categories, referred to subsequently as 'models' (Leithwood, Jantzi & Steinbach, 1999). The following is a brief explanation of those models.

##### Model 1. Instructional leadership

Instructional leadership, a single, separate category, typically assumes that the critical focus for attention by leaders is the behaviors of teachers as they engage in activities directly affecting the growth of students. Many versions of this form of leadership focus, additionally, on other organizational variables (such as school culture) that are believed to have important

consequences for such teacher behavior (Leithwood, Jantzi & Steinbach, 1999, p.8).

#### Model 2. Transformational leadership

This form of leadership assumes that the central focus of leadership ought to be the commitments and capacities of organizational members. Higher levels of personal commitment to organizational goals are assumed to result in extra effort and greater productivity. Authority and influence are not necessarily allocated to those occupying formal administrative positions, although much of the literature adopts their perspective. Rather, power is attributed by organization members to whomever is able to inspire their commitments to collective aspirations and the desire for personal and collective mastery of the capacities needed to accomplish such aspirations (Leithwood, Jantzi & Steinbach, 1999, p.9).

#### Model 3. Moral leadership

As a category, moral leadership includes normative, political/democratic, and symbolic concepts of leadership. Moral leadership assumes that the critical focus of leadership ought to be on the values and ethics of leaders themselves. So authority and influence are to be derived from defensible conceptions of what is right or good. Nevertheless, much of the writing about the moral leadership, as in the case of transformational leadership, adopts the perspective of those in formal administrative roles (Leithwood, Jantzi & Steinbach, 1999, p.10).

#### Model 4. Participative leadership

Participative leadership assumes that the decision-making process of the group ought to be the central focus for leaders. One school of thought within this category of leadership argues for such participation on the grounds that it will enhance organizational effectiveness. A second school rests its case for participation on democratic principles such as those discussed in relation to moral leadership (Leithwood, Jantzi & Steinbach, 1999, p.12).

#### Model 5. Managerial leadership

Managerial leadership assumes that the focus of leaders ought to be on functions, tasks, or behaviors and that if these functions are carried out competently the work of others in the organization will be facilitated. Most approaches to managerial leadership also assume that the behavior of organizational members is largely rational. Authority and influence are allocated to formal positions in proportion to the status of those positions in the organizational hierarchy (Leithwood, Jantzi & Steinbach, 1999, p.14).

#### Model 6. Contingent leadership

This approach assumes that what is important is how leaders respond to the unique organizational circumstances or problems that they face as a consequence, for example, of the nature and preferences of co-workers, conditions of work and tasks to be undertaken. This approach to leadership assumes, as well, that there are wide variations in the contexts for leadership and that, to be effective, these contexts require different leadership responses. Also assumed by this approach to leadership is that individuals providing leadership, typically those in formal positions of authority, are capable of mastering a large repertoire of leadership practice (Leithwood, Jantzi & Steinbach, 1999, p.15).

These approaches cannot be completely separated from each other although each model has a purpose and a character. Participative leadership is preferred for higher education because science will not be developed without academic freedom; however, universities are also organizations, they need someone to lead and manage the organizations.

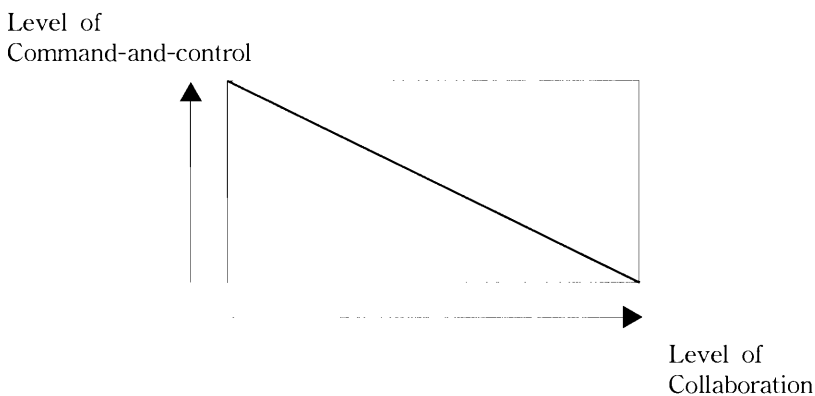
Wilson (2000) explained the leadership as a continuum. At the one end there is traditional command-and-control leadership style (Figure 1), and at the other end there is the leadership that is necessary in order for organizations to learn, and they have been calling that collaborative leadership.

Figure 1. Leadership continuum



The figure 2 explains the collaborative leadership spectrum. This diagram explains that as the level of command-control increases, the level of collaboration decreases, and as the level of collaboration increases, the level of command-control decreases.

Figure 2. Collaborative leadership spectrum



### Collaborative leadership in NPOs and education

Collaborative leadership is widely used in organizational learning approach and other literature in education and NPOs (Frydman, Wilson, & Wyer, 2000; Rubin, 2002; Telford, 1996). Rubin defined collaborative leadership as;

the skillful and mission-oriented management of relevant relationships. It is the juncture of organization and management. Whereas community and labor organizers are trained to patiently build their movements through one-on-one conversations with each individual they want to recruit, collaborative leaders do this and more by building structures to support and sustain these productive relationships over time (2002, p.18).

Rubin utilized a 12-step system for self-help groups, and applied them to the collaborative life cycle (2002, pp.44-47). The following is the 12 steps or 12 guidelines to practice collaborative leadership style.

Phase 1. Why collaborate?

The identified goal should be best achieved through collaboration. The leader should consider how and why collaborative approach improves the likelihood of accomplishing your goals.

Phase 2. Outcomes? Decision makers?

After considering the outcome carefully, the leader needs to identify the decision makers who

control or influence his/her ability to succeed. The leader also considers the members of the coalition before making contact.

#### Phase 3. Stakeholders?

The leader needs to identify the stakeholders who need to be involved. He/she should identify by naming the full range of essential stakeholders, individuals, and organizations with knowledge, history, celebrity, credibility, influence, or resources, or who otherwise have a stake in the outcomes he/she targeting.

#### Phase 4. Frame and recruit

The leader should develop a unique and tailored strategy to recruit each prospective partner. His/her preplanning should include consideration of who-from the perspective of each prospective partner-should make the overture and what-from the perspective of each prospective partner-will satisfy the prospect's self-interests and enthruse him or her about participating in the collaboration.

#### Phase 5. Leaders, structure, roles and rules

To build the collaboration, the leader has to address the key functions of collaborative leadership. In itinerant collaborations, these functions may be informally assumed and shared by partners during the brief duration of initiatives. In sustained collaborations, attention should be paid to insure adequate levels of continuity, responsibility, and accountability for fulfilling the most important functions.

#### Phase 6. Develop an action plan

The collaboration develops strategic plans with benchmarks so that all its members know where the collaboration is going and can measure where it has been. Partners are encouraged to discuss the collaboration's action plan in terms of how specific portions connect to the institutional missions and self-interests that they represent.

#### Phase 7. Begin with successes

The collaboration begins with short-term plans that target successes around either its most urgent or least controversial goals.

#### Phase 8. Build bonds between partners

The collaboration pays attention to building the essential bounds between collaborative partners. An internal environment of trust, loyalty, and high professionalism should be created early on so that later on, partners are willing to make the compromises that will certainly be demanded in the context of collaborative decision-making.

#### Phase 9. Celebrate successes

It is important for collaborative partners-both individual representatives and lead decision makers in the institutions they represent-to feel good about their continued participation in the collaboration. The collaboration celebrates its successes with internal recognitions to strengthen the bonds.

#### Phase 10. Assess, adjust, reinforce bonds

The leaders should really know if individual partners feel well connected to and supportive of the collaboration.

#### Phase 11. Goal-centered accountability

The collaboration should measure its progress. The members should discuss how what is measured relates to what is done.

#### Phase 12. Revisit and renew mission

The collaboration's partners are aware and routinely reminded of the mission and goals of the collaboration. The collaboration stops to revisit its mission, especially at significant benchmarks or

when there are changes in external conditions.

By following these 12 phases, leaders should be able to create a collaborative environment to accomplish goals. It is clear and easy to follow and is excellent guidelines for first time collaborative leaders.

## Conclusion

When society changes, leadership styles and management styles should change. Higher education in Japan is facing many changes, and chancellors and provosts should practice different types of leadership. Since professors are learners, the learning organization approach, collaborative approach and participative approaches are appropriate. These types of leadership are also appropriate for NPOs as well.

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