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A general theory of administrative behavior in formal organizations: A systems approach

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A GENERAL THEORY OF ADMINISTRATIVE

BEHAVIOR IN FORMAL ORGANIZATIONS:

A SYSTEMS APPROACH

by

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CHAPTER I

INTRODUCTION TO THE STUDY

> Institutions, as many have said, are tools for building "civilizations" but they do not, like most tools, lie wholly outside and apart from the individuals who use them. They are, on the contrary, our own habits which, entering into our vital organizations, exert upon other phases of our personality, an affect which we cannot safely ignore.(1)
>
> F.H. Allport

Rationale for the Study

In spite of the many studies of administrative behavior in formal organizations, a valid, comprehensive general theory has failed to emerge that adequately explains effective administrative behavior. The wide variety of divergent theories which have been proposed are constituted of concepts which appear to be generally incomparable and causal relationships which often seem to conflict with one another.

Purpose of the Study

The purpose of this study was to formulate "an analytical general system theory of administrative behavior" which integrates existing knowledge in the field of behavioral science in general, and in the field

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of organizational psychology in particular. Predominant concepts, divergent theses of existing theories and supporting research evidence was synthesized to form a theoretical framework comprising five "ideal models" of administrative behavior in formal organizations. Each of these ideal models, relating to particular environmental condition in the time/space continuum, specified the level of technology and the degree of individual motivation for which that particular form of administrative behavior was appropriate--results in effective administrative behavior in formal organizations.

Need for the Study

In order to accurately assess the need for a study of the general theory of administrative behavior in formal organizations, it was necessary to discuss both the importance of formal organizations to society and the importance of general theory to scientific studies, in any field.

Importance of Studying Organizations

"Organizations", by their very nature, exist in the environment and respond constantly to environmental needs over time. Organizations existed in simple form thousands of years ago in Egypt, Rome, China, and other ancient societies. Interest in studying organizations has greatly

accelerated during the last century. Today, in contemporary society, organization has become one of the most important concepts in the behavioral and applied behavioral sciences. Economists, educators, psychologists, social psychologists, political scientists, and sociologists continually attempt to understand and explain administrative behavior in formal organizations. They try to formulate a powerful organizational model and with supporting theories which, when applied to existing organizations, are effective and efficient. They do this because in modern societies' higher standard of living, expectation of longer life, happiness, healthiness and productivity depend largely on organizations. Etzioni supports this concern for the study of organizations:

> We are born in organizations, educated by organizations, and most of us spend much of our lives working for organizations. We spend much of our leisure time paying, playing, and praying in organizations. (2)

Related to the study of organizations is the concern of many behavioral scientists who believe that the proper study of mankind must take place outside the laboratory and that organizations provide a natural laboratory for behavioral and social research. The formal organization, with its explicit regulations and official positions constitutes controlled conditions; and these controls have not been artificially introduced by the scientists but are an inherent part of organizational life.[3]

Importance of A Theory

It is virtually impossible to systematize existing knowledge without a conceptual framework within which to do so. Theory--a conceptual framework--is important for this purpose in any scientific field, but is especially important in an applied field where knowledge now scattered through all of social and behavioral sciences and through the many applied areas of business, public, military, hospital and educational administration must be drawn together Working theory is equally important to the management consultant, the teacher, the professionally conscious administrator, and the research scientist, where it serves as a framework for the organization of material.

A general theory is important as a guide to research. It helps identify gaps in both existing knowledge and ongoing research and thus promotes the design of other research efforts. It also provides working hypotheses or guides to individual research efforts which serve as vehicles for the subsequent incorporation of research efforts into synthesized bodies of thought.

Additionally, a general theory of administration could be extremely useful as a guide to administrative behavior. The analytically and intellectually self-conscious practitioner should readily recognize the

importance of a general theoretical framework which may be used as a measure of personal performance--a behavioral checklist of daily undertakings. Educators should also find it of primary importance in shaping curricula and in guiding potential administrators.

Background of the Study

The Literature of Administrative Behavior in Formal Organizations:

Any attempt to mold the scattered and diverse body of literature in the field of administrative behavior into a coherent whole must consider three basic issues: First, that while a great deal has been said about administrative behavior in formal organizations, what has been said is simply the same information repeated over and over in different ways. Secondly, hundreds of articles, essays and research projects have taken the same jargon and attempted to make sense of it. "We have invented an endless proliferation of terms to deal with it [administrative behavior]: leadership, power, status, authority, rank, prestige, influence, control, manipulation, domination and so forth.[4] "The number of studies is so large that even the number of reviews are considerable."[5]

The third issue is that there are many and varied theories which are based on divergent assumptions about man from which administrative behavior in formal

organizations is justified. At the one extreme, for example:

> Man was [is] by nature brutish and the natural state of existence intolerable. Man therefore surrendered his natural rights to the state--organization--in the interest of his own self-preservation. (6)

Strother (1963, p. 6) also notes that the writings of Plato, Aristotle, Hooker, Grotious, Descartes, Hobbes, Spinoza, Weber and others declare the brutish nature of man. At the other extreme is the concept of self-realization or self-actualization of man, which is manifest in the more recent writings of Maslow (1954), Argyris (1957, 1964), McGregor (1960), Likert (1961, 1967), Haire (1963) and Blake and Mouton (1968).[7]

Admittedly, the dominant characteristics of the literature on administrative behavior in formal organizations is the variety of theoretical angles and the confusion in the three issues mentioned previously--terms, quantity of the study, and variety of the theories. It is there that the tone of this study rests. An attempt is made to develop order, and build connections between the primary theories of administrative behavior and integrate them into an appropriate framework--an open system concept.

Examination of the literature on administrative behavior in formal organizations leads to the identification of two primary theories from which

assumptions related to the validity and universality of existing theories are, in an ideal sense, asserted. One of these approaches, referred to by Worthy[8] as "the Machine Theory", includes: The Bureaucratic Model of Weber,[9] the Administrative Management Model of Gulick and Urwick,[10] and the Scientific Management Model of Taylor.[11] The Machine Theory began with the following assumptions about man--the nature of human nature:

1. man is selfish and aggressive in his original nature and therefore administrative behavior must be impersonal,

2. man is motivated only by economic needs--the needs which are essentially equivalent to Maslow's need hierarchy--and therefore reward, or incentive should be monetary and external--promotion, and

3. people do not like to work and therefore close supervision and accountability should be emphasized. Management must lead people fairly and firmly in a way that is not part of their inherent nature.[12]

Based upon the previous assumptions and beliefs, organizations have been considered as primarily a rational tool or mechanical device for the successful accomplishment and the efficient implementation of a goal or goals. To set up and design such a rational tool, the organizational theorists have stressed the task and

control (administrative behavior) dimensions of the organizational system, while the only human dimension given attention was essentially a physiological unit--the limited intellectual capacity of the individual (see, for further discussion, Neff, 1968, pp. 5-11, and March and Simon, 1958, pp. 12-33).[13]

In sum, on the assumption that man is selfish and aggressive in his original nature, the classic school has proposed "the machine theory." In this theory or model, effectiveness of administrative behavior is considered and asserted in formal organizations as an interconnection or relationship between the rigid-structured task, impersonal administrative behavior and external motivation (reward system). Tasks which are to be performed for achievement of the goal are narrowly divided by function among the individuals of organizations and individuals have a limited sphere of activity that is tied to their own special knowledge. The control system emerges from the task requirements as a series of offices or positions which are integrated, interrelated and coordinated in a pyramidal hierarchy and supported by limiting rigid rules--rules which support the impersonal, mechanistic and bureaucratic relationship between superior and subordinate. Administrators, therefore, provide order according to impersonal rules. Those who are on the bottom of the hierarchy unquestioningly obey those rules.

These theories--the Bureaucratic, the Scientific management, and Administrative management models--will be discussed in more detail in Chapter II.

Almost two decades after the classical theory, a second line of thought, the so-called neoclassical approach, evolved in the social context of the Western world. To the theorists, mostly psychologists and social psychologists, the theses of the Classic School are not acceptable. The neoclassicists proposed two different models--the Human Relations and the Human Resources--based on the assumption(s) that man is social in his original nature, and further, that all men are interested in self-actualizing or realizing their full potential--a situation which should be considered in the design of social system-organizations.

Elton Mayo and Kurt Lewin,[14] with the "discovery" of the influence of the immediate informal group on motivation and behavior, are known as the fathers of the Human Relations School. They and their followers (Lewin, Lippitt and White, 1939; Roethlisberger and Dickson, 1939; Coch and French, 1948; White, 1948; Maire, 1955; and early Likert, 1958)[15] have particularly stressed social needs rather than the basic and safety needs of the Classical School. Their approach is supported by an impressive body of data which, in part, concludes:

> . . . the amount of work carried out by an
> individual is determined not by his physical
> capability but his social capacity;
> non-economic rewards are most important in
> motivation and satisfaction of individuals
> . . . the leader is not necessarily the person
> appointed to be in charge, informal leaders can
> develop who have more power; the effective
> supervisor is "employee-centered" and not
> "job-centered," that is, he regards his job as
> dealing with human beings rather than with the
> work; communications and participation in
> decision making are some of the most
> significant rewards which can be offered to
> obtain the commitment of the individual.(16)

The Human Relations School, with its emphasis on

people's social needs, has rejected bureaucratic

administrative behavior. It advocates a supportive form

of administrative behavior as universally most effective

for all organizations. An administrator is not a

bureaucrat dealing with rules--the rules that constitute

the relationships between superior and subordinate--but is

a person who attempts to understand the needs and feelings

of subordinates and shows consideration and sympathy for

their needs and feelings. In short, this school

[discussed in Chapter III] believes that effective

administrative behavior in formal organizations involves a

supportive relationship between superior and subordinates.

The Human Resources School is the second version of

the neoclassical approach to the problem of effective

administrative behavior in formal organizations. It is a

step beyond the Human Relations School and is supported in

organizational psychology literature by theorists such as Argyris (1957, 1964), McGregor (1960), Haire (1963), Likert (19610, 1967), Miles (1965), Tannenbaum (19660, 1968), Blake and Mouton (1968), and the others.[17] Although using different titles for their theories, they all derive their theoretical justification explicitly from the assumption that all men are interested in self-actualizing or realizing their full potential. To allow for this they object, as did the Human Relationists, to the thesis of the Classical theorists, and recommend a model or a theory which has come to be known as the Human Resources Model. McGregor, one of the leading theorists of the school, described this objection to the thesis of the Classical theorists when he proposed "Theory Y" as a solution to the problem of ineffective organizational performance:

> Above all, the assumption of Theory Y points up the fact that the limits of human collaboration in the organizational setting are not limits of human nature but of management's ingenuity in discovering how to realize the potential represented by its human resources. Theory X offers management an easy rationalization for ineffective organizational performance: It is due to the nature of human resources with which we must work. Theory Y, on the other hand, places problems squarely in the lap of management. If employees are lazy, indifferent, unwilling to take responsibility, intransigent, uncreative, uncooperative, Theory Y implies that the cause lies in the management method of organization and control. (18)

In the human resources model, participation is the only administrative behavior which can yield maximum effectiveness.

Those who proposed the "Human Resources" Model, in which effectiveness of administrative behavior is based on interconnections or interrelationships between enlarged task-structure, participative relationships between superior and subordinate, and internal motivation, did so on the assumption that all men are interested in self-actualization or realizing their full potential in their original nature.

Conceptual Shortcomings of the Existing Theories: To be consistent with the purpose of and need for the study, justified in the rationale of the opening paragraph of this chapter, it is important to identify the conceptual shortcomings in the theses of existing theories in both the classical and neoclassical approaches. In order to identify the shortcomings of and major problems in the theses of the existing theories mentioned in the previous discussion, the open system approach to the study of living systems, including large social systems such as formal organizations must be introduced. The initial support for the view that living systems are essentially "open systems" as opposed to "closed systems" comes from an article in Science, published by the theoretical

biologist Ludwig von Bertalanffy in 1950. Bertalanffy was a pioneer in the promotion of an organismic view in biology and first developed his "general system theory" in the 1930's. However, he did not publish his ideas until the conclusion of World War II, later explaining that he waited until biology was more receptive to theory and model building (Bertalanffy, 1968).[19] Bertalanffy is responsible both for introducing the term "general system theory" and for initiating the intellectual movement for a unified science.[20]

In the years since Bertalanffy's article, various behavioral scientists (Ashby, 1958, 1960; Bennis, 1966; Boulding, 1956; Buckley, 1967; Burns and Stalker, 1961; Dill, 1962; Emery and Trist, 1965; Lawrence and Lorsch, 1967; Miller, 1965a, 1965b, 1965c, 1972; Katz and Kahn, 1966, 1978; Parsons, 1951; Rice, 1958; and many others)[21] have maintained that formal organizations "must be conceived of, and studied as open systems" since "whether biological organisms or social organizations, [they] are acutely dependent on their external environment."[22] Walter Buckley, for example (sociology) has stated the meaning of system openness:

> That a system is open means not simply that it engages in interchanges with the environment, but this interchange is an essential factor underlying the system viability, its reproductive ability or continuity, and its ability to change.(23)

In organizational psychology, Katz and Kahn, after encountering the general systems theory of Bertalanffy and his followers and the sociotechnical systems approach of the Tavistock group in England, have adopted an open-systems approach to organizations in their far-reaching work The Social Psychology of Organizations, published in 1966. Their book provides a convincing description of the advantages of an open system perspective for examining the important relations of an organization with its environment:

> Open system theory assumes continuing interaction of an organization with its environment; such interaction is what it means for a system to be open. The study of organizations therefore should include the relationship between the characteristics of the environment and the characteristics of the organization . . . Change in that environment leads to demands for change in the organization, and even the effort to resist those demands results in internal change.(24)

In light of these preliminary observations of open systems or organization-environment perspective and that which was said in the early sections, if one now takes the theses of all the existing theories into consideration, it can be easily seen that they all conceive of formal organizations as closed social systems acting independent of external or environmental forces. Consequently, the shortcomings and inadequacies of closed system thinking about social organization become increasingly apparent when one considers the fact that societies are in a constant state of change.[25]

A second shortcoming, closely related to the first, is that all the existing theories derive their theoretical foundation, in addition to assumptions about human nature, on either the task-dimension or the motivation-dimension of "organization". Therefore they arrive at a single form of administrative behavior based on one or more of these dimensions which they believe is universally most effective. However, in the literature, there is increasing evidence (Bennis, 1959; Herzberg, 1959; Katzell, 1960; Leavitt, 1951; Vroom and Mann, 1960; March and Simon, 1958; Maslow, 1965; Whyte, 1969; and many others)[26] indicating that all the existing theories are importantly limited in their applicability yet are sometimes applicable. For example, as March and Simon (1958), Katzell (1960), and Whyte (1969),[27] suggested that if tasks are routine and subordinates are security-oriented, the Bureaucratic form of administrative behavior may be effective. Yet many prominent studies have shown that the theses of the Bureaucratic and Scientific management models are ineffective under situations where the conditions of routine tasks and security-oriented staff are often not met (A. Kornhauser and O.M. Reid, 1962; R. Blauner, 1964).[28] When tasks are highly complex and subordinates are ego-oriented, the participative form of administrative behavior (the thesis of the Human Resources model) is more effective; much

recent evidence indicates that the Human Resources Model is inappropriate for blue collar workers (Friedlander, 1965; E.F. Fiedler, 1967; Centers and Bugental, 1966).[29] Miles (1965),[30] suggests that the supportive form of administrative behavior (the thesis of the Human Relations model) is more effective in relation to social motivational factors (social needs) and flexible tasks. Furthermore, several empirical and theoretical studies have shown that, in comparing organizations in different environments, different organizational models and forms of administrative behaviors are required to be effective (Burn and Stalker, 1961; Harvey, 1968; Perrow, 1967; Rice, 1963; Lawrence and Lorsch, 1967, 1969; Maslow, 1965; and Thompson, 1967).[31] Maslow (1965) recommended, in his book Eupsychian Management, that the participative form of administrative behavior (the thesis of the Human Resources model) is more appropriate to organizations in highly developed countries. Burns and Stalker (1961), Lawrence and Lorsch (1967, 1969); Bennis (1969), and many others have suggested that if the environment is simple, with a slow rate of change, effective administrative behavior is highly bureaucratic. Similarly, if the environmental conditions are complex, dynamic, and turbulent, the effective administrative behavior is participative.

Given the research evidence, it seems clear that no single form of administrative behavior is universally effective at all levels of an organization, but may be effective for different hierarchical levels depending upon the nature of motivation and task; there is also no single form of administrative behavior which is universally effective for an organization that exists under differing environmental conditions. But a single model may be the dominating characteristic in an organization, depending upon the characteristics of that environment.

It should be possible to design a promising theoretical solution to the foregoing problems which is derived from the open systems model as applied to formal social organizations.

A Theoretical Framework

The System Stage

The key element in the framework of the theory shown in Figure 1 is the environment; it is the starting point. The environment, which by its very nature is constantly changing from simple to complex in the time/space continuum is defined by two essential dimensions—technology and motivation. It is a two-dimensional, "state-determined, dynamic system." The stability of the system is determined by a tendency toward fitness (see definition) between the two dimensions of the system.

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FIGURE 1

CONCEPTUAL FRAMEWORK OF THE THEORY
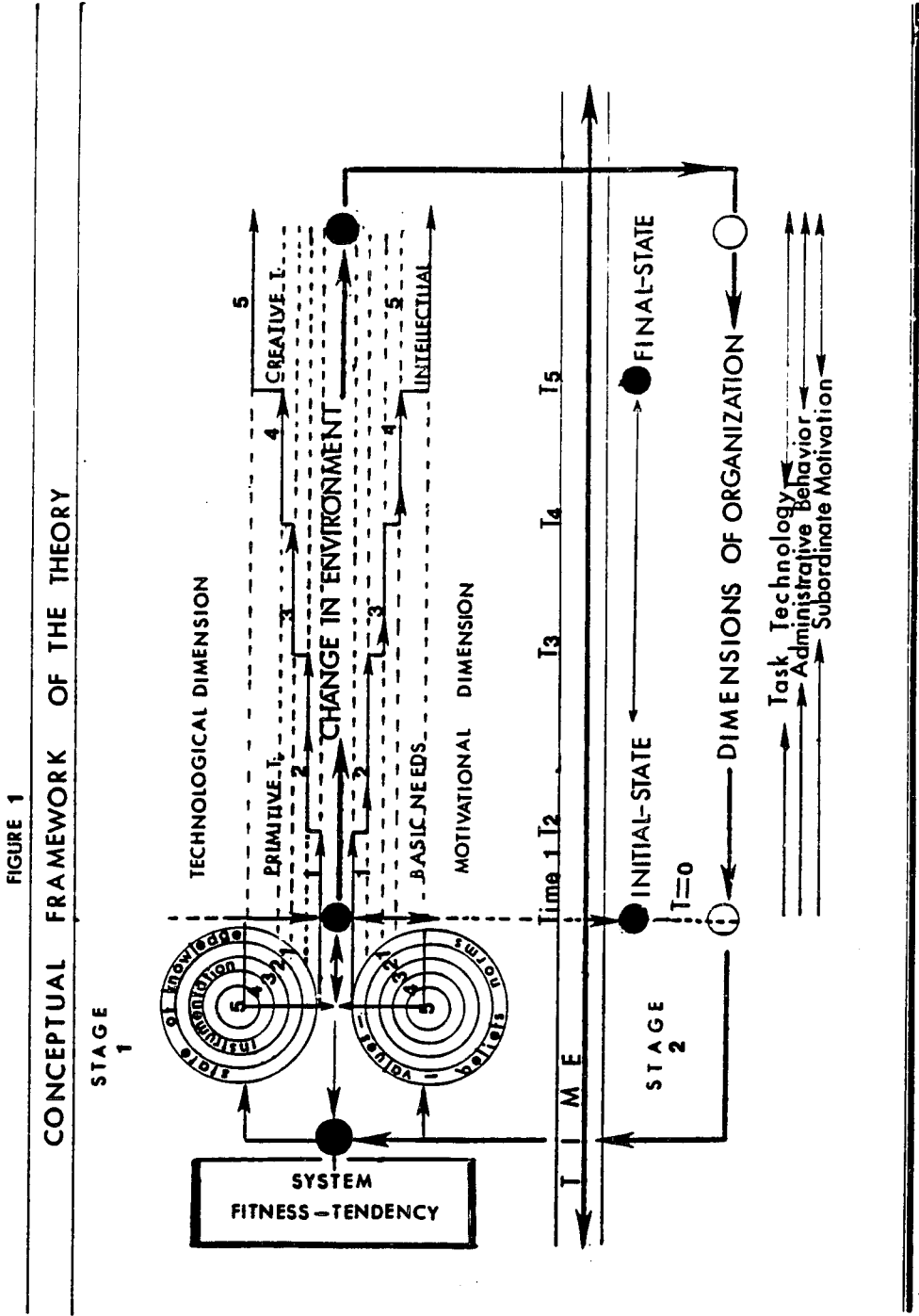
This is what Dewey and Bently (1948)[32] have called "transactions" or processes between the parts that constitute the system. It is suggested that in the nature of any society there is a tendency toward fitness between the essential dimensions of the social system. That is to say that human societies, like living beings, are self-regulating; they adapt themselves to change over time. In order to analyze a system or systems, the unit definition, which is the relationship between the two dimensions rather than the dimensions themselves, is required (Laszlo).[33] For the purposes of this study, the two dimensions are defined as follows: First, the motivational dimension is, at the individual level, defined as the need-tendency of "man" for the valued object, running from the basic needs to intellectualization,[34] and linked, at the system level, to the values, beliefs, norms, and attitudes of the social system—society and culture.

It can be seen that the above definition encompasses the motivational dimensions of all the existing theories.

Second, the technological dimension, as related to change (Durkheim),[35] is defined here as the knowledge about technical processes existing outside the organization, and as the tendency to understand the nature of the object with, or without tools in order to make the object "manageable" or "known". The object may be

animate-human or other, inanimate, running from certainty to uncertainty or simple to complex in the time/space continuum.[36]

The Sub-System Stage:

The organization, in constant response to the need of its environment, is defined as a "miniature of society," (the words or term borrowed from Presthus, 1962).[37] Any statement about the environment is a statement about the organization, which requires a tendency toward fitness between the environment and the organization. It follows from this relationship that any change in the relevant environment changes the organization. Consequently, the organization is evolving from the autocratic . . . to the organic model (Burns and Stalker, 1961)[38] in the time/space continuum.

The organization, because of the fitness tendency with the relevant environment, must fit with its internal structure in order to respond at an optimum level to the desired needs of the environment-organizational objective. The internal structure as the interconnection between the essential dimensions is characterized here by tasks-units at the stable state at a given time; "one task unit is the work to be performed by a subordinate and is defined in terms of parameters (technological and motivational dimensions of the social environment) in the

conceptual framework. This suggests that the task unit changes from manageable to unmanageable.

To maintain the internal structure or interconnection of the system at the optimum level, the required control (administrative behavior) must be in the stable state with the task unit because of the nature of control which directly affects the outcome or objective.[39] Administrative behavior-control as "a task relationship between a superior and subordinate is determined in terms of the relevant parameters (technological and motivational dimensions) and changes dependently from authoritative to autonomous forms in the time/space continuum. This conceptual framework encompasses all the existing theories, and more specifically, implicitly, if not explicitly, includes all the dimensions--the dimensions from which the universality of the model or the theories is asserted. Furthermore, it facilitates the discovery of certain principles of the "stable-dynamic system" and identifies the nature of change, appearing as complexity in the time/space continuum. It identifies why change should tend to cause better adaptation for the individual, organization and society. In addition, it explains the relationship at the individual, organizational, and societal levels between the essential dimensions through which the effectiveness of administrative behavior is understood in formal organizations (further explained in Chapter IV).

Approach to the Study

Historical comparison was utilized as an analytical method in order to test the validity of the divergent theses of existing theories of administrative behavior in the historical social context of the Western World. It was the intent of the study to answer the following questions: 1) how do differences arise between the theories rather than which version is right? 2) why are different versions of the same set of theories asserted? (the need to account for these differences is the first stage beyond description and explanation).

The existing divergent theories were grouped into three different models--the Bureaucratic, Human Relations, and Human Resources. In addition, it was assumed that one model was truly the same as another model of the social system--formal organizations--since the first model possesses every essential dimension of the second and third models regardless of qualitative values of the forms within the essential dimensions. Since all the existing models were set forth by their proponents as universally appropriate, the time/space continuum was explored to test or determine the following for each particular model or closely related group of models:

1. the assumption upon which the theoretical foundations of the model was based, and from which the universality of the model was asserted,

2. the empirical evidence which verifies the assumptions about the model,

3. the models from the previous centuries which were identical to or parallel with the existing model,

4. the existing models relative to the three basic dimensions of task (technology), human motivation and administrative behavior, and

5. empirical evidence from the literature in organizational psychology which validates the theses of the existing models in the organic world.

For the above list of analytical categories, the following resources were examined in detail: Anthropology, biology, genetics, humanistic psychology, the neo-Freudian school of psychoanalysis, organismic psychology, organizational psychology, philosophy, political science, psychoanalysis, psychology, and sociology. These considerations led to the comparison of the theses of the existing models based on "identity", "diversity" and "similarity".

For the purpose of analysis, synthesis, interpretation and explanation, logical requirements are postulated deriving from the conceptual framework that was presented earlier as a system model of social formal organizations.

Logical requirements are:

1. an analytical model is defined by identifying the dimensions and their interconnections,[40]

2. the relationship between and among the dimensions of the system are statements of the qualitative values or states of one of the dimensions associated with alternative values or states of one or more of the other dimensions. If two dimensions are related in this way, each is said to be a function of the other without regard to the direction of the causation between them,

3. the qualitative value or state of a system at a given instance is the set of numerical values which its dimensions possess at that instance,

4. two qualitative values or states are equal if and only if the two numerical values in each pair are equal--all pairs showing equality, and

5. if permanent change in the environment is communicated to the system, there will be corresponding permanent change in the

equilibrium values or states of the dimensions
in the system (that is the values they will
have when the system settles into its new
equilibrium).

Limitations

The limitations of this theory are listed below:

Basic to the theory or "concept" as defined and
explained above is the conceptual framework from which the
derived determinants--technology and motivation--are
identified. They may not encompass or allow for other
important determinants or variables such as:

   -charismatic quality of superiors

   -special abilities and talents of subordinates

Any of these limitations, of course, could restrict the
generalizability of the theory.

Organization of the Study

The concepts and models that are explored in this
study were presented in the preceding chapter. The
rationale, purpose, need for the study including
background, theoretical framework, approach to the study
and the limitations were introduced.

Chapter II, The Classical Approach to the Study of Administrative Behavior in Formal Organizations, is the thesis of the Bureaucratic model. It is divided into three sections. The first section explores the theoretical and empirical evidence for the assumptions upon which the theoretical foundation of the Bureaucratic model (including administrative and scientific management) were based, and from which the universality of the model was asserted. In the second section all three models are presented with regard to essential dimensions. The third section includes discussion, summary and conclusion.

Chapter III, The Neoclassical Approach to the Study of Administrative Behavior in Formal Organizations, is the thesis of the Human Relations and the Human Resources models. It is divided into three sections. The first section investigates theoretical and empirical evidence for the underlying assumptions of both models. In addition, it examines identical models deriving from the same assumptions about human nature, and finally is compared with the Bureaucratic models. The second section presents the Human Relations and the Human Resources models, and a comparison of the three models. The final section includes discussion, and conclusions.

Chapter IV, Toward a General Theory of Administrative Behavior in Formal Organizations, is the general model. It presents a general overview, integration and definition of the models.

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[40] Physical scientists refer to a set of elements in interaction as an analytical system or simply a "system." The include as system entities of real world. The term "analytical model" is used here to emphasize that the relevant concept in theoretical analysis is one of an intellectual construct.
    For definitions of systems and discussion of their dimensions (properties), see the following: In <u>General Systems</u>, <u>1</u>, 1956: Ludwig van Bertalanffy, "General System Theory," pp. 1-10; Kenneth Boulding, "General Systems Theory--The Skeleton in Science," pp. 11-17. A.D. Hall and R.E. Fagen, "Definition of the System," pp. 18-28, and also see W. Ross Ashby, "General Systems Theory as New Discipline," <u>General Systems</u>, 111 (1958).

CHAPTER II

THE CLASSICAL APPROACH TO THE STUDY OF ADMINISTRATIVE BEHAVIOR IN FORMAL ORGANIZATIONS

"If you dig very deeply into any problem, you
will get to `people'."   J. W. Wilson

Introduction

This chapter is a presentation of the thesis of the Bureaucratic model. The chapter is composed of three main sections. Section one provides background information about the general nature of human nature, and examines the underlying assumptions of the Bureaucratic model in the social context of the Western World. An attempt was made to discover answers, if possible, to the following questions: 1) Are there any theories in the fields of behavioral science that constitute "selfishness," "aggressiveness" as a biosocial nature, or nature of human nature? 2) What empirical evidence, if any, justifies the validity of such theories of human nature? Section two presents the Bureaucratic model, including administrative and scientific management from different points of view. The final section is the summary, discussion and conclusion including empirical evidence deriving from the literature of organizational psychology.

The Nature and Motives of Man

The problem of understanding the nature of man and his motives is, no doubt, as old as society itself. Traditionally, arguments in many forms derive from ancient philosophical debates and are seen in the present day through the contrasting concepts of behavioral scientists to the question of whether man is a "means" or an "end" in the design of organizations and social settings. In contrasting the interpretations of these two notions of man, the one view, that of man in the design of organizations as a "means", claims that the nature of man is evil, brutish, selfish, aggressive, competitive and unconscious. This has been proposed in the writings of authors in the political sciences (e.g. Machiavelli (1515), Hobbes (1651)), in economy (e.g. Adam Smith (1723)), in biology (e.g. Darwin (1859)), in the social sciences (e.g. Spencer (1862)), in psychoanalytic psychology (e.g. Freud (1929)), in sociology (e.g. Weber (1904)), in engineering (e.g. Taylor (1911)), in management theory (e.g. Urwich (1937), Mooney (1939)) and others.[1] Alternately, when considering man as an "end," the resulting organizational design is more democratic and sets forth the concept of man in terms of goodness, virtue, creativeness, cooperation, consciousness, and growth (self-actualization). It has been proposed in philosophy (e.g. Locke (1689), Rousseau (1762)), in the

social sciences (e.g. Mayo (1933)), in neo-Freudian psychology (e.g. Adler (1917), Horney (1937), Sullivan (1947), Fromm (1941, 1955)), in existential psychology (e.g. Allport (1955), Rogers, 1955)), in humanistic psychology (e.g. Goldstein (1939), Maslow (1954)), and in organizational psychology (e.g. McGregor (1960), Likert (1961), Argyris (1962)).[2] The distinction between these two concepts of the nature of man was explained by Maslow, who argued that:

> The animal in us was a bad animal and that our most primitive impulses are evil, greedy, selfish, and hostile. The theologians have called it original sin, or the devil. The Freudian[s] have called it id, and philosophers, economists, and educators all have called it by various names. Darwin was so identified with this view that he saw only competition in the animal world, completely overlooking the cooperation that is just as common and that Kropotkin saw so easily. (pp. 83-84) (3)

In the current history of research on human motivation there is evidence to support both concepts of man. The work of Freud and his successors clearly supported the first view of man as evil. The second view--man as good--was supported through research evidence by Allport, Fromm, Maslow, Rogers, and many others. This perhaps suggests that the nature and motivation of man is on a continuum, from evil to good, competitive to cooperative, "robot" to "pilot" and from basic need to self-actualization.

The description and discussion of the arguments about the nature of man begins with the view of man as a means and continues through the continuum to the view of man as an end. Discussion of these seemingly dichotomous views is essential to the full understanding of the internal structure and design of organizations and of administrative behavior proposed in the classical school.

The Concepts of Human Nature in the Classical School--Man as a Means:

Selfishness: Machiavelli, as an early political scientist in Western thought, provides an appropriate beginning. In "The Prince" (1515), he presents the first view of the above-mentioned two concepts of man. His main proposition, tracing back to "hedonism" (pain-pleasure theory) concerned what he observed in the government of Florence in the fifteenth and early sixteenth centuries--that there is "impulsive selfishness," inherent in man. He writes:

> It is much safer to be feared than loved . . .
> For it may be said of man in general that they
> are ungrateful, valuable, dissemblers, anxious
> to avoid dangers, and covetous of gain. (p. 61)
> (4)

Because of his nature, he said man's rebellious and uncooperative behavior must be, in an organization (or political system) ruthlessly and strictly controlled by administrators (or princes) who aspire to achieve the goals of their organizations.

<u>Power</u>:   The following century, Thomas Hobbes in "The Levianthan" (1651), developed a theory of social organizations which identified him as a direct intellectual offspring of Machiavelli.   His major proposition, evidenced during the years of the economic-political turbulence of seventeenth century England, asserts that there are two impulsive forces, "fear of death" and "desire for power", that dominate human behavior.   Fear in man is the source of his passionate dedication to the preservation of his own life according to Hobbes.   The second force, related to man's fear of death, is man's instinctive desire for power to protect himself from the attack of another.   This basic element in man's nature urges him to search for "power after power", all for his own security.   It is further explained as follows:

> . . . so that in the first place, I put for a general inclination of all mankind, a perpetual and restless desire of power after power, that ceaseth only in Death.   And in the cause of this, is not always that a man hopes for a more intensive delight, that he has already attained to; or that he cannot be content with a moderate power; but because he cannot assure the power and means to live well which he hath present, without the acquisition of more. (1957, 63) (5)

Hence, in this insatiable desire of his natural state for power, man becomes subject to an unending war of all against all.   Given this situation the rational solution, according to Hobbes, is that it is absolutely necessary to control people.   The suggestion in this concept, like

Taylor's or Machiavelli's, is simply to treat "man" in the design of an organization as a means.

Self-interest: The beginning of the Industrial Revolution in the mid-eighteenth century based its theoretical background on Smith's equilibrium theory of the "unseen hand." His view received acceptance at that time in light of the evidence of economic behavior in Western Europe and America.

Under Smith's economic theory of the "unseen hand," there is a simple allocation of a nation's scarce resources through the price mechanism which reflects the supply and demand conditions of the market. By maximizing his own self-interest each individual benefits not only from his own wealth, but also from that of society as a whole. This idea of self-interest is the criterion which has led many theorists to think that Smith defines "man" in terms of a selfish, rather than a virtuous nature.

The economic theory of "laissez-faire," originated by Smith, gives "permission to do or make what you choose." This implies no interference with personal indulgence. But laissez-faire, when linked with self-interest motives, may seem to support the idea that man is in his nature self-indulgent, predatory, and interested only in his own good.

> It is not from the benevolence of the butcher, the brewer, or the baker that we expect our dinner, but from their regard of their own interest. We address ourselves not to their

humanity, but to their self-love, and never talk to them of our own necessities, but of their advantage. (1937, p. 14) (6)

However, there is much evidence to indicate that while Smith approximated Machiavelli and Darwin, still in his own way he recognized that government must and does control the behavior and actions of men.

Competition: In the mid-nineteenth century, Darwin published "Origin of Species" (1859), in which he set forth the biological theory of "survival of the fittest." The theory clearly forced us to understand that survival is a primary force in the behavior of animal and man. Darwin hypothesized that survival was guaranteed only to those who were the best representatives of the species and best adapted to the conditions of their environment. The survivors were those who, through physical power and mental quickness, were able to win the competition for food, to mate and acquire the other necessities of survival. The suggestion is clearly that nature is a never-ending struggle, a form of competition, a permanent state of war that exists among and between all species and their natural environment.

The concept of "survival of the fittest" was extended from biological organisms to the broader explanation of man's nature and the social settings (organizations) by Herbert Spencer in the last part of the nineteenth century. Spencer, in his proposition, argued that among

men, the fittest survive; indeed they are the only ones enabled to survive. In this, the process of natural selection in man's social world accepts the behavior of the aggressive competitive and strength. Man, in Spencer's model, is a predatory creature. His interpretation of Darwinian theory underlies many of the educational, industrial designs of organizations in nineteenth century America.

Sex and Aggression: Freud, who was born three years before the publication of Darwin's Origin of Species, grew up in the nineteenth century in the spirit of the Darwinian age,[7] and decided that he wanted to be a scientist. With this goal in mind and with a great admiration for Darwin, he entered the medical school at the University of Vienna in 1873; he graduated eight years later. As a young and well-trained neurologist in the biological sciences, he conducted investigations into the origin of neuroses. By 1893, when his collaborative Studies on Hysteria[8] were published, with Josef Breuer, Freud had already launched into the new dimensions of psychoanalysis.[9] In later studies of hysterical patients Freud was able to show that the apparently irrational symptoms, which had puzzled physicians for centuries, were meaningful when seen in terms of painful memories, repressed in the unconscious, and striving to find expression. There appeared to be a logical

continuity in the mental life of individuals and therefore symptoms were not mysterious incursions from without. This striking consideration led him, from 1895 onward, to study the root of neurosis and human behavior using hypnosis, free-association and dream analysis--a technique which he developed.

During their collaboration Breuer and Freud concluded that when a specific memory association for a symptom was found, painful emotions were drained off as if a psychic abscess had been opened and the purulent matter within evacuated. A mysterious and irregular characteristic of these forgotten and painful memories observed by Freud was the frequency with which they were found to relate to traumatic sexual experiences in childhood. He came to the conclusion that hysteria was produced when the patient had been the passive victim of sexual seduction by an adult in childhood. Another type of psychic illness--the obsessional neurosis--was, according to Freud, the result of active participation in such childhood seductions. The painful memory had been repressed into the unconscious because it was incompatible with other dominant tendencies of the personality. Freud proposed that when the memory of a childhood seduction became unconscious it was completely shut off and could have no further influence upon the personality as a whole unless the memory were excited by some subsequent event. But in the years

between 1900 and 1920, Freud had changed his mind[10] concerning sexual seduction in childhood. He discovered that, in many of his case studies, the seduction incurred by the patient never occurred. It seemed clear that the patient either lied or imagined an event which never actually happened. In his <u>The Interpretation of Dreams</u>[11] and <u>The Psychopathology of Everyday Life</u>[12], Freud noted that not only symptoms but dreams, slips of the tongue, errors, accidents, and faulty memory are all unconsciously motivated; that in the mental world as in the physical world nothing happens without a cause. He then assumed that there must be some adequate reason why so many of his patients imagined themselves to have been the object of sexual seduction by a parent. From his observations, Freud developed the theory of <u>sexual instincts</u>.

Sexual instincts derive with some regularity from the energy made available by states of excitation within the body operating under what Freud called <u>the pleasure principle</u>. The important property of Freud's pleasure principle was his observation that sexual instincts always strive for pleasure in a very primitive and uncompromising manner. Listening to his patients under hypnosis, analyzing their dreams and their free associations, Freud was impressed by wishes that were sometimes brutal or indecent and very often childish or stupid. His patients

did not act out their wishes and often did not even know, consciously, of their existence. In their dreams and in the small accidents of everyday life normal people, Freud found, betrayed such wishes. With this observation, the pleasure principle was no longer a special phrase for a generally acceptable biological principle such as "homeostasis."*

Observation showed that even wise adults, neurotic or normal, unconsciously wish and strive for gratification along the lines of their biological urgings in ways that are typically irrational, non-ethical, childish and sexual in nature.

Freud further asked why his patients did not act upon the compelling influence of the underlying wish. Why were they so resistant to recognition that a wish was present? There must be some inner force, Freud argued, that opposes its expression and recognition. In <u>The General Introduction to Psycho-Analysis</u>, he noted ironically that "it is a real pleasure for once to be in agreement with the opponents of psychoanalysis" in declaring that sexuality is not "everything."[13] This opposing inner force he called <u>the censor</u>, which he at first believed represented mainly <u>the ego instincts</u>. This latter group he considered as operating under a different principle-- <u>the reality principle</u>.

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*"Homeostasis" can be defined as a tendency to stability in the normal body state of an organism.

In his earlier books, Freud described the inevitable conflict between sexual and ego instincts as operating under two different principles--the <u>pleasure</u> principle and the <u>reality</u> principle. Although the description of these two sets of instincts and their relation to these "principles" changed with his later observations, the concept of unconscious conflict between two inner forces remained as a foundation of the later formulation of his <u>instincts</u> theory.

In the years during and after the First World War, when he began to study battle-shocked soldiers, Freud saw that the terrifying dreams of these soldiers could hardly be explained in terms of sexual symbolism and that aggression, as well as sex, might be an important instinct subject to repression and therefore liable to lead to neurosis. This consideration led him, from 1920 until his death in 1939, to the development of a new theoretical framework for psychoanalysis.

According to the fully developed theory of psychoanalysis, there are two basic instincts, <u>a life instinct</u> or <u>Eros</u> and <u>a death instinct</u> or <u>Thanatos</u>. The life instincts comprise the old concept of sexual and ego drives. The death instincts, however, are something new in the thoughts of Freud. They are quite separate from the life instincts and represent an innate destructiveness and aggression directed primarily against the self and others:

> The aim of the first of these basic instincts is
> to establish even greater unities and to
> preserve them, thus--in short, to bind together;
> the aim of the second is to undo connections and
> so to destroy things. (14)

How then could he account for ". . . the whole variegation of the phenomenon of life?" The answer is simple. The two sets of instincts interact "with and against each other" thereby producing all possible combinations of behavior. Further explanation of the operation of these two sets of instincts--the life and the death instincts--constitutes the biological basis of self-interest, egotism, competition and the striving to dominate, the patriarchal family, Christian attitudes toward sex, the activity of men and the passivity of women, the Oedipus complex and the whole fabric of civilization. To gain some insight into these operations of two sets of instincts in the mental life of man, the structural postulates that Freud presented in his The Ego and the Id (1923), New Introductory Lectures on Psycho-Analysis (1926), and An Outline of Psychoanalysis (1940), should be examined. Admittedly, there is no need in the scope of this study to discuss Freud's structural system of personality: the id, the ego, and the superego, and the development of personality: identification, displacement, the defense mechanisms of ego--repression, regression, projection and reaction formation--sublimation, and stage of development--the

oral, anal and phallic stages because they have been extensively explored.[15]

Supporting evidence for the validation of the unconscious sexual (life) and aggressive (death) instincts identifies three sources of data in the literature of psychoanalytic theory:

-One source, which derives from the work of Freud, is the body of clinical observations and case studies upon which Freud rested the structure of psychoanalytic theory.

-The second source, which derives from investigations after Freud, is the clinical and naturalistic observation of infants and children which were surveyed by Hilgard (1952),[16] Fisher and Greenberg (1977),[17] and others. After surveying the investigations and examining the data on infants and children, Fisher and Greenberg published The Scientific Credibility of Freud's Theory and Therapy in 1977. Here the investigators believe that the evidence, generally speaking, favors Freud's position.

-The third and final source, which derives from the experimental investigations of <u>sexual</u> and <u>aggressive</u> instincts, consists of two studies in the mid-1960's; they are presented in Appendix A.

<u>From the systematic observational and experimental evidence presented in the above discussion, accepting Freud's view that irrational and unconscious two-dialectic-forces--sex and aggressiveness rooted in man</u>

<u>striving for satisfaction that, following certain laws,</u>
<u>constitute the biological basis of rationality, egoism,</u>
<u>selfishness and self-interest--it can be said that the</u>
<u>bureaucratic form of authority, which Weber, Taylor and</u>
<u>other classic administrative-behavior theorists developed</u>
<u>and asserted as an assumption of selfish and egoist man,</u>
<u>is valid. Therefore its universality and inevitability</u>
<u>can be regarded as a general form of administrative</u>
<u>behavior in organizations</u>.

After briefly discussing Freud's views, this review
turns to consideration of the concept of <u>domination</u> from
which Max Weber's view about human nature is presented.

<u>Domination</u>: Weber, under the influence of nineteenth
and early twentieth century events and their relationship
to social thought, developed "the bureaucratic model" of
social organizations (discussed later in this chapter).
However, in order to understand Weber's concept of man as
a central point or basic component in the design of the
bureaucratic model of social organizations, it is
necessary to focus attention on his "theory of system
domination" which explains the ultimate motives behind
man's attitudes and behavior, and makes him and his
predecessors intellectually pre-Freudian (Wrong, 1970, p.
23)[18] which, in turn, supports Weber's bureaucratic
model as psychologically sound.

Weber, in "The Theory of Social and Economic Organization" (1947) defines domination most importantly as the result of stable systems of command and obedience (Weber, 1947, p. 152).[19] The bases of systems of domination, in Weber's sense, are always complex; however, it is possible for analytical purposes to differentiate in terms of three diverse forces, two of which are external and one which is internal. The first external force is the <u>coercive power</u> which is mainly the force of the sword. The second one is the <u>mutual interest</u> that guides man in the system to accept associations of command and obedience. The third, an internal force, is the legitimacy which is the belief that the commands of a leader are rightful and that obedience is morally obligatory (Weber, 1947, pp. 115-139).[20] All three forces play an essential role in maintaining a system's domination. For sociological analysis, however, Weber chooses to categorize the systems domination in terms of the central type of legitimacy criterion (Weber, 1947, pp. 324-329).[21] Weber's typology of systems domination (or social orders) corresponds to his typology of legitimate authority. These are:

1. Charismatic authority

2. Traditional authority, and

3. Legal authority

For the purpose of this discussion, it would seem appropriate to concentrate on internal legitimacy, rather than the external detail of legitimate authority. This would help explain the forces that lie behind human behavior and also behind the design of the bureaucratic model of social organizations and the related administrative behavior.

It is believed, in the Weberian sense, that the legitimacy of all authority--charismatic, traditional and legal--is based upon the attitudes toward the supernatural (i.e. the sacredness of authority) which gives it its constraining internal power. In Weber's analysis there is no distinction made between "natural" and "supernatural" causation in primitive societies. Neither the natural nor the supernatural predominates--"rubbing will elicit a spark from pieces of wood, and in like fashion the simulative actions of a magician will evoke rain from the heavens" (Weber, 1925, p. 400).[22] The outcome of this phenomenon has been achieved by the extraordinary power of created or creator (magician). For example: Two pieces of metal seem exactly the same in every way. However one has the power to magnetize iron--an unseen power--and the other does not.

> It is primarily, though not exclusively, these extraordinary powers that have been designed by such special terms as "mana," "orendo" and the Iranian "maja" (the term from which our word "magic" is derived). We shall henceforth employ the term "charisma" for such extraordinary powers. (Weber, 1925, p. 400).(23)

What has been suggested is that it is the supernatural power, as possessed by norms, organizations, and leaders, justifies the legitimacy of authority of all forms of social domination. Administrative authority and its concomitant administrative behavior, which is placed in an office and has "the power to command and the duty to obey," appears to arise from supernatural power (God). In this concept the supernatural power (God), considering the nature of man, is always in the background.

Laziness: In 1917, when the United States was struggling to industrialize and to improve the material welfare of its citizens, and was moving toward a world conflict, Taylor developed the scientific management model of organizations. This model, which is explained later in this chapter, was a rigid controlling system and seemed appropriate in an industrialized country such as the United States was at that time.

The concept of the nature of man, which underlies Taylor's scientific management model corresponds, more or less, to the concepts of previous authors. In particular, it derives from Darwinism (Bennis, 1959, p. 265).[24] Taylor is representative of the previously cited authors. His concepts apply the concept of man to the organization. For Taylor, both superiors and subordinates in an organization are equally to blame for violating the values

of rationality. Workers, he says, are "lazy" at work and managers are "lazy" at management. He acknowledges in "The Principles of Scientific Management" (1911) that anti-rational behavior is not the sole province of workers or managers, rather it is the nature of all mankind.

> The natural laziness of man is serious, but by far the greatest evil from which both workmen and employers are suffering is the systemic soldiering which is almost universal under all the ordinary schemes of management. . . it is not claimed that any single panacea exists for all the troubles of the working people or employes as long as some people are born lazy or inefficient, and others are born greedy and brutal, or as long as vice and crime are with us. (Taylor, 1911, pp. 20-21, 29.(25)

Because he held this view of man's nature, Taylor designed his scientific management model in terms of the second dimension of the system--the task concept.

The Three Models of Organizations

The assumptions about the nature and motives of man which were previously presented in a brief survey of the literature are relevant to the optimal design of organizations in the classical approach The relationships between the properties of "man" and the properties of task are, in a sense, integrated at the optimal level into a "system" to effectively achieve the given goals of the organization. The three models, as represented by Taylor's Scientific Management model (1911), Weber's Bureaucratic Model (1947), and Gulick and

Urwich's Administrative Management Model (1937) are the result of this phenomenon.

The Scientific Management Model

<u>The Design of Task</u>:   Taylor and his successors, utilizing the previous philosophy of the nature and motives of man in the social setting of the early twentieth century, investigated the effective utilization of human beings in organizations. They focused attention on a rational attitude toward the "design of task" for every individual member.   Taylor believed that for every process and for every task in the organization, there is "one best way" of performing which should be identified in a scientific way.   When this "one best way" is determined, Taylor says:

> The work of every workman is fully planned out by the management at least one day in advance, and each man receives, in most cases complete written instructions, describing in detail the task which he is to accomplish, as well as the means to be used in doing the work. And work planned in advance in this way constitutes a task which is to be solved, as explained above, not by the workman alone, but in almost all cases by the joint effort of the workman and management.   This task specifies not only what is to be done but how it is to be done and the exact time allowed for doing it. (Taylor, 1911, p. 39). (26)

The four principles proposed by Taylor make up a rational design for task achievement and administrative behavior as well. These may be summarized as:

1. Analysis of task,

2. Selection of individuals,

3. Training of individuals, and

4. Motivation of individuals.

The Analysis of Task: The task should be observed and studied scientifically and all available information about the task recorded. When all knowledge is acquired, the task should have written rules with specific guidelines for individual performance.

The Selection of Individuals: Individuals selected for the task should be matched to the demands of the task as closely as possible. Individuals should, of course, be mentally and physically capable of the task requirements.

The Training of Individuals: Individuals should be trained very carefully by supervisors to insure that they perform the task exactly as defined by the scientific analysis. Management specialists and supervisors should conduct evaluations with individuals to make sure that they are performing the task exactly as they are supposed to. The task of supervisors is divided into functional specialties just as it is in the case for the workman. They are also trained to perform their evaluation tasks.

The Motivation of Individuals: The motivation of individuals--economic rewards--should be established and paid based upon the actual amount of task completion each day; but the task is always performed according to the plan which is set out for the workman and implemented by superiors. Taylor (1911) describes motivation as follows:

Schmidt, are you a high-priced man?

Vell, I don't know vat you mean.

Oh yes, you do. What I want to know is whether you are a high-priced man or not?

Vell, I don't know vat you mean.

Oh come now, you answer my questions. What I want to find out is whether you are a high-priced man or one of these cheap fellows here. What I want to find out is whether you want to earn $1.85 a day or whether you are satisfied with $1.15, just the same as all those cheap fellows are getting.

Did I vant $1.85 a day? Vas dot a high-priced man? Vell, yes, I vas a high-priced man.

Oh, you're aggravating me. Of course you want $1.85 a day--everyone wants it! You know perfectly well that that has very little to do with your being a high-priced man. For goodness' sake answer my questions, and don't waste anymore of my time. Now come over here. You see that pile of pig iron?

Yes.

You see that car?

Yes.

Well, if you are a high-priced man you will load that pig iron on that car tomorrow for $1.85. Now do wake up and answer my question. Tell me whether you are a high-priced man or not.

Vell--did I got $1.85 for loading dot pig iron on dot car tomorrow?

Yes, or course you do, and you get $1.85 for loading a pile like that every day right through the year. That is what a high-priced man does, and you know it just as well as I do.

Vell, dot's all right. I could load dot pig iron on the car tomorrow for $1.85, and I get it every day, don't I?

Certainly you do--certainly you do.

Vell, den, I vas a high-priced man.

Now, hold on, hold on. You know just as well as I do that a high-priced man has to do exactly as he's told from morning till night. You have seen this man here, before, haven't you?

No, I never saw him.

Well, if you are a high-priced man, you will do exactly as this man tells you tomorrow from morning till night. When he tells you to pick up a pig and walk, you pick it up and walk, and when he tells you to sit down and rest, you sit down. You do that right straight through the day. And what's more, no back talk. Now a high-priced man does just what he is told to so, and no back talk. Do you understand that? When this man tells you to walk, you walk; when he tells you to sit down, you sit down, and you don't talk back to him. Now you come on to work here tomorrow morning, and I'll know before night whether you are really a high-priced man or not. (pp. 44-46). (27)

It might be concluded from the above example that scientific management is designed for efficiency in terms of the four principles and is a rational arrangement of two components which define administrative behavior as rational rules or laws. As Taylor said:

I have tried to point out that the old-fashioned dictator does not exist under scientific management. The man at the head of the organization under scientific management is governed by rules and laws which have been developed through hundreds of experiments just as much as the work man is, and the standards which have been developed are equitable (Taylor, 1947, p. 189). (28)

The Administrative Management Model

The Design of Structure: The second model in the classical school is the administrative management model, developed in the early twentieth century in Europe and America as a universal organizational system, applicable to any kind of social organization. The spirit of the model, presented in the prominent works by Gulick (1937), Holdane (1918), Fayol (1949), Mooney and Reiley (1939), Urwick (1943), and many others,[29] is a consciously rational arrangement of the components (motivation and task) into a stable system. It derives, like Taylor's scientific management model, from the concepts of man noted above and focuses primary attention on the design of the structure of the organization as a problem of how to determine or define impersonal administrative behavior, programmed or routine task and its related external reward system. The solution to the problem, according to the administrative management theorists, lies in the discovery of basic principles which, when discovered and properly applied to the design of the structure, make organizational systems rational and efficient.

These principles with respect to task and administrative behavior (control) can be analyzed under two headings:

Horizontal Design of Structure: This principle can be traced back to the work of Adam Smith and is the heart of the administrative management model. It is simply the idea of horizontal differentiation (specialization) and integration (departmentalization) of task. According to the principle, task is first divided into its simplest component parts and analyzed. Then it is standardized as a given single unit to be performed at the optimal level by an assigned individual. School organizations, NCA (North Central Association of Colleges and Schools),[30] provide an excellent example of this standardization of task. Second, the standardized task-units are grouped into larger units, and finally integrated into departments for achieving the required goals of the organization.

Vertical Design of Structure: In order to ensure that the standardized task and its related performance are at the optimal level, the required impersonal control descends hierarchically from the top to the bottom of the organization and is clearly determined under the three principles defining the vertical design of the structure:

1. Scalar Principle: This principle primarily defines vertical division of authority and responsibility in an organization. It states that authority and responsibility should flow in a clear, unbroken line from the highest level of the organization to the lowest.[31]

In this vertical flow of authority and responsibility the relationship between superior and subordinate (positions) is clearly established and legitimatized. The legitimatized authority, according to the principle, is the basic source that defines and ensures the administrative behavior as impersonal and is linked to the position rather than the individual. The superior, in that defined position, has the right to command someone else and that the subordinate person has the duty to obey the command. This is implied in the notion of official legitimacy which is legal and formal in nature rather than social and informal (Pfiffner and Sherwood, 1960, p. 75).[32] Responsibility, on the other hand, is viewed as a natural consequence of authority, and is directly linked to authority. Fayol (1949), states that "wheresoever authority is exercised, responsibility arises" (p. 21),[33] i.e., if a subordinate is given the responsibility for carrying out a task, he should also be granted authority. This view of authority and responsibility provides the framework for the administrative management model.

2. Span of Control Principle: This principle is probably the most important concept in understanding and defining both the vertical differentiation of the organizational structure and its very relation to effective administrative behavior. Simply, it indicates

that there are a limited number of subordinates which a manager can control effectively at one time. At first glance, it seems clear that when the number of subordinates is considered for effective control of administrative behavior, the statement of the principle appears to be the question of the number of hierarchical levels that bear direct implication for the overall shape of the organization. The span of control principle includes a choice between a "tall" organizational structure under rigid control, and a "flat" organizational structure under flexible control.

In most cases administrative management theorists have specified the optimal number for span of control is "five" or "six." Fayol (1949),[34] for example, states that a man can command only a very small number of direct subordinates, usually less than six. Theorists have generally advocated small numbers in the span of control and hence (by implication) tall organizational structures from which the resulting effective administrative behavior is close and under rigid control. There is disagreement in the research as to the ideal number in the span of control. Davis (1951)[35] supports the above viewpoint (less than six). He reports that there is considerable relationship between the small span of control (size, five to six) and job satisfaction at the executive level. Meltzer and Salter (1962),[36] comparing the job

performance of individuals working in organizations with tall and flat structures found that there is greater productivity and job satisfaction in tall than in flat organizational structures. Disagreement with this point of view, however, has come from Worthy (1950),[37], Soujanen (1955),[38] and other human relationists. They advocate large spans, flat organizational structure and, in turn, flexible administrative behavior. Worthy, for example, compared tall-structured department stores with flat-structured department stores to determine the effect of varying spans of control. He found that the morale of personnel and the effectiveness of the store seemed poorer in the tall store (operating with a manager at the top, five or six second- level managers and four to six department managers reporting to each of the second-level managers), than in the flat structure (operating with a top manager and an assistant, and 32 departmental managers at the second level). His general conclusion was that "flatter, less complex structures with a maximum of administrative decentralization tend to create a potential for improved attitudes, more effective supervision, and greater individual responsibility and initiative among employees (p. 179).[39]

From these contrasting research findings related to the span of control, it should be noted that "tall types of structures are associated with greater satisfaction in

the security need area, whereas flat structures are associated with greater satisfaction in the self-actualization area (Porter and Lawler, 1965, p. 44).[40]

3. Line-Staff Relationship Principles: In defining effective administrative behavior in a growing organization--one that is becoming more complex--there arises the "staff specialist"--a position that should be integrated in an appropriate way into the vertical authority structure of organization, thus requiring modification of the previous concepts of the scalar principle, authority, responsibility and span of control.

To deal with the line/staff problem, an attempt has been made by the administrative management theorists to provide a distinction between the two concepts of staff and line. Line, according to theorists, is defined as a position that, with the basic source of authority, performs the major functions of the organization and is within the direct chain of command running from the top to the bottom of the organization. Staff is defined as a position that provides advice and service to the line positions. In this definition of the concept, it is possible to say that the optimal balance of the relationship between "staff specialist" and "line manager" is maintained in the model by emphasizing the line concept as central in the scalar principle as the source of authority.

The application of these concepts has been criticized by the human relationists and many other modern management theorists. It may be a valid criticism. However, when fixing the environment at a given time, the knowledge about the task, at this given time, can be determined as a programmed and routine function to which the staff specialist is assigned in the organization. This requires that appropriateness of the criticism about the application of the principles is contingent upon the criteria which were already mentioned as a level of technology, and the nature of the environment that determines the complexity of the task in the organization [at a given time]. This gives insight to the administrative management theorists' analysis of the principles. Kast and Rosenzweig (1974) summarize their views as follows:

> They [principles] are useful at a certain stage in the development of an organization. Principles provide a basis for the initial formalizing of relationships as an organization grows from a small, informal operation. They are also appropriate where the organization is dealing with programmed and routine activities and has a stable environment and technology. . . . These principles were quite useful at the time of their formulation, during the early part of the twentieth century; However, with accelerating technology and new organizational requirements, they need to be modified (p. 213).(41)

The Bureaucratic Model

Finally, a framework for the design of organizational structures and their related administrative behaviors in the context of the classical school is provided by Max Weber during the latter part of the nineteenth and early part of the twentieth centuries. Since about 1940, the bureaucratic model has been well-known to many students of administrative behavior, as a starting point for the systematic study of administrative behavior and structure in organizations. At the same time, it is the object of their criticism. It is, therefore, important that the bureaucratic model be briefly analyzed in this study.

In order to understand, analyze and criticize the bureaucratic model, particularly its impersonal administrative behavior, Weber's views must be placed in the context of social thought and need level of individuals in the society at the time in which the model was developed. This point, with regard to time, already has been discussed in the works of Machiavelli, Hobbes, N. Smith, Freud and Weber, earlier in this chapter. It is in this context that Weber's bureaucratic model is spelled out.

The Bureaucratic Structure: Weber, like his contemporaries (Taylor, Fayol and Urwich) was concerned with the basic question of organization. It is, in the

words of Etzioni (1964): "How to control the participants
so as to maximize effectiveness and efficiency and
minimize the unhappiness this very need control produces"
(p. 50).[42]   To answer this question, Weber provides a
model which is bureaucratic--based on "rational legal
authority," in which he fits human nature with the nature
of task in order to achieve specific purposes.

Briefly, the essential natures of the bureaucratic
structure of the model, according to Weber, are:

1. All tasks necessary for the accomplishment
   of the goals are broken down into the
   smallest possible unit; the division of
   labor is carried out to the extent that
   specialized experts are responsible for
   the successful performance of specified
   duties.

2. Each task is performed according to a
   "consistent system of abstract rules" to
   assure uniformity and coordination of
   different tasks. This uncertainty in the
   performance of task due to individual
   differences is theoretically eliminated.

3. Each member or officer of an organization
   is accountable to a superior for his or
   its decisions as well as for his or its
   subordinates. The authority is based on
   expert knowledge and is sanctioned and
   made legitimate by the ultimate source of
   authority, the chief official at the top
   of the hierarchical pyramid.

4. Each official in the organization conducts
   the business of his office in an
   impersonal, formalistic manner. He
   maintains a social distance between
   himself and his subordinates and between
   himself and the clients of the
   organization. The purpose of this
   impersonal detachment is to assure that
   personalities do not interfere with the
   efficient accomplishment of the mission.

5. "Employment in the bureaucratic organization is based on technical qualifications and is protected against arbitrary dismissal." Promotions are based on seniority and achievement. Because employment is considered a career and the vagaries of making a living are eliminated, a high degree of loyalty for the organization is engendered in the members. (Gibson, 1966, pp. 236-237). (43)

At first glance it can be seen that these principles, when they are linked with one another, produce a system that is "universalistic" rather than "particularistic." The system, for the achievement of given goals with maximum efficiency and for the protection of members against their nature and arbitrary, abusive rules, is designed on the basis of rigid task, external reward (fixed salary) and impersonal administrative behavior. The task, determining the whole organizational structure, is defined in terms of technical knowledge, related to the external reward which members receive. In the system, the impersonal administrative behavior, as a relationship between superior and subordinate in the hierarchical offices to which they are assigned, is considered in terms of rational rules--the rules which regulate the whole organizational structure. The end result of such a system, namely of bureaucracy, according to Weber, is:

Experience tends universally to show that the purely bureaucratic type administrative organization . . . is from the purely technical point of view, capable of attaining the highest degree of efficiency and is in this sense formally the most rational known means of

carrying out imperative control over human beings. It is superior to any other form in precision, in stability, in the stringency of its discipline, and in its reliability (Weber, 1947, p. 337). (44)

In a number of studies, the efficiency of the bureaucratic model has been measured. Litwak,[45] for example, reports that "Weber's model is most efficient when the organization deals primarily with uniform events and occupations stressing traditional areas of knowledge" (p. 177). Robbitt, Breinhold, Doktor, and McNaul (1974),[46] in their book Organizational Behavior note that: "The impersonal bureaucratic model tends to be most effective and efficient in organizations concerned primarily with routine . . . and representative tasks in a fairly stable environment" (pp. 48, 50). The studies by Burns and Stalker (12961), Woodward (1958, 1966), Lawrence and Lorsch (1967), Hage and Aiken (1967, 1969), Friedlander (1970, Morse and Lorsch (1970) and the review of Strauss (1963), Leavitt (1962), and Whyte (1969) support these findings.[47]

Discussion, Summary and Conclusion

Up to this point, in part two, the problem of effective administrative behavior has been determined in terms of the two underlying components--motivation and technology--of a stable environment system. From the stable systems point of view, the three existing models in

the classical school, namely the scientific management model (Taylor, 1911), the administrative management model (Gulick, 1937), and the bureaucratic model (Weber, 1947), have been analyzed with regard to the context of social thought and need level of individuals in Western Europe and America, where the three models were developed in the latter nineteenth and early twentieth century. Analysis of these models demonstrates the following:

First: The solution to the problem of universally effective administrative behavior suggested by the three models is the "impersonal," "bureaucratic" relationship between superior and subordinate, based on and derived from a given assumption about the nature and motives of man and the rigid design of programmed tasks. The rigid, programmed tasks in relation to establishing the rigid, "tall" structure of the organization is defined in the models in terms of the discovered principles (in the interest of efficiency) while the nature and motives of man are considered as a given in assumptions where man is selfish, competitive, unconscious, dominative, lazy and "works for money."

Second: The effectiveness of impersonal administrative behavior has been investigated by several researchers. The evidence from these studies indicated that: If tasks are highly structured or routinized, and individuals with low skill have strong needs for security

<u>and stability, the impersonal or bureaucratic administra-</u><u>tive behavior developed in the three models--bureaucratic,</u> <u>administrative management, and scientific management--is</u> <u>effective, but not vice versa</u> (if the task is not routine) (Burns and Stalker, 1961).

Reaction against the three models in the classical school comes from psychologists--particularly the cognitive psychologists. They, by reversing the concept about the nature and motives of man from "economic" to "social" man, "means" to "end," and from "evilness" to "goodness" in the design of organizations, reject the three existing models and therefore the validity and effectiveness of impersonal administrative behavior. Alternative administrative behavior offered by them in the human relations and human resources models will be discussed in the next section. However, it should be noted that the above objections to the three existing models made by human relationists and others cannot be legitimately utilized to disprove the validity and effectiveness of impersonal administrative behavior. Rather, when taking "the stable-dynamic open system concept" into consideration, the objections can be seen to give support to impersonal administrative behavior. The stable-dynamic open system concept asserts that the system (society), by its very nature, is constantly changing on two dimensions--motivation and technology--from simplicity

to complexity over time (Figure 2). In this system (society) any change must change its components (motivation and technology) from one level to the next--"economic needs" to "social needs", simple technology to complex technology. It must change the components of organization (task, motivation and administrative behavior) from one level to the next--routine task to complex task, economic needs to social and ego needs, and impersonal to supportive and participative administrative behavior--on the continuum because the organization has (in part one) been defined in terms of that given system-society.

It is in this context that the above objections or reactions to the three models by human relationists must be examined in the society where the models were developed. The formal models, in the context of social thought and need level of individuals in the societies in Western Europe and America, were developed in the late nineteenth century. In the mid-twentieth century, the later models, i.e. human relation and human resources, emerged in Western Europe and America. The change from 1890 to 1930; 1930 to 1960, and 1960 to the present in Western societies modified the concept of man, motivation of people, and technology of societies. It changed from economic to social man, security to social needs, and simple to complex technology; therefore modifying the

models from bureaucratic to human relations (see Figure 2).

This observation in the social evolution of the Western world concludes that there is no contradiction between the formal and the latter models, rather the models are complementary on the continuum of the social system.

FIGURE 2

EVOLUTION OF THE ORGANIZATIONAL MODELS IN A
STABLE-DYNAMIC OPEN SYSTEM FRAMEWORK

Simplicity   Complexity

1   2   3   4   5

AUTOCRACY

Technological   Bureaucracy
Dimension of   Scientific management
                             Administrative management
CHANGE
                                  Human relations

Motivational   Human resources
Dimension of
                                                    AUTONOMY

                             Economic-man   Social-man

System   2   3   4   5
Fitness-tendency

            1

            Basic needs   Security   Social   Ego   Self-actualization

1700   1890   1930   1960   1990
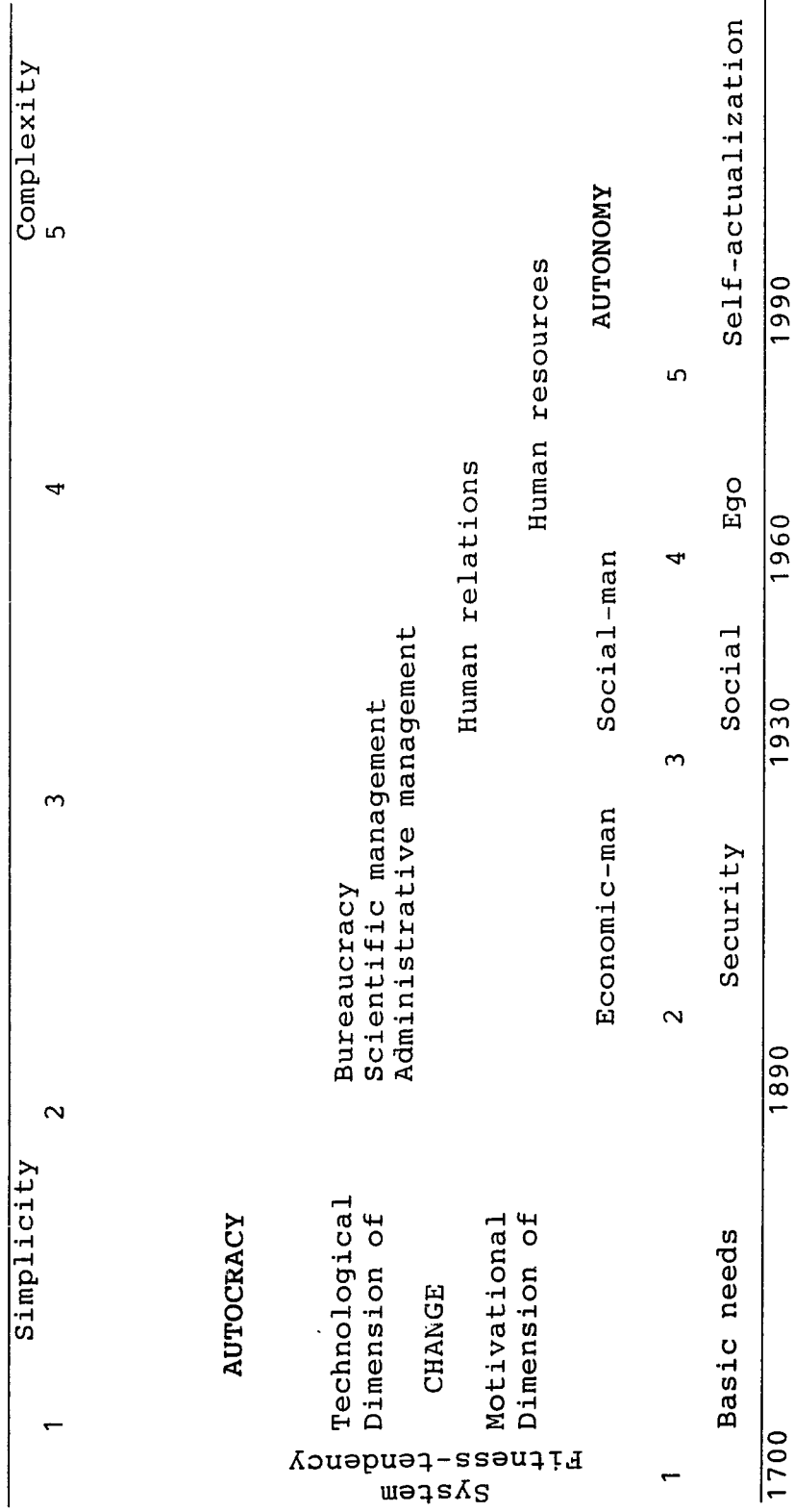
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[10]To his credit, it must be noted that, throughout his long scientific investigation, Freud continually re-examined his own propositions and theories. When he recognized errors in his previous formulations, or when his continuing clinical observation and wide correspondence caused him to doubt an early position, he openly rejected his own views and revised his theories to reflect the new understandings he gained.
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CHAPTER III

THE NEOCLASSICAL APPROACH TO THE STUDY
OF ADMINISTRATIVE BEHAVIOR IN FORMAL ORGANIZATIONS

> The healthy man is primarily motivated by his needs
> to develop and actualize his fullest potentialities
> and capacities . . . What man can be, he must be.
>
> A. Maslow

Introduction

As mentioned in the last chapter, the classical approaches--administrative management, bureaucratic, and scientific management models--to the study of problems of effective administrative behavior in organizations have been limited by inadequate conceptualization of the underlying components, unchanging assumptions about the nature and motives of man, and irrelevant task-design. These limitations were identified during the mid-twentieth century; a situation which fostered a series of scientific studies (e.g. cognitive psychology) of the changes and increasing complexity of technology in the United States.

The mid-twentieth century, in particular the 1930's and 1940's, are important eras for American society. During this period there was a tremendous increase and change in production, information technology, intellectual

skill, and more recently in automation and computer science in the socio-technical environment of society. In addition to the technological advances were also changes and increases in the level of general education, the aspiration of individuals for satisfaction of "social" and "ego" needs rather than economic needs, and in collective actions of union memberships.[1] These changes in both socio-technical and socio-cultural environments forced many organizational adaptations and modifications, particularly between superior and subordinate, managers and workers, teachers and principals, that classical theories were unable to address with their rigid conceptual tools and models. It is in this environment that the neoclassical school appeared on the organizational scene.

Behavioral scientists, particularly the psychologists and social psychologists, conducted a series of studies at the Hawthorne Plant of the Western Electric Company (Mayo, 1933; Roethlisberger and Dickson, 1939) to investigate the shortcoming of the three existing models in the classical school. After several years of systematic investigation, they, with new insight in the behavioral sciences, altered the underlying assumptions and/or human components of the system (organization) from economic to social, later to ego and self-actualizing man, from means to end, from evil to goodness, and concerned

themselves, with the design of organization and with the fitness of task and structure to the new concepts of man. Two decentralized models were proposed. The first, commonly labeled "human relations," relates task and organizational structure to the concept of social man. The supremacy of a supportive relationship is proposed as a solution to the problem of effective administrative behavior at any level in the organization. The second, which emerges as a further extension of the first in the writing of Argyris (1957, 1964), McGregor (1960), Likert (1961, 1967), and others, is the "human resources" model. In this model the authors maximize the concurrence between "the concept of self-actualizing man," and relevant task or structure and design action to bring about a "participative relationship" as a solution to the problem of effective administrative behavior in organizations. However, there is inadequacy in both models because neither considers the changing nature of the environment in which organization exists. The human relationists and the human resourcists, using the same logic in the design of their models as did the classical (school) authors, advocated their theory of effectiveness of administrative behavior in terms of a stable system.

From the stable-determinate system point of view, two existing models--namely human relations and human resources in the neoclassical school--will be discussed

with a focus on the underlying concept of the nature and motives of man.

The Concepts and Motives of Human Nature

The Neoclassical School--Man as an End:

The underlying concept of the human relations model was social man (Mayo, 1933, and others). Historically this concept traces its beginnings to the time of Plato and was well-presented in the work of John Locke in the seventeenth century.

Reason: Hobbes' interpretation of human nature discussed in Section Two was unacceptable to John Locke. In the opening paragraph of his sixth essay and throughout the eighth,[2] he advanced arguments to show that "selfishness," "competitiveness," or "self-interest" cannot be regarded as an essential part of human nature--it is not the basic source of human motivation or behavior. Contrary to Hobbes' thesis, Locke, in his "Second Treatise of Government" and in his "Essays on the Law of Nature," introduces a new and bold concept into political philosophy as a reinterpretation of the state of nature, or human nature, which he calls reason. Reasoning man, in the mind of Locke, is not selfish nor in a state of "war of all against all." Rather reasoning man is in a state of perfect freedom and is inherently disposed toward mutual support, sociability and cooperation:

> The state of nature has a law of nature to
> govern it which obliges everyone; and reason,
> which is that law teaches all mankind who will
> but consult it that being all equal and
> independent, no one ought to harm another in
> his life, health, liberty, or possession . . .
> Men living together according to reason,
> without a common superior on earth with
> authority to judge between them, is properly in
> the state of nature, which is, a state of peace
> and goodwill, mutual assistance and
> preservation (Locke, 1952, pp. 5, 12, 13).(3)

In other words, Locke believed that the fundamental potential of man was reason and reason itself established cooperation and sociability as the basis for human behavior.

While accepting the idea that reason itself provides sociability, friendliness, and cooperative behavior in man Locke was careful to offer a logical explanation of the concept of "reason" on the basis of relationships, which he believed existed between God, human nature, and the law of nature. In the first place, the law of nature was described by Locke in greater detail in his first and second essays of "Essays on the Law of Nature"[4] as a set of eternal orders or certain fixed rules, and principles which derived from the absolute will of God; that this law--whether referred to as "moral good" or "harmony" or "cooperation"--prevailed in the constitution of things and of living beings in the world and in the universe. Such a phenomenon, namely the law of nature, was known to man by his reason and his senses if the reason was properly employed but otherwise unknown. Secondly, from what he

said in his first, second, third, and fourth essays, it appears that Locke considered reason as an essential part of human nature deriving from the will of God--in other words, God created man and endowed him with reason. It is in this regard that reason, which Locke defined as the discursive faculty of mind, like the organs of sense, is an inborn active power in man and comes into existence before man is exposed to his environment. Moreover, the mind of the newly-born, as portrayed in Locke's third and fourth essays, is as an empty table--only after birth, through reason does it discover the existing harmony in, and gain knowledge of, the laws of nature. Thus, when Locke asserted that reason is an essential part of human nature, he simply referred to a faculty of arguing, comparing, uniting, creating, and enlarging which man possesses and did gain from birth. He has it within himself from the beginning.

One may then ask how, from this conceptualization, Locke could proceed to declare that inborn or innate reason by itself gives rise to sociability and cooperation as the basis for human behavior? His answer was twofold: (1) obligation of inborn reason to use its mental faculties, and (2) the binding force of reason to the laws of nature. Concerning the first, Locke's commands were very clear and indicate that man not only can reason but is obliged to use this reason. Reason, as the discursive

faculty, is an essential property of its own and its special function is to be exercised. In his first essay, Locke made a statement based on man's essential nature-- that man has a duty of live in conformity with God-given inborn nature. The conformity itself is twofold: it implies an actual exercise of reason and strict acceptance of the findings of reason. There is an implicit inference from man's duty to use reason to his duty to obey that reason. Having shown that man is obliged to use his reason, Locke maintains in his sixth, seventh, and eighth essays that the bonds of natural law are coeval with the human race and all men are subject to this law because it is "so firmly rooted in the soil of human nature"[5] (Locke, 1965, p. 199). Here natural law and human nature are thought of as interdependent. The harmony, which is believed to exist between the two arises from the fact that man's essential nature is always the same and reason itself "pronounces" and discovers a fixed and permanent rule of sociability and cooperation in the law of nature. Thus, it appears that Locke considers the law of nature valid and independent, not only because man discovered it by the use of his own reason but because the laws of nature have their origin and justification in man's essential nature. By holding, in his first and seventh essays, that the knowledge of things and the values of sociability and cooperation in the law of nature cannot be

other than they are because of their suitability to the essential nature of man, Locke established the law on a natural foundation that makes human reason a self-dependent source of cooperative and social behavior.

Special mention should be made of the fact that Locke's analytical explanation of human nature or reason is considered, in the intellectual thought of Western tradition, as the beginning of modern psychology.[6] Psychologists, from the time of Locke up to today, by shifting, modifying, or perhaps developing new concepts, theories, and models have studied human behavior and motivation. From their discoveries it appears that some psychologists, namely G. Allport, E. Fromm, R. Goldstein, A. Maslow, and C. Rogers, support the fundamental goodness of human nature which Locke believed was the basis of reason.

Admitting that there are methodological and theoretical differences between Locke's and modern psychologists' approaches, Locke's assertion of the fundamental goodness of human nature still seems, empirically, to hold up. Locke, in his <u>Second Treatise of Government</u>, offered his theory of political organizations on the same basis as that of human nature. He believed in the supremacy of democratic or participative relationships as the ultimate administrative behavior. The result of Locke's democratic administrative behavior

is twofold: (1) when Locke's theory of administrative behavior is related to the time in which it was theorized, it seems fair to say that it was not the ideal administrative behavior to apply in the seventeenth century to the reality of educational, industrial, and political organizations in England, and in other nations in Western Europe. The "best" administrative behavior for the situation which prevailed in the organizations of the seventeenth century is Hobbesian, or Machiavellian, and is derived from the pessimistic view of human nature, and (2) when comparing the Lockean democratic administrative behavior with the administrative behavior developed early in the mid-twentieth century by Mayo, McGregor, Likert, and other organizational psychologists, one feels that there is much closer fitness between their principles and today's organizations in Western Europe and the United States. In their examination of this relationship between Lockean and modern administrative behavior, Scott and Hart (1971)[7] seem to agree. Laslett (1970)[8], in his analysis of Locke's theory of political organization, supported this view:

> . . . In his analysis of politics in terms of force as well as in terms of rightful authority, Locke is closer to the thought of our own day on the subject of sovereignty than he was to the assumptions of his own time . . . (p. 119).

Keeping the significance of time in mind for later examination, this discussion returns to the analysis of the instinct of sociability in the eighteenth century.

The Instinct of Sociability: Rousseau, like Locke, maintains that Hobbes' interpretation of human nature is not acceptable to determine man's behavior and social conduct. In doing so, he joined the protest against the prevailing administrative behavior not only in the political, but also in the educational, and industrial organizations of the eighteenth century in France.

In 1753, the year when he began to consider a theory of administrative behavior suitable to the essential nature of man, Rousseau wrote his second Discourse on the Origin of Inequality. In the first part of the discourse, he advances logical arguments to show that selfishness, or egotism (amour propre), which is said to define the fundamental ground of Hobbes' theory of administrative behavior, cannot be regarded as the basis of human nature. Rousseau introduces an alternative view which asserts that human nature is innately good and inherently disposed toward mutual support, sociability, cooperation, and freedom rather than competition, domination, and selfishness:

> Above all, let us not conclude, with Hobbes, that because man has no idea of goodness, he must be naturally wicked; that he is vicious because he does not know virtue. . . . So it may be justly said that savages are not bad merely because they do not know what it is to

be good; for it is neither the development of
the understanding nor the restraint of the law
that hinders them from doing ill; but the
peacefulness of their passions, and their
ignorance of vice. . . . It is then certain
that, compassion is a natural feeling, which by
moderating the violence of love of self in each
individual, contributes to the preservation of
the whole species. (Rousseau, 1950, pp. 222,
223, and 226).(9)

While believing that man possessed innate goodness

in his essential nature, Rousseau was careful to provide

an analytical explanation of such views of human nature on

the basis of its two main and interdependent components or

properties which he called self-love (amour de soi) and

compassion (pilie). Concerning the first component of

his second discourse and in the fourth book of his famous

educational work entitled Emile (1950),[10] it can be seen

that Rousseau believed self-love is an innate force which

leads man to seek (find) the gratification of his narrowly

limited desires or needs for food, friendship and love.

The second component, compassion, was defined in the same

works as a natural feeling about other people which makes

it painful to man to witness the suffering of others he

recognizes as resembling himself. He would therefore

avoid causing pain to other humans beyond what is

essential for satisfying his own desires and needs.

According to Rousseau, the strength of these desires

seldom gives rise to internal conflict and never to angry

passion or to hatred. Thus, when Rousseau asserted that

man is innately good, he simply attributes to two masters

the motives in man (i.e. self love and compassion). These together constitute the fundamental characteristics of human nature, and justify speaking of man as naturally good rather than bad because they provide a basis for the acceptance of mutual justice, support, and cooperation as the rule of human behavior and conduct in organizations and in society.

The result of Rousseau's interpretation of human nature is: (1) the literature in the field of human psychology indicates that there is a significant resemblance between Rousseau's interpretation of human nature and the assertion of what is currently referred to as the organismic theory which includes Gordon W. Allport's Theory of Functional Autonomy of Motives, Abraham Maslow's Deficiency and Growth Theory, and Self-theory of Carl Rogers. This viewpoint is not without support. Hall and Lindzey (1970), for example, in their exploratory book, Theory of Personality, state:

> On this point, organismic theory has much in common with the view of the French philosopher, Jean Jacques Rousseau, who believed that natural man is good in his essential nature (p. 301.(11)

Cofer and Appley (1964) substantiate this view further when they write:

> The group of whom (organismic theorists) we speak in the chapter on self-actualization has seemed to emphasize reason and knowledge, the fundamental goodness of human nature, and the idea that, in the explanation of behavior, behavior can be viewed as an end in itself

rather than necessarily serving other
organismic needs. This view would seem
consonant with the early stress we found in
such writers as Socrates, Plato, Aristotle,
some of the Church fathers, and Rousseau (p.
55).(12)

From this it appears that what organismic theorists

proposed from their empirical, observational, and

experimental studies and asserted in their writing

supports Rousseau's interpretation of human nature. (2)

having seen that Rousseau's interpretation of human nature

receives empirical support from the works of organismic

theorists, special mention should be made here of the fact

that Rousseau, in his political work, The Social Contract,

presented his theory of administrative behavior as

suitable to what he proposed in his Discourse and Emile to

be human nature. In this theory, Rousseau, like John

Locke, asserted the supremacy of the democratic and

participative relationship between superior and inferior

as the ultimate administrative behavior. In this case

Rousseau's theory of democratic administrative behavior

itself is twofold: (1) when considering the social

structure, value and needs levels of the people, and the

level of technology of France and other Western societies

or nations during the years Rousseau developed and offered

his theory of democratic administrative behavior, it

appears from the literature and empirical studies of

organizational psychology, and also from the political

history of Western nations, that Rousseau's democratic

administrative behavior theory is idealistic when its principles are efficiently applied to the reality of political, educational, and industrial organizations of his time, and (2) when compared to modern administrative behavior theory developed on the basis of the fundamental goodness of human nature or the concept of self-actualization by organizational psychologists (e.g. McGregor, Likert, Argyris) it seems fair to say that there are similarities between Rousseau and modern participative or democratic administrative behavior theorists in style, principles, and applicability to modern organizations of today. This latter point of view is supported in the literature of organizational psychology. Scott and Hart (1971), for example, indicate the similarity between the two:

> McGregor and the humanists are philosophically tangent with Rousseau at many points. Their presuppositions about innate human goodness, the inherent evilness of organization, the idea of democratic management, and the notion that man's destiny for fulfillment is inextricably linked to community make them Rousseau's spiritual descendants in modern administrative theory (p. 254). (13)

The impression one receives is that Lockean and Rousseauean democratic administrative behavior theories developed and proposed in the seventeenth and eighteenth centuries on the basis of an optimistic view or fundamental goodness of nature theory is more functional, effective, and applicable to organizations of modern time than to organizations of their time.

Keeping this point in mind while turning back to the examination of the optimistic view of man's nature and original motives in the nineteenth and twentieth century, there are three essential forms of motivational concept around which existing arguments and their actual support in the fields of behavioral science may be presented as the sole explanation of social conduct. The first of these motivational concepts, which may be said to derive generally from the works of cultural anthropologists (ethnologists) and biologists is that of <u>sympathy and cooperation</u> as the primary innate force or energy which determines human behavior and social conduct. The second of these concepts, stemming largely from the studies of neo-Freudian psychologists, is <u>social interest and self-realization</u> as the determinant of human behavior. The third, derived mainly from the works of phenomenologists and organismic theorists, but also from the studies of existential and gestalt psychologists, may be referred to as <u>self-actualization</u>.

<u>Sympathy and Cooperation:</u> It is not only philosophers--Locke and Rousseau--who object to the ideas of Machiavelli, Hobbes, Darwin, Spencer, Freud, Weber, etc., proposing that the instinct of aggressiveness, competition, and egotism are the prime determinants of human behavior and are the origin of social conduct. Some biologists, sociologists, and anthropologists joined the

protest in the last part of the nineteenth century. They argued that the innate aggressiveness, competition or inborn selfishness, strongly claimed by Hobbes, Darwin, and their successors to be the essential property of human nature, was a false and unacceptable thesis and could not be regarded as the key to human behavior, and social conduct. On the other hand, by advancing arguments on the basis of scientific evidence deriving from their fields, they attempted to show that the most dominant and biologically important impulse, driver or energy in every man is the cooperative and sympathetic tendency which constitutes the most essential part of human nature.

To argue the position of the sympathy and cooperation protagonists in detail, it seems appropriate to begin with special mention of the fact that their ideas, introduced during the last part of the nineteenth century into the intellectual thought of the Western World have profoundly altered the scientific perceptions in both the physical and behavioral sciences. In the physical sciences, these ideas, commonly referred to as _field theory_, have served as a conceptual model for understanding the phenomena of physical reality. Admittedly, there is no need here to illustrate, analyze, and explain the change which field theory brought about in the physical science arena nor the technical application of basic principles of field theory to the development of

modern Western technology. <u>Field theory</u> should be left to those students who are interested in and fascinated by the study of physics, astronomy, and chemistry while others concern themselves with new ideas in the behavioral sciences. Charles Darwin's theory of evolution (or doctrine of natural selection), in particular his interpretation of human nature which was presented in Chapter Two was critical to changes in the study of behavioral science. In <u>The Origin of Species by Means of Natural Selection</u>, or <u>Preservation of Favoured Race in the Struggle for Life</u>, Darwin, by emphasizing the continuity between species rather than their separation, provided a scientifically sound biological foundation for the idea that the origin of all behavior--animal and human, individual and social--lay in the evolutionary array of so-called innate aggressive instincts that serve the survival of species, and that constitute "struggle and competition as the principle of social conduct." The impact of Darwin's point of view was not limited to the domain of biology. It crumbled the foundation of philosophy and served not only as a model for new concepts in the field of behavioral science, but also as a basis for the arguments upon which the scientific justification of war, competition, and rigid authority in the conduct of organizations rested. The English sociologist Herbert Spencer,[14] applying the Darwinian concept of human

nature to the interpretation of the nature and functioning of society, developed during the last quarter of the nineteenth century, a theory of political economy which came to be called <u>Social Darwinism</u>. Social Darwinism extended the concept of warfare in nature to warfare in the marketplace, and gave the industrial world of that time a scientific sanction for free, unregulated competition.[15] Just as in nature, the industrialists told one another that there exists a struggle for existence in which the "strongest, the swiftest, and the cunningest live to fight another day." In human society the victory goes to the fittest. <u>The survival of the fittest</u> was, for the industrialists, the inspiration and justification for their policies and management style:

> Just as in their primitive struggle for existence the "fittest" among the species of sea and forest adapted themselves to their environment, so for Spencer those competitors who had best adapted themselves to nineteenth century society, became the "fittest" among men. And just as nature worked untrammeled in "selecting" her elite, so that society was headed quickest to perfection which allowed its elite free play.(16)

Twelve years after Spencer, the English biologist Thomas Henry Huxley in February, 1888, published his famous "Struggle for Life" manifesto entitled <u>The Struggle for Existence: A Programma</u>. Huxley declared that:

> From the point of view of the moralist, the animal world is on about the same level as a gladiator's show. The creatures are fairly well-treated, and set to fight whereby the strongest, the swiftest and the cunningest live

> to fight another day. The spectator has no
> need to turn his thumb down, as no quarter is
> given . . .

And again, with reference to primitive man:

> The weakest and stupidest went to the wall,
> while the toughest and shrewdest, those who
> were best fitted to cope with their
> circumstances, but not the best in another way,
> survived. Life was a continuous free fight and
> beyond the limited and temporary relations of
> the family, the Hobbesian war of each against
> all was the normal state of existence. (17)

Spencer, Huxley and other followers of Darwin
equated the life of man with struggle for existence, the
freedom of individuals with power, and economic and social
progress with competition, suitableness and aggressive
instincts. They argue that man has, in his essential
nature, justified the use of the bureaucratic or rigid
form of authority, popular at the time when the economic
and social conditions for most of the people were already
"nasty", "poor", "unpleasant", and "short" in England, and
the other lands of Europe during the nineteenth
century.[18] For this maxim, it is reasonable to suppose
that the resulting bureaucratic form of authority
emanating from the Darwinian concept of human nature would
be limited to certain socio-economic conditions; thus it
cannot be regarded as a general form of administrative
behavior in the same way as the propositions of Taylor and
other classic administrative behavior theorists.

In the nineteenth and early twentieth centuries, the dominant trend in social, political and economic thought and practice was that man is innately aggressive. However, there were counter-arguments. Some anthropologists, biologists and sociologists of the day explained human nature in terms of the innateness of sympathy and cooperation that underlie all social conduct and human relations. However the impact of their beliefs on political and economic thought and management practices in the Western world was not felt until about 1930. However, the doctrine of innate aggressiveness was much more suited to the world outlook of the nineteenth century than it was of the innate cooperativeness of man. Darwin, rather than Kropotkin, had conquered the Western world.[19]

Credit for important contributions to behavioral science in the nineteenth century can be given to the French economic historian Alfred Espinas, the English economist Henry George, Russian zoologist Karl Kessler, Russian biologist and geographer Petr Kropotkin, American sociologists Lester Ward and Franklin H. Gidding, the American biologists Patrick Geddes, J. Arthur Thomson, and Henry Drummond. All scientists addressed themselves to the questions of both animal and human behavior during the period from 1878 to 1902. They came to the conclusion that all successful (i.e. that which serves the survival

of the species and determines social conduct) behavior--animal and human, individual and social--lay in the evolutionary area of <u>cooperation</u> rather than <u>aggression</u>. Alfred Espinas in France published <u>Des Societes Animales</u>,[20] in which he drew attention to the universal cooperativeness rather than competition or conflict that characterized the social life of both man and animal. As an economist and student of industrial civilization, Henry George proposed the principle of cooperation. He called it "the law of progress," and it first appeared in his book <u>Progress and Poverty</u>, published in 1879. Economist George, explaining human nature from "the instinct of sociability," formulated "the law of progress" as follows:

> Men tend to progress as they come closer together, and by cooperation with each other increase the mental power that may be devoted to improvement, but just as conflict is provoked or association develops inequality of condition and power, this tendency to progression is lessened, checked, and finally reversed (p. 508).(21)

In 1880, one year after the publication of George's <u>Progress and Poverty</u>, Kessler, who was a professor of zoology and Dean of the University of St. Petersburg (Russia), delivered a lecture entitled <u>On the Law of Mutual Aid</u> in which he endeavored to show that beside "the law of mutual struggle" there is, in nature, "a law of mutual aid" which "for the success of the struggle for life, and especially for the progressive evolution of the

species, is far more important than the law of mutual contest."[22]   Kessler's lecture, which he delivered at a Russian congress of naturalists, was the principal inspiration of Kropotkin's thinking on the subject.

Kropotkin, as a young biologist and geographer, spent several years in Siberia and Manchuria where he engaged himself in the study of both animals and humans living under natural conditions. His observations then, as well as later, convinced him that Huxley, in his 1888 article, had given a very incorrect representation of the facts of nature, "as one sees them in the bush and in the forest" (p. xiv).[23]   He published a series of articles from 1890 to 1896 in reply to Huxley's gladiatorial view of evolution to which reference has already been made. These articles were published as a book in 1902 under the title Mutual Aid: A Factor of Evolution.

In "Mutual Aid," Kropotkin advanced arguments, on the basis of his observations in Siberia and Manchuria, to show that there existed an unconscious force throughout the realm of living nature which is expressed in a "mutualism" which serves to produce greater survival values for every form of life than would be the case in the absence of such mutualism. He further maintained to show that the mutualism which existed as an unconscious force around us (in man and in animals) is not based upon love nor upon personal sympathy; rather it is based upon a broad instinct of human solidarity and sociability:

> It is a feeling infinitively wider than love or personal sympathy, it is an instinct of human solidarity and sociability that has been slowly developed among animal and man in the course of extremely long evolution (p. xii).(24)

The unconscious recognition of this force or instinct of human solidarity and sociability that Kropotkin attempted to explain serves to maintain man in relation to mutual aid. There is an unconscious recognition of close dependency of everyone's happiness upon the happiness of all, and of the sense of justice or equity "which bring the individual to consider the right of every other individual as equal to his own."[25]

Kropotkin's book was the first work of the twentieth century to set in motion all those concepts and investigations which, by the third decade of this century, had become the principle of cooperation.

Lester Ward, the father of American sociology, in his Dynamic Sociology (1893)[26], and Giddings, in The Principle of Sociology (1896)[27], were among the first sociologists to emphasize the importance of a protean social instinct in man. Giddings maintained that there is a basic "consciousness of kind" compounded of organic sympathy, the perception, and the desire for recognition. "To trace the operation of the consciousness of kind through all its social manifestations is to work out a complete subjective interpretation of society" (1896, p. 19).

Among English publicists and biologists, Henry Drummond delivered his <u>Boston Lowell Lectures</u> on the nature of evolution and of human nature, published in 1894 as <u>The Ascent of Man</u>. From what Drummond argued in these lectures or in <u>The Ascent of Man</u> it seems that he did not deny the importance of the egotistic struggle for existence, but he looked upon it as the villain of the piece rather than play itself. The second equally important factor in organic evolution is the "Struggle for the life or others." This second type of struggle, which Drummond calls "love" or "sympathy" is not something accidental nor is it something supernatural; rather he speaks of it as:

> A force in nature which was destined from the first to replace the struggle for life, and to build on nobler super-structure on the foundations which it laid. (28)

Drummond, with Kropotkin, Ward and others, provided scientific grounds for believing that the fundamental social nature of living things derives its origin from the unconscious force of so-called "<u>sympathy</u>" and "<u>cooperation</u>" that serves the survival of the species.

In the years since then, much scientific work has been done in the fields of anthropology, biology and sociology, so that today the evidence strongly indicates that the cooperative force is the most dominant, and biologically the most important factor in the survival of animal groups and of humans.[29] Biologist Allee sums up the modern point of view as follows:

"After much consideration, it is my mature conclusion, contrary to Herbert Spencer, that the cooperative forces are biologically the more important and vital. The balance between the cooperative and altruistic tendencies and those which are disoperative and egotistic is relatively close. Under many conditions the cooperative forces lose. In the long run, however, the group-centered, more altruistic drives are slightly stronger.

If cooperation had not been the stronger force, the more complicated animals, whether orthopods or vertebrates, could not have evolved from simpler ones, and there would have been no men to worry each other with their distressing and biologically foolish wars. While I know of no laboratory experiments that make a direct test of this problem, I have come to this conclusion by studying the implication of many experiments which bear on both sides of the problem and from considering the trends of organic evolution in nature. Despite many known appearances to the contrary, human altruistic drives are as firmly based on an animal ancestry as is man himself. Our tendencies toward goodness, such as they are, are as innate as our tendency toward intelligence; we could do well with more of both.(30)

Finally, the words of one of the distinguished anthropologists of our time, Ashley Montagu, who, after surveying the research literature in various fields, came to conclude that:

The organism is born with an innate need for love, with a need to respond to love, to be good, and cooperative. This, I believe, has been established beyond any shadow of doubt. Whatever is opposed to love, to goodness, and to cooperation is disharmonic, nonviable, unstable, and malfunctionally evil. Were the infant's needs adequately satisfied, he could not help being good--that is, loving. All of man's natural inclinations are toward the development of goodness, toward the continuance of states of goodness and the discontinuance of unpleasant states. (31)

Having briefly sketched the anthropological, biological and sociological views for the existence of the innateness of sympathy and cooperation in man as in other living organisms, consider the concept of "social feeling" and "self-realization" which is the assertion of neo-Freudian psychoanalysts against Freud's interpretation of human nature.

Social Feeling and Self-Realization: From the discussion in the last section, the inference can be drawn that Freud, the father of the psychoanalytic theory of motivation, went further than anyone before him in directing attention to the scientific observation and analysis of the irrational and unconscious forces which determine human behavior. He and his followers in modern psychology not only discovered the two irrational and unconscious forces—sex and aggression—rooted in man, he also showed that these irrational phenomena followed certain laws and therefore could be understood rationally. Whether true or not, it is clear that Freud personally had no great belief in human goodness and expressed his convictions when he wrote: "men are not gentle, friendly creatures wishing for love,"[32] "with the fact that there are present in all men destructive, and therefore antisocial and anti-cultural, tendencies, and that with a great number of people these are strong enough to determine their behavior in human society."[33]

Many of Freud's followers who, under the influence of new discoveries in sociology and anthropology, emphasize social feeling and self-realization, have taken quite another view of human nature. Perhaps the most clear-cut statement was made by Adler. "The growing, irresistible evolutionary advance of social feeling," he writes, "warrants [our] assuming that the existence of humanity is inseparably bound up with goodness. Anything that contradicts this is to be considered as a failure in evolution; it can be traced back to mistakes that have been made . . . to a failure, however produced, in one's growth in social feeling."[34] To gain insight into this view concerning the emphasis on social feeling and self-realization, the neo-Freudian school of psychoanalysis must be, at least briefly, examined. But first some of the investigations since 1930 in cultural anthropology and sociology, which have had a great effect on those who rejected the Freudian position should be dealt with.

Freud's position is that there is a universal human nature capable of explaining all human behavior. This nature is basically biological and fixed and must apply to any human society. This assumption began to fare badly in the 1930's when anthropologists produced a series of studies which clearly demonstrated how very flexible human nature is when observed against different cultural

backgrounds. Margaret Mead (1928),[35] an American anthropologist, found, for example, that the sexual storm and stress which is taken for granted as typical of adolescence in Western civilization does not occur among girls in Samoa where custom permits early sexual experience. Similarly, sexual differences between men and women cannot be said to be wholly due to innate biological factors as Freud supposed and explained in terms of the Oedipus complex if, as Mead found in New Guinea, neighboring tribes with different cultures show variations in masculine and feminine traits which, in some cases, amount almost to a reversal of the roles as we know them.

> The Arapesh ideal is the mild, responsive man married to the mild, responsive woman; the Munduqumor ideal is the violent, aggressive man married to the violent, aggressive woman. In the third tribe, the Tchambuli, we found a genuine reversal of the sex attitudes of our own culture, with the woman the dominant, impersonal, managing partner, the man the less responsible and the emotionally dependent partner.

The Arapesh are unaggressive, gentle toward their children, and cooperative. The Monduqumer, on the other hand, are aggressive, uncooperative and harsh. Aggression is so distasteful to the Arapesh that it appears to hold an equivalent position to that of sex in Victorian society,* and enterprise, self-assertion, competitiveness,

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*Victorian society: Generally attributed to England at the time when Victoria was queen of England (1837-1901).

or anger are strongly disapproved of, so that the sight of anyone in a temper shocks them profoundly. Children are never punished and during their early life, it is constantly suggested to the child that everything is good--good sago, good house, good uncle, and so on. Among the Munduqumor, on the contrary, "social organization is based on a theory of a natural hostility that exists between all members of the same sex, and the assumption that the only possible ties between members of the same sex are through members of the opposite sex."

Ruth Benedict (1934),[36] an American anthropologist, found that the Zuni Indians of New Mexico resemble the Arapesh of New Guinea in their lack of assertiveness and competitive spirit. The Zuni try to lose a race, and _insist_ on not occupying positions of importance, so that leaders have to be forcibly put in positions of authority and are poorly regarded once they are there. While men in Europe and America strive to collect money, the Kawkiutl of Puget Sound prefer to burn it and tear it in pieces at their _potlatch_ ceremonies. The Dobu of New Guinea live in such a state of persecutory suspicion that a European or American psychiatrist would unhesitantly diagnose any Dobuan outside his own society as a paranoiac requiring psychiatric treatment. War is unknown among the Eskimos, as is suicide among many other tribal communities.

In the years since the publication of Margaret Mead's and Ruth Benedict's scientific investigations, much work has been done in the fields of cultural anthropology and sociology, so that today increasing evidence indicates that human nature is almost infinitely malleable and man is not the same wherever he exists. Thus biologically fixed constant human nature cannot be regarded as explaining all human behavior--individual, social, normal, and abnormal. In addition, man's goals, beliefs, and even his definition of normality and abnormality can be seen to be influenced not biologically but socially and/or culturally. Leaving further discussion and assessment of these views to students of cultural anthropology and sociology, their significance to our present concern arises from the fact that Freud's interpretation of human nature was challenged and led, at least in part, to the theories of Alfred Adler, Karen Horney, Eric Fromm, and Harry Stack Sullivan which together formed what came to be known as the neo-Freudian or cultural school of psychoanalysis.

Although differing in the details of their theories of human behavior, neo-Freudian psychoanalysts--Adler, Horney, Fromm, and Sullivan--are united against Freud's instinctual interpretation of human nature in the following assumptions:

1. the first of these basic assumptions is that there is such a thing as human nature that the newborn baby brings with it, largely in the form of general, inherent potentialities rather than as inborn sexual and aggressive instincts. These generalized, inherent potentialities as characterized by Adler's social feeling and Fromm's need for transcendence are a particular mode of evolutionary constructive forces of life, biologically rooted in man, which strive continuously for their realization. "It means that man, by his very nature and of his own accord, strives toward self-realization"[37] This singleness of purpose gives direction and unity to man's behavior and life,

2. a second assumption is that anxiety is socially produced. Man is not by nature the anxious animal. Man is made anxious, hostile, and cruel by the social and cultural conditions under which he lives--by unemployment, by intolerance and injustice, and by hostile parents. Remove these conditions, they assert, and the wellsprings from which anxiety gushes forth will dry up, and

3. finally, they believe that man is not by nature as destructive as Freud believed. He may become destructive and aggressive when his basic needs are frustrated, but even under conditions of frustration, other channels, such as submission or withdrawal, may be taken.

This new trend of recognizing the nature of human nature as constructive rather than destructive potentialities was first initiated in the Freudian school of psychoanalysis by the Austrian psychoanalyst, Alfred Adler.

Adler, like Freud, was formally trained in biological and medical sciences at the University of Vienna. After a short period of practice in general medicine, Adler, as a young and well-trained medical doctor, joined Freud's seminar, where from the beginning he regarded himself as a junior colleague rather than a disciple. In 1911 Adler broke with Freud over the issue of sexuality and proceeded to develop a theory in which his thesis regarding human nature was that of <u>social feeling</u>. Humans are, according to Adler, inherently social and not sexual creatures. They relate themselves to other people, engage in cooperative social activities, place social welfare above selfish interest, and acquire a style of life that is predominantly social in orientation. Adler did not believe that humans become socialized merely by being exposed to social processes; social feeling is inborn in humans although the specific type relationship with people and with social organizations that develop are determined by the nature of the society into which a baby is born. Adler gave great emphasis to differences in the social environment as a determiner of personality development. Admittedly, there

is no need in the scope of this study to discuss Adler's view of the influence of social environment in the formation of personality so this subject is left to students of behavioral science.

While considering the innateness of social feeling in man, one may ask: Precisely how can Adler justify or explain the biological origin of social feeling that causes man to realize his given potentialities in an environment into which he is born? In order to answer this question it is necessary to discuss Adler's scientific work which was done two years before he joined Freud's seminar.

Very early in his career, when he was still practicing general medicine, Adler had been interested in the capacity of the body to compensate for organic damage. As physicians have long known, damage to certain organs in the body may be followed by a compensatory reaction which, from a teleological point of view, may be regarded as the organism's innate tendency to overcome its defect. The heart with a diseased valve responds by hypertrophy of the cardiac muscle and thus to a certain extent, makes good its loss of efficiency. Damage to a kidney or lung may be followed by increased compensatory functioning of the undamaged portion of the organ. While in these cases compensation occurs in the physiological sphere, Adler believed that it was possible to observe compensations similar to organic defect in psychological

areas. Favorite examples are Demosthenes, who became a great orator in compensation for an early defect in speech; Annette Kellerman, who became a champion swimmer not so much despite as because of bodily weakness; the limping Nurmi, who became a famous runner. From these convincing observations for weak, injured, or absent body parts, Adler postulated an innate psychic compensatory mechanism—a force striving toward perfect completion. This was, for Adler, the sole means of directing energy to behavior. Not separate drives like sex and aggressiveness but each drive receiving its energy from the striving for perfect completion that from birth to death carries man from one stage of development to the next higher stage. Although the nature of such striving was first identified with the aggressive impulse and a little later with will power, it is clear in his later books that Adler paid less attention to the power motives and correspondingly more to what he called social feeling. "Social feeling, says Adler, "is the true and inevitable compensation for all the natural weakness of individual human being(s)."[38] To gain some insight into the operation of this striving force—social feeling in the mental life of man, Adler's concepts of the fictional finalism style of life, creative self must be briefly examined. Admittedly, there is no need in the scope of this study to discuss the concepts which together formed what came to be known as Adler's theory of personality.[39]

There is no need here to repeat Karen Horney's, Fromm's and Sullivan's theses and their objections to Freud's interpretation of human nature. It is sufficient to point out that, in spite of or perhaps because of divergences between philosophical justifications of their theories, they all, like Adler, in contrast to Freud, came to the conclusion that:

> We believe that inherent in man are evolutionary constructive forces, which urge him to realize his given potentialities. This belief does not mean that man is essentially good--which would presuppose a given knowledge of what is good or bad. It means that man, by his very nature and of his own accord strives toward self-realization, and his set of values evolves from such striving.(40)

Having briefly presented the view of the neo-Freudian analysts for the biological existence of the constructive force--social feeling--in man that urges him to realize his inherent potentialities, the ways in which the development or realization of human potentialities are achieved should be discussed. Theories of anxiety, neurosis, and of aggression will not be discussed. It has already been pointed out in this section that the normal or neurotic development of those potentialities, according to neo-Freudian analysts, Adler, Horney, Fromm and Sullivan--is contingent upon the environment in which man is born and under which he lives. "The person, for example, who is likely to become neurotic is one who has experienced culturally determined difficulties in an

accentuated form, mostly through the medium of childhood experience."[41] Here, one may wonder what kind of an environment they assert will permit rather than block the normal development or realization of the inherent potentialities that man possesses. To this, their answer is that it is one:

> In which man relates to man lovingly, in which he is rooted in brotherliness and solidarity . . . ; a society which gives him the possibility of transcending nature by creating rather than by destroying in which everyone gains a sense of self by experiencing himself as the subject of his power rather than by conformity, in which a system of orientation and devotion exists without man's needing to distort reality and to worship idols.(42)

What would the characteristics of a man in the society which we just described be like? In other words, what are the qualities of the decent human being, the real self, man, whose potentialities were fully realized in a suitable environment? Or, what are the characteristics of the self-realized person? Since the similarities in the neo-Freudian view and the view of those who emphasize self-actualization are evident in the literature of behavioral science , the answers are not presented here. The presentation of the characteristics of the self-realizing or self-actualizing person will be presented in the next section; at the same time this chapter will be concerned with supporting evidence for the validity of the theses of the neo-Freudian school of analysts.

Three sources of evidence are presented in the following text. The first one derives from the work of Adler, Horney, Fromm and Sullivan and consists of clinical studies upon which each analyst rested his or her theory of personality. The second derives from the research literature of the psychoanalytic theory. The third consists of clinical and direct observational studies of infants and children.

The healthy realization of a self can only be formed when three conditions are satisfied:

1. there must be some individual adult who makes it his or her business to teach the child how to behave,

2. this teaching-mothering must be backed by love, and

3. the child must love the others without question.

Since these conditions are not typically fulfilled in most environments (cultures), there is good reason to suppose that the healthy realization of self--as described and asserted by the neo-Freudian analysts, Adler, Horney, Fromm, and Sullivan--is not a universal phenomenon.

In 1949, Orlansky reviewed a series of studies with a view to assessing the state of knowledge of relations of infant-care conditions to personality formation. He included studies of nursing experiences (breast versus bottle feeding, length of breast feeding, self-demand versus scheduled feeding, weaning, and thumb-sucking),

mothering, sphincter training, restraint of motion, and infants' frustration and aggression. After a careful examination of the research literature then available, Orlansky concluded that "personality is not the result of instinctual infantile libidinal drives mechanically channelled by parental disciplines. . . ,"[43] but a result of unique person-environment interactions. He felt that orthodox Freudian theory was less adequate than such neo-Freudian theories as Adler's, Horney's and Fromm's and Sullivan's in dealing with the facts (particularly the cross-cultural evidence) of child-rearing practices as contributors to personality structure.

Today, few would question the fact that parental care is a source on which many of the characteristics and traits of children are based. Similarly, there is widespread belief among the child psychologists, the child psychiatrists, and pediatricians that patterns of neurosis, psychosis, delinquency and other disturbed behaviors derive from the child-parent interaction. Such relations as these usually indicate the effects of disturbed parent-child relations, as reported in the works of Levy, Lowrey, Goldfarb, Spitz, Bowlby, Banham, and others.[44]

More specific studies of the reactions by infants to aspects of inadequate mothering are available in the literature. In 1945, Escalona indicated that a high proportion of the four-week-old infants who refused the

breast had mothers who were excitable and high-strung. Fries, in 1946,[45] found startle reactions in infants cared for by a certain kind of nurse, and Escalona further found that the food likes and dislikes of infants paralleled the preferences of the persons who gave them their feedings.

The most widely known studies of the general problem of maternal deprivation in infancy are those of Ribble and of Spitz. From observations of several hundred infants, Ribble[46] argued that the physical and psychological state of the newborn and young infant is a precarious one, and that extensive mothering activities are necessary if the infant is to survive physically and develop psychologically. Mothering involves mother love and close bodily contact between mother (or mother-substitute) and child, as occurs in breast feeding, cuddling, etc. Ribble reports marked physical and emotional effects of the absence of adequate mothering, such as a negativistic excitement or a regressive quiescence. These reactions, she believes, arise because of the failure of the child to receive the mothering love. Cases are cited in which dramatic recovery occurs following the institution of mothering activity by a mother-substitute.

Spitz, in 1946, emphasized the importance of the mother-child relationships when studying the effects on the child of being separated for several weeks from the mother. In one study, Spitz[47] described such depressive

symptoms in infants separated from the mother as a drop in developmental quotient (as measured by an infant test); a sad, apprehensive appearance, expressionless eyes, a sort of dazed, withdrawn emotionless facial expression, inactivity, and autoerotic behavior.

The importance of adequate mothering or mothering love, as emphasized in the works of Ribble, Spitz and many others, for the healthy development of infants cannot be overemphasized. Its real significance can best be understood when we consider a disease from which, but half a century ago, almost all the children hospitalized within their first year of life regularly died.[48] This disease was known as marasmus, from the Greek word meaning "wasting away." The disease was also known as infantile atrophy or debility; today it is known as "hospitalism." When intensive studies were undertaken to track down its cause, the discovery was made that babies in the best homes and hospitals were most often its victims, babies who were apparently receiving the best and most careful physical attention, while babies in the poorest homes, with a good mother (adequate mothering) despite the lack of hygienic physical conditions, often overcame the physical handicaps and flourished.

This discovery is responsible for the fact that most hospitals today endeavor to keep the infant for as short a period as possible. The best place for the infant is with its mother, for what the infant must have is mother love.

Drs. Ruth and Harry Bakwin, pediatricians of great experience, point out:

> The effect of residence in a hospital manifests itself in a fairly well-defined clinical picture. A striking feature is the failure to gain weight properly despite the ingestion of diets which are entirely adequate for growth in the home. Infants in hospitals sleep less than others and they rarely smile or babble spontaneously. They are listless and apathetic and look unhappy. The appetite is indifferent and food is accepted without enthusiasm. The stools tend to be frequent and in sharp contrast with infants cared for in home, it is unusual for 24 hours to pass without an evacuation. Respiratory infections, which last only a day or two at home, are prolonged and may persist for weeks or months. Return to home results in defervescence (disappearance of fever) within a few days and a prompt and striking gain in weight.(49)

The emotional deprivation suffered by infants in hospitals may do more damage than the physical condition which brought them there.[50] The infant can suffer no greater loss than the deprivation of its mother's love, or it would seem that the satisfaction of the generalized feeling of dependency, in itself a basic need, is best accomplished through mother love. Because the mother is the person usually most profoundly interested in the welfare of her infant, it is from her that the infant receives the support and reassurance which "mother-love" bestows. This is not to say that some other person not the mother of the infant could not do as much for it. There is good reason to believe that devoted foster mothers or nurses have often successfully taken the place of the actual mother in giving the infant all the love it

required.   At Bellevue Hospital, in New York, it has

become "the custom to assign infants who are doing poorly

or who   seem   unhappy" to <u>tender loving care</u>.   "This

device," remarks Dr. H. Bakwin, "has been well-received in

most instances and it has often proved as beneficial for

the intern as for the baby."[51]

The   relationship   between hospitalism and absence of

adequate mothering is proven by two types of evidence:

1.   the   first   is   the   rapidity with which symptoms

disappear when the baby is given a sufficient amount

of love either in or outside the hospital, and

2.   the   second   is that hospitalism or institutionalism

does   not   occur in the hospitals in which each child

receives an adequate amount of mothering love.

An   illuminating example of what happens when an

infant is deprived of his mother shortly after birth

follows:.

> Little Bob was born in the maternity hospital
> where the writer was making studies of infants
> at the time.   He was a fullterm child and
> weighed six pounds, three ounces at birth.
> During the two weeks' stay in the hospital the
> baby was breast-fed and there was no apparent
> difficulty   with   his body functions.   The
> mother,   a   professional   woman,   had   been
> reluctant   about   breast-feeding because she
> wished to take up her work as soon as possible
> after the baby was born, but she yielded to the
> kindly encouragement of the hospital nurses,
> and feeding was successful.   Both mother and
> child were thriving when they left the
> hospital.
>
> On returning home, the mother found that her
> husband had suddenly deserted her--the climax
> of   an   unhappy and maladjusted marriage
> relationship.   She discovered soon after that

her milk did not agree with the baby. As is frequently the case, the deep emotional reaction had affected her milk secretion. The infant refused the breast and began to vomit. Later he was taken to the hospital and the mother did not call to see him. At the end of a month she wrote that she had been seriously ill and asked the hospital to keep the child until further notice.

In spite of careful medical attention and skillful feeding, this baby remained for two months at practically the same weight. He was in a crowded ward and received very little personal attention. The busy nurses had no time to mother him and play with him as a mother would, or to change his position and make him comfortable at frequent intervals. The habit of finger-sucking developed, and gradually the child became what is known as a ruminator, his food coming up and going down with equal ease. At the age of two months he weighed five pounds. The baby at this time was transferred to a small children's hospital, with the idea that this institution might be able to give him more individual care. It became apparent that the mother had abandoned the child altogether.

When seen by the writer, this baby actually looked like a seven months' fetus, yet he had also a strange appearance of oldness. His arms and legs wrinkled and wasted, his head large in proportion to the rest of his body, his chest round and flaring wildly at the base over an enormous liver. His breathing was shallow, he was generally inactive, and his skin was cold and flabby. He took large quantities of milk, but did not gain weight since most of it went through him with very little assimilation and with copious discharges of mucous from his intestines. The baby showed at this time the pallor which, in our study, we have found typical of infants who are not mothered.

There was no definite evidence of organic disease, but growth and development were definitely at a standstill, and it appeared that the child was gradually slipping backward to prenatal levels of body economy and function.

The routine treatment at the new hospital for the baby who is not gaining weight is to give concentrated nursing care. He is held by the nurse for all feedings and allowed at least half an hour to take the bottle. From time to time his position in the crib is changed, and, when possible, the nurse carries him about the ward for a few minutes before and after each feeding. This is the closest possible approach to mothering in a busy infants' ward. Medical treatment consists of frequent injections of salt solution under the skin to support the weakened circulation in the surface of the body and prevent dehydration.

With this treatment, little Bob began to improve slowly. As his physical condition became better, it was possible for our research group to introduce the services of a volunteer "mother," who came to the hospital t´ ₋ce daily in order to give him some of the attention he so greatly needed. What she actually did was to hold him in her lap for a short period before feedings. She was told that he needed love more than he needed medicine, and she was instructed to stroke the child's head gently and speak or sing softly to him and walk him about. Her daily visits were gradually prolonged until she was spending an hour twice a day, giving the baby this artificial mothering. The result was good. The child remained in the hospital until he was five months of age, at which time he weighed nine pounds. All rumination and diarrhea had stopped, and he had become an alert baby with vigorous muscular activity. Although he held up his head well and looked about, focusing his eyes and smiling in response to his familiar nurses, he could not yet grasp his bottle or turn himself over, as is customary at his age. The finger-sucking continued, as is usually the case with babies who have suffered early privation.

In accordance with the new hospital procedure, as soon as the child's life was no longer in danger, he was transferred to a good, supervised foster home in order that he might have still more individual attention. Under this regime, his development proceeded well and gradually he mastered such functions as sitting, gripping, and standing. His speech was slow in developing, however, and he did not walk until after the second year. The general

health of this child was excellent at the end of his third year; also his I.Q. was high on standard tests, but his emotional life was deeply damaged. With any change in his routine or with a prolonged absence of the foster mother, he would go into a stage quite similar to depression. He became inactive, ate very little, had intestinal disturbances and was extremely pale. When his foster mother was away he usually reacted with a loss of body tone and alertness, rather than with a definite protest. His emotional relationship to the foster mother was receptive, like that of a young infant, but he made little response to her mothering activities except to function better when she was there. He had little capacity to express affection, displayed no initiative in seeking it, yet failed to thrive without it. This lack of response made it difficult for the foster mother to show him the consistent love which he so deeply needed. Without the frequent explanations of the situation from the visiting nurse, she would probably have given up the care of the child. (52)

From the information presented in the above discussion, recognizing the validity of the neo-Freudian theses of human nature, it follows then that supportive and participative administrative behavior, proposed by Mayo, McGregor, Likert and others, should be valid because the validity of their underlying assumption about the nature of human nature is valid. Their universality and inevitability can be regarded, at least in an ideal sense, as a legitimate form of administrative behavior in formal organizations.

After the previous, brief presentation of the neo-Freudian view of human nature, which added biological justification of both the supportive and the participative forms of administrative behavior, consideration of the

concept of <u>self-actualization</u>, earlier classified as a third and final part of the survey of theses of those who emphasize the positive or constructive aspect of human nature, is begun. It will examine the supporting evidence from which the validity of the thesis of the concept of self-actualization will be justified.

<u>Self-Actualization--The Nature of Human Nature</u>: It is not only the <u>neo-Freudian psychoanalysts</u> (Adler, Horney Fromm and Sullivan) who disagreed with Freud's interpretation of the nature of human nature. Behavioral scientists from different disciplines, in particular from psychology, emphasize self-actualization. They, like the neo-Freudian analysts, believe that there is such a thing as a human nature that is a single, sovereign, constructive force inherent in man rather than two instincts--sex and aggressiveness--as Freud believed. This generalized inherent-sovereign-constructive force as exemplified by Goldstein's concept of self-actualization urges man to realize his inherent potentialities by whatever avenues are open in the environment in which he lives. Perhaps the most clear-cut, supportive statements have been made by the group which includes Rogers and May. Rogers, one of the leading phenomenologists and humanist psychologists of our time, states that ". . . the basic nature of the human being, when functioning fully, is constructive and trustworthy." When freed of defensiveness and open to experience, "his reaction may be

trusted to be positive, forward-moving, constructive."[53] He will socialize and actualize himself because of his need to affiliate and communicate with others. While May, one of the distinguished existentialists of his time, generally indicated approval of Rogers' views:

> I have little sympathy with the rather prevalent concept that man is basically irrational, and that his impulses, if not controlled, would lead to destructions of others and self. Man's behavior is exquisitely rational, moving with subtle and ordered complexity toward the goals his organism is endeavoring to achieve.(54)

In Table 1, the contemporary theorists who emphasize self-actualization and/or closely related concepts are presented. Their theories are too extensive to present in toto, but in general it appears that they believe that the development of the potentialities that man possesses are contingent upon the environment in which man lives. They describe the best environment for the fullest development of humankind just the same as Fromm, to which reference has already been made in the previous discussion.

Since the similarities in the neo-Freudian view and the view of those who emphasize self- actualization are similar they are not discussed further.[55] Now an attempt will be made to describe, in some detail, the characteristics of the inherent potentialities in man by presenting the answer they gave to the question: What would then be the characteristics of a man if he would live in a society described by the neo-Freudians and self-

actualizationists? In other words, what are the qualities of the decent human being, the real self, man whose potentialities were fully realized or actualized? What are the characteristics of a self-realizing or self-actualizing person? That is in turn to ask; What are the characteristics of the inherent potentialities in man?

TABLE 1

List of Contemporary Theorists Classified as
Emphasizing Self-Actualization and the
Terms Each Used

Year	Theorist	Emphasis re: Self-Actualization
1939	Kurt Goldstein	Self-actualization
1941	Eric Fromm	The productive orientation
1949	Donald Snygg and A. Combs	The preservation and enhancement of self
1950	Karen Horney	The real self and its realization
1950	David Riesman	The autonomous person
1951	Carl Rogers	Actualization, maintenance, and enhancement of the experiencing organism
1953	Rolo May	Existential being
1954	Abraham Maslow	Self-actualization
1955	Gordon W. Allport	Creative becoming

To these questions the answers lie in the description that Fromm, Maslow, and Rogers give, respectively, for the productive orientation, the self-actualizing person, and the fully functioning person.

The Productive Orientation:

In 1955, Fromm[56] described several orientations man's conduct may take. All of these are shaped by the kind of society in which he lives because the human being, unlike the lower animal, does not have fixed behavior patterns. Man can therefore adjust himself to a wide variety of social situations, but most of these adjustments, Fromm asserts, are antithetical to the full realization of human nature. Orientations of this type are called nonproductive and include the exploitative and the hoarding orientations dominant in the nineteenth century and the receptive and marketing orientations dominant in the twentieth century. The final one is the productive orientation, which permits the satisfactory realization of human potentialities.

What are the characteristics of the productive orientation? The best answer to this question is to indicate some of the ways in which productive orientation is expressed. One way is through relatedness to other people, the productive expression of which is love (Fromm). To Fromm, "love is union with somebody, or something outside oneself, under the condition of retaining the separateness and integrity of one's own self. It is an experience of sharing of communion, which permits the full unfolding of one's own inner activity" (p. 31). This kind of love, "the mystical experience of union" (p. 32), includes erotic love, maternal love, the

feeling of human solidarity, and also self-love; It is a main point that one cannot love others unless he loves and respects himself. In addition to love, the productive orientation is expressed in other ways in " . . . thought . . . in the proper grasp of the world by reason. In the realm of action . . . In the productive work, the prototype of which is art and craftsmanship. In the realm of feeling . . . In love" (p. 32). Such love includes the attitudes of care, responsibility, respect, and knowledge with regard to others.

In the productive orientation the individual is creative rather than destructive, and he realizes and accepts himself as an individual, rather than conforming to convention and losing himself in the herd. He is aware of himself, and thinks, acts, and feels in reference to his own needs as well as with reference to those of others.

The Self-Actualizing Person:

In 1954,[57] Maslow presented a list of fifteen characteristics of the self-actualized person. All these characteristics represent empirical findings from Maslow's study of self-actualizing people.

Maslow's fifteen characteristics are similar to the characteristics listed by Fromm and are:

1. <u>More efficient perception of reality and more comfortable relations with it</u>. Self-actualized people readily detect falseness and spuriousness in other people and judge people accurately. They also distinguish, "far more easily than most, the fresh, concrete and idiographic from the generic, abstract, and rubricized" (p. 205). Therefore, they live closer to reality and to nature than most people. They also tolerate uncertainty and ambiguity more easily than do others.

2. <u>Acceptance of self and of others</u>. These people have relatively little guilt, shame, or anxiety; that is, they accept themselves and their various characteristics and are not defensive.

3. <u>Spontaneity</u>. They are spontaneous in their thoughts and in their behavior. But unconventionality is not a mark of their behavior, for their unconventionality is not put on to impress others.

4. <u>Problem centering</u>. They are not ego-centered. But rather they are oriented to problems outside themselves.

5. <u>Detachment</u>; the need for privacy. They do not mind solitude and even seek it. Their objectivity is an expression of their detachment.

6. <u>Autonomy: Independence of culture and environment</u>. They have relative independence from their environment, as prior characteristics would suggest.

7. <u>Continued freshness of appreciation</u>. "They derive ecstasy, inspiration, and strength from the basic experience of life" (p. 215).

8. <u>Mystic experience or the oceanic feeling</u>. These are experiences which may arise in a variety of settings; they are "feelings of limitless horizons openings up to the vision, the feeling of being simultaneously more powerful and also more helpless than one ever was before, the feeling of great ecstasy and wonder and awe, the loss of placing in time and space, with, finally, the conviction that something extremely important and valuable had happened . . ." (p. 216).

9. <u>Gemeinschaftsgefuhl or social feeling (Adler's term)</u>. This is a "feeling of identification, sympathy and affection for mankind" (p. 217).

10. <u>Interpersonal relations</u>. These are very deep and profound and are present usually with only a few rather than with many individuals. Such hostility as is shown is reactive in a situation, rather than chronic.

11. <u>Democratic character structure</u>. They respect people and can learn from and relate to them, irrespective of birth, race, blood, family, etc.

12. <u>Discrimination between means and ends</u>. The self-actualized discriminate ends or what they are striving for from the means for accomplishing the

ends to an extent than most people do not. On the other hand, they can often enjoy the means or instrumental behavior leading to an end.

13. <u>Sense of humor</u>. These people tend to be philosophical and non-hostile in their humor.

14. <u>Creativeness</u>. Each one has "a special kind of creativeness or originality or inventiveness that has certain peculiar characteristics" (p. 223).

15. <u>Resistance to enculturation</u>. They get along in the culture but are detached from it; that is, they are essentially autonomous of it although not especially unconventional in a behavioral way.

It should be mentioned that Maslow, in his <u>Motivation and Personality</u>, says that these people are not perfect. They have many ordinary human failings, and, on occasion, they can be ruthless, alienative of others, detached and so on.

<u>The Fully Functioning Person</u>:

In 1963, Rogers published his scientific studies entitled <u>The Concept of the Fully Functioning Person</u>. In this article, he addressed himself to the description of what a person would be like following an optimal experience of psychotherapy. He finds three important characteristics.

First is <u>openness to experience</u>, the opposite of <u>defensiveness</u>. All experience would be "received, without distortion, whether it originated in external world or

inside the person." "Availability of experience to awareness" has the same meaning.

Second, the individual would live in an existential manner; that is, he would become "a participant in and an observer of the ongoing process of organismic experience, rather than being in control of it." He would not display rigidity, tight organization, or impose on experience some structure.

Third, such a person would trust his feeling of what is right in situations and find, in fact, that such feelings served as a good and trustworthy guide to behavior. These characteristics are presented in the following summary of what a fully functioning person is like:

> He is able to live fully in and with each and all of his feelings and reactions. He is making use of all his organic equipment to sense, as accurately as possible, the existential situation within and without. He is using all of the data his nervous system can thus supply, using it in awareness, but recognizing that his total organism may be, and often is, wiser than his awareness. He is able to permit his total organism to function in all its complexity in selecting from the multitude of possibilities, that behavior which in this moment of time will be most generally and genuinely satisfying. He is able to trust his organism in this functioning, not because it is infallible, but he can be fully open to the consequences of each of his actions and correct them if they prove to be less than satisfying.

> He is able to experience all of his feelings and is afraid of none of his feelings; he is his own sifter of evidence, but is open to evidence from all sources; he is completely engaged in the process of being and becoming himself; and thus discovers that he is soundly and realistically social; he lives completely

in this moment, but learns that this is the soundest living for all time. He is a fully functioning organism, and because of the awareness of himself which flows freely in and through his experience, he is a fully functioning person.(58)

The many characteristics of the description given by Fromm, Maslow and Rogers indicated that there is much overlap and agreement. It is difficult, if not impossible, to epitomize these descriptions. But perhaps the following characteristics are the most important:

1. it is possible for the human being to be open to experience in a way that is not defensive,

2. it is possible for the human being to love others and the self without experiencing aggression or manipulative needs,

3. it is possible for the human being to act ethically, morally, and for social good,

4. it is possible for the human being to be expressive of his potential in an autonomous, self-realizing way,

5. it is possible for the human being to be spontaneous and creative, and

6. it is possible for the human being to be curious and exploratory.

Before concluding this discussion, I wish to make the point that the characteristics summarized above are seen, in one way or another, as being a potential in everyone. That is, they are basic and inherent characteristics of human nature. Why then are these

theories expressed only in the few, rather than in many? Two chief and interrelated sets of factors are offered by theorists as standing in the way of self-actualization:

-One may be referred to as prevention by society.

-The other as prevention due to dominance by "lower needs."

In 1954, Maslow presented evidence,in Motivation and Personality, which he believed supported his view of human nature. One kind of evidence provided by experimental studies indicates that the body is capable of considerable self-regulation in the interests of homeostasis. Another indicates that dietary self-selection, in both children and animals, provides, within limits, a satisfactory variety and quantity of food. This evidence, to Maslow, indicates that organisms, left alone, make wise choices:

> All the evidence that we have,mostly clinical evidence, but already other research evidence indicates that it is reasonable to assume in practically every human being, and certainly in every newborn baby, that there is an active will toward health, an impulse towards growth, or towards the actualization of human potentialities. (1967b) (59)

Evidence from psychotherapy, advanced by both Maslow and Rogers (1954, R. Dymond)[60], indicates the potential for growth of human beings, personal pressure to achieve mental health, and patient desire to be accepted by the therapist. Rogers cites many excerpts from therapeutic sessions to support this belief. Maslow generalizes that these points are verified by other therapists.

Maslow's major support for his view of human nature comes from his study of self-actualizing people. He made an intensive and far-reaching investigation of a group of self-actualizing people. After finding suitable subjects, some of whom were no longer living, such as Lincoln, Jefferson, Walt Whitman, Thoreau and Beethoven, and others who were living at the time like Eleanor Roosevelt, Einstein, and friends and acquaintances of the investigator. He found what characteristics distinguished them from ordinary people. From this study Maslow concluded the fifteen characteristics to which reference has already been made (see p. 128-131).

Thus far, from what has been presented in this brief survey of the optimistic view of human nature, it appears that Locke, who emphasized <u>reason</u>; Rousseau, who emphasized <u>the instinct of sociability</u>; cultural anthropologists (Mead, Benedict, and Montagu), Sociologists (Espinos, George, Ward, and Giddings), and biologists (Kessler, Kropotkin, Geddes, and Allee) who emphasized <u>sympathy and cooperation</u>; the neo-Freudian psychoanalysts (Adler, Horney, Fromm, and Sullivan) who emphasized <u>social feeling and self-realization</u>; and finally, existentialists (May and Rogers), organismic theorists (Goldstein and Angyle), and humanist psychologist, Maslow, who emphasized <u>self-actualization</u> are united in the following:

1. that there is an essential, inborn nature of the human being that is biological, that is good, and that exists in everyone as reason, sociability, sympathy, cooperation, and love, and that there is "active will toward health, and an impulse towards growth, or towards the actualization of human potentialities" (Maslow, 1967),[61] and that these are the universal facts that should constitute the foundation of the social relationship which characterizes the nature of a society,

2. that there is no contradiction between the nature of cooperative human beings and a nature which permits humans to realize their "selves," and

3. that the human being is not by nature a destructive and "aggressive animal." Man is made anxious, neurotic and aggressive by the conditions of the society in which he lives.

Keeping the second and third of the three statements in mind, and at the same time maintaining concern for the first, it follows that, from the evidence presented in the previous discussion, accepting the optimistic view of human nature, it is justifiable to say that, in the human relations and human resources models of organizations, the supportive and participative forms of administrative behavior, as a type of working relationship between subordinates and superiors, proposed and asserted by Mayo, McGregor, Likert, Argyris, and other theorists are valid.

One can be optimistic about the positive nature of human beings.

The following inquiries into the manner in which the human relations and human resources models of organization relate to administrative behavior and further, attempts to discover, if possible, the supporting evidence, if any, of the theses in the more complex empirical world.

The Two Models of Organization

Human Relations Model:

Since the historical development of the human relations model was briefly presented in the initial chapter of the study, and the first part of this one, it is not repeated here. Rather, attention is devoted to the work of Mayo, Roethlisberger, and Dickson, who in many respects stand at the forefront of those who emphasize the supportive form of administrative behavior.

The Conceptual Framework: Human Relationists --generally social psychologists and psychologists --concentrated their attention on the behavioral dimensions of organization. Their justification is not based simply on the notion that "all men are social, and cooperative in their nature; the resulting administrative behavior and organization design, therefore, by this assumption, should be social and decentralized." Rather, they derive the justification for their thesis from a comprehensive system analysis of the relevant phenomena. They say:

> To oversimplify it, we should try to do this by
> drawing an arbitrary and imaginary line around
> an organization and treating the actual
> behavior that goes on inside, as the phenomena
> to be first observed and in time to be
> explained.(62)

The formal dimensions--rules and activities required by the organization--and the different values and forms of behavior which the organization members possess which were obtained outside the organization (plant) constitute the boundary conditions, the limiting context into which will be found the activities to be studied. Therefore, these two sets of dimensions, although admittedly important determinants of behavior, are considered as givens for the organization. They are not explained or studied in themselves. Rather they will be taken into consideration only as they enter into the individual's definition of the situation.

When the relevant phenomena have been determined, the conceptual inventions though which the Human Relationists tried to categorize and relate those phenomena must be examined. The general forms of behavior, the values and beliefs which come forth through the interaction of individuals who work together, can be seen as constituting a social system, that is, a whole of interdependent parts. The nature of such interdependent parts is that any change in one part of the system brings about changes in the other parts and that the system tends towards its original state. This is the concept of equilibrium which in our social system is maintained by

the mechanisms of social control, that is to say, by the mechanism of reward and punishment which achieves a certain degree of harmony among the group members. In this conceptualization, they reject scientific determinism. Therefore, the research for cause and effect relationships between the various dimensions or parts of the system are inadequate. Since the parts are mutually dependent, it is impossible to distinguish cause from effect. Thus, the situation has, inevitably, to be examined as a whole.

There is an analytical distinction, which Human Relationists make, between formal and informal organization. The informal organization refers mainly to values and to forms of behavior which are not called forth by formal rules and policies, but arise naturally from the interaction of people who work together. The formal organization refers to official rules and to behavior stipulated by them. According to the human relationists, the way in which the formal organization is related to the informal is an empirical inquiry to be determined by research. With regard to the relation between a social system and an informal organization, when these two concepts are applied on the group level, they seem to be identical, the formal organization becoming one of the external dimensions of the system. But, when they are used on the organizational level, both the formal and the informal organization become internal dimensions of the

social system of the industrial, business, health, and educational organizations.

With this analytical framework, the human relationists have reasonably linked the social man concept into the formal organization and explored such aspects of organizational behavior as motivation, morale, group cohesion and their relations to organizational productivity. The result was the discovery of the impact of group life on worker behavior. The existence of cliques and friendship groups in organizations--industrial, health, educational--was well-known to the formal theorists (Weber, Taylor and others) long before Human Relationists. But, as we mentioned, the formal theorists under the philosophy of economic man considered those groups as phenomena unrelated to the problem of organizational productivity and morale.

When this is taken into consideration, it seems clear that the workers in the organization do not always behave and react to management rules and orders according to logics of the economic man. "The logic of sentiments,"[63] the group norms, deriving their origin from the assumption that man is social in his nature, are often different from "the logics of management."

When management neglects to take into consideration the informal organization--group norms--and its values, the results are hostile attitudes toward management, low job satisfaction, higher turnover and absenteeism, low

morale and minimal productivity. Finally this neglect results in the breakdown of communications between the top and the bottom of the hierarchy. Communications downward are impaired as management's orders are based on the "economic man" assumption about workers' behavior. Communications upward suffers even more as no information about the informal organization is transmitted. In conclusion, it can be said that, in order to reestablish good communication, friendly attitude toward management, higher job satisfaction, low turnover and absenteeism, high morale and maximum productivity in the organization--management must not try to destroy the informal organization of the factory; rather, the informal organization should be taken into consideration to make sure that the informal norms are in harmony with the goals of the organization. When this is achieved, the informal organization, instead of providing an obstacle, is transformed into the main driving force for the achievement of the organization goals.

It is on the basis of such conclusions that Mayo and his associates developed their general theory of organizational behavior, the Human Relations approach to the problems of our organizations--the business firm, the hospital, the school, and the government bureau. These problems, they believe, arise mainly from the rigid structure, and the bureaucratic or impersonal relationship between superiors and subordinates once believed to be an

effective form of administrative behavior for organizational efficiency by theorists Weber, Taylor, Gulick, Urwick and others, who, in the design of an organizational model, equated the nature of human nature with selfishness and aggressiveness. The solution, they say, is a new model which derives its origin from the assumption that man is innately social (not selfish). Table 2 summarizes the basic differences between the two models. The new model proposed for the efficiency of organizations is the one in which harmony is said to exist between the two dimensions--the formal and the informal organizations. It constitutes a structure in which employees are free to perform their jobs with a minimum of rules and regulations, and provides a form of administrative behavior in which the attitude and behavior of a superior toward subordinates as persons is supportive.

Thirty years of empirical investigation led to the following description of the characteristics of the supportive attitude and behavior of a superior:

1. he is supportive, friendly and helpful rather than hostile and unfriendly,

2. he is kind and firm, never threatening, genuinely interested in the well-being of subordinates, and endeavors to treat people in a sensitive and considerate way,

TABLE 2

Theoretical Distinctions Between the
Bureaucratic and the Human Relations Models

MODELS	The Bureaucratic Model	The Human Relations Model
Dimensions:		
The structure of organization	Mechanistic	Organic
Form of administrative behavior	Bureaucratic	Supportive
Form of task structure	Structured or rigid	Flexible
Form of subordinate motivation	External: money	External: social and money
Assumptions about Human Nature:	Economic man	Social man
	Selfish, aggressive	Instinct of Sociability
Time:	1900	1930 1960
Theorists	Weber Fayol Urwick Taylor and others	Mayo Roethlisberger Dickson early Likert and others . . . .

3. he is just and generous. He endeavors to serve the best interests of his subordinates as well as of the organization,

4. his trust in subordinates leads him to have high expectations as to their level of performance, with the belief that he will not be disappointed,

5. he considers that each subordinate is well-trained for his particular job. He endeavors also to help subordinates be promoted by training them for jobs at the next higher level,

6. he permits all subordinates to discuss policy formation. He encourages them to make necessary decisions,

7. he permits discussions on future as well as present activities. He does not try to keep subordinates in the dark about future plans,

8. he permits subordinates to define their own job satisfaction as much as possible, and

9. he focuses on obtaining objective facts on human problems. He tries to base any necessary praise or discipline upon these objective facts, and not upon his personal needs.

After sketching the conceptual framework from which human relationists justified the flexible structure and the supportive form of administrative behavior for the efficiency and effectiveness of organizations and roughly

describing the basic characteristics of the attitude and behavior of a superior toward his or her subordinates, empirical evidence that has existed since the 1930's will be examined.

The Empirical Evidence: The first, and probably the most important evidence, which derives from the work of Mayo and his associates Roethisberger and Dickson in the Hawthorn Studies of the Western Electric Company is a series of field experiments which are based upon the conceptual framework of the human relations model which was previously presented.

The second derives from the research literature of organizational psychology and further study of Mayo's thesis. Very briefly, it was found that the form (style) of administrative behavior (supervision) played a major determining role in shaping the attitude and behavior of subordinates. More precisely, a superior with a supportive form of administrative behavior--being people-minded rather than job-minded, trying to understand the problems and needs of his subordinates, etc.--was found to create a cooperative group atmosphere and to increase subordinates' satisfaction, performance, and productivity. On the other hand, the bureaucratic form of administrative behavior--being job-minded--was repeatedly found to be positively correlated with poor productivity and low job satisfaction and morale.

Supportive Administrative Behavior and Productivity: After Mayo, many students of the human relations school concerned themselves with the relationship between productivity and the amount of support or consideration shown by a superior. Not surprisingly, there is evidence that support is positively related to productivity. In one study, Davis concludes that "employee-oriented supervisors tend to get better productivity, motivation and worker satisfaction."[64] Likert asserts that the supervisor who obtains the highest productivity is "supportive, friendly, and helpful rather than hostile" and "endeavors to treat people in a sensitive, considerate way."[65] Figure 3 illustrates Likert's findings.[66]

Similar results have been reported in a field study carried out by Katz, Maccoby and Morse[67] in a life insurance company. Twelve work groups with high productivity and twelve with low productivity were selected for study. The behavior of supervisors in these two sets of work groups was assessed through interviews with both supervisors and their subordinates. The results indicated substantial differences in the amount of consideration that low and high productivity supervisors showed their subordinates. The highly productive supervisors were typically characterized as employee-centered, for they tended to describe as

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FIGURE 3

NUMBER OF FIRST-LINE SUPERVISORS WHO ARE:

From Likert, 1961, p. 7

Job-centered   Employee Centered

	1	6
High-producing sections		
Low-producing sections		
	7	3
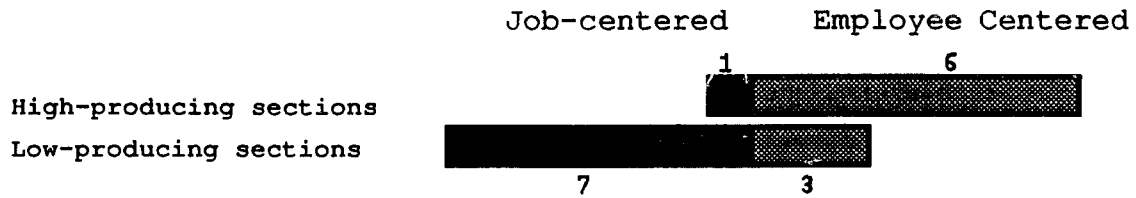
*Employee-centered supervisors are higher producers than job-centered supervisors

Under close supervision   Under general supervision

	1	9
High-producing sections		
Low-producing sections		
	8	4
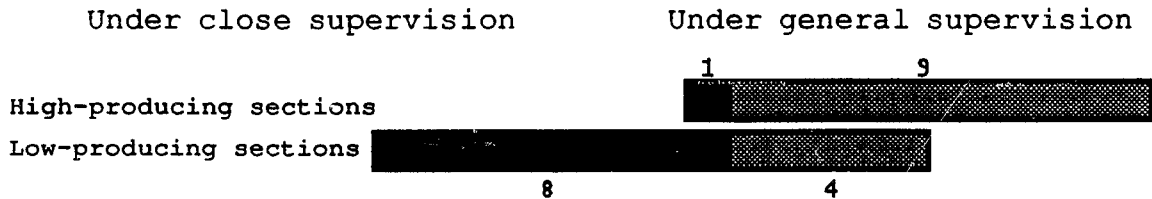
*Low-producing section heads are more closely supervised than high-producing section heads.

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important the <u>human relations</u> aspects of their jobs. On the other hand, those in charge of low productivity work groups were typically characterized as <u>production-centered</u> for they tended to consider their subordinates mainly as <u>people to get the work done</u>.

In an attempt to generalize their findings, Katz, Maccoby, Gurin, and Floor[68] carried out a second investigation with railroad maintenance workers. The research design was similar, but the setting was different

in a number of respects. The workers they studied were laborers instead of clerical employees; they were primarily middle-aged instead of young people just out of high school. And they were men, not women. Despite the differences, there was an impressive similarity in the results. The men in high productivity groups more frequently described their supervisors as taking a personal interest in them, helpful in training them for better jobs, and as being less punitive than men in low productivity groups.

In many other studies in business firms, in hospitals, in school organizations, and in government bureaus in America and Western Europe, results have been obtained that indicate a positive relationship between the amount of support or consideration shown by superiors for their subordinates and productivity.

Supportive Administrative Behavior and Satisfaction: Much research has been done in the area of supportive administrative behavior since the time of Mayo. There is considerable evidence in the literature to support the thesis that the satisfaction of subordinates is positively related to the support or consideration--being people-minded--of their superiors/ supervisors. In a study of 29 aircraft commanders, Halpin and Winer[69] found a correlation of .64 between consideration as measured by the Leader Behavior Description Questionnaire and index of crew satisfaction.

A later investigation of 89 aircraft commanders by Halpin[70] indicated a correlation of .75 between consideration and crew satisfaction with their commander. In other investigations, Seeman[71] reports a positive relationship between the consideration of school superintendents and job satisfaction of elementary school teachers. Fleishman, Harris, and Burtt[72] have found a positive relationship between consideration of foremen and the morale (satisfaction) of their subordinates.

Likert[73] described findings from a study of a public utility which bear on the effects of consideration. The data in Table 3 show the percentage of employees in work groups with favorable and unfavorable attitudes on job-related matters who state that their supervisor engages in various types of supportive behaviors. There were striking differences in the frequency with which employee-oriented behaviors are attributed to superiors by employees in satisfied and dissatisfied work groups.

If the supportive form of administrative behavior-- being employee-minded--is related to employee satisfaction, there should be a positive relationship between support or consideration and factors such as grievance, turnover, and absenteeism, which are also related to the satisfaction of subordinates. Figure 4 shows the relationship found in a motor truck manufacturing plant by Flieschman and Harris[74] between

TABLE 3

Relationship Between Supervisor's Behavior and
Subordinates' Attitudes

Adapted from New Patterns of Management
by R. Likert. Copyright 1961, pp. 16-17.

Supervisory Behavior	Percentage of Employees in Work Groups with Favorable Attitude Who Report that their Supervisors Engage in the Stated Activity	Percentage of Employees in Work Groups with Unfavorable Attitude Who Report that their Supervisors Engage in the Stated Activity
Recommends promotion, transfers, pay increases	61	22
Informs men on what is happening in the company	47	11
Keeps men posted on how well they are doing	47	12
Hears complaints and grievances	65	32
Thinks of employees as human beings rather than as persons to get the work done	97	33
Will go to bat or stand up for me	87	30
Usually pulls for the men or for both the men and the company rather than for himself or for company only	86	29
Takes an interest in me and understands my problems	81	29
Is really part of the group, interests are the same as those of people in the group	66	16
Likes to get our ideas and tries to do something about them	62	17

FIGURE 4

RELATION BETWEEN CONSIDERATION AND TURNOVER RATES
From Fleishman and Harris, 1962, pp. 43-56
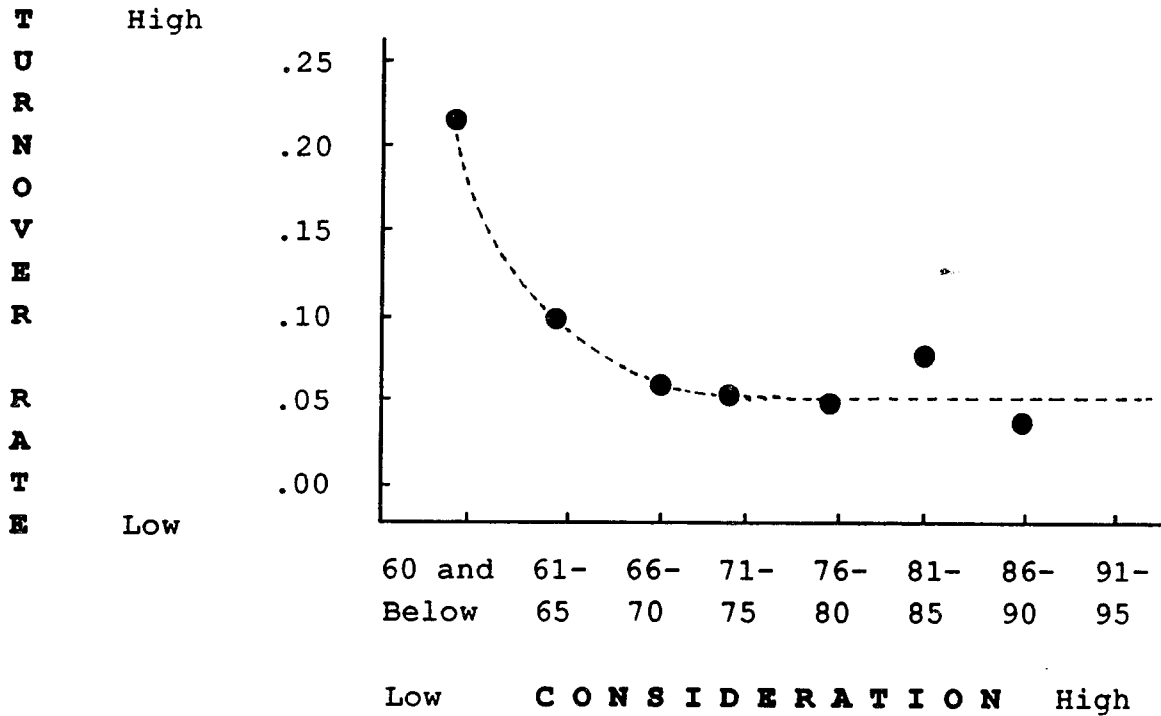
turnover and employee consideration. _Figure 5_ shows the joint effect of consideration and structure on grievance rate as found by Fleischman and Harris. High consideration or support are associated with low grievance rates, and high structure is associated with high grievance rates.

FIGURE 5

COMBINATIONS OF CONSIDERATION AND STRUCTURE
RELATED TO GRIEVANCES
From Fleishman and Harris, 1962, pp. 43-56.
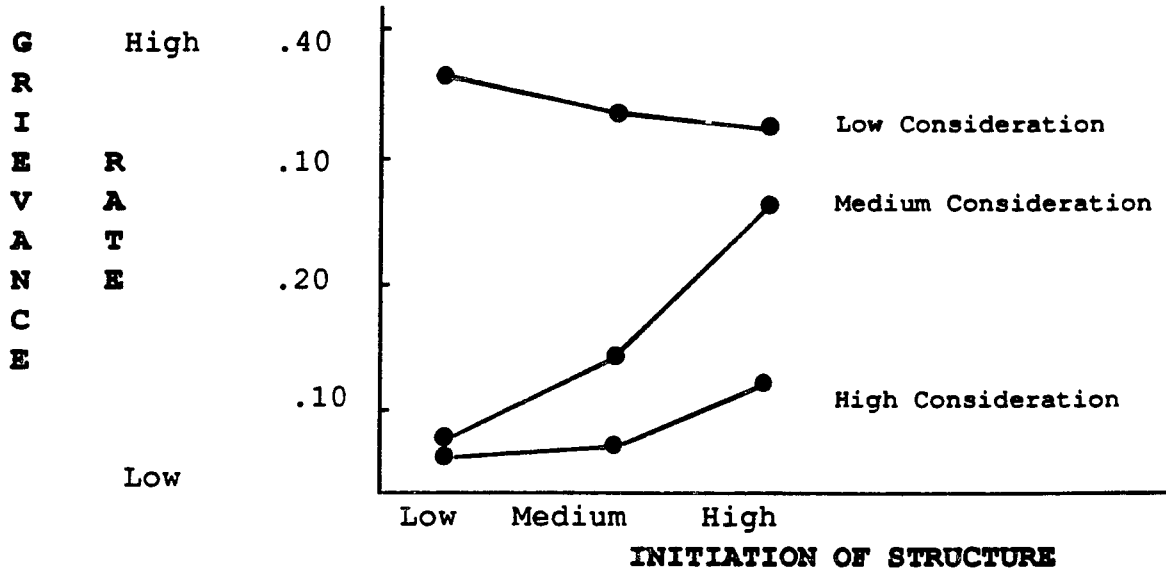
The studies presented in the above discussion are examples which validate the supportive form of administrative behavior. A great number of other studies purport similar results.

Now discussion turns to the Human Resources model, classified as a further theoretical development of the Human Relations model, which presents the thesis of those who support the participative form of administrative behavior as a general form of administrative behavior.

<u>Human Resources Model</u>:

<u>Conceptual Framework</u>: From the discussion here, as in the two previous chapters, the impression one receives is that the term "<u>Human Resources</u>" refers to the theories of those who, although considered in the literature as human relationists, emphasize mainly the <u>participative</u> rather than the <u>supportive</u> form of administrative behavior for the increased effectiveness of organizations. The theoretical distinction, which is presented in <u>Table 4</u>, between the two models—Human Relations and Human Resources—arises from the assumptions that they make about human nature that justify the structure and the form of administrative behavior advised in each model. For Mayo and the other Human Relationists whose thesis was just presented, man is a social being; whereas the human resourcists derive theoretical justification for their theses from neo-Freudian psychoanalysts, existentialists and organismic psychologists who, together, have asserted self-realization or self-actualization as the nature of human nature. Since the origin and nature of self-actualization, and the characteristics of the self-actualizing person were presented earlier in this chapter, the thesis of the theorists who assert a participative form of administrative behavior and an organic structure of organizations is introduced.

In the 1960's, the years when the phrase "<u>post-industrial society</u>" was used to characterize the Western world of the time, the Human Resources model

TABLE 4

Theoretical Distinctions Between the Human Relations and the Human Resources Models

MODELS	The Human Relations Model	The Human Resources Model
Dimensions:		
The structure of organization	Organic	Organic
Form of administrative behavior	Supportive	Participative
Form of task structure	Flexible	Unstructured, complex
Form of subordinate motivation	External: Money, social	External and internal
Assumptions about Human Nature:	Social man	Self-actualizing man
	(Instinct of sociability)	(Self-realization)
Time:	1930	1960
Theorists	Mayo Roethlisberger and Dickson Early Likert and others	Likert McGregor Argyris and others

appeared in the writing of organizational psychologists. Among these theorists McGregor, Shepard, Haire, Blake and Mouton, Argyris, and Likert are probably the best known. Although differing in theoretical detail concerning theories of organization, they are united in the following beliefs:

1. the worker is, as a total human being, striving for self-realization, self-improvement, self-expression, autonomy, achievement, recognition and participation, and wishes to identify himself with the goals of the organization. He will do so if the management and the structure of the organization will permit it, and

2. the worker can derive his gratification and satisfaction from doing an effective job, from accomplishment, from the expression of his own abilities, from the exercise of his own decisions. He can become ego-involved with his job, emotionally committed to doing it well and taking pride from evidence that he is effective in furthering the goals and the objectives of the organization.

When these two fundamental facts about workers are taken into consideration, it seems clear that the workers in the organizations do not behave and react to the structure, and to the management rules and orders according to the logic of the economic man or the social man. Rather, it would appear to be in the best interests

of organizations and workers to alter the form of administrative behavior and the structure of organization to allow people to self-actualize.

It is on the basis of such conclusions that Human Resourcists have developed the general theory of organizational management, called by McGregor "Theory Y," by Miles "Human Resources," by Blake and Mouton "The g-g theory," and finally by Likert "System IV," as an ultimate solution to the management problems of our organizations.

Admittedly, since a detailed discussion of the characteristics of each theory can be found in the texts, there is no need here to repeat the theses for each theorist. It is sufficient, however for the purposes of this study, to point out the fact that, in spite of the divergency between the positions of each theorist, they all--McGregor, Miles, Bennis, Argyris, Blake and Mouton, Likert and others--agree on the characteristics of the Human Resources model. Briefly, the main characteristics of the Human Resources type of organization are:

1. participative decision making at all levels of the organization,

2. face-to-face work groups,

3. mutual confidence between superior and subordinates, and peers,

4. high degree of job enlargement,

5. high degree of decentralization of responsibility for and use of information, rewards and membership,

6.   high   degree of technical or professional competence, and

7.   emphasis on status through contribution to the whole and intergroup and interindividual cooperation.

If what lies behind the above characteristics of the model is examined, how they link with one another, one finds all human elements are common. The characteristics seem to propose a system of management based on the rules and principles of participation-- participation which tries to regulate the whole organizational structure and the process on the basis of technical or professional competence, with the aim of maximum effectiveness.

After having briefly sketched here the theoretical framework of the thesis of those who assert a participative form of the administrative behavior and an organic structure of organization for the maximum effectiveness of organizations, this study turns to the empirical evidence which may validate the thesis.

The Empirical Evidence:

Examination   of   the   research   literature   in organizational psychology leads to the conclusion that there is probably no other organizational theory that has more empirical data, on a wide variety of organizations, than has the theory of human resources. The data from various organizations in the United States, Europe, and Japan indicates, in general, that there is considerable supporting evidence to justify the validity of the thesis of the Human Resources model.

Since it is virtually impossible to review all of the material that exists in the research literature, three original sources from which all the existing empirical material has been drawn to justify the thesis are examined. References and examples of the empirical studies from each category are presented where they are beneficial.

The first category derives from the work of McGregor, Miles, Bennis, Argyris, Likert and the other Human Resourcists who examined and supported the superiority of the model. The second category derives from the empirical works of those independent research scientists in organizational psychology who designed the studies in different organizational settings to test the hypotheses stemming, in one way or another, from the major propositions of the Human Resources model. The third and final category, which supplies evidence for the superiority, effectiveness, and efficiency of the Human Resources model is the organization designed in terms of the principles of the Human Resources model. Examples of these organizations are: The Weldon and Harwood companies, some of the plants in Proctor and Gamble and General Foods in the United States; Wire-drawing Mill, Paper and Pulp Plant, Metal Fabrication plant, and the Fertilizer Plant in Norway; The Saab Engine plant, and The Volvo plant in Kalmar in Sweden.[75]

It was found, in general, that participation in decision making, job enlargement, decentralization of responsibility, and the characteristics of the work group played a major determining role in shaping work attitudes and behavior. These determinants are examined further in the following text.

Participation in Decision Making: One of the earliest studies into the effect of participation in decision making was an experiment by Lewin, Lippitt, and White (White and Lippitt)[76]. Twenty school boys were divided into four groups that met after school. Each group received at least six weeks of autocratic and six weeks of democratic administrative behavior. The remaining two groups received a six-week period of laissez-faire form of administrative behavior. The results show that the laissez-faire administrators (leaders) had the poorest productivity record. The highest level of productivity occurred under both the autocratic and democratic (participative) forms of administrative behavior. However, productivity in the autocratic groups dropped off as soon as the administrator left the room. The democratic groups maintained the productivity at a similar level regardless of the presence of the administrator in the room.

An experiment by Coch and French[77] in the Harwood manufacturing plant suggests the beneficial effect of participation in the introduction of change. In this

plant, the nature of production required continual changes in work methods which were generally resisted by workers, many of whom preferred to quit rather than make the changes. The experiment was planned to test whether or not employee participation in problem-solving and in decision-making would help overcome the workers' entrenched resistance. Four groups were formed. These groups were roughly equivalent with respect to their efficiency before the change. The first group was a control group, to which the change was introduced in the usual manner. New jobs were timed, piece rates were set, and the workers were informed at the meeting that the change would take place because of competitive conditions. The other three groups, designed as experimental groups, were given an opportunity to participate in making decisions concerning some aspects of the change. In one of these three experimental (Exp. 1) groups, workers were given a chance to influence the change only through their elected representatives. They were told of the plan to introduce the change and selected two of their members to assist in working out the details. The elected representatives contributed many useful suggestions and shared in establishing the new methods and rates. In the third and fourth experimental groups (Exp 2 and Exp 3), each member had a chance to participate directly in making decisions regarding the change.

The results shown in <u>Figure 6</u> demonstrate the effectiveness of participation on production. The productivity of the control group dropped substantially following introduction of the change and it did not improve appreciably with time. Resistance developed and there were numerous instances of aggression toward management. Seventeen percent of the control group quit during the first 32 days following the change and the group was broken up at that time. The productivity of the first experimental group, who participated through their

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FIGURE 6

THE EFFECT OF PARTICIPATION ON PRODUCTION
From Likert, 1961, p. 40.
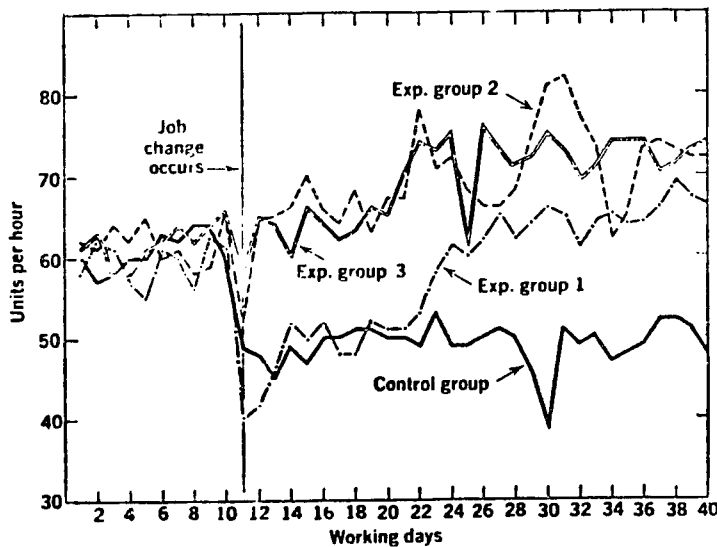
representative, also dropped when they were placed on the new job but rapidly increased as the workers acquired experience. None of the members of the group left the job during the first 40 days following the change. After 14 days they regained their previous mean production level. The most favorable results were achieved in the second and third experimental groups whose members each had the opportunity to participate directly in making decisions regarding the change. These two groups recovered their pre-change level of production after <u>four days</u> and they continued to improve until they reached a level of performance that was 14 percent above that which they had attained before the change.

In a further study of these results, Coch and French exposed the group used initially as the control group to full participation when it underwent another change several months after the original experiment. When it was treated like experimental groups two and three, this group showed a productivity record similar to that shown by experimental groups two and three. <u>Figure 7</u> shows the result of this variation.

Lawrence and Smith[78] carried out an experiment to determine whether work groups making a decision concerning production goals obtained higher productivity than those which only took part in group discussions. Two groups participated in weekly meetings for the purpose of setting production goals and, in addition, discussed a wide range

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FIGURE 7

A COMPARISON OF THE EFFECT OF THE CONTROL PROCEDURE
WITH THE TOTAL PARTICIPATION PROCEDURE ON THE SAME GROUP
From Likert, 1961, p. 41.

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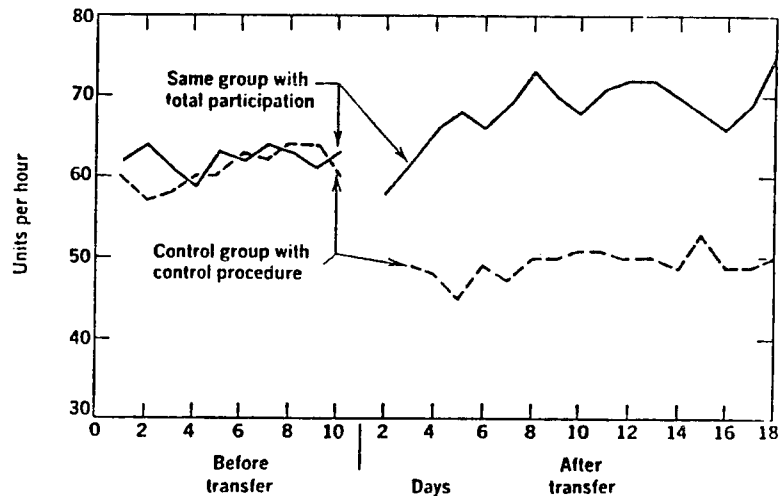
of employee and company matters. Two other groups participated in group discussion without making decisions concerning production. The results of the study indicated that the groups setting production goals showed a significantly greater increase in production than those not setting goals.

Each of the studies described concerned the effect of involving a group of subordinates in making decisions which are not part of their defined responsibilities.

In a large-scale field experiment, Morse and Reimer[79] attempted to determine whether changes in the amount of autonomy of rank and file employees in a wide

range of decisions would result in change in productivity. The experimental design is summarized by the research scientists as follows:

> Using four parallel divisions of the clerical operations of an organization, two programs of change were introduced. One program, the Autonomy program involving two of the divisions, was designed to increase the role of rank-and-file employees in the decision-making process of the organization. The other two divisions received a program designed to increase the role of upper management in the decision making process (the Hierarchically-controlled program) (p. 129).

While the intrinsic satisfaction of employees increased in the autonomy program and decreased in the hierarchical program, productivity was significantly increased under both programs. Accounting for the increased productivity which was achieved under the hierarchically controlled program, Likert[80] stressed the fact that the experiment was terminated at the end of the year at which time this program was "in a state of unstable equilibrium." He stated: "The results . . . give every reason to believe that had the clerical experiment been continued for another year of two, productivity and quality of work would have continued to increase in the participative program, while in the hierarchically- controlled program productivity and the quality of work would have declined as a result of the hostility, resentment, and turnover evoked by the program" (p. 69).

The preceding studies were carried out in the United States; there have been a number of investigations on the effects of participation in decision making in other countries. In Norway, French, Israel and As[81] studied participation in decision making; in England, Maier and Hoffman[82] attempted to replicate some of their findings concerning the effects of group decision making. More recently, Tannenbaum[83] studied the effects of participative management in kibbutz industries in Israel and self-management (workers' councils) in Yugoslavia. Misumi[84] in Japan conducted a series of experiments on the effects of participative leadership and group decision on productivity and job satisfaction. The conclusions thus far available from these experiments argue that participation does work. None of these research scientists found important evidence to support differing effects based on cultural differences. Since the Japanese culture is less like that of the United States than is either England's, Norway's, Yugoslavia's or Israel's, Misumi's findings are probably the most interesting ones. He found that participative leadership resulted in superior productivity when compared to either autocratic or laissez-faire leadership and that group decision was a more effective method for achieving behavioral change than the other methods.

The studies which were mentioned in the above discussion are mentioned as examples of the thousands of others which found similarly. In the scope of this study, it is difficult, if not impossible, to present the remaining part of the research on the subject. Nevertheless, several good summaries are available by Likert (1961, 1967); Lowin (1968); Vroom (1964, 1969).[85] Vroom, for example, after reviewing "well over 500 research investigations" (p. 271) in Work and Motivation, stated the major conclusions as follows:

> When the entire pattern of results is considered, we find substantial basis for the belief that participation in decision making increases productivity. There is experimental and correlational evidence indicating that higher levels of influence by workers in decision making that they are to carry out results in higher productivity than lower levels of influence . . . In summary, it would appear that there are a number of different ways in which greater influence in decision making by subordinates can increased performance. It can increase the quality of decisions made, the strength of group norms regarding execution of the decisions, and the workers' "ego involvement in decisions." Each of these three effects seem to be a frequent consequence of increased influence in decision making by subordinates (pp. 226, 229).(86)

Job Enlargement or Enrichment: Since about the late 1950's, many research scientists in organizational psychology have attempted to measure the effects of job enlargement. Almost without exception, the evidence from these studies conducted in both laboratory and field situations has shown

that when jobs are enlarged there are positive outcomes. In most studies, productivity is higher after job enlargement. In one review, Lawler (1969)[87] reports that in six out of ten studies, productivity increased as a result of job enlargement; in all ten studies, job enlargement led to higher work quality and intrinsic job satisfaction.

Kuriloff (1966)[88] carried out an experiment at an electronics company that manufactured measuring instruments. On the assembly line, the company was experiencing poor work quality, turnover, absenteeism, and production problems. To solve these problems, the company enlarged the job of the assembly line workers. Instead of assembling only one part of the instrument, each worker had to assemble a whole instrument. In many cases, this represented a week's work for one employee. When the employee finished the instrument, he tested it, signed it, and sent it to the customer. If any problems developed with the instrument, the worker was personally responsible for fixing it. Directly after the change to enlarged jobs, productivity and quality decreased because the workers did not know how to assemble the instruments. Nevertheless, six months after the change, productivity had returned to its previous level and quality was higher than before

the change. As a result of the enlargement, satisfaction increased and turnover and absenteeism decreased.

In another study, Ford (1969)[89] reports that job enlargement resulted in a 27 percent decrease in turnover, which saved his company $245,000.00. In an experiment, Jacobs (1975)[90] reports that a job enlargement program at the Xerox Corporation for its technical field representatives "proved successful in increasing employee commitment and involvement" (p. 299). Testing before and after the study "indicated an increase in positive attitudes, particularly in the areas of responsibility, recognition and challenge" (p. 295) in the experimental but not in control groups.

In many studies, similar results have been obtained. Table 5 presents a brief summary of the results of these studies. As can be seen, substantial evidence from every study shows that job enlargement has led to increases in intrinsic job satisfaction and to improvements in the quality and quantity of work.

In addition to research on participation in decision making and job enlargement, experiments have been carried out in an attempt to ascertain the effects of the remaining propositions of the Human

TABLE 5

The Studies
Effects of Job Enlargement on Job Attitude
and Job Performance

Author	Intrinsic Job Satisfaction	Quality of Work	Quantity of Work
Walker (1950)	H	H	S
Elliott (1953)	H	H	H
Rice (1953)	H	H	H
Marks (1954)	H	H	S
Guest (1957)	H	H	S
Davis and Werling (1960)	H	H	H
Biggane and Stewart (1963)	H	H	S
Conant and Kilbridge (1965)	H	H	H
Davis (1966)	H	H	H
Emer, Thorsrud and Lange (1966)	H	H	H
Herzberg (1966)	H	H	H
Kuriloff (1966)	H	H	S
Sorcher (1967)	H	H	H
Ford (1969)	H	H	H
Paul, Robertson and Herzberg (1969)	H	H	H
Hackman and Lawler (1971)	H	H	S
Davis and Taylor (1972)	H	H	H
Walton (1972)	H	H	H
Bryan (1975)	H	H	S
Davis and Cherns (1975)	H	H	H
Jacob (1975)	H	H	S
Jansen (1975)	H	H	S

Key: H, higher (after job enlargement)
      S, same (before and after job enlargement)

Resources model. For example, evidence for correlational studies and laboratory and field experiments indicates that when the properties and the character of a group are identical with the properties and characteristics described by human resourcists for the ideal "face-to-face work groups," the group has positive effects on job attitude and job performance of its members.

After having briefly presented the studies from which one can justify the superiority of the Human Resources model for efficiency and effectiveness of the organizations, at least the organizations of our time, the survey of the theses of the Human Relations and Human Resources models is concluded with a summary.

Discussion and Summary

This chapter was designed to examine the validity of the theses of two different organic models of organization. The founders and followers of each organic model in their own right reject the thesis of the Bureaucratic model discussed in Chapter II.

Briefly, the thesis of the Bureaucratic model maintained by theorists Weber, Taylor and others, is that they, in deriving the theoretical foundation of the model from the assumption that man is selfish in

his nature, justify universality of the inflexible structure and the superiority of the bureaucratic or impersonal relationship between superior and subordinate as a general form of administrative behavior for the efficiency and effectiveness of organizations.

One organic model which was examined in this chapter was the Human Relations model which has been in existence in the United States and other countries in Western Europe since the early 1930's. The second organic model discussed in the chapter was the Human Resources model which has been in existence in the same countries since the early 1960's. To behavioral scientists like Mayo, who support the Human Relations model, the thesis of the Bureaucratic model is unacceptable for the efficiency and effectiveness of organizations. They derive their theoretical foundation from the assumption that man is social in his essential nature, justify an organic structure, and assert superiority of the supportive relationship between superior and subordinate as a general form of administrative behavior.

Neither the Bureaucratic nor the Human Relations model is acceptable to the theorists like Argyris, McGregor and Likert, who support the Human Resources model. Briefly, Argyris, McGregor, Likert and others, who do not derive their theoretical foundation from the

assumption that man is <u>selfish</u> in his essential nature as Weber and Taylor did, or from the assumption that man is <u>social</u> in his essential nature as Mayo and others did, but they equate the nature of human nature with <u>self-realization</u> or <u>self-actualization</u> and justify an organic structure of organization and assert the superiority of participative relationships between superior and subordinate as a general form of administrative behavior for the efficiency and effectiveness of organizations.

First, having sketched, in general, the educational, economic, social and technological conditions of the societies at the time when the Human Relations and the Human Resources models were developed in the 1930's and 1960's in the Western World, analysis of the two models and their main components (model of man and structure of organization and form of administrative behavior) was begun. This was a transformation of the models into the analytical system framework which was generated in the detailed discussion presented in Chapter I. Since the theoretical justification of the theses of the Human Relations and Human Resources models was derived from assumptions that man is <u>social</u> and that man is <u>self-actualizing</u>, the discussion of the second component (the structure of organization and the form of administrative behavior) was left for later analysis. Inquiry into the

manner in which <u>the origin</u>, <u>the nature</u>, and <u>the characters</u> of <u>social man</u> and <u>self-actualizing man</u> was expressed and asserted as the essential nature of human nature by students of many different fields. An attempt was then made to investigate what empirical evidence, if any, justified the validity of the theses of those behavioral scientists who, one way or another, have asserted <u>social man</u> and <u>self-actualizing man</u>.

In this connection, the survey of the theses of social man and of self-actualizing man began with the seventeenth century. The results of the study of <u>time</u>, <u>origin</u>, and <u>nature</u> of the social and self-actualizing man in <u>the social context</u> of the Western world are:

1. there is evidence indicating that the theorists from philosophy, political science, sociology, anthropology, biology, psychoanalysis, and psychology have emphasized <u>social man</u> and <u>self-actualizing man</u> in different centuries,

2. there is evidence indicating that <u>the terms</u> "reason," "sympathy," "cooperation," "mutual aid," "love," "goodness," etc. which have been emphasized by the theorists, and research scientists from different fields referred to the origin or nature of social man as the essential nature of human nature; whereas the terms "innate instinct of sociability," "a protean social instinct," "self-actualization,"

"the productive orientation," "the real self and its realization," and "existential being," have been emphasized by theorists and research scientists from different fields and have referred to the origin and the nature of self-actualizing man as the essential nature of human nature,

3. there is considerable evidence indicating that Locke's and Rousseau's theories of human nature are identical to the theories of Mayo, Fromm, Maslow and Rogers and others, who emphasized either social man or self-actualizing man,

4. there is considerable evidence for the experimental validations of both Locke's and Rousseau's theories of human nature,

5. from the observational and experimental validations of both social man and self-actualizing man, the universal validities of both the Human Relations model and the Human Resources model in only the ideal sense can be justified,

6. there is evidence of resemblance between Locke's Democratic organization model and Mayo's Human Relations model. There is also evidence indicting that McGregor's Human Resources model (Theory Y) is identical with Rousseau's Democratic organization model,

7. there is substantial evidence indicating that both the Democratic organizational models of Locke and of Rousseau are idealized, rather than applied or practical ones for the efficiency and effectiveness of the organizations of their time. Both the Democratic organization models of Locke and of Rousseau are not applicable to the organizations that existed under the socio-economic, socio-cultural, and socio-technical conditions of the seventeenth and eighteenth centuries in Western societies. There is evidence, however, indicating that both models are applicable to the organizations that existed under the socio-economic, socio-cultural, and socio-technical conditions of our time, in the Western world.

When one considers the proper resemblance between Locke's Democratic Organizational model and Mayo's Human Relations model and between Rousseau's Democratic Organization model and McGregor's Human Resources model (Theory Y), it becomes clear that both the Human Relations and Human Resources models are not applicable to organizations in the society of our time where the socio-economic, socio-cultural, and socio-technical conditions are similar to or identical with the conditions of the seventeenth and eighteenth centuries of the Western societies where both Locke's and Rousseau's

Democratic Organization models were not appropriate for the efficiency and the effectiveness of organizations,

8. tnere is considerable evidence indicating that under the socio-economic, socio-cultural, and socio-technical conditions of the previous centuries in Western societies, the appropriate model for the efficiency and the effectiveness of organizations was the one which derived its theoretical foundation from the assumption that man is "selfish" rather than "social" or "self-actualizing," and

9. there is continuous progressive change in human social character--values, norms, motives, needs and behaviors--and that there is continuous progressive change in the character of socio-cultural, socio-economic, socio-technical, and socio-political structure of the societies in the years from the beginning through the twentieth century, the record of which is called the history of the Western world.

Consider, for example, the seafaring Scandinavians of the Bronze Age, undoubtedly the ancestors of the modern Scandinavians. How different are the social characteristics--values, norms, motives, needs--of the modern, relatively sedentary Scandinavians from those of their raiding forbears?

The boisterous joy in life of the English of Elizabeth I's period is very different from the social characteristics of the English in the sovereignty of Elizabeth II. The vigorous libertinism of the Restoration contrasts sharply with the prudery of the Victorian Age. The Englishman's _nature_ was different in the sixteenth as compared with that which was exhibited in the seventeenth century. In the centuries preceding the middle half of the nineteenth century, the English were among the most competitive, economical, and aggressive peoples on the face of the earth; today they are among the most idealistic, independent, abstractionist and humanistic.

After presenting the theoretical foundations of both the Human Relations model and Human Resources model in the first section of this chapter, the conceptual frameworks of these models were introduced. The second section of the chapter was divided into two main subsections. In the first the conceptual framework of the Human Relations model originally formulated by Mayo in connection with _social man_ was discussed. Focus in the discussion was on how the formal or technological aspect of organization was linked with its human aspects in the design of the structure of the Human Relations model. In addition, a brief distinction was made between the two models, namely the Human Relations and Bureaucratic models of organization. Finally, the main characteristics of the supportive form of administrative behavior that was

asserted by Mayo and other Human Relationists as a superior form of the relationship between superior and subordinate was examined.

After sketching the general characteristics, in the conceptual framework, of the Human Relations model, the study was concerned with the question of supporting empirical evidence, if any, that justifies the thesis of the Human Relations model. In order to discover an answer to this statement or question, studies in the research literature of organizational psychology since the 1930's were examined. Almost all of the findings from the studies are consistent with the thesis of the Human Relations model. In spite of considerable evidence that justifies the validity of the Human Relations model, no generalization was made about the Human Relations model up to this point.

The second subsection was devoted to an examination of the conceptual framework of the Human Resources model. The main characteristics or properties of the model formulated by McGregor, Likert, and others in connection with "self-actualizing man" were discussed. Very briefly, these characteristics or properties follow the organic structure and the participative form of administrative behavior of the Human Resources model. This model is believed to be superior to the others for both the efficiency and effectiveness of organization. In addition, the study focused on the fundamental differences

between the Human Relations and Human Resources models. The three existing models of organization were in turn compared and contrasted, since the fundamental distinction was made between the Bureaucratic model and the Human Relations model in the first subsection of the second section of the chapter. Finally, for the empirical validation of the Human Resources model, studies which have been in existence since about 1960's in the research literature of organizational psychology were explored. Many of the findings from each source that were discussed are consistent with the thesis of the Human Resources model. In spite of the supporting empirical evidence, no general conclusion has yet been made about the Human Resources model up to this point. Final conclusions will be presented in the next chapter.

Notes to Chapter III

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[3]John Locke, The Second Treatise of Government. (New York: The Liberal Arts Press, 1952).

[4]John Locke, "Essays on the Law of Nature."

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[6]For further discussion of this subject, see Gordon Allport, Becoming (New Haven: Yale Univ. Press, 1955).

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[11]Calvin Springer Hall and Gardner Lindzey, Theory of Personality (New York: John Wiley & Sons, 1970), p. 301.

[12]C.N. Cofer and M. H. Appley, Motivation: Theory and Research (New York: John Wiley & Sons, 1964), p. 55.

[13]Scott and Hart, p. 254.

[14]Herbert Spencer, English philosopher and sociologist in social science, the chief exponent of the doctrine of "Social Darwinism."

[15]The distinguished prehistorian, Professor V. Gordon Childe, has made this point. He wrote, "It seems that Darwin's contemporaries applied as an analogy to organic nature the prevailing (but erroneous) conception of economic order and progress being the product of laissez-faire regime of unrestricted competition." History (London: Cobbett Press, 1947), p. 55.

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[17]Thomas Henry Huxley, "The Struggle for Existence: A Programme." Nineteenth Century, February 1888, 23, pp. 161-80.

[18]John Hammond and Barbara Hammond, The Black Age (Baltimore: Pelican Books, 1947), Alfred Sauvy, Fertility and Survival (New York: Criterion Books, 1961).

[19]For further discussion of the subject, see Ashley Montagu, Darwin, Competition and Cooperation (New York: Schuman, 1952).

[20]Alfred V. Espinos, Des Societes Animales (Paris: Librairie Bouilliere, 1878, 3rd ed. 1924).

[21]Henry George, Progress and Poverty (New York: 1879), p. 508.

[22]Professor Kessler, "Mutual Aid as a Law of Nature and the Chief Factor of Evolution," Memories of the St. Petersburg Society of Naturalists, Vol. 9, a lecture delivered at the annual meeting of the St. Petersburg Society of Naturalists, January 8, 1880, noticed in Nature, London, January 21, 1880.

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[24]Ibid., p. xii.

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[26]Lester Ward, Dynamic Sociology (New York: D. Appleton & Corp., 1883).

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CHAPTER IV

A GENERAL THEORY OF
ADMINISTRATIVE BEHAVIOR

"Science deals and can deal, only with what
one man can demonstrate to another." -- R. Ashby

Introduction

An Integration of the Existing Theories

An Overview: The preceding text examined, in a reasonably extensive manner, the theses of three theoretical positions (models) that currently exist in the field of organizational psychology. Each theoretical position asserts that a model for the optimum functioning or operation of an organization exists. A straightforward and sympathetic account of the following was presented for each of the three primary theses or closely related group of theses:

1. the assumptions upon which the theoretical foundations of the models were based, and from which the universality of the models was asserted,

2. the empirical evidence for the validity of such assumptions,

3. models from the previous centuries which were identical with or parallel to the models,

4.   the models, and

5.   empirical evidence for the validity of the models.

At the same time, an attempt was made to indicate some of the limitations of each position (model), both as seen by others and as deemed appropriate.

After having briefly sketched the rationale for the study in Chapter I an attempt was made, in Chapter II, to examine the validity of the Bureaucratic model as it exists in the literature of organizational psychology and to show that it derives its theoretical foundation from the assumption that man is "selfish" in his essential nature. This model asserted the appropriateness of an inflexible structure of organization, a structured-task, an external reward system for the performance of subordinates, and an impersonal or bureaucratic form of administrative behavior for the efficiency and effectiveness of organizations. Chapter II was divided into three main sections. In the first, an attempt to discover answers, if possible, to the following questions was made: Are there any theories in the field of behavioral science that constitute selfishness, aggressiveness, or competition as a biosocial nature, or nature of human nature? What is the empirical evidence, if any, that justifies the validity of such theories? Is

there any organizational theory that exists in previous centuries in the social context of the Western world, and that derives its theoretical foundation from the assumption that man is "selfish" or "aggressive" in his essential nature, and asserts a rigid task structure, impersonal forms of administrative behavior, and an external reward system of organizations?

The second section of the chapter includes Taylor's "scientific management," Weber's "Bureaucracy", and Gulick's, Urwich's and others' Administrative Management models. Three theories were considered together because they all derived their theoretical foundations from the assumption that man is, in his essential nature, "selfish," and emphasized, in one way or another, the rigid structure of organization, impersonal form of administrative behavior, inflexible task, and external reward. In the presentation, various aspects of structure and of task including design principles for both task and structure, and the detailed, fundamental characteristics of task and structure were emphasized. The main characteristics of the impersonal forms of administrative behavior, in the Weberian sense, and the main characteristics of external reward systems concerning subordinate performance and their relationship to the effectiveness of organizations was discussed. Other related concepts were briefly presented. The Bureaucratic

model was presented, in detail, primarily because it helps the reader get a clearer idea of the formal aspects of the various activities and techniques, their rational interrelations, and because it provided comparisons and contrasts to the thesis of the Bureaucratic Model with the theses of both the Human Relations and the Human Resources models. Comparisons between the three models were made in Chapter III.

In the final section of the chapter some of the limitations of the models, and of the supporting evidence for the validity of the models were presented. Supporting evidence was also presented in Chapters I and III.

Chapter III was devoted to an examination of the theses of two models of organization, namely the Human Relations model and Human Resources model. Since the brief summary and some of the conclusions of this survey of the theses of both the models were presented at the end of the chapter, they are not repeated here. Attention is devoted to presenting the general conclusions which were reached in this study.

On the basis of the evidence that was obtained from the survey of both the literature of behavioral science in general and the literature of organizational psychology in particular it was possible to draw the following conclusions:

Some Conclusions for the Thesis of the Bureaucratic Model

On the Assumption: It is assumed, based on the evidence, that theories exist in philosophy, political science, sociology, biology and psychoanalysis that emphasized "selfishness," "self-interest," "competition," "aggressiveness," etc., as the essential nature of human beings.

On the Validity of the Assumption: Similarly, the literature search found considerable evidence for the experimental and observational validation of the thesis of those behavioral scientists who assert selfishness and aggressiveness as an essential nature of human beings.

On the Identical Models: This study identified evidence for resemblance between the theory of social organization of Machiavelli, Hobbes, Herbert Spencer, and the Bureaucratic model of social organization of Weber, Taylor, and of Urwich. All these theories, in one way or another, derived their theoretical foundation from the assumption that man is selfish in his essential nature.

On the Validity of the Thesis of the Bureaucratic Model: On the basis of the findings of many studies, it can be said that there are two kinds of evidence which constitute validity of the thesis of the Bureaucratic model. First, it can be said that the Bureaucratic model of organization is universally valid only in an ideal sense because the validity of the model results from the

experimental and observational validity of its underlying assumption about the essential nature of human nature. A second kind of evidence which constitutes the validity of the Bureaucratic model is correlational field studies in organizations. Evidence from these studies indicates that the Bureaucratic model is valid only if tasks are routine and subordinates are security oriented. (March and Simon, 1958, Ch. 2; Whyte, 1969, pp. 3-9; Litwin and Stringer, 1969; Davis, 1967; Bennis, 1969)[1]

On the Thesis of the Bureaucratic Model: The Bureaucratic model can be analyzed in five main dimensions as proposed in Figure 8, assuming economic man, mechanistic structure, bureaucratic administrative form, rigidly structured tasks, and monetary motivation.

Some Conclusions for the Thesis of the Human Relations Model

On the Assumption: On the basis of the literary search of this study, it can be said that there is evidence indicating that the terms "reason," "sympathy," "cooperation," "mutual aid," "love," etc., which have been emphasized as the essential nature of human beings by the behavioral scientists from different fields, have referred to the origin or nature of social man on which the theoretical foundation of the model rested.

FIGURE 8

DIMENSIONS OF THE BUREAUCRATIC MODEL

Dimensions	The Thesis of the Bureaucratic Model
1. Assumption	Economic man
2. Structure of Organization	Mechanistic
3. Form of Administrative Behavior	Bureaucratic
4. Form of Task Structure	Structured or rigid
5. Form of Subordinate Motivation	External: Money

<u>On the Validity of the Assumption</u>: There is considerable evidence in the literature for the experimental and observational validation of the thesis of those behavioral scientists who assert "reason," "sympathy," or love and cooperation as an essential part of human nature.

<u>On the Identical Model</u>: On the basis of comparisons made in this study, it can be said that there is considerable evidence of a strong similarity between Locke's "Democratic Organizational model" and Mayo's Human Relations model.

<u>On the Validity of the Thesis of the Human Relations Model</u>: On the basis of the comparisons made in this study, it can be said that there is empirical evidence

that justifies the validity of the thesis of the Human Relations model. First, it can be said that the thesis of the Human Relations model is universally valid only in an ideal sense since the validity of the thesis results from the empirical validity of the assumption--social man--upon which the theoretical foundation of the Human Relations model was based. The evidence which justifies the thesis of the model is correlational, experimental and field study-based. Many of the findings from this type of study are consistent with the thesis of the Human Relations model.

On the Thesis of the Human Relations Model: The thesis of the Human Relations model can be analyzed in its five main dimensions as shown in Figure 9. Those are the assumption of social man, organic structure, supportive administreative behavior, flexible task, and money and social motivation.

Some Conclusions for the Thesis of the Human Resources Model

On the Assumption: There is evidence indicating that "the terms" "innate instinct of sociability," "productive orientation," "the real self and its realization," and "existential being," "the autonomous person," "creating," "becoming" which have been emphasized by the behavioral scientists as the essential nature of human beings, are the origin of the self-actualizing man,

FIGURE 9

DIMENSIONS OF THE HUMAN RELATIONS MODEL

Dimensions	The Thesis of the Human Relations Model
1. Assumption	Social man
2. Structure of Organization	Organic
3. Form of Administrative Behavior	Supportive
4. Form of Task Structure	Flexible
5. Form of Subordinate Motivation	External: Money, "social"

on which the theoretical foundation of the Human Resources model has been based.

On the Validity of the Assumption: There is considerable evidence for the experimental and observational validation of the thesis of those behavioral scientists who assert "self-actualization" or "real self and its realization" as an essential nature of human nature. Such evidence justifies the validity of the thesis of "self-actualization."

On the Identical Model: On the basis of the literature examined in this study, it can be said that there is considerable evidence indicating that McGregor's Human Resources model (Theory Y), or Likert's System 4 are

nearly identical to Rousseau's Democratic organization model.

On the Validity of the Thesis of the Human Resources Model: On the basis of this study, it can be said that there are two kinds of empirical evidence that justify the validity of the thesis of the Human Resources model. One constitutes the validity of the theoretical foundation of the model, whereas the second justifies its effectiveness when the model is applied to an organization. Concerning the first, it can be said that the thesis of the Human Resources model is universally valid only in an ideal sense because the validity of the thesis of the model results from the empirical validity of the assumption—self-actualizing man—upon which the theoretical foundation of the model is based. Secondly, the evidence which constitutes the thesis of the model derives from the correlational, experimental, and field studies that were designed to test the thesis of the Human Resources model in an empirically complex world, particularly in differing types of organizations. Many, if not all, the findings from these studies are consistent with the thesis of the Human Resources model.

On the Thesis of the Human Resources Model: The thesis of the Human Resources model can be analyzed into its main dimensionsas shown in Figure 10. Those are the assumption of self-actualizing man, organic structure,

FIGURE 10	
DIMENSIONS OF THE HUMAN RESOURCES MODEL	
Dimensions	The Thesis of the Human Resources Model
1. Assumption	Self-actualization
2. Structure of Organization	Organic
3. Form of Administrative Behavior	Participative
4. Form of Task Structure	Unstructured, enlarged
5. Form of Subordinate Motivation	Extrinsic and intrinsic

participative administrative behavior, unstructured and enlarged task and extrinsic _and_ intrinsic motivation.

An Integration

After having sketched some of the conclusions concerning the thesis of each model, the theses can be compared in the social context of Western societies where the thesis of each model was developed, at different points in time and space, and where the historical comparative survey of the theses of the models took place.

It has been pointed out that the theses of the Bureaucratic, Human Relations, and Human Resources models are universally valid only in an ideal sense because the validity of the thesis of each model results from the validity of its underlying assumptions about the nature of man. It has also been pointed out that there is a resemblance between the theory of social organization of Machiavelli and Hobbes, and the Bureaucratic model of social organization of Weber and Taylor. The resemblance between Locke's Democratic Organizational model and the Human Relations model of Mayo was observed. Finally, it was pointed out that the Human Resources model is identical to the Democratic Organization model of Rousseau. At the same time, it was indicated that the resemblances which exist between models are ones which derive from assumptions about the nature of human nature upon which the theoretical foundation of each model was based. So the models or theories of Machiavelli, Hobbes, Spencer, Locke, and Rousseau were accepted as ideal at one time. The models of Hobbes, Locke, Rousseau and others, developed in the years between the seventeenth and eighteenth or nineteenth centuries in the social context of the Western world, were also seen as ideal at one time. It seems appropriate at this point to pause and attempt to compare the thesis of each model at various points in time and space in order to arrive at a general

theory--the general framework to which reference is already made in Chapter I.

Since the theses of all three models, namely the Bureaucratic model, the Human Relations model, and the Human Resources model, are universally valid in an ideal sense, it is expected then that they will be effective when applied to an organization. Suppose, in a hypothetical case, that all three "ideal" models were applied at the same time to organization "A"--an organization that existed at a given point in time and space in a society. Suppose the society was either past or present, and from either the Western or Eastern world. Only one of the three ideal models, either the Bureaucratic model, the Human Relations model, or the Human Resources model can be most effective at a given point in time and space for the optimum functioning or operation of organization "A" since the theses of all three models are not identical.

Suppose that hypothetical organization "A" exists in the Western world at a point in time between the seventeenth and eighteenth centuries--approximately when and where Hobbes', Locke's, and Rousseau's ideal models or theories of social organization were developed. In this hypothetical situation, simultaneous application of Hobbes', Locke's, and Rousseau's ideal models to organization "A", which exists in the socio-cultural and

socio-technical conditions of the seventeenth and eighteenth centuries, one would, from the evidence presented in Chapter III, find that while Hobbes' model was appropriate, neither Rousseau's nor Locke's "ideal" model was appropriate for the optimum functioning or operation of organization "A". There is evidence, however, indicating that both Rousseau's and Locke's models are appropriate to organizations that exist under the socio-economic, socio-cultural, and socio-technical conditions of the current time in the Western world. Why is it that both the ideal model of Locke, which assumes that man is social in his essential nature, and the ideal model from Rousseau, which assumes that man is "self-actualizing" in his essential nature, are more applicable to organizations of the current time rather than to organizations of the seventeenth and eighteenth centuries? Since a resemblance existed between Locke's Democratic Organization model and the Human Relations model, and between Rousseau's Democratic Organization model and the Human Resources model, and since the ideal models of Locke and of Rousseau are not applicable under some socio-economic, socio-cultural, and socio-technical conditions to some organizations, rejection of the universality or general applicability of both the Human Relations model and Human Resources model seems justifiable. But how can one ignore the fact that there

are over a thousand empirical studies in the literature of organizational psychology that constitute the universal applicability of both models?

Returning to the discussion of Hobbes' ideal model--it was agreed that Hobbes' model or theory of social organization was the most effective when applied to organization "A" or to organizations of the seventeenth and eighteenth centuries, yet neither Locke's nor Rousseau's ideal model was most effective to organizations of that time. How does one know that the model of Hobbes was the most effective one for the optimum functioning of organizations of his time? In responding, it should be asked whether the organizations of the time responded to the needs of the people of that day? The answer should be yes; because 1) if the prevailing model, which was Hobbesian or Machiavellian, was not the effective one for the functions and operations of the organizations of the day in the Western world in the sixteenth, seventeenth, and eighteenth centuries, there would be no France, England, Sweden or Norway today, and 2) because society, like any organism, is a part of a "living system." It has a birth date, life history, it is like a biological organism, living, growing and dying, but more long-lived than biological organisms. The long life of a society is contingent upon proper functioning of its organizations. If this was not so, then human history would not have to

explain what happened to the Roman Empire, the Ancient Greek States, to the Turkish Ottoman Empire or the Old Egyptian State. The final decision about whether organizations responded to the needs of the day should, however, be left to the judgment of behavioral scientists.

A second question is, how can the fact that there are over a thousand empirical studies in the literature of organizational psychology that constitute the universal applicability of both the Human Relations model and the Human Resources model to organizations be explained? Since these two models are different, how can one assert, based on the empirical evidence, that both models are universally most effective when they are applied, at the same time, to an organization? In reality, the situation defines the limits of the applicability of each model. Empirical evidence that supports the theses of both models has been in existence since 1930, the year when the Human Relations model was developed, and the empirical evidence has been obtained from the studies of organizations in France, Germany, Sweden and Norway in general, and England and the United States in particular. In 1960, a year when the phrase "post-industrial society" was already being used to characterize the Western world, the Human Resources model war born; and in the years since, it has been supported by empirical studies in the societies which were using complex technology in their organizations.

When considering the sources of the proof of applicability, it becomes clear that neither the Human Relations model nor the Human Resources model can be most effective when they are applied to the organizations of a society or societies that are "underdeveloped", like the countries of the Third World. The empirical studies indicate how well the Human Resources model fits in or is applicable to organizations of the societies known as "post-industrial societies," and also indicate that the Human Relations model is effective when it is applied to organizations of a society or societies that are similar to the socio-economic and socio-technical conditions of the United States and England in the years between 1930 and 1960.

From what was presented in the foregoing discussion, it appears that all the existing models are not universally effective, nor is one consistently inferior under all environmental conditions. Each model can be effective when applied to organizations where the situations fit that model. There is a causal relationship or interaction between the characteristics of the environmental conditions and the characteristics of the dimensions of a model at a point in space and time at which the model, when applied to an organization under those characteristics of the environmental conditions, is to be most effective. Figure 11 illustrates these

FIGURE 11

AN ILLUSTRATION OF THE OPTIMUM POINTS FOR THE OPERATION OF THE MODELS IN TIME AND SPACE IN THE SOCIAL CONTEXT OF THE WESTERN WORLD

- The Christian view
- Feudalism
- Poverty of majority

- Social Darwinism
  Industrial Revolution
- Scientific discoveries
  - Technological Advances

- 1930 The Great Depression
- Keynesian theory of economics
- Challenge to Social Darwinism

- New scientific discoveries
- Accelerating techno-
  logical change

- Accelerating social
  change
  - Post-
    Industrial
    period

1600	1850	1900 T1	1930 T2	1960 T3 T4
T				
OA	OA1	OA2	OA3	OA4

Hobbes model

Locke's model → Bureaucratic model

Rousseau's model → Human Relations model

Human
Resources
model

effective points for each pair of ideal models when they are applied to the organization in the historical social context of the Western world. The Bureaucratic model, for example, as shown in _Figure 11_, or Hobbes' model rather than the others is the most effective when it is applied to the organizations either OA or OA1 under the characteristic of the environmental conditions at the points between time T, 1700 and time T1, 1930. The Human Relations model or Locke's model, on the other hand, is most effective and most applicable when applied to the organization, OA2 under the characteristics of the environmental conditions at the points between time T2, 1930 and time T3, 1960. The Human Resources or Rousseau's model is the most effective for the operations and the functions of the organization, OA3 that exist under the characteristics of the environmental conditions at the points between time, T3, 1960 and time, T4.

If one were to reject the above definition--the points at which all the existing ideal models are the most effective and at which the characteristics of the ideal models are causally related to the characteristics of the environmental conditions-- then it would be impossible to accept the empirical evidence which justifies the validity of each of the ideal models. It would also be impossible to speak of the different characteristics of the theses of the existing ideal models unless they are placed in

different environmental conditions at the different points of space and time in the historical social context of the Western world.

If the existing models and their essential dimensions are analyzed (see <u>Figures 8</u>, <u>9</u>, <u>10</u>, and <u>12</u>), it becomes clear that the theses within each one of the essential dimensions, including the underlying assumptions, of the existing ideal models are seen to exist on an historical continuum. As shown in <u>Figure 12</u>, the thesis within each one of the essential dimensions of the Bureaucratic model represents the left end of the most effective points on the continuum. The thesis within each one of the essential dimensions of the Human Relations model indicates the middle part of the most effective points. And, finally, the thesis within each one of the essential dimensions of the Human Resources model corresponds with the right end of the most effective points on the continuum.

In light of this preliminary analysis and that previously stated, it can be said objectively, in qualitative form only, that the following, with regard to the questions stated in Chapter I, appear true (it should be noted that there is a distinction between A) <u>the essential dimensions</u> and B) <u>the theses within the essential dimensions</u> of the existing ideal models, also shown in <u>Figure 12</u>):

FIGURE 12

DIMENSIONS AND CHARACTERISTICS OF THE MODELS

● Feudalism   ● Social Darwinism   ● Challenge to Social Darwinism   ● Post-Industrial period

T1 1900   T2 1930   T3 1960

OA1   OA2   OA3

Hobbes' model ——→ Bureaucratic model

Locke's model ————————→ Human Relations model

Rousseau's model ←——————————→ Human Resources model

CHARACTERISTICS OF THE MODELS

DIMENSIONS			
Assumption	Economic man	Social man	Self-actualization
Structure of organization	Mechanistic	Organic	Organic
Form of administrative beh.	Bureaucratic	Supportive	Participative
Form of task structure	Rigid, structured	Flexible	Unstructured, enlarged
Form of subordinate motiv.	External, money	External, social	External, internal

A)   it can be said, with regard to the essential dimensions, that all the existing ideal models are always essentially the same at any point in space and at any point in time since, in spite of their divergent theses, the first model—the Bureaucratic one—possesses each one of the essential dimensions of the second and third models—the Human Relations and the Human Resources models. The divergent theses within the essential dimensions of the existing ideal models represent, <u>at their most effective point</u>, the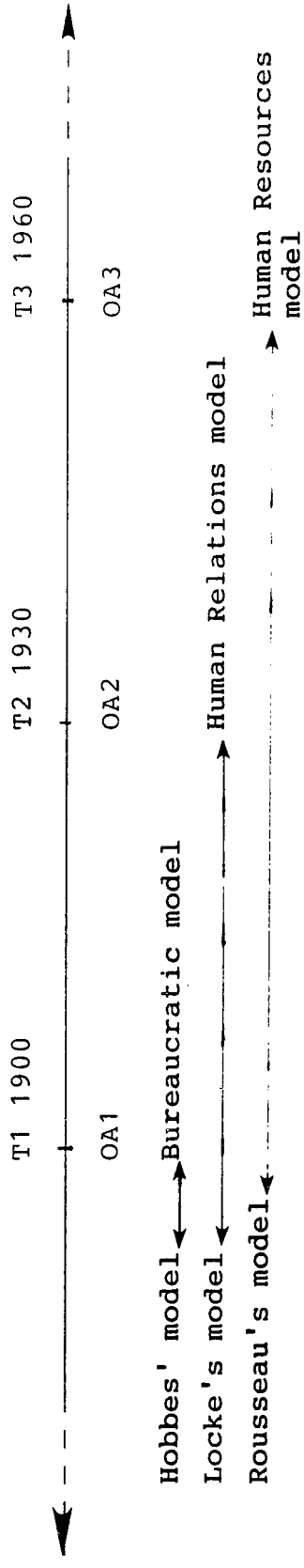 discrete environmental conditions at the different points in space and time in the historical social context of the Western world. Perhaps full justification for the universality of the essential dimensions is not derived only from that which has already been indicated, but also from the empirical world. It is practically impossible, for example, to observe or even imagine a society in the past, present or future in which "organizations" exist without the essential dimensions <u>administrative behavior</u>, <u>task</u>, and <u>subordinate motivation</u>.

In the essential dimensions shown on the lower left of <u>Figure 12</u>, the structure of the model organization and the assumption about the essential nature of human nature are eliminated. The reason

is that, since the structure of the model organization is composed of the essential dimensions and since the conceptual model of a social system organization is a way of arranging the essential dimensions, the structure of the model recorded in the list of essential dimensions in <u>Figure 12</u> becomes, simply, a result of the arrangement. The structure of the model should therefore not be included in the category of the essential dimensions--the essential dimensions that specify the conceptual model of a social system-organization proposed in Chapter I. Discussion of the essential dimensions, however, is also a discussion of the structure of the model--or the model of a social system organization--although at the different level of the conceptual abstraction. In the case of this assumption, it is sufficient to say that since, from the assumption, only the theoretical foundations of the existing ideal models are derived and justified, the assumption itself cannot therefore be seen as one of the essential dimensions. Yet it might be observed that, when the proposed conceptual model of the social system organization is applied to an actual organization, the assumption corresponds precisely to one of the three essential dimensions, namely subordinate motivation.

When the previous discussion is considered, it becomes clear that neither the structure of the model nor the assumptions are eliminated. Rather, they are differentiated from, and at the same time integrated into the essential dimensions. Therefore, both might still be considered assumption(s) at different levels of the analysis of the model.

B) Concerning the theses within the essential dimensions--it can be said that all the [existing ideal] models are always different at different points in space and time since the divergent theses within the essential dimensions of the existing ideal models--the Bureaucratic, the Human Relations and the Human Resources models--precisely correspond at their most effective points within the discrete environmental conditions at the different points in space and time. This statement suggests that any thesis within the essential dimensions of the models of social systems (organizations) must always be different at the different points in space and time. Perhaps full justification for the validity of the statement is not derived only from that which has already been indicated in the statement with regard to the most effective points of the existing ideal models, but is also derived from logical

necessity. One cannot, for example, speak of two models unless they are placed at different points in space and in different points in time, or unless the distance between their most effective points is established through other environmental conditions in the organic or living world.

Putting these two statements together--statements A) and B)*--it can be said that all these models of social systems--organizations--are always the same, but at the same time, they are all always different at given points in space time in any social context of human societies. This integration supports the suggestion that there is precisely one, and only one, model of social systems that is always the same but, at the same time, that is always different in the organic or living world. This general conclusion needs, however, qualification, restriction and clarification.

To illustrate what is meant when one says that all models of social systems--organizations--are always the

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*In the distinction tentatively made and discussed earlier, Statement A concerns the essential dimensions --Administrative behavior, task and subordinate motivation --whereas Statement B considers the theses for all the existing ideal models--the Bureaucratic, the Human Relations, and the Human Resources models--within the essential dimensions, as shown in Figure 12.

same: for a moment suppose that a scientist who, after much investigation into all kinds of apples, comes to the conclusion that <u>all the apples in the world are always the same</u>. From what the scientist has said, it appears that he recognizes some fundamental properties which, in their interconnection, constitute the formal identity of apple(s) and differentiates the apple(s) from everything else in the world. Further understand that the fundamental elements, which in their interconnection, identify the apple(s) as constant, unchanging, and <u>state-determined</u> in their origin do so only if the apple(s), at different points in time and space, are always the same <u>in some basic way</u>. If one rejects <u>the state-determined origin</u> of these fundamental elements, it becomes impossible to speak of the same fundamental elements and consequently the interconnection from which the existence of the apple(s) arises. Similarly, when it is stated that <u>all the models of social systems--organizations are always the same in the organic world</u>, it means the essential dimensions--namely administrative behavior, task and subordinate motivation which, together in their interconnections, constitute the formal identity of the model of social systems, and which differentiate the model from the models of group, crowd, mass, and informal organization in human society. It means that these essential dimensions, which in their interconnection constitute the formal identity of the

model of social systems, are always constant, unchanging, and _state-determined_ in their nature if the essential dimensions are always the same at different points in time and at different points in space in the organic, changing world. As in the case of the apples, if, and only if, one denies the unchanging or state-determined nature of the essential dimensions and, in turn, the formal identity of the model of social systems (organizations) it becomes impossible to speak of the existence of the theses of all the existing ideal models. It also becomes impossible to speak of the existence of the actual organizations in the organic world, because the existing ideal models--namely the Bureaucratic, the Human Relations and the Human Resources-- possess their divergent theses within the same essential dimensions and also because the divergent theses within the same essential dimensions of all the existing ideal models represent, at their most effective points, the actual organizations at different points in time and at different points in space in the historical social context of the Western world. It is evident that actual organizations in the empirical world possess the same essential dimensions--namely administrative behavior, subordinate motivation, and task--although the forms, but only the forms, of these essential dimensions differ from one organization to another, and from one culture, society, and nation or state to another. In general, it can be said that the form of administrative behavior in a

Russian organization is much more directive than the one in a Turkish organization. When comparing the forms of administrative behavior in American, Russian, and Turkish organizations, it can be said that in the organizations of the three nations, the forms of administrative behavior are certainly of different order. However, they are all still administrative behaviors.

Finally, when it was stated that all the models of the social systems--organizations--are always the same, it did not mean the formal identity of the model or the essential dimensions, unrestricted, in the physical space-time continuum, since the formal identity of the model precisely represented, in an ideal* sense, all the actual organizations in the empirical world. The model then, like those of any other model for living systems, has an initial point--that is the initial point at which human society gave birth to organizations in the space-time continuum. Considering, now the continuum infinitive in time and in space, it can be seen that for the initial point of the model, time "t" is always equal to zero--"t"=0. So that the statement--all the models of the social systems' organizations are always the same in time and space, it is recognized that from the time initial point (t=0) to infinity (t=) in the space-time continuum--the essential dimensions in their nature are

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*The term "ideal" is employed here and elsewhere in the study not as a synonym for mental or subjective, but rather as a synonym for perfect.

always the same in any social context of the human societies.

Considering the divergent theses within the essential dimensions of the existing ideal models presented above--namely the Bureaucratic, the Human Relations and the Human Resources models--it is important to note that they differ only in the forms of the essential dimensions. When organizations are portrayed as different from each other, it is only recognition of the difference in the forms of the essential dimensions which, together in their interconnections, constitute the different models of social systems, i.e. organizations at different points in space and time in any social context of human society.

Thus, as was suggested in the previous discussion, there is <u>only one model</u> of social systems--organizations that is always the same but at the same time that is always different in the organic world. This recognizes the existence of a distinction that exists between <u>the essential dimensions</u> and <u>the form</u> in each one of the essential dimensions of <u>the model of social systems--organizations</u>.

Since the essential dimensions, which in their interconnection constitute the formal identity of the model of social systems--organizations, are always the same in their nature and recognize no values at the

initial point in the space-time continuum of any society, the form at the very first moment emerges in each of the essential dimensions with <u>qualitative values</u>--qualitative values that are precisely identical with and derived originally from the values that the society possesses at the very first stage at which it gives birth to the social organization. When this happens, each of the essential dimensions recognizes its own form and the model, at its initial state, represents precisely the actual organization in the society in which it first existed. This does not knowingly violate the accounts of historians, sociologists and anthropologists concerning the initial point of the society. This suggests that societies' beginnings are simultaneous with the initial beginning of the organization if the organization differentiates the human society from other societies of living things.

In the initial state the basic rule for the characteristics of societal forms is equivalent to the following formulation:

1. the qualitative values of the form in each one of the essential dimensions of the model are <u>stable</u>, <u>uniform</u> and <u>standard</u> since these values best represent dichotomizing beliefs, thoughts, ideas, sentiments, expectations and knowledge or technology for the solution to the problem(s) in the society,

2.   the qualitative values of the form in each one of the essential dimensions of the model are <u>positive</u> and <u>primary</u> since the essential dimensions recognize or possess no values at the initial point, and

3.   the qualitative values of the form in each one of the essential dimensions of the model moves, <u>from the initial point</u>, <u>only forward</u> but <u>never backward</u> in the space-time continuum.

The argument here is crucial. Consider the model at the initial state, say "<u>model X1</u>," representing an initial environmental condition of a society--any society--at the point of Time T0. Imagine a point in Time, T1, anywhere in the space-time continuum of the society. What could be said about the state of the model X1? There seem to be only two possibilities: either the model X1 at time T1 is still the same state as it was at time T0, or there must be a different model, say "<u>model X2</u>" at the point in time T1. If the first possibility is accepted that the state of the model X1 would still be the same and representing the environmental condition at the point in time T1 as it was representing the condition at the point in time T0, implicitly, if not explicitly, one is accepting the fact that changes from time T0 to time T1 in the space-time continuum of the society are null--that is, there is no change in the society over time. <u>Figure 13</u> illustrates the null-function. This first possibility would probably be accepted by no one. If this possibility is rejected,

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FIGURE 13

THE NULL-FUNCTION OF CHANGE FOR THE
VALUE OF X1 AT POINTS T0 AND T1

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X1    x|------------------------------ X ----------------
       |
-------|_____
      T0                              T1
```

Time

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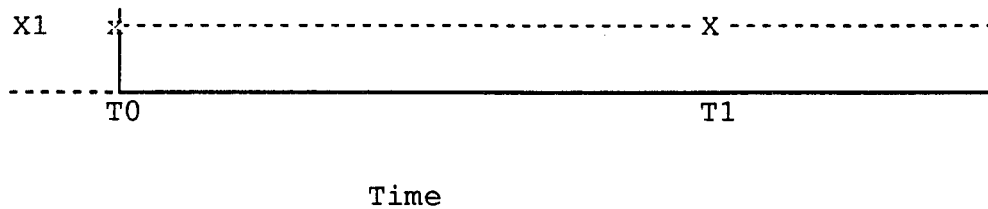
we are left only with the possibility that a different model, the model X2 must exist at the point in time T1.

Comparing the qualitative values of the forms in each one of the essential dimensions of these two models, namely the model X1 and the model X2, it becomes difficult to deny that the qualitative values of the first model must be minus and secondary to the qualitative values of the second model since a difference between the two models only exists or is only different if they are representing different environmental conditions at different points in space and at different points in time in the space-time continuum of the society or societies. If one considers additional points in different times, say T2, T3, and T4, exactly the same conclusion is reached. For example, at the point in time T2, the qualitative values of the model X2 become minus and secondary to the next model, say model X3. Consequently, every qualitative value of each preceding model becomes minus and secondary to the qualitative value of each succeeding model at some

critical point in the space-time continuum of the society or societies. This form of change, called the step-function, is illustrated and defined in Figure 14.

When comparing the qualitative values of different models, the exclusion of everything similar results in the isolation of everything which does not belong to the qualitative values of the model at the lower order in the space-time continuum. These distinctions are precisely what must be known about the systems of social organizations since the models are no more than a conceptual framework of organic organizations, for it is in these distinctions that the leading moments of their effectiveness, in fact of their life forms, lie. Thus, if comparing the systems of different social organizations, the differences between the qualitative values of their forms in each one of the essential dimensions are of greater importance than their similarities.

With regard to the distinctions stated above, if one considers the different forms--divergent theses--in each one of the essential dimensions of all the existing ideal models (Bureaucratic, Human Relations and Human Resources) representing at their most effective points (see Figure 12) discrete environmental conditions at those points in time and space, it becomes impossible to reject the existence of two further models. The first must represent conditions to the left of the most effective points and the second represents the conditions to the right end of

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FIGURE 14

THE DEFINITION OF THE STEP-FUNCTION

	T0	T1	T2	T3	T4	T5
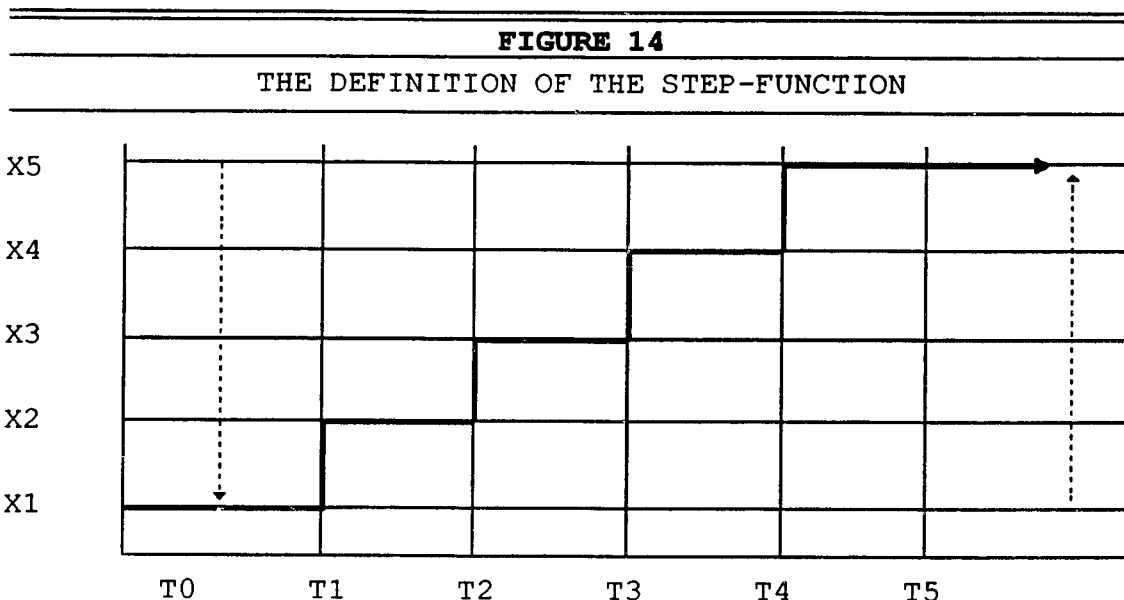
The definition of the step-function: It "has finite intervals of constancy separated by instantaneous jumps." And, to complete the set, we need it." (1)

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the most effective points of the existing three ideal models. This then identifies a complete set of five ideal models. Before presenting the five ideal models illustrated in Figure 15, the following questions must be answered along with examination of certain principles from which the dynamic nature of the model(s) can be understood at individual, organizational, and societal levels.

Proposing two additional models naturally raises the question, "Why two more?" Or, why wouldn't one consider more than two models, since the representative intervals between points, as shown in Figure 14, are infinite in the space-time continuum? Additionally, why are the two

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FIGURE 15

AN INTEGRATED THEORETICAL FRAMEWORK OF FIVE IDEAL MODELS
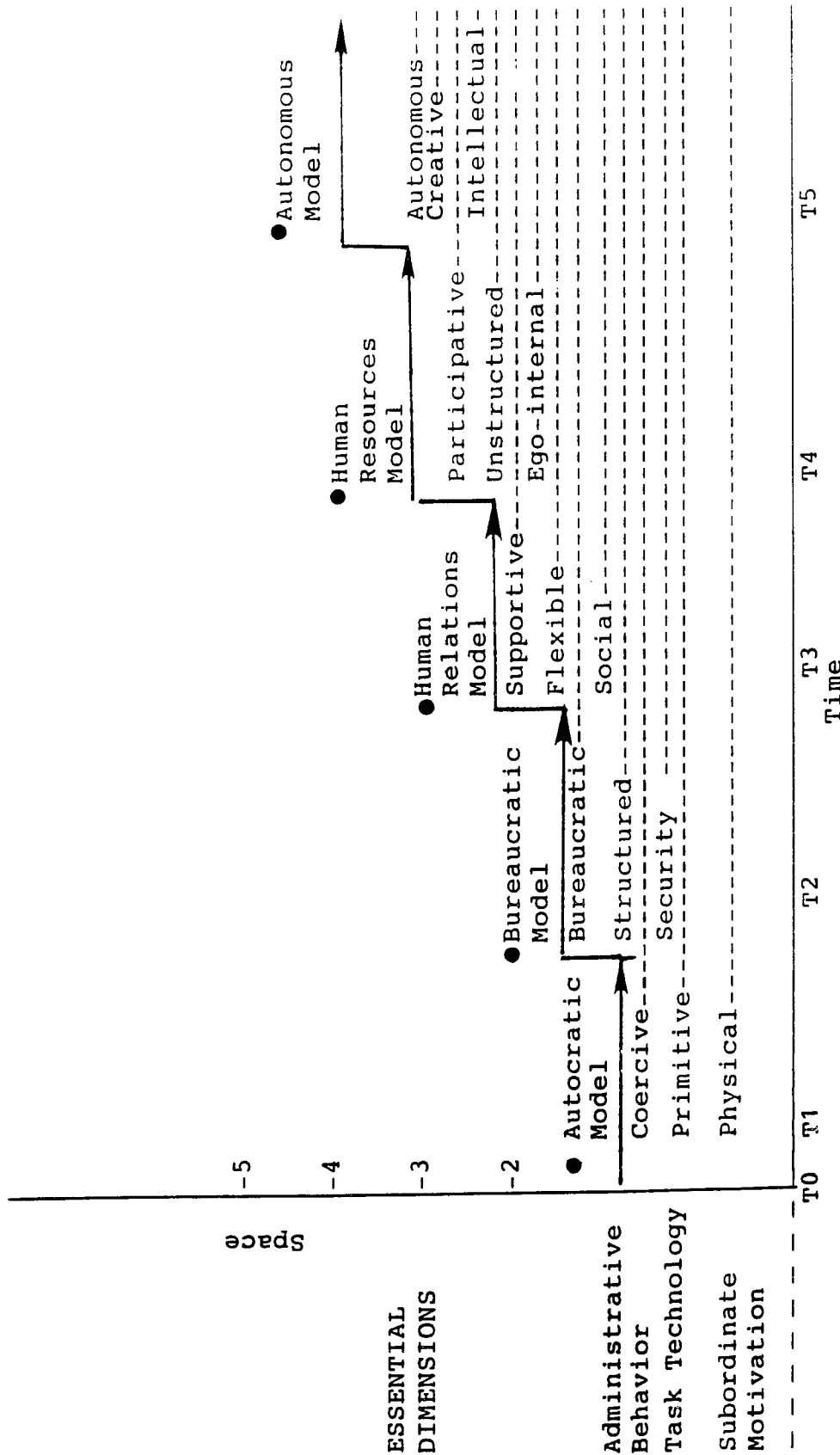
models proposed at the opposite ends of the most effective points? Why not both at the same end of the continuum? In response, consider that, from the left end to the right, or from the right to the left of the most effective points, the qualitative values of everyform in each one of the essential dimensions of the existing ideal models are examined (see Figure 12). It can be seen that the qualitative values of the forms change by degrees at critical points in the space-time continuum. For example, the qualitative values of the forms in the dimension of administrative behavior move in interconnection with the qualitative values of the forms in the other dimensions from the bureaucratic to supportive and then to participative. It is, therefore, expected that the Autonomous model would be appropriate at the right end where control trends toward a decrease, and the Autocratic model at the left end, where control is the greatest, of the most effective points (Figure 15). Consideration of more than two additional models seemed inappropriate because if, with regard to the qualitative values of the forms in each one of the essential dimensions of the Autonomous model (Figure 15), a further model, say Model 6, representing some environmental conditions at the point in time T5 were proposed there would seem to be only two possibilities: either the distinctions between the qualitative values of the forms in each one of the essential dimensions of the Autonomous model and of Model

6 equal zero--and therefore Models 5 and 6 are the same (no difference), or the qualitative values of the forms in each one of the essential dimensions of Model 6 must be zero since the qualitative values of the forms in each one of the essential dimensions of the Autonomous model are in their <u>final states</u>. An example makes this clearer. Assuming that there is no task more complex than the task of being creative, if one accepts the first possibility--that the distinction between forms equals zero, the qualitative values of the forms in each one of the essential dimensions of Model 6 are the same as the qualitative values of the forms of the Autonomous model, hence the distinction is zero--the models are the same. If, however, one accepts the second possibility, there are no organizations--the dimensions have gone beyond their final state of autonomy, and the degree to which organizations exist is zero. The step-function of change in the qualitative values of the forms in each one of the essential dimensions was determined in the nature of the essential dimensions of the model of social systems--organizations.

1.   Since, as shown in <u>Figure 15</u>, from the initial state to the final, or from the state of the Autocratic model to the state of the Autonomous model, the step-function of change in the qualitative values of the forms in each one of the essential dimensions of the five ideal models in the space-time continuum is

the same as the change in the conditions of the society, shown in <u>Figures 11</u> and <u>15</u>, it becomes sufficient to suggest that there is <u>a tendency toward progressive evolution</u> in the nature of the essential dimensions--namely in the nature of administrative behavior, in the nature of task technology, and in the nature of subordinate motivation. Perhaps it can be said that this tendency toward progressive evolution is ultimately in the nature of human nature, and, in turn, in the nature of the organization and the society.

2. Since the qualitative values of the forms in each one of the essential dimensions of all the ideal models, as shown in <u>Figures 11</u> and <u>15</u>, represents their most effective points for the discrete environmental conditions at different points in space and time in the historical, social, cultural, economical, and technological contexts of the Western world, there is <u>a tendency toward fitness and harmony</u> in the nature of the essential dimensions--namely in the nature of administrative behavior, in the nature of task technology and in the nature of subordinate motivation. Perhaps, this tendency toward fitness and harmony is ultimately in the nature of human nature, and in turn, in the nature of organization and society. So that, individual, organization and society are interrelated systems.

3.   Since, from the initial state to the final, all the proposed five ideal models of social systems-organizations possess representative points--the conditions in the environment--in the space and time continuum shown in _Figures 11_, _12_ and _15_, _there is a fitness or a state of equilibrium_ among the essential dimensions, or in the model, and in turn, in organization and in society. Ultimately, this fitness is in the nature of human nature.

With regard to these propositions that there is a fitness--that there is a tendency toward fitness, and that there is a tendency toward progressive evolution in the nature of human nature--consider, in the space and time continuum, the initial point at time T0 at which man first existed.   It becomes clear that the contradiction between the underlying assumptions of the existing ideal models about the nature and motives of man---selfish or economic man, social man, and self-actualizing man shown in _Figure 12_--has been resolved and explained.   It can be said that man is neither good, bad, or neutral in his nature. Everything external to man is internal, and, at the same time, everything internal to man is external.   So that by improving his internal from the external (environment), and, at the same time improving his external from the internal, man has been able to exist since the time of creation.   These relationships between the external and

the internal are both complex and many-staged. The three principles of fitness, tendency toward fitness, and tendency toward progressive evolution are common in all the living beings; that which clearly differentiates man from that of others is <u>his educability and adaptability</u>.

What then would be the general theory of the effective administrative behavior with regard to the five ideal models identified in this study? That answer will follow, but first two points must be mentioned:

A)   the framework, which is proposed in Chapter I and discussed in this chapter, is briefly shown in <u>Figure   1</u> of Chapter I, and <u>Figures 11</u>, <u>12</u> and <u>15</u> of this chapter.   It defines five ideal models with regard to the three essential dimensions of the model of social systems.   Thus, each model is composed of specific qualitative values of the forms in each one of the essential dimensions-- namely, administrative behavior, task technology, and subordinate motivation of the system model. The question of the effectiveness of administrative behavior is therefore framed in a conceptual structure of the system model encompassing the three essential dimensions considered as independent variables, and defined as follows: Administrative behavior is defined as a form of control which a superior dictates on a subordinate's working behavior.   Task technology is a form of work which a

subordinate performs in an organization. Subordinate motivation is a form of need, interests and values which characterize subordinate perceptions and behavior. Subordinate job satisfaction and performance are defined as measurement criteria of effectiveness. These are, therefore, the dependent variables in the theoretical framework at the operational level, and

B) the following descriptions of the five ideal models briefly indicate the rationale for their validity, justified in earlier discussions. Since these are ideal models, in a perfect sense, the concepts and relationships they describe are perhaps idealizations rather than true descriptions of the more complex organic world:

Models of Administrative Behavior

Autocratic

Coercive Form: This form is defined as the most controlling relationship between superior and subordinate. It is characterized by the exercise of power and authoritarian methods to obtain conformity and submission (e.g. tradition). As a result, complete control may be realized over all aspects of subordinate behavior. It is expected that this form of administrative behavior is appropriate and effective only for the primitive form of task and technology. Examples are:

Farming, warfare, and hunting which involve securing the basic means of life at the very elementary level. Because of the crucial nature of these initial states of existence, an autocratic form of administrative behavior is expected to be necessary to ensure swift and sure conformity. Individuals living at such primitive levels of subsistence are considered to have a motivational orientation toward the physical or basic needs or survival. Examples are: To obtain food, shelter, and procreation which concern the primitive aspects of life. The subordinate working under this form of motivation is expected to respond best to the primitive technology and the coercive form of administrative behavior because both reflect the elementary or underdeveloped aspects of the organic world.

Bureaucratic

Bureaucratic Form: This form of administrative behavior is defined as an impersonal and rational relationship between superior and subordinate. The tasks are highly specialized and the method of operation is completely established and arranged by the superior so that everything is rational. External rewards (financial) are considered to be the primary performance motivator for subordinates. It is expected that the Bureaucratic form of administrative behavior is the most effective one for routine and highly structured tasks involving repetitive

operation.   Rigid supervisory control is required to ensure optimal performance.   It is expected that subordinates who are primarily concerned with security needs will find the financial stability and orderliness of this form of administrative behavior and task-technology most desirable.

Human Relations

Supportive   Form: This form of administrative behavior is focused upon the social relationship between subordinate and supervisor. Social rewards and sanctions are given to subordinates in socially acceptable ways which   provide   subordinates   with   emotional   and psychological   support,   and   encourage   subordinates   to participate in planning and choosing among alternative solutions to problems. Service forms of task-technology, which   include   providing   personal   service   to   support others, are typically most appropriate.   In the model, subordinates characterized by the social need to belong, to be liked, to be respected, and to give and receive affection   respond   best   to   a   supportive   form   of administrative behavior and the service forms of task.

Human Resources

Participative   Form: In this model there is a relationship   in   which   subordinates   are   accepted   and encouraged to share and to participate not only in routine

decisions, but in important matters as well. Superiors attempt to uncover the creative resources of subordinates and share problem-solving responsibilities with subordinates. This form of administrative behavior is considered to be the most effective for the complex form of task and technology. Subordinate tasks include influencing the behavior of others. The participative form of administrative behavior is, in more complex situations, most appropriate because superiors share their responsibility with subordinates which provides access to greater knowledge, status and authority, therefore facilitating and legitimizing subordinate influence. It is expected that the participative form of administrative behavior and the complex forms of task are the most effective for the individuals with ego-oriented forms of needs and motivation. As already noted in earlier discussions, this form of administrative behavior is the most effective for highly developed countries.

Autonomous

Autonomous Form: This form of the administrative behavior is defined as a relationship in which almost no control is exercised over subordinates. The superior only provides information and administrative support to help subordinates perform their jobs. Subordinates are free to select tasks they will perform and the ways in which they will accomplish them. It is expected that this form of

administrative behavior is most effective for <u>the creative</u> <u>forms of task</u>. It includes, for example, the production of complex ideas where great judgment and originality are required. The most appropriate forms of the subordinate motivation appear to involve <u>intellectual needs</u> which include abstract, conceptual ideas: Self-fulfillment, theoretical understanding, and aesthetic appreciation are examples. It is expected that this form of motivation or intellectual need is most compatible with the autonomous form of administrative behavior and with the creative forms of task.

A General Conclusion

The evolving nature of the models of effective administrative behavior makes it evident that change is the normal condition of the dimensions of the models. As understanding of human behavior increases, or as new social conditions develop in the environment, the effective administrative model is also likely to change. It is a mistake to assume that a particular model is the one "best" model—one which can be universally applied in all cases. This mistake was made by theorists who proposed the autocratic, human relations and human resources models. There is no permanently best method of administrative behavior. What is best depends upon what exists relative to the qualitative values of the forms in each one of the essential dimensions of the model relevant to the environmental conditions from the initial point to the final point in the time-space continuum.

Secondly, many have assumed that emphasis on one model of administrative behavior was automatically a rejection of all other models, but the comparison with environmental conditions in the time-space continuum suggests that each model is built upon the accomplishment of the others with regard to step-function change.

Each model of administrative behavior in formal organizations, in a sense, outmodes its predominance by gradually satisfying certain needs, thus opening up other needs which can better be served by a more advanced model. The new model simply represents a more sophisticated way of maintaining earlier need satisfaction, while opening up the probability of satisfying still higher needs.

A third conclusion suggests that the present tendency toward the Human Resources model of administrative behavior will continue, for the long run, in the Western World. This tendency seems to be required by both the nature of technology and the nature of the motivation structure. Harbison and Myers[2], in a classical study of management, conclude that advancing industrialization leads to more advanced models of administrative behavior. Specifically, the authoritative model gives way to the Bureaucratic, the Bureaucratic to the Human Relations, etc. These developments are inherent in the model that was proposed.

A fourth and final conclusion is that one model may predominate--be most appropriate--for general use at any point in industrial history. Some appropriate uses will remain for other models. Knowledge of human behavior and skill in applying that knowledge will vary among the administrators and managers. Role expectation of subordinates will differ. Policies and ways of life will vary between and within formal organizations. Task and technology will also vary. Some jobs may require routine, low skill, and provide mostly external rewards and security (the Bureaucratic model). Some jobs will be unstructured, requiring ego-motivation, and respond best to participative administrative behavior. Still others encompass creative task, intellectual orientation for motivation of people, and suggest the autonomous form of administrative behavior.

In the final analysis, each administrator's and manager's success will be determined by the practiced model of administrative behavior. Therefore it is essential for administrators to understand the existing form of the dimensions of task and motivation as related to results achieved by different models of administrative behavior in formal organizations, and also where the subordinates are with regard to these dimensions.

A Review of the Current Literature

The literature in organizational theory in the 1980's found no new, proposed models which would not fit comfortably into the three primary models cited and supported in this study (i.e. bureaucratic, human relations and human resources). These three still hold as the primary theories appropriate to the existing practice in organizations. There is not only no practice that yet fits the fifth level proposed in this research--there is no general theory other than the one proposed in this study.

There is, however, support for the study of organizational theory from the viewpoint of the "nature of human nature" from a multi-disciplinary point of view. For example, Miner states:

> Much of the impetus that brought psychologists to the study of organizations came from the reports on business school education prepared in the late 1950's at the behest of the Ford and Carnegie Foundations. . . . These reports created opportunities that previously had not existed. What was intended was a one-time infusion of social scientists, which appears now to have 'taken' best and most successfully among psychologists. Yet, by its nature this source cannot be relied on to produce the successful theories of the field in the future. There are too many areas that need attention, areas in which psychologist have not done as well. (3)

Similarly there is significant evidence that the old approaches to the study of organization are not fully appropriate:

Each of these (simple models relating to paradigms) explanations is compatible with the conclusion that follows from the preceding pages, that, in order to most fruitfully utilize the systems paradigm of organizations, scholars in the field must reexamine their beliefs about the paradigm and, perhaps, reeducate themselves about how they should think about and study organizations as systems. (4)

Approaching the study of organizations from a view of human nature--those characteristics which pertain to the uniqueness which is human (e.g. values and beliefs) is supported by, among others, Sullivan:

Every organization can be described in terms of goals, objectives, technology, structure, power, relationships, and so on [which] constitute the surface reality . . . However, a deep structure which includes "the unexamined beliefs and values upon which the taken-for-granted surface structure rests" can be envisioned . . . A deep structure analysis which focuses on theories of human nature . . . offers a meta-view rich in explanatory and interpretive power. Although an enormous literature on human nature exists, virtually none of it offers a model describing the process in which perspectives of human nature (the deep structure) are related to theories and practices of management in organizations (the surface structure). (5)

This study and the theory proposed have included both a multi-disciplinary approach and a model cognizant of the importance of the nature of human nature as it affects organizational theory. While it is not suggested that this study is beyond challenge, any effective challenge would require dramatic evidence. Such evidence might include proof of the single and unique, aggressive nature of man, evidence that the human relations and human resources models were identical, or, findings of similar nature. To date the literature reports no such findings.

Whether this model will continue as a linear model or will revert to a cyclical model depends on man's true nature and on his ability to maintain his strivings for self-actualization in the face of varying natures within the diverse populations of man. Man's potential for near or total self-destruction is patently obvious. Whether man will act out that potential and revert to Step I of this theory remains to be seen.

Notes to Chapter IV

[1]W. Ross Ashby, <u>Design for a Brain</u> (New York: Wiley, 1952), p. 87.

[2]Frederic Harbison and Charles A. Myers, <u>Management in the Industrial World: An International Analysis</u> (New York: McGraw-Hill, 1959), pp. 40-67. The authors also state on page 47, "The design of systems of authority is equally as important in the modern world as the development of technology."

[3]Miner, John B., "The Validity and Usefulness of Theories in an Emerging Organizational Science," <u>Academy of Management Review</u>, 1984, Vol. 9, No. 2, pp. 296-306.

[4]Ashmos, Donde P. and George P. Huber, "The Systems Paradigm in Organization Theory: Correcting the Record and Suggesting the Future," <u>Academy of Management Review</u>, 1987, Vol. 12, No. 4, pp. 607-21.

[5]Sullivan, Jeremiah J., "Human Nature Organizations and Management Theory," <u>Academy of Management Review</u>, 1986, Vol. 11, No. 3, pp. 534-49.

APPENDIX

APPENDIX

EXPERIMENTAL VALIDATION OF
THE FREUDIAN HYPOTHESES

TWO STUDIES: FREUD'S THEORY OF SEX AND AGGRESSIVENESS

Rather than attempting to review all the experimental tests of psychoanalytic propositions that have been made in recent years; instead attention will be devoted to two research programs considered models of theoretical and experimental sophistication.   These programs have been in existence since the mid-1960's and are still very active.   Dozens of experiments have been performed and the results are consistent in confirming psychoanalytic hypotheses.   One program is being conducted at the Research Center of Mental Health of New York University by Lloyd Silverman and co-workers, the other at the Michigan State University by Joseph Reyler and co-workers.   Both investigations are clearly described by Silverman (1976).

The hypotheses tested in both programs center around the general Freudian notion that abnormal or deviant behavior can be increased or reduced by stirring up or diminishing conflicts over unconscious sexual and aggressive wishes.   The programs differ in two important respects: The method used for inducing unconscious

conflicts and the type of subjects tested. The New York researchers use the method of subliminal stimulation and groups of people displaying obvious pathological or deviant behavior. The Michigan investigators use the method of hypnotic suggestion and groups of individuals (college students) who display no obvious forms of abnormal or deviant behavior.

The New York Studies

The method of subliminal stimulation involves showing a person a picture or printed phrase so briefly that he or she is unable to recognize what it is. This brief exposure (.004 seconds) is done by an instrument called a tachistoscope. It has been clearly demonstrated in a number of investigations that although a person is not aware of what has been presented tachistoscopically, nevertheless the material shown may affect feeling and behavior in demonstrable ways.

As an example of the methodology, experiments on depressed people will be described. According to psychoanalytic theory, depression is produced by turning unconscious aggressive feelings toward others inward against oneself. If this hypothesis is correct, a depressed person should feel even more depressed when unconscious aggressive wishes are activated. To stimulate such wishes, depressed individuals were shown an aggressive picture. For instance, if a snarling man

holding a dagger or verbal messages were exposed to the subject, it would be recalled, for only 4/1000ths of a second. Prior to and after the presentation, the individual made self-ratings of his feelings. The same subjects, in a different session, were shown subliminally neutral pictures, for example a person reading a newspaper, or a verbal message, for example "people are walking," and they were asked to make self-ratings before and after the presentation. Silverman (1976) writes: "The subliminal presentation of content designed to stimulate aggressive wishes led to an intensification of depressive feelings that were not in evidence after the subliminal presentation of neutral content" (p. 624).

In order to show that the effect of the material was specific to the aggressive content, as the psychoanalytic theory of depression demands, and could not be produced by a different type of emotional material, the Silverman group performed the following experiment. Depressed patients were shown subliminally an aggressive picture on one occasion and a picture of a person defecating on another. The latter picture is supposed to stimulate conflictual anal wishes which, according to Freudian theory, are linked with stuttering. The depressives became more depressed following the presentation of the aggressive picture but not following the presentation of the anal picture. The opposite effect was shown by a group of stutterers. They stuttered more after being

shown the anal picture subliminally but not after the aggressive picture.

The New York Group also demonstrated that abnormal symptoms could be reduced by diminishing conflictual wishes. For these experiments schizophrenic patients were tested. They were shown tachistocopically a printed message "Mommy and I are one." Their abnormal symptoms were reduced by this subliminal message, and not by other control messages. Why does the "Mommy" message have a beneficial effect? For three reasons, Silverman says. First, the oneness with another wards off unconscious hostile feelings toward her. Second, the fantasy of oneness implies an uninterrupted supply of nurturance (mothering) from the mother. And third, the fantasy diminishes separation anxiety. By contrast, when schizophrenics were shown messages that contained hostility toward the mother or fears of losing her, their abnormal symptoms increased.

One may wonder what would happen if the messages that were designed to activate unconscious wishes were shown under normal conditions, that is, where the subject could clearly recognize and understand the message. The answer is that consciously perceived messages had no effect on the symptoms of the patients. Apparently, unconscious wishes can only be stirred by something of which the person is not aware.

The Michigan Studies

Reyher and associates use hypnosis to implant aggressive or sexual conflicts in college students who have no obvious psychiatric disturbance. For example, a hypnotized person is told a story in which he (the subject) is nearly seduced by a very attractive older woman. This story is designed to arouse unconscious oedipal feelings in young men. While the person is still under hypnosis, it is suggested to him first that he will not remember anything about the story (this is called inducing posthypnotic amnesia) and second that he will have strong sexual feelings whenever certain words are mentioned after he has been awakened. This is called posthypnotic suggestion. He is then brought out of the hypnotic state and presented visually with a list of words. Some of the words are connected with the story, others are not. He is asked how he feels after each word is presented. A number of indications of disturbance appeared when the critical words were seen but not when the neutral ones were seen. Disturbance included nausea, sweating, trembling, confusion, disorientation, and feelings of guilt, shame, and disgust. The Michigan studies--and there have been a number of them--corroborate the New York findings despite differences in method and subjects.

In any event, it appears that we have entered a new era in the testing of psychoanalytic hypotheses. It is an era in which experimental ingenuity is linked with theoretical sophistication.

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