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The basic theoretical contribution of Chester I. Barnard to contemporary administrative thought.

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THE BASIC THEORETICAL CONTRIBUTION

OF CHESTER I. BARNARD TO CONTEMPORARY

ADMINISTRATIVE THOUGHT

A Dissertation Presented

By

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Statement of the Problem

Much that is theoretical in the growing body of knowledge about administration has its roots in the administrative thought of the first half of the century. While more sophisticated research designs, statistical studies, and other tools such as computers are now available for the construction and validation of theories, the work of the administrative pioneers still retains great significance. It is the purpose of this study to deal with the basic theory of one such pioneer, Chester I. Barnard, by:

    1) comparing his concept of administration and organization with selected studies made by students of educational administration in order to

    2) analyze this contribution to modern administrative thought and

    3) to draw conclusions with respect to the value of this work to students of administration.[1]

Need for the Study

In one respect Chester I. Barnard stands apart from

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[1]See "Definitions and Limitations," p. 8, concerning the use of the terms "organization" and "administration."

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nearly all of the other pioneers in the development of administrative thought. With exceptions such as Henri Fayol, there have been few instances of top level executives concerning themselves with the theoretical aspects of their work. Fayol was "the first general theorist in modern administration," says Bertram Gross, but he notes that Barnard was "the outstanding theorist in the field."[2]

Barnard, who died in 1961, was impressively equipped intellectually. Gross attributes the depth of Barnard's thought to his background in philosophy, political science, economics, sociology, psychology, and the physical sciences.[3] The pertinence of his thought to diverse disciplines is noted by Thompson, who felt that social psychology, sociology, political science, and administration were indebted to Barnard's organizational theorizing.[4] It is interesting that one of the most stirring tributes to him was published in the American Sociological Review after his death. In this obituary, Robert Dubin referred to him as a ". . . major influence on the intellectual climate of his times," and commented:

[2]Bertram M. Gross, The Managing of Organizations: The Administrative Struggle, Vol. I (New York: The Free Press, 1964), p. 171.

[3]Ibid.

[4]James D. Thompson, "Modern Approaches to Theory in Administration," Administrative Theory in Education, ed. Andrew W. Halpin (Danville, Ill.: The Interstate Printers and Publishers, Inc., 1958), p. 34.

> In this era of experts and specialisms where we
> are seeking to determine how sociology may be
> applied to the affairs of society, it is well to
> pause and reflect on the reverse influence. How
> can men of affairs contribute to the intellectual
> corpus of an academic discipline? The life and
> enduring contributions of Chester I. Barnard
> illuminate this issue.[5]

The conceptual bases of Barnard's theoretical contribution are for the most part contained in The Functions of the Executive.[6] Throughout his career, the greater part of which was with Bell Telephone of New Jersey, he delivered numerous lectures at such institutions as Harvard and Princeton.[7] This book is the "revision and expansion" of eight such addresses given in 1937 at the Lowell Institute in Boston.[8] Its importance to the study of administration and organization has been noted by Griffiths:

> The Functions of the Executive. . . contains more
> insights into the nature of administration than
> any produced before or since its publication. As
> one reviews present writing in administration, he
> is more inclined than ever to recommend that all
> students of the subject he advised to reread
> Barnard. Most, if not all, of the present theories
> in the market place have their genesis in Barnard.[9]

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[5]Robert Dubin, "In Memoriam," American Sociological Review, XXVI (October, 1961), 783-784.

[6]Chester I. Barnard, The Functions of the Executive (Cambridge: Harvard University Press, 1938).

[7]Current Biography, 1945, pp. 35-37.

[8]Barnard, op. cit., p. vii.

[9]Daniel E. Griffiths, Administrative Theory (New York: Appleton-Century-Crofts, Inc., 1959), p. 63.

Yet such acknowledgements are from a relatively few writers and, while March's study indicates that Barnard is possibly the most frequently cited source in recent organizational study,[10] there appears to be a definite need to assess his work more fully since attention is usually directed to its existence rather than to its substance. Investigation of the works examined by March, for example, discloses no analysis of Barnard's theory as an integrative one. In these studies, the component concepts of this theory are either treated in isolation or merely cited.[11]

It is felt that Chester Barnard's theoretical formulation is truly exceptional, that its relevance to current administrative thought is not widely appreciated,[12] and that it highlights for the behavioral scientist, as well as for the student of administration, the similar social and psychological complexities of various types of organizations. Koontz's comment concerning such contributions is of particular interest. In an obvious reference to the flood of administrative literature during the past decade

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[10]James G. March, (ed.), <u>Handbook of Organizations</u> (Chicago: Rand McNally and Company, 1959), p. xii. See also Appendix B.

[11]See also, "Famous Firsts: Composer of Management Classics," <u>Business Week</u> (November 27, 1965), p. 84, where it is claimed that Barnard's work, though often cited, is seldom read.

[12]See "Related Research," p. 5.

coming from many disciplines, he deplores "the tendency for
many newcomers in the field to cast aside the significant
observations and analyses of the past on the grounds that
they are <u>a priori</u> in nature. . . ."[13] He continues:

> To make the assumption that the distilled experi-
> ences of men such as these represent <u>a priori</u>
> reasoning is to forget that experience in and
> with managing is empirical. While the conclu-
> sions that perceptive and experienced practicioners
> of the art of management make are not infallible,
> they represent an experience which is certainly not
> 'armchair.' No one could deny, I feel sure, that
> the ultimate test of accuracy of management theory
> must be practice and management theory and science
> must be developed from reality.[14]

The significance of the recorded observations and experience
of Chester Barnard should become apparent in the course of
this study.

<center>Related Research</center>

As indicated, references to the work of Chester
Barnard appear not infrequently in studies dealing with
administration and organization. However, there appears
to be no treatment of the relationship of his organiza-
tional thought to many of the concepts which are current

[13]Harold Koontz, "The Management Theory Jungle,"
<u>Readings in Management</u>, ed. Max D. Richards and William A.
Nielander (Cincinatti: South-Western Publishing Company,
1963), 14.

[14]<u>Ibid</u>., pp. 14-15.

among students of those fields. The extent to which the importance of his work seems to be generally recognized varies. Sears[15] and Walton,[16] for example, each make few references to Barnard in their own educational administration textbooks. In the more general area of administrative study Gross's ten page analysis may well be the most comprehensive attempt at assessing his contributions.[17] Griffiths, perhaps the leading "decision-making" theorist among educators, is careful to acknowledge the influence of Barnard but to a great extent confines his treatment of The Functions of the Executive[18] to reproducing Barnard's own summation of that work.[19] Simon, another theorist who subscribes to decision-making as central to the administrative process, calls attention to Barnard's contributions in this and other theoretical areas of administrative study. His comment is, however, incidental to his exposition of his own theory of administration.[20] No analysis was found

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[15]Jesse Sears, The Nature of the Administrative Process: With Special Reference to School Administration (New York: McGraw-Hill Book Company, Inc., 1950).

[16]John Walton, Administration and Policy-Making In Education (Baltimore: The Johns Hopkins Press, 1959).

[17]Gross, op. cit., pp. 171-181.

[18]Barnard, op. cit. This is referred to frequently in the text hereafter as The Functions.

[19]Griffiths, op. cit., pp. 63-66.

[20]Herbert A. Simon, Administrative Behavior (New York: The Macmillan Company, 1961).

which attempted exclusively to deal with Barnard's relevance to current behavioral concepts of administration and organization.[21]

Research in periodical indexes such as the <u>Reader's Guide To Periodical Literature</u> and the <u>Education Index</u>, in journals such as the <u>Harvard Business Review</u>, the <u>Harvard Education Review</u>, and the <u>Administrative Science Quarterly</u> reveals no attempts to analyze Barnard's work. Copeland's review of <u>The Functions</u> dates back to 1939 and concentrates on minor aspects of its content.[22] Similarily, Gardner's assessment was made during the same period, and although he commends Barnard's "objectivity," he views the book as "hardly more than a general and summary statement."[23]

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[21]For examples of current studies in educational administration for which the work of Barnard has particular relevance, see <u>Behavioral Science and Educational Administration</u>, Sixty-third Yearbook of the National Society for the Study of Education, Part II, ed. by Daniel E. Griffiths (Chicago: University of Chicago Press, 1964). See especially those studies dealing with concepts of organizational equilibrium, decision-making, formal organization, and informal organization--concepts basic to the integrative theory of Barnard.

[22]Melvin T. Copeland, "The Job of the Executive," review of Chester I. Barnard's <u>Functions of the Executive</u>, in <u>Harvard Business Review</u>, XVIII, 1939-40, pp. 148-160.

[23]Burleigh B. Gardner, review of Chester I. Barnard's <u>Functions of the Executive</u>, in <u>American Journal of Sociology</u>, XLV, 1939-40, pp. 624-625.

Sayre's comments in the <u>Public Administration Review</u>[24] rec-
ognize in a general way the merits of both <u>The Functions</u>
and of <u>Organization and Management: Selected Papers</u>[25] but
are confined to a limited portion of Barnard's theory. Bio-
graphical sketches are evidently brief treatments such as
that found in <u>Current Biography</u>.[26]

<div align="center">Definitions and Limitations</div>

The use of the terms "organization" and "administra-
tion" requires clarification. Griffiths subsumes the noun
"organization" under "administration."[27] Simon also notes

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[24]Wallace S. Sayre, review of Chester I. Barnard's
<u>Functions of the Executive</u>, in <u>Public Administration Review</u>,
IX, 1949, pp. 45-50.

[25]Chester I. Barnard, <u>Organization and Management:
Selected Papers</u> (Cambridge: Harvard University Press, 1948).
This is a collection of nine papers published or delivered
as lectures during the period from 1938 to 1948. In some
instances, such as in his reply to Copeland in "Comments on
the Job of the Executive," Barnard supplements and reinforces
the theory set down in <u>The Functions</u>. For the most part,
however, this collection is only generally relevant to that
fundamental work. This is also true of his diverse writings
published elsewhere such as "A National Science Policy" in
the <u>Scientific American</u>, November, 1957. All Barnard's
pertinent and available writings are, of course, considered
in conjunction with this examination of his contributions to
administrative thought.

[26]<u>Current Biography</u>, <u>loc. cit</u>.

[27]Griffiths, <u>op. cit</u>., p. 77.

that: "A general theory of administration must include principles of organization that will insure correct decision-making just as it will insure effective action."[28] But perhaps the most edifying comment comes from Barnard in his preface to The Functions of the Executive, which work he refers to as ". . . an exposition of a theory of cooperation and organization. . ." and ". . . a study of the functions and of the methods of operation of executives in formal organizations,"--the latter phase clearly dealing with administration. He continues: "These two subjects, which may be conveniently distinguished for some purposes, are in concrete action and experience inseparable."[29] Obviously, most of today's theorists have heeded Barnard's caution against a ". . . false sense of the separateness of the two subjects"[30] since his work is generally referred to as "administrative theory." For the purpose of this study a similar approach is adopted.

A further comment is necessary concerning the purposes of this study. The use of studies from educational administration implies a certain commonality among the

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[28]Simon, op. cit., p. 1.

[29]Barnard, The Functions, pp. xi-xii.

[30]Ibid. Cf., James D. Mooney, Principles of Organization (New York: Harper & Brothers, 1947), pp. 1-45, dealing with this relationship.

varieties of administration; that is, that there are univer-
sals at an abstract level which apply to administration
regardless of the type of organization administered. For
example, the "social process" theory which attempts to
describe the interactions experienced by individuals in
organizations would be as valid for describing these inter-
actions in, say, a business or military organization as it
would be for describing the same processes in an educational
institution. Hence, theories of administration in education
are considered representative of current theoretical admini-
strative studies in general. Most current research supports
this "global" theory.[31]

The substance of the organizational theory of
Chester Barnard, then, is incorporated in his classic work,
The Functions of the Executive. As indicated, many of his
ideas were expounded in further lectures but it is evident
from their analysis that subsequent writings based on them
add little that is new to the basic concepts expressed in
his earlier work. Thus, it is the intention here to analyze
the basic theory set down in The Functions and other of
Barnard's pertinent works, compare them with current
selected studies of administration drawn from educational

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[31]It should be noted that the term "studies" is used
to refer to the work of both administrative theorists and of
those who might be better classes as students of modern
administration; i.e. the latter are students of the various
theories espoused by the former.

research, and reach conclusions concerning their relevance
and value to current administrative theory.

Finally, no attempt at biography is intended.
Essential background to the work of Barnard will, of course,
be included. Undoubtedly, a biographical study should and
will be made which will more fully account for his contri-
butions to his time. It is felt, however, that the recency
of his death presents impediments to the objectivity
essential to biography; further, the limitations of this
study preclude such an undertaking.

Design of the Study

Although some historical background is needed, the
study is basically analytic and comparative. The admini-
strative studies which will be analyzed and compared to
Barnard's work will be theoretical and will be selected on
the basis of currency, on their interdisciplinary value--
that is, on the degree to which they are representative of
types of administrative and organizational study regardless
of the discipline involved, and on the fact that they are
the work of students of educational administration. This
latter qualification confines the proposed study to the
area of immediate interest in education and helps to estab-
lish a suitable framework for its achievement. The follow-
ing steps will be taken in the sequence given. An overview

of the development of administrative thought will first be
provided in order to fix Barnard's work in the larger field
of organizational study. A survey of his theory of coopera-
tion will then be made on the basis of the dynamic and
structural concepts on which it rests. These concepts will
provide the principal means for the comparative analysis to
be undertaken. It will also be essential to the selection
of educational studies to be used in this comparison to
establish their suitability in the manner described above.
Accordingly, the field of educational administration will
be surveyed for purposes of viewing the development of
modern administrative thought in educational research and
for making the necessary selections. Comparisons of these
selections with the conceptual bases of Chester Barnard's
work will be made for the purpose of determining the rele-
vance of his theory to modern administrative study. The
illustration of the extent of this relevance will be the
concern of the concluding section.

C H A P T E R   I I

THE DEVELOPMENT OF ADMINISTRATIVE THOUGHT:

AN OVERVIEW

Introduction

The study of administration has a long history. To
varying degrees men have always had to work out systematic
relationships with others for the achievement of common
purposes. Naturally, the way in which such relationships
are established and how people react to them have been mat-
ters of importance historically. While little formal
administrative study was carried on before the beginnings
of the present century,[1] world literature provides consid-
erable evidence of the preoccupation of men with political,
economic, military, religious, and other organizations.
Much of this concern with the problems of human association
found expression in the form of advice to rulers, maxims for
the governed, treatises on statecraft, and various plans
for the attainment of the ideal state.[2] Thus viewed, admini-
strative thought has a distinguished, if uncertain lineage.

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[1]Dwight Waldo, The Study of Administration (Garden
City, N. Y.: Doubleday and Company, Inc.), p. 17.

[2]Bertram M. Gross, The Managing of Organizations:
The Administrative Struggle, Vol. I (New York: The Free

The Scientific Movement

The formal study of administration began with what
has come to be known as the scientific movement. The
impetus for this approach can be traced directly to the
period of the Industrial Revolution with its emphasis on the
rational, the efficient, and the scientific. This approach
was, in the words of Ordway Tead, ". . . an inevitable
extension of the scientific effort and outlook which were
permeating the whole intellectual life of the last quarter
of the nineteenth century."[3] Dwight Waldo records that the
scientific movement spread "until it became an inter-
national philosophy with a vision of a New Order--one of
the most interesting and distinctive social philosophies
developed in modern times.[4]

Unquestionably, the father of the scientific study
of administration was Frederick Taylor (1858-1915).[5] As

Press of Glencoe, 1964), pp. 91-118. That numerous examples
of this type of "administrative" literature can be searched
out is especially apparent in Gross's work where he cites
such diverse authorities as Solomon, Confucius, Plato,
Machiavelli, the Mahabhrata from Indian literature, and the
Victorian, Henry Taylor.

[3]Ordway Tead, "Comment," Advanced Management, V
(1940), 145-146.

[4]Dwight Waldo, The Administrative State (New York:
The Ronald Press, 1948), p. 8.

[5]Ibid., p. 48.

noted, administrative thought had customarily been encountered in the historical and literary works of various periods. The systematic research of management by Taylor, however, represents the beginnings of an administrative discipline. The impact of his work is evident in the fact that it was translated abroad, international associations for scientific management were formed, and "a business and technical international" came into being.[6]

Taylor brought to management studies a background in engineering and industrial administration[7] and a conviction that the worker is lazy by nature.[8] He sought "a science for each element of a man's work" which would eliminate guesswork and caprice from the performance of tasks.[9] Precise, detailed studies of methods, acceptable standards of performance, careful selection of workers, and training would result in the discovery of the "principles" and "laws" leading to efficient worker performance.[10] Enforcement was the problem of management which relied for advice

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[6]Ibid., p. 53. The term of "management" and "administration" are regarded herein as synonymous.

[7]Frederick W. Taylor, Scientific Management (New York: Harper and Brothers Publishers, 1911), p. v.

[8]Ibid., "Shop Management," p. 30.

[9]Ibid., "The Principles of Scientific Management," p. 36.

[10]Ibid., pp. 36-37.

on "experts" in efficiency.[11]

Momentum was added to the scientific movement when
it became apparent that it got results. Output did increase
when the "principles" of efficiency were followed. But
both workers and management objected to the mechanistic
treatment of the problems of management by "Taylorism."
The machine-like performance expected from workers and the
forced reliance upon experts which was imposed on managers
developed the opposition of both groups to the system. In
fact, it was the protests of the workers' unions which led
to an investigation in 1912 of Taylor's "science" by a
congressional commission on industrial relations. This body
reached the conclusion that the scientific management move-
ment failed to take into account the human element in the
performance of tasks and that the methods employed were
arbitrary.[12] Nevertheless, the scientific movement had
become by World War II, as Waldo notes, "an international
movement and a philosophy."[13]

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[11]Ibid., and "Shop Management," pp. 120-202.

[12]Gross, op. cit., pp. 122-126. For the account of
the hearings see Taylor, op. cit., "Taylor's Testimony Before
the Special House Committee," pp. 5-287.

[13]Waldo, op. cit., p. 52.

Only the most complete examination of the origins of
the scientific movement in administration could hope to
recognize the contributions of all those who have helped to
bring administrative thought out of the realm of folklore.
This list is long and the debts are many. There is a com-
pulsion, almost an obligation, not to ignore some of the
most significant works of the early period of formalized
administrative study. The support given to the scientific
school of administration by such men as Harrington Emerson,
James Mooney, and Alan Reiley, for example, provides some
of the sturdiest props for the classical movement.[14] This
examination, however, is limited to but a few of the mile-
stones of the early developmental period. Accordingly, it
is restricted to taking note of the contributions of such
other pioneers in that field as Henry Fayol (1841-1925),
Luther Gulick (1892-   ), and Lyndall Urwick (1891-   ).

Fayol's background was, like Taylor's, in

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[14]The term "classical" is used by many writers to
distinguish the scientific movement in administration from
the "neo-classical," or "human relations," school and from
the "modern" approach. See, for example, Joseph A. Litter
(ed.), Organizations: Structure and Behavior (New York:
John Wiley and Sons, Inc., 1963), pp. 1-5, and William G.
Scott, "Organization Theory: An Overview and an Appraisal,"
ibid., pp. 14-20. For an example of the work of Emerson,
see Harrington Emerson, Efficiency as a Basis for Operation
and Wages (New York: The Engineering Magazine, 1909); for
Mooney and Reiley, see James D. Mooney and Alan C. Reiley,
Onward Industry! (New York: Harper and Brothers, 1931).

engineering and business management. Administration, he felt, could be taught if its principles were discovered and he devoted his later years to this task. Unlike Taylor, he saw management as based on flexible principles which are general and adaptable to varying situations.[15] Through this view, he arrived at the "elements" of administration:

> All undertakings require planning, organization, command, co-ordination and control, and in order to function properly, all must observe the same general principles. We are no longer confronted with several administrative sciences but with one alone, which can be applied equally well to public and private affairs and whose principal elements are today summarized in what we term the Administrative Theory.[16]

Fayol's concern with the theoretical aspects of management distinguishes his work from that of Taylor whose main emphasis was placed on the role of the worker. Notwithstanding, there can be little to disagree with in Waldo's conclusion that ". . . whether there are doctrinal differences that still divide the followers of Taylor from the followers of Fayol. . . they are both aspects of a common phenomenon--an international 'scientific management'

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[15]Gross, op. cit., pp. 128-136.

[16]Henri Fayol, "The Administrative Theory in the State," trans. Sarah Greer, Papers on the Science of Administration, ed. Luther Gulick and Lyndall Urwick (New York: Institute of Public Administration, Columbia University, 1937), 101.

movement. . . the question presented is similar to the
question of the extent to which Marxism was produced by
Engles or altered by Lenin."[17]

A strong reliance on Fayol's concept of the admini-
strative "elements" is evident in Lyndall Urwick's expanded
definition of administration, "POSDCORB." This added the
administrative activities of staffing, directing, reporting,
and budgeting to Fayol's elements of planning, organization,
and coordination. It rephrased the directing activity to
one of command and fragmented the element of control into
reporting and budgeting.[18] The widespread and continuous
appearance of this invention in administrative literature is
indicative of the influence of Urwick in the quest for a
science of administration. Along with Luther Gulick, he
devoted considerable time to research in administration,
management advice, and in public service.[19] Both men
searched for the principles of efficient organization and
the similarity of their work is undoubtedly accounted for by
their frequent cooperative studies. Their Papers on the
Science of Administration (1937) provided the basic collec-
tion of administrative studies of the period and included

[17]Waldo, op. cit., pp. 47-48.
[18]Gross, op. cit., p. 144.
[19]Ibid., p. 143.

not only their own reflections on scientific management but contributions from such students of administration as Henri Fayol, James D. Mooney, Elton Mayo, and Mary Parker Follett. In this work the authors were struck by the fact that:

> Most of these writers did their thinking inde-
> pendently, in some cases without any acquaintance
> with the others, or with their writings. The
> striking similarity and harmony of the analyses,
> nomenclature, and hypotheses, frequently set
> forth as principles, is thus doubly significant.[20]

And although their own efforts to develop principles were perhaps less broadly based than those of their neo-classical contemporaries,[21] they recognized the implication of their own observation; that is, that a more general theory of administration was possible.[22]

Summary. Before passing to another general view of organizational study it might be helpful to summarize the general characteristics of the scientific management move-ment. Although its treatment has been extremely broad to this point, certain viewpoints typify the work of the adherents of this "classical" approach. In essence,

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[20]Gulick and Urwick, op. cit., p. v.

[21]Much of the work of both men was concerned with the formal structure through which work was performed. Gulick, for example, saw organizational theory as concerned with "the structure of coordination imposed upon the work-division units of an enterprise." Ibid., p. 3.

[22]Ibid., p. v.

organization serves to bring about the accomplishment of objectives through the coordination of the necessary processes by those with whom authority resides. Since proper selection and training of individuals will ensure the achievement of scientifically established standards, it is the task of management to bring about efficiency through direction of the consistently rational behavior of the members of the organization. Current classical doctrine is, as Scott points out, "limited by its narrow concentration on the formal anatomy of the organization."[23]

The treatment given here to the scientific movement in administration might lead to the conclusion that the summarization attempted is more descriptive of the work of Taylor than of the whole classical school. As stated, only a limited survey was attempted. The work of Fayol, Gulick, and Urwick which was cited, however, should also help to bear out the emphasis placed on the efficiency of the organization by the scientific approach to the problems of management.

The Human Relations Movement

The human relations, or neo-classical, movement in administrative study originated partly in the opposition

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[23]Scott, op. cit., p. 15.

which developed to the scientific management movement. In part, it was due to the growing belief that organizational goal achievement involved more than an efficiency based on principles which applied chiefly to the formal structure within which task accomplishment occurred. The classicist regarded the organization as providing for the association of individuals; the neo-classicist came to view the organization as a result of the association of individuals. Thus, emphasis was given to the human aspect of organization since organizations arise from human need. The neo-classicist further challenged the concept of rational behavior held by the proponents of the classical doctrine by presenting evidence of the existence of an informal organization which often superseded the "rational" function of the formal group. Consequently, while the basic principles of the classicists might retain a certain degree of validity in the human relations outlook, their modification by individual behavior must be taken into account.[24]

The chief impetus of the human relations movement came from the well-known Hawthorne studies of the late 1920's and early 1930's. Carried out in the Hawthorne plant of Western Electric, these studies were conducted for the most part under the direction of Elton Mayo and Fritz

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[24]Ibid., pp. 15-19.

Roethlisberger of the Harvard Graduate School of Business.[25] While these reports have inspired varied criticism, they have generally been regarded as a major influence in the growth of the behavioral study of the organization.[26] They emphasized the impact of the social environment on the sentiments of the worker and the resulting growth of the informal group. Consequently, the belief was strengthened that more than material incentives were required for gaining cooperation.

In contrast to the Hawthorne studies, the work of Mary Parker Follett (1868-1933) emphasized administrative rather than worker behavior. Her influence on administrative study is noted by Waldo who stated that in connection with administrative thought "an understanding of some present tendencies must depend upon a reading of her works, as well as those of the more reflective scientific managers."[27] To her, the "science" of administration was not

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[25]For the report of these studies see Fritz J. Roethlisberger and William J. Dickson, *Management and the Worker* (Cambridge: Harvard University Press, 1939).

[26]For a critical comment see Waldo, *op. cit.*, p. 186; for a detailed recent critique see Henry A. Landsberger, *Hawthorne Revisited* (Ithaca: Cornell University, 1958). Also interesting in this respect is Roethlisberger's own comment on the studies in, Fritz J. Roethlisberger, *Management and Morale* (Cambridge: Harvard University Press, 1941), p. 7.

[27]Waldo, *op. cit.*, p. 210.

the science of the classical school of Taylor, Fayol, and their disciples. Her background in political science and economics led her to an interest in social problems and it was but a short journey from there to a study of the psychological implications of organizational processes.[28] "Mary Follett" says Gross, "was among the first to recognize the psychological aspects of administration and to deal with them on the basis of modern psychological thought rather than with glib references to the mysteries of human nature."[29] "Process," she believed, involved the human element and not merely the products of cooperative systems. The task of "dynamic administration" was continuous and involved the resolution of conflict by "integrative" means-- means which implicitly recognized the social utility of conflict by integrating opposing views for the benefit of all concerned. This was accomplished through a determination of situational factors and their coordination by the "inter-penetration," rather than the imposition, of authority. Thus Follett emphasized the interdependence of human and organizational processes and the "cumulative responsibility" that must be taken into account in the study of

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[28]Gross, op. cit., p. 151.

[29]Ibid.

administration.[30]

Summary. To a considerable extent the human rela-
tions, or neo-classical, movement in administrative study
developed from a growing opposition to the mechanistic rigidi-
ty of scientific "Taylorism." Principally, the impetus for
the neo-classical movement came from the Hawthorne studies
of the Harvard Graduate School of Business at Western
Electric. Largely as a result of these investigations, there
developed a considerable interest among students of admini-
stration about the existence of an "informal" organization
which existed inside and around the formal organizational
structure and which served to accommodate social and psycho-
logical worker requirements not met through formal arrange-
ments. Another considerable influence on the human relations
school is found in the work of Mary Parker Follett. While
she placed particular emphasis on administrative behavior,
her concept of a "dynamic administration" served to integrate
the interests of both management and worker into a construc-
tive whole through a process of "cumulative responsibility."

Yet, a more complete view of the organizations is

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[30]Mary Parker Follett, "The Process of Control,"
Gulick and Urwick, op. cit., pp. 161-169. For a detailed
consideration and collection of her works see Henry C.
Metcalf and Lyndall Urwick (eds.), Dynamic Administration:
The Collected Papers of Mary Follett (New York: Harper and
Brothers, 1940).

held essential by some students of administration. Besides a fear that psychological studies may be applied cynically to manipulate humans for organization purposes, it is further stated that many of the behavioral studies which have been carried out are limited in an empirical and descriptive sense to given behavioral situations.[31] Thus, these concerns, along with the belief that a complete understanding of the organization must comprehend both its structural and dynamic elements in an integrated, total view, have helped to establish the basis for what is usually considered to be "modern" in administrative thought.

Modern Theories

It is perplexing to attempt to delineate a section of administrative thought which can be accurately classed as modern. As previously indicated, a considerable part of the current theorizing has its roots in the classical and neo-classical studies of the first quarter of the century. Nor should it be overlooked that the earlier studies of social systems by men such as Emile Durkheim, Vilfredo Pareto, and Max Weber provided much of the groundwork for both the neo-classical and more recent attempts at administrative theorizing.[32] Further, the problem of defining

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[31]Scott, op. cit., pp. 15-19.

[32]The contributions of these men to "systems"

and setting limits is not simplified by being restricted to
established schools of thought since, it will be seen,
theorists and theories proliferate.

Gross classifies current studies of management and
organization into three "streams" which he sees as those
dealing with such elements or specialized phases of manage-
ment as personnel and finance, those devoted to examining
organizations by the nature of their function, and general
organization theory.[33] Scott sees modern organizational
theory as distinguished by:

> . . . its conceptual-analytical base, its reliance
> on empirical research data and, above all, its
> integrating nature. These qualities are framed
> in a philosophy which accepts the premise that the
> only meaningful way to study organization is to
> study it as a system.[34]

Scott's view of modern theory corresponds closely to the
general organization theory noted by Gross whose analysis
directs attention to the emphasis in general theory on
empirical observation, to the essentials of structure and
behavior, and to theory building.[35] Koontz, on the other
hand, identifies six major contemporary efforts in

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concepts of organization have been dealt with by many
writers. See, for a recent example, Talcott Parsons, The
Social System (The Free Press of Glencoe, 1951).

[33]Gross, op. cit., p. 219.

[34]Scott, op. cit., p. 19.

[35]Gross, op. cit., pp. 233-234.

administrative theory which are concerned with: (1) management as group processes from which fundamental principles can be extracted as guides to action; (2) the empirical study of experience in order to perfect techniques or establish precedent; (3) the "behavioral" or "human relations" view; (4) the organization as a social system and management as concerned with the resulting sociological relationships; (5) the view that the central function of administration is decision-making; and (6) the "mathematical" approach, such as that of operations analysts and researchers, which employs mathematical models and similar procedures to attempt the logical expression of administrative and organizational problems.[36]

What is usually regarded as "modern," or "general," in administrative study, however, is the search for an organizational science based on universally valid and integrative principles. With the possible exception of the efforts of the empirical school identified by Koontz, most contemporary students of administration attempt to examine the organization in terms of its total processes and structure, although from different perspectives. Thus,

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[36]Harold Koontz, "The Management Theory Jungle," Readings in Management, ed. Max D. Richards and William A. Nielander (Cincinnati: South-Western Publishing Company, 1963), p. 14.

generally, the modern emphasis is on the "universal"
principles of organization rather than on the principles of
situations which were sought by the earlier scientific move-
ment. These universal principles are seen as discernable
through the use of concepts and theories which would be
empirically constructed and validated and which would
apply to all organizations regardless of their particular
purposes for existence.

It should not be concluded that emphasis on the
particular skills of management or on the study of organi-
zations by type is the relic of a pioneering effort which
has become an historical curiosity. As noted, the advo-
cates of the earlier forms of scientific management are
fewer in number and the neo-classicists have drawn criti-
cism for what is seen as the "particularized" value of
their work,[37] but, as Koontz indicates in the classifica-
tion above, both groups are active in the contemporary
study of the organization.[38] Whether the concentration on
specialities of skill and function will be submerged or
buoyed up by the modernist wave is unanswerable at this

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[37]See, for example, Scott, op. cit., p. 19.

[38]James D. Thompson, "Modern Approaches to Theory in
Administration," Administrative Theory in Education, ed.
Andrew W. Halpin (Chicago: University of Chicago Press,
1958), 29. Thompson notes that there is still a tendency
to develop "special theories of administration rather than
general."

point. But contemplation of what the future holds for the
varieties of administrative study is not of particular
moment at this point, however. The principal concern here
is with the modern theoretical approach which was broadly
outlined since it is the purpose of this chapter to examine
some of the principal events in the search for a theory of
administration and to examine the present status of that
quest.

By examining the work of specific writers it was
possible to catch a glimpse of the scientific and human
relations movements, but to gain a correct impression of
modern administrative theory through a study of the influ-
ences affecting its development is a more difficult matter.
As stated, many students from diverse fields have made
direct and indirect contributions to contemporary admini-
strative study. The list includes anthropologists,
economists, historians, psychologists, sociologists, politi-
cal scientists, natural scientists, practicing professional
men, and specialists such as those emphasizing cybernetics,
communications, and operations.[39] In view of this multi-
disciplinary attack on the problems of organization, the
complexities which attend organizational study should be

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[39]Gross, op. cit., pp. 191-234.

readily observable. Obviously, for example, it is a discipline without bounds. Koontz is particularly emphatic in taking note of the difficulties which arise from the diverse, and sometimes mutually hostile, approaches to administrative theory:

> With the recent discovery of an ages-old problem area by social, physical, and biological scientists, and with the supersonic increase in interest by all types of enterprise managers, the apparent impenetrability of the present thicket which we call management theory is not difficult to comprehend.[40]

In Koontz's view, what further obscures and confuses the study of management today is the chaotic use of descriptive terms which results from the lack of a specialized, scientific vocabulary, the previously-noted tendency to discard the empirical observations of the pioneers or to misinterpret them, and an unwillingness among many theorists in the various disciplines to seek integration, exchange, or clarification of ideas.[41]

Clearly, what must suffice here is an appreciation of the condition of modern administrative study and an acknowledgement of its complicated nature. No attempt will be made, consequently, to do justice to the multitude of studies which could be construed as ancestral to, or as

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[40]Koontz, op. cit., p. 3.

[41]Ibid., pp. 12-16.

comprising, current thought in this field. To isolate and review a particular study as representative of the entire field would be misleading. There are voices among the modernists that speak more clearly, or loudly, and perhaps more authoritatively than others; but lack of verification must be counted among the common characteristics which identify their theories as modern.

Summary. The contemporary field of administrative study is most generally characterized by a search for the "universals" upon which a science of administration must rest. The field is being widely explored by students from many disciplines yet it remains uncharted. This paradox has been attributed to the uncoordinated efforts of scholars of greatly differing interests and backgrounds, the lack of a specialized medium of communication, parochialism, and, frequently, to the failure to make use of the observations and experience of earlier students of administration. The pioneering work of the classicists, neo-classicists, and of more recent contributors have considerable relevance, it is maintained, for present-day administrative thought. Accordingly, the following chapter is devoted to the examination of the cooperative theory of one of the most profound students of administration, Chester I. Barnard. This examination should, of course, provide the insights necessary to eventually highlighting the current significance of Barnard's work through the comparative analysis previously described.

C H A P T E R   I I I

A SURVEY OF CHESTER BARNARD'S THEORY
OF SOCIAL COOPERATION

Introduction

In the process of establishing the purposes of this
study it was indicated that most of the basic organizational
concepts of Chester I. Barnard could be found in his princi-
pal work, The Functions of the Executive.[1] Consequently,
the conceptual scheme of the theory set down in this book
provides a convenient and useful means for a survey of that
portion of his published writings relevant to this study.[2]
Some knowledge of Barnard's intention and motivation in
writing The Functions should thus be helpful.

Barnard was obviously well acquainted with such
classic studies of social relations as those produced by
Emile Durkheim, Vilfredo Pareto, and Max Weber, and his work

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[1]Chester I. Barnard, The Functions of the Executive
(Cambridge: Harvard University Press, 1938).

[2]This scheme is not explicitly stated in The
Functions. It is provided by Barnard, however, in his reply
to Professor Copeland's review of that work. Chester I.
Barnard, "Comments on the Job of the Executive," Harvard
Business Review, XVIII (1939-1940), 307-308. See also
Barnard's Organization and Management: Selected Papers
(Cambridge: Harvard University Press, 1948), pp. 132-133.

gives substantial evidence of this.[3] In the same tradition
as these sociological pioneers he felt that an understanding
of the observed phenomena of social action was not possible
without a consideration of how they came about.[4] Since he
knew of no balanced treatment of organizations which took
into account the effects of all the factors of the social
environment or which provided a basis for arriving at the
"universals" of organization, Barnard felt that the study of
the forces underlying social action had been neglected by
social scientists. Commenting on this, he stated:

> Rarely did they seem to me to sense the processes
> of coordination and decision that underlie a large
> part at least of the phenomena they described.
> More important, there was lacking much recognition
> of formal organization as a most important charac-
> teristic of social life, and as being the principal
> structural aspect of society itself. Mores, folk-
> ways, political structures, institutions, attitudes,
> motives, propensities, instincts, were discussed in
> extenso; but the bridge between the generalizations
> of social study on the one hand and the action of
> masses to which they related on the other was not
> included, I thought.[5]

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[3]The Functions, pp. 119 and 244 provide examples of
the acknowledged influences of Durkheim and Pareto. The
prefatory comment in The Functions, p. x, also indicates a
considerable similarity of viewpoint with Max Weber concern-
ing the shortcomings of a purely economic analysis of soci-
ety. Cf., S. M. Miller, Max Weber (New York: Thomas Y.
Crowell Company, 1963), pp. 7-8.

[4]The introductory material in this section is drawn
from Barnard's preface to The Functions, pp. viii-xiii, un-
less otherwise indicated.

[5]Ibid., p. ix.

It was with his own concept of formal organization, a concept Barnard believed to be an original one,[6] that he attempted to construct the necessary "bridge." Relying on his own observations, experience, and convictions, he provided a structural description of the organization and a consideration in that context of the processes essential for organization survival "in a continuously fluctuating environment of physical, biological, and social materials, elements, and forces."[7] On this basis his theory of cooperation and organization was formed and the critical executive functions examined.

The Functions of the Executive consists of four parts but, as Barnard points out, it is probably best regarded as having two principal divisions which set down the theoretical and processual approaches in that order. Each division constitutes about half the book and, again using Barnard's description, might be said respectively to represent the anatomical and physiological (structural and dynamic) aspects of the work. The formal arrangement of Part I of The Functions deals first with the physical, biological, psychological, and social factors in cooperative systems and the principles involved. Part II provides a definition and

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[6]Chester I. Barnard, "Comments on the Job of the Executive," Harvard Business Review, XVIII (1939-1940), 308.

[7]The Functions, p. xi.

theory of the formal organization, examines its structure, and considers the manner in which it interacts with the informal group. This part completes the first division referred to above. Attention is next directed in Part III to the elements of the formal organization. By "elements" Barnard meant specialization, incentives, authority, decision, and present circumstances of action. Finally, the process, functions, and responsibility of the executive are examined in the concluding section which deals with organization as part of the greater cooperative system.

As stated, the study intended here will follow the conceptual scheme on which Barnard based his theory of social cooperation. And while this scheme does not chronologically parallel The Functions, it naturally adheres to the structural and dynamic portions of that work. In the sequence furnished by Barnard these are:

The Principal Structural Concepts

The Individual
The Cooperative System
The Formal Organization
The Complex Formal Organization
The Informal Organization

The Principal Dynamic Concepts

Free Will
Cooperation
Communication
Authority
The Decisive Process
Dynamic Equilibrium
Responsibility (executive)[8]

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[8]Barnard, Harvard Business Review, p. 308.

These structural and dynamic concepts will be considered
jointly and in the structural order listed. It is reiter-
ated that while the conceptual outline furnished is that of
the theory of cooperation stated in The Functions, it is
also regarded as the most useful way of dealing with those
contributions of Barnard which were set down elsewhere.[9]

The Individual

The nature of the individual. In developing his
theory of social cooperation, Chester Barnard first dealt
with the nature of the individual. This consideration was
essential, he felt, to an understanding of the organization
since all organizational activities are based on implicit
assumptions about human behavior. A code of organizational
conduct, for example, assumes an ability and willingness to
comply on the part of the individuals affected.[10]

Barnard used the cooperative actions expressed in
the major world political movements of the time as evidence
of two sharply opposed views of man's nature. In one view,
people were creatures of response deriving identity from
their cooperative attachments and were necessarily subordi-
nate to group interest; on the other hand, freedom of choice

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[9]Especially those in Barnard's, Organization and
Management: Selected Papers.

[10]The Functions, p. 8.

was ascribed to the individual and his collectivities were
regarded as instruments of his voluntary cooperation. The
extremes of these positions emphasized for him the necessity
of providing a definite statement concerning his own the-
oretical approach to individuals and their cooperative
behavior.[11] As he pointed out, however, he does not attempt
to resolve the philosophical and scientific questions which
arise from such a consideration.[12]

Basic to Barnard's view of the individual is the
distinction made between what may be simultaneous, yet
opposed, aspects of man's nature. The individual _outside_
the cooperative situation is described as "a single, unique,
independent, isolated, whole thing, embodying innumerable
forces and materials past and present which are physical,
biological, and social factors."[13] But as a member of a
cooperative system it is often necessary to consider him as
a "phase" of cooperation since, in Barnard's concept, the
participants in a cooperative social situation contribute to
a common effort that is not merely the aggregate of the
efforts of individuals as unique beings. Consequently, indi-
vidual contributions are a functional aspect of an organi-
zational activity directed toward a total result which is

[11]_Ibid_., pp. 8-9.

[12]_Ibid_., p. 21.

[13]_Ibid_., p. 12.

possible only by cooperation. The way in which a person is
regarded at a given time depends on the purpose for dealing
with him. And, since they may be simultaneous, these
descriptions of the nature of the individual are not alterna-
tives. This duality is possible since the relationship of
the individual to the organization is both internal and
external. Within the organization, in the functional aspect
of the individual, the relationship is intermittent since he
is not constantly engaged in carrying out that function. As
part of the external environment of the organization, how-
ever, his relationship is continuous.[14] In other words,
what has been stated with regard to persons incorporates the
views of both the opposing philosophies noted above. The
importance of this reconciliation of views is stressed. It
was Barnard's belief, as illustrated, that there were facts
lending support to both attitudes. For him, herein, lay the
task of organization and the executive function.

> What, then, is needed for our purposes is to state
> under what conditions, in what connections, or for
> what purposes one or the other of these positions
> may be adopted usefully, and to show how they may
> be regarded as simultaneously applicable. Cooper-
> ation and organization as they are observed and
> experienced are concrete syntheses of opposed facts,
> and of opposed thought and emotions of human beings.
> It is precisely the function of the executive to
> facilitate the synthesis in concrete action of con-
> tradictory forces, to reconcile conflicting forces,
> instincts, interests, conditions, positions, and
> ideals.[15]

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[14]Ibid., pp. 16-17.

[15]Ibid., p. 21.

Thus, for example, there may be instances in the experience
of the organization where the relatively high degree of con-
formance inherent in democratic procedure is essential. On
the other hand, Barnard maintained, at critical moments the
time lag and political conflict involved in democratic deci-
sion making may threaten the survival of the entire system.[16]
What is emphasized, of course, is the usefulness of a con-
cept which describes the individual in both his unique and
functional aspects.

The individual and free will. It is in his external
relationship to the cooperative system that the individual
initially exercises his free will, or "power of choice,"[17]
when he makes a decision to join a cooperative system. A
system of incentives is maintained by the organization to
favorably influence such decisions. Incentives must also
be provided if cooperation is to persist within the organi-
zation.[18] Viewed in this manner, the system of incentives
is a recognition of the individual's free will and is
brought into being by this recognition. But power of choice
is not unlimited since "the individual is a region of activi-
ties which are the combined effects of physical, biological,

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[16]Barnard, "Dilemmas of Leadership in the Democratic
Process," Organization and Management, pp. 24-50.

[17]The Functions, pp. 16-17.

[18]Ibid., p. 15 and p. 139.

and social factors."[19] Accordingly, the properties and limitations of the individual are found in these psychological factors which represent his physical, biological, and social experience.[20] Further, his power to decide may be paralyzed by the proliferation of equal alternatives and, as a result, the restriction of the possibilities for action may be essential.[21] It will be seen subsequently that the functions of influencing and limiting choice are critical to the organization.

The idea of limited free will as an attribute of individuals is also reinforced by the concept of authority advanced by Chester Barnard. Since he regarded authority as having its source in the consent of the governed, willingness and capacity to consent must be seen as individual properties.[22] That is, the decision to accept or reject orders resides with individuals. To those who held to the view that authority is imposed, Barnard felt, his concept might appear as a "platform of chaos."[23] But superior authority, he maintained, was a "fiction" made possible by the unwillingness of most organizational members to accept

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[19]Ibid., p. 14.

[20]Ibid., p. 13.

[21]Ibid., pp. 13-15.

[22]Ibid., pp. 163-164.

[23]Ibid., p. 164.

responsibility. For this reason they "delegate" it through
the acceptance of organizational codes and procedures. There
is also a resulting impersonality, an objective nature, thus
loaned to the system of authority which further induces
cooperation since orders can then be regarded as the require-
ments of the system, rather than of other individuals.[24]
Naturally, the range of authority is confined to members of
the cooperative system and, in this sense, the "potentiality
of assent" is limited to a formal context.[25]

Great emphasis is given in Barnard's work, then, to
the behaviors, or properties, of individuals since these
personal aspects of the individual represent "fundamental
postulates" of his work. As he makes clear:

> . . . no construction of the theory of cooperative
> systems or of organizations, nor any significant
> interpretations of the behavior of organizations,
> executives, or others whose efforts are organized,
> can be made that is not based on some position as
> to the psychological forces of human behavior.[26]

As previously indicated, in both his external and internal
relationships to the organization the individual was

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[24]Ibid., pp. 170-171.

[25]Ibid., p. 173. This does not deny the influence
of the "informal organization." The actions of this group
may accept or reject formal decisions. The point is, how-
ever, that the occasion of formal matters for acceptance or
rejection arises only in formal situations.

[26]Ibid., p. 14.

affected by these forces. His decision to join the organization and the extent of his participation, accordingly, are limited by the availability of alternatives and by the "purposes, desires, impulses of the moment" which constitute his "motives."[27] As Barnard notes: "Organization results from the modification of the action of the individual through control of or influence upon one of these categories."[28]

Effectiveness and efficiency. A consideration of the motives of the individual is necessary to appreciate the distinction which is made between "effectiveness" and "efficiency"--a distinction which Barnard regarded as "of first importance" to his theory.[29] Since most motives are seen as being of rather obscure physiological and social origins, they are frequently unknown even to the person who acts to satisfy them. Further, motives require specific ends which may be physical or social. A social end, such as communication with others, always involved consequences in the physical environment which were not anticipated; the attainment of a physical end, a material object, usually means social contact. Naturally, the actions which are taken to achieve these ends are also either physical or social.

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[27]Ibid., pp. 16-17.

[28]Ibid., p. 17.

[29]Ibid., p. 19.

Either type may be accompanied by unexpected results. If
the conscious goal is achieved, the action was classified by
Barnard as "effective." On the other hand, if the unlooked-
for consequences of an action outweigh in importance the
desired end attained, they result in "inefficient" action.
It should be noted that the end sought was accomplished and
thus the action was "effective." It is further possible,
Barnard believed, to achieve satisfaction from the unlooked-
for consequences. In this case, "efficient" action occurs
since the motive has been satisfied; it would not be "effec-
tive."[30] It will subsequently be seen that Barnard applied
these definitions to the action of both individuals and
organizations and that they are ideas of great significance
in his work.

Summary. Since assumptions about the nature of the
individual are implicitly stated in the manner in which
people are dealt with in an organizational setting, it is
essential to the construction of a theory of organization to
make explicit the manner in which human behavior is regarded
therein. In Chester Barnard's view, it is purpose which
determines whether the individual is to be considered as a
self-directed, unique being exercising choice or to be
regarded as a "phase" of organizational activity. The
systems of incentives and authority, for example, provide

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[30]Ibid., pp. 19-20 and 236-240.

evidence supporting the former viewpoint since they are
recognitions of a limited willingness and capability to
comply. But it may also be essential to regard the indi-
vidual as an aspect in the total cooperative effort. Since
these external and internal relationships to the organiza-
tion can be simultaneous and not necessarily alternatives,
it becomes an executive function to either select the cor-
rect alternative or effect synthesis. Further, the
"efficiency" of personal action derives from the satisfac-
tion of usually obscure motives of the unique individual;
the "effectiveness" of personal action is attained by the
accomplishment of the specified goals of his "phase" of
organizational activity.

The Cooperative System

Effectiveness and efficiency. The second of Barnard's
structural concepts, the cooperative system, requires exami-
nation of his ideas of effectiveness and efficiency as they
apply to organized behavior. As with individual action,
cooperative behavior must achieve its ends in order to be
effective. If cooperation is to be gained from individuals,
it was noted, the system must provide satisfactions; in
other words, it must be efficient. Thus, effectiveness and
efficiency are related to, and dependent upon, each other.
What is effective is determined by the whole system since

the appraisal made concerns organizational purpose. Efficiency is judged by individuals and is measured in terms of the satisfaction of individual motives. Sustained cooperative effort, therefore, depends upon the attainment of purpose and the production of satisfactions.[31]

Clearly, the necessary material satisfactions such as money and security, and such social benefits as association and prestige, must be produced by the organization in quantities sufficient to enlist individual support for the larger purpose. Lacking a surplus of these satisfactions, Barnard stated, the cooperative system has two alternatives available for the maintenance of effectiveness and efficiency. It can attempt to change motives through education, indoctrination, persuasion, coercion, and like means, or it can replace individuals.[32] Hence, in attempting to attain its purpose the organization must adopt the additional purposes of securing cooperation and of gaining the means, or supply of satisfactions, whereby this is accomplished.[33]

In Barnard's view, limitations to effective and efficient action are also found in the physical and biological environments of cooperative situations, as well as in

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[31]Ibid., pp. 55-59 and 245.

[32]Ibid., p. 59.

[33]Ibid., p. 33.

the social factors operative. Physical and biological ele-
ments are evident, for example, in situations which bring
about the need for cooperation through requirements for
power, endurance, speed, continuity, and simultaneity which
are beyond the capacities of individuals acting singly.[34]
Likewise, the social environment created by organizational
action may become a limitation to the entire cooperative
system since undesirable changes in individual motives and
attitudes may be the result of social interaction. Conse-
quently, the identification of the processes of interaction
and the determination of its effects in and among the vari-
ous environments becomes part of the function of ensuring
cooperation.[35]

The strategic factors in cooperative situations. Al-
though the total cooperative situation is the resultant of
the combination of factors in its physical, social, and
biological environments, it is not possible to effect changes
in the overall cooperative effort through a control of all
the elements functioning in a given organizational context.
This is true because of the sheer numbers of variables
influencing the cooperative effort and because of the obscur-
ity of many of them. What becomes essential, Barnard main-
tained, is a concentration on the "strategic" factors whose

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[34]Ibid., pp. 28-29.

[35]Ibid., pp. 59-67.

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control can bring about change in the whole cooperative system. If the factors controlled are physical, for example, changes in the physical environment are sought; a change in social factors would involve a modification of human relationships; and biological limitations, those pertaining to individuals, might be overcome by inducing changes in attitudes and motives, as previously noted. In short, physical, social, and biological _forces_ are exerted to control those physical, social, _factors_ which have been determined to be strategic. More concretely, in the lifting of an object which requires the efforts of four men, an example is found of the use of social (cooperation) and biological (manpower) forces to overcome a strategic environmental (physical) factor.[36]

For Barnard, the capacity of the system to control the strategic factors of its environments was, in itself, a strategic factor. Without such control there is danger of the overemphasis of a particular phase of organizational activity.[37] The result, of course, is a loss of internal organizational balance. Thus, by way of example, in a

[36]Ibid., pp. 46-50 and 203-205. For purposes of illustration, another possible combination of these factors could be demonstrated in a situation wherein the individual cooperates in order to make use of the physical resources of the system in overcoming his own biological limitations.

[37]Ibid., pp. 235-240.

situation where the purposes of the organization are furthered while individual satisfactions are ignored, a disintegration of cooperation would occur. Stated in another fashion, the internal equilibrium of the cooperative system entails the efficient provision of satisfactions and the effectiveness of cooperation.

Summary. In his concept of the cooperative system, Chester Barnard supplies further assumptions which are basic to his theory of organization. As was noted in the previous consideration of the nature of the individual, the ideas of effectiveness and efficiency play an important role. With regard to both individuals and organizations, it was seen, Barnard defined effectiveness as the achievement of stated goals, while efficiency meant the satisfaction of individual motives. Since cooperation is not possible without efficiency, it is necessary for the cooperative system to provide satisfactions in amounts sufficient to ensure individual contributions. These satisfactions are both material and social and, if scarce, they constitute a limitation to cooperative action. Other limitations to cooperation also exist in the physical, social, and biological environments of the organization. It is through the discernment and control of the strategic elements in these environments that desirable changes in the total cooperative effort are effected. In this manner, balance is maintained among the various phases of organizational activity and the effectiveness and efficiency of the system is ensured.

The Formal Organization

The coordinating function. In order to arrive at a
definition of the formal organization, Chester Barnard
described it as one of the component systems of a larger
cooperative endeavor. It exists, Barnard maintained, even
in the single specialized component units of the system and
is the instrument through which the physical, biological,
personal, and social elements are coordinated and coopera-
tion is accomplished.[38] Viewed in this way, the formal
organization can be seen as the element that is common to
all cooperative systems regardless of the type or level of
organization being considered. The other components are
variable and cannot be generalized in the same manner.
Accordingly, it is necessary to exclude them, he felt, from
a concept of organization which seeks such general validity.[39]

An examination of these other systems, or environments,
justifies their exclusion. To illustrate, the physical
system comprehends the geography, property, and technical
equipment of specific operation and obviously lacks appli-
cability in the consideration of cooperative systems in
general. Similarily, the social factors apply to concrete

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[38]"Personal" is used here by Barnard to include the
biological elements of humans.

[39]The Functions, pp. 65-66.

situations since they result from the interaction of specific individuals and specific systems, or from interactions between systems, and from the limitations peculiar to a given act of cooperation. Further, declared Barnard, the conditions under which individuals participate in the cooperative system play a large part in distinguishing the personal component from the system of organization. Although the organization is often examined in terms of "groups," this leads to confusion in the absence of a definition of "group." This difficulty, it was held, is the result of the greatly varied nature and extent of individual contributions. For example, participation is intermittent, simultaneous with participation in other groups, and made different by individual and cooperative purpose.[40] Consequently, if the personal aspect of the cooperative system is so lacking in generality, then its inclusion as part of the definition of organization would severely limit the generality of that definition.[41]

What remains is a concept dealing only with the organizational element of the cooperative system. The

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[40]Ibid., pp. 66-73.

[41]The distinction between the social and personal components of cooperative systems should be noted. Social factors involve variables in the social system; personal factors are those variables introduced as the result of individual differences.

physical, social, and personal environments are regarded as
variables which are external to the constant, organization.
But as Barnard stresses:

> That is, external to the organization but not
> external to the related cooperative system. It
> is to be borne in mind that we are dealing with
> two systems: (1) an inclusive cooperative system,
> the components of which are persons, physical
> systems, social systems, and organizations; and
> (2) organizations, which are parts of cooperative
> systems and consist entirely of coordinated human
> activities.[42]

The concept of formal organization advanced has both
limitations and usefulness. It is only one of the factors
of the cooperative system described and its value is limited,
therefore, to dealing only with the organizational principles
of cooperative efforts. However, it is applicable, if valid,
to all cooperative systems. Regarded in this way, organiza-
tion provides the means of coordinating the other environ-
ments involved in cooperation since it is the common element
of all coordinated activity.[43] In this view resides the
central hypothesis of Barnard's theory of organization:

> . . . the most useful concept for the analysis of
> experience of cooperative systems is embodied in
> the definition of a formal organization as a sys-
> tem of consciously coordinated activities as for-
> ces of two or more persons.[44]

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[42]The Functions, p. 73.

[43]Ibid., pp. 73-74.

[44]Ibid., p. 73.

The "activities" and "forces" encompass the physical and social factors and are not merely descriptions of personal factors. They are a <u>system</u> of activities and forces.[45]

<u>The elements of organization</u>. The coordination of systematic activities implies, of course, common purpose and individual willingness. Along with the necessity for communicating, purpose and willingness comprise the "elements" of organization.[46] The relation of these elements to each other should be apparent. Without belief in purpose and without personal satisfaction, there is no willingness. Communication is likewise essential for understanding and attainment of purpose since willingness alone will not suffice. Also, purpose must obviously initiate both communication and willingness.[47] Here, again, what is involved is effectiveness and efficiency deriving from the satisfactions of individuals and their belief in organizational purpose. These are the essential conditions of organizational survival and, consequently, the production and maintenance of satisfactions and the advancement of the belief in a general purpose are critical executive functions. This is true because willingness fluctuates and purpose is

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[45]<u>Ibid</u>., pp. 75-76.

[46]<u>Ibid</u>., p. 82.

[47]<u>Ibid</u>., pp. 82-87.

seen by individuals in both a cooperative and subjective sense.[48] In other words, the "organization personality" and the "individual personality" are concerned, respectively, with the announced purposes of cooperative action and the motives of the individual in participating.[49] And, Barnard concludes, since the means by which purpose is established and willingness stabilized is communication, this organizational element "in an exhaustive theory of organization, would occupy a central place, because the structure, extensiveness, and scope of organization are almost entirely determined by communication techniques."[50]

Summary. The formal organization is regarded as the common element of all cooperative systems. It exists, along with the physical, social, and personal environments, in the total social effort and serves to coordinate them. The organizational element of cooperation is, in this view, the constant element of cooperation since it can be generalized to all cooperative systems regardless of type or level. The formal organization is further defined by Barnard as "a system of. . . coordinated activities." This implies the organizational "elements" of purpose and individual

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[48]Ibid., pp. 88-89.

[49]Ibid.

[50]Ibid., p. 91.

willingness. The elements of purpose and willingness in turn give rise to the need for the third element of organization--communication. Basically, what is again involved are the effectiveness and efficiency of the organization since the attainment of purpose constitutes effective organizational action and willingness to cooperate is the result of individual satisfaction.

The Complex Formal Organization

To this point Barnard's theory of cooperation and organization has been stated in terms of assumptions about the individual and the cooperative system, and by the identification of the elements of formal organization. While these assumptions and elements have been considered as they relate to an "ideal simple" organization,[51] Barnard maintained that:

> Organization, simple or complex, is always an interpersonal system of coordinated human efforts; always there is purpose as the coordinating and unifying principle; always there is the indispensable ability to communicate, always the necessity for personal willingness. . . fundamentally the same principles that govern simple organization may be conceived as governing the structure of complex organization which are composite systems.[52]

What is now essential is an examination of how these elements of communication, purpose, and personal willingness affect

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[51]The Functions, p. 94.

[52]Ibid., pp. 94-95.

the functioning of the complex organization and how they
give rise to the executive functions which are concerned
with coordination, specialization, decision-making, and
responsibility.

Communication and organizational complexity. The
need for communication, Barnard felt, imposes a limitation
on the size of the simple component units which comprise the
complex organization. More precisely, the possibility of
effective communication among members of the organization
lessens as their numbers increase. In the unit which has
grown too large, there is neither time nor ability to com-
municate. This is especially true if purposes are complex
or require complex techniques of communication or if there
is a great deal to be communicated. The required coordina-
tion is unattainable if the size of the specialized techno-
logical group exceeds that of the social group which is the
vehicle of communication. Either new units must be formed
or existing ones reorganized if such restrictions on com-
munication are to be overcome. Accordingly, Barnard main-
tained, the organization grows in complexity and evolves
its structure in this manner.[53]

In Barnard's theory, the structure of the organiza-
tion is influenced further by the communication requirement

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[53]Ibid., pp. 106-110.

by virtue of the relationship of communication to the system
of authority essential to maintain it. Channels of communi-
cation must be made known and their use stressed through
training and habituation. Formal relationships are essential
to the accomplishment of these functions since they serve to
authenticate orders and to develop and fix responsibility.
These formal arrangements are expressed through the system
of status and, in this sense, are also incentives to coopera-
tion.[54] Further, the need for direct and short lines of
communication may determine what executive work must be per-
formed at various levels and may bring greater specialization,
increased staff work, and the delegation of authority. The
resulting lines of communication are in this way, also,
determinants of organizational structure.[55]

The importance of the maintenance of the system of
communication as an executive function is stressed in
Barnard's theory. This function is carried out by the
executives of the component units of the complex organiza-
tion. These executives are members of both "working" units
and of the executive group and it is this dual participation
which is "the critical fact in all complex organization."[56]

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[54]Barnard, "Functions and Pathology of Status
Systems in Formal Organizations," _Organization and Manage-
ment_, pp. 224-231.

[55]_The Functions_, pp. 175-181.

[56]_Ibid._, p. 112.

The personnel of this "executive organization" are the <u>means</u>
by which the system of communication is maintained. This
system, in other words, is provided by the existence of the
positions of the executives. The executive organization
serves as a center of communication which has the principal
task of bringing together these "means" and the system of
communication essential to such activities as the definition
of positions, specialization, the fragmentation of general
purposes, coordination, and such personnel functions as
selection, promotion, training, and the distribution of
incentives.[57] For Barnard, then, "executive work is not
that <u>of</u> the organization, but the specialized work of main-
taining the organization in operation."[58]

  <u>Purpose and planning</u>. It is in connection with the
element of purpose that the executive group is concerned,
in Barnard's theory, with organizational planning. The
formulation of purpose directly affects the degree of
specialization in the complex organization. The accomplish-
ment of purpose requires the coordination of cooperative
efforts; in order for cooperation to exist in the complex
organization work must be specialized in the component
units. Skill, experience, time, place, and sequence must
all be coordinated since they are the "bases" of the

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[57]<u>Ibid</u>., pp. 217-218.

[58]<u>Ibid</u>., p. 215.

required specialization. Since they are thus grouped accord-
ing to purpose, each unit of the complex organization con-
stitutes a specialization with an immediate local end derived
from the ultimate purpose of the larger organization. It is
this fragmentation of the major purpose into specialized
parts which provides the basis of cooperative action and
which must be coordinated into a coherent whole. It follows,
then, that the structure of complex systems must accommodate
these requirements.[59]

Though it may be desirable it is not essential that
the general purpose be understood and accepted at the unit
level, according to Barnard. Often, unit purpose may become
paramount. The effectiveness and efficiency of the larger
organization are still possible, nevertheless, since cooper-
ative effort is sustained for "local" or personal reasons.
But this does not mean that the personnel aspect of the
functions of the executive group can be minimized since
the willingness to cooperate must be induced.[60]

Willingness and cooperation. As noted earlier,
Barnard conceived of the individual as a being possessing a
limited freedom of choice. In order to favorably influence
this choice, the organization maintains a system of incen-
tives. While the methods of inducing cooperation may vary

[59]Ibid., pp. 127-138 and 231-233.

[60]Ibid., pp. 136-138.

with organizations and involve not only material and social benefits, but may involve techniqes such as selection, persuasion, control, deterrence, coercion, education, and similar procedures, the aim of each is to secure cooperation.[61]

It is also in this connection, it will subsequently be seen, that Barnard saw one facet of the "moral aspect" of the executive function. Here, he believed, existed the necessity and the opportunity to create morale by influencing the decisions of the members of the organization concerning the acceptance of organizational purposes. In this sense, it is the creation of an organizational morality, or set of organizational values, for others which is an important executive function.[62] Naturally, these values are an expression of the moral basis of the organization and enduring cooperation depends upon their acceptance by individuals. What is critical to the establishment of organizational values and to the selection of methods to secure their acceptance are, of course, the decisions made by the executive group. In Barnard's words, such decision "is the deliberate adoption of means to ends."[63] As it applies here to willingness and cooperation, executive decision can be regarded as a strategic factor in the choice of techniques

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[61]Ibid., pp. 227-231.

[62]Ibid., pp. 279-281.

[63]Ibid., p. 186.

of persuasion and incentive, or means, to gain the coopera-
tion essential to the accomplishment of organizational ends.

Decision-making in the executive group is not con-
fined, obviously, to the eliciting of cooperation. As
Barnard notes, it is "the essence of organization" since it
is essential to all phases of cooperative action.[64] For this
reason, it is an executive function which must be considered
in the light of the central place it occupies in Barnard's
theory of organization.

The decisive process. Organizational decision
results from the interactions between various positions in
the executive organization since, of necessity, it must be
made near these "centers of communication."[65] In other
words, Barnard did not see decision as residing with indi-
viduals whose actions are taken from a psychologically
conditioned standpoint. Organizational decision is, rather,
a social process of the organization whose objectives are
logically arrived at, as contrasted with individual actions
and motives which may stem from impulse or mere response.[66]
Accordingly, the ends of organization must be derived from
what is organizationally "ideal," or "good," or "moral."[67]

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[64]Ibid.

[65]Ibid., p. 178.

[66]Ibid., pp. 186-189.

[67]Ibid., pp. 200-201.

To Barnard, this meant the logical determination of actions
in order to establish the internal and external equilibrium
of the system; that is, its efficiency and effectiveness.

But, stated Barnard, it is "indispensable to the
theory of organization" to also take into consideration "the
antithesis of the moral element" since decisions must be
made under existing conditions and with available means.[68]
This antithesis is the element of "opportunism" in decision
and, by definition, refers to the nature of the environment
in which decision occurs.

It is the existing forces and circumstances of the
physical and social world, then, coupled with the purpose
originating in the moral aspect of the organization, which
constitute the "objective field" in which decision must
function. This field of decision is objective since it
deals in "fact already determined" and it is the purpose of
decision to discern relevant fact. Thus, decision can be
regarded as the definition of action to be taken in regu-
lating the relations between purpose and its physical and
social environment.[69] Since this is the main function of
decision, the strategic element is thus "the center of the
environment of decision."[70] The relationship of environment

[68]Ibid., p. 201.
[69]Ibid., pp. 200-202.
[70]Ibid., p. 205.

to purpose is evident in the fact that neither has meaning
without the other. The successive refinement of purpose, or
the ideal, is the result of successive decisions occasioned
by discerned environmental conditions;[71] and, it was seen
earlier, that organizational stability demands change of
either environmental factors or purposes if either threatens
effectiveness or efficiency.[72]

According to Barnard's theory, the possibility of
precision in the analysis of the environment varies. It is
relatively simple to detect strategic elements in the physi-
cal environment, for example. On the other hand, an "in-
escapable strategic factor" exists in the very fact that
adequate techniques for discriminating strategic social
limitations are lacking. In less technical areas than the
physical, for instance, things are usually known by their
history since present conditions cannot always be deter-
mined.[73] Hence, in dealing with social factors, it is
essential to keep in mind that the past is "a probable
approximation of the present. . ." and that

> The ideal process of decision is to discriminate
> the strategic factors and to redefine or change
> purpose on the basis of the estimate of future
> results of action in the existing situation, in
> the light of history, experience, knowledge of
> the past.[74]

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[71]Ibid., pp. 202-206.

[72]Ibid., pp. 194-197.

[73]Ibid., pp. 197-198.

[74]Ibid., p. 209.

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In Barnard's view, then, organizational decisions
are <u>functions</u> of the organization as a whole; it is the
<u>processes</u> of decision which are specialized throughout the
organization. The level at which decisions are made is
determined by the ends. At all levels decision commences
with the discrimination of the relevant. At the lower
levels of the organization it involves the technical judge-
ments necessary to achieve immediate ends; intermediate
decision-making is concerned with less specific goals; at
the highest levels it is general purpose which is determined.
Thus, for the executive, the primary concern is "with deci-
sions which facilitate or hinder other decisions in the
effective or efficient operation of the organization."[75]
What is effective or efficient is determined by decisions
concerning the ideal, the good, and the moral. These
decisions result in actions which seek to effect environ-
mental change. On the other hand, purpose is also modified
by the opportunistic, or physical and social conditions of
the environment.

Executive responsibility. The structure and
processes of organization have been examined in some detail.
It is now necessary to consider the "catalyst" of the
organizational processes--leadership.[76] This consideration

[75]<u>Ibid</u>., p. 211.
[76]<u>Ibid</u>., p. 259.

is essential, of course, to an understanding of the concept of responsibility which is the ultimate concern at this point. Its importance is also emphasized by what has already been seen of the work of the organization and by the resulting need to influence personal choice which is the basis for authority and, hence, of cooperation. In other words, cooperation results from personal action and the need to inspire cooperative effort is apparent in the numbers and types of existing limitations to the accomplishment of purpose.

The notion that leadership has a dual nature is advanced and this is supported by what has already been stated concerning the nature of the organization and its environment.[77] On one hand, cooperative systems were seen to deal with forces and circumstances that were physical, social, and biological and which imposed physical and human limitations. On the other hand, cooperative systems were also seen to operate in the environment of purpose which represents the ideal, or moral sector, of the organization. More concretely, what is involved is a confrontation of the ideal with what "is." As stated previously, it is the function of the process of decision to reconcile the ideal with existing circumstances. In Barnard's theory, this requirement for decision makes demands upon the executive which

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[77]Ibid., p. 260.

require varying degrees of skill, knowledge, and similar
abilities. This is particularly true with regard to judge-
ments about the "objective" field of established fact. But
in the moral area of the environment which deals in purpose,
in personal choice, it is the <u>quality</u> of leadership which
is significant. It is here where purpose is set and cooper-
ation induced and maintained. It is also in this respect
that the capacity for responsible, determined, and far-
sighted action is most essential.[78] What was stressed by
Barnard, then, are the "primary" and "secondary" aspects of
leadership which are concerned, respectively, with the
moral phase of cooperation and with the management activi-
ties of the organization.[79]

It is the creative aspect of leadership which is
"the highest exemplification of responsibility."[80] It is
carried out on the basis of personal conviction since
responsibility involves the private moral codes of the indi-
vidual "which inhibit, control, modify inconsistent immedi-
ate desires, impulses, or interest, and. . . intensify those
which are consistent."[81] What was essential to the highest

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[78]<u>Ibid</u>., pp. 260-261.

[79]Barnard, "The Nature of Leadership," <u>Organization
and Management</u>, pp. 83-84.

[80]<u>The Functions</u>, p. 261.

[81]<u>Ibid</u>.

form of leadership, Barnard felt, was the "identification of
personal. . . with organization codes" since this was "the
highest test of executive responsibility."[82]

There are also moral codes to which the organization
subscribes. These derive from its acceptance of the legal,
technical, informal, and internal codes under which it func-
tions. Consequently, there is an increasing moral complexity
as the functions of the executive increase.[83] Stated differ-
ently, the opportunities for moral, as opposed to technical,
decisions increase as the executive hierarchy is ascended.
Or, since the adoption of organizational codes is the
responsibility of the executive, the addition of codes to
private moral systems means more complex moral situations.

But what is essential, said Barnard, to the effec-
tiveness of the executive is not only moral complexity
leading to a high sense of responsibility, but a commensur-
ate ability to deal with the moral aspect—to define, develop,
and create purpose. This means the creation of a "morality"
for the organization which comprehends its ideals, purposes,
morale, and the foresightedness by which it is governed.[84]
It is this creation which is "the spirit that overcomes the

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[82]Ibid., p. 281.

[83]Ibid., pp. 265-272.

[84]Ibid., pp. 282-283.

centrifugal forces of individual interests or motives."[85]

Thus, the capacity of the executive is "the strategic factor in cooperation."[86] It is not found in a simple acceptance of the codes of the organization but requires "the creation of moral codes for others."[87] While this function is generally described as the building of morale through encouraging the acceptance of organizational views, through such means as the inculcation of attitudes and loyalties, there is a second aspect. This is "inventing a moral basis for the solution of moral conflicts."[88] These conflicts are inevitable in organizations since the moral codes of persons, various technologies, and the organization as a whole do not usually coalesce.[89] In this respect the executive function must provide alternative action or assume a judicial, or "appellate," function which has as its purpose the securing of a sense of conformance to moral

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[85] Ibid., p. 283.

[86] Ibid., p. 282.

[87] Ibid., p. 279.

[88] Ibid.

[89] A technological requirement, for example, may be economically unsound to the organization. More abstractly, adherence to a moral code which is inspired by the ethics of a technology may result in conflict with the moral code resulting from the ethics of the economic "good" of the whole organization.

codes by the moral justification of compromise.[90] As
Barnard concludes:

> The invention of the constructions and fictions
> necessary to secure the preservation of morale
> is a severe test of both responsibility and
> ability, for to be sound they must be "just" in
> the view of the executive, that is, really con-
> sonant with the morality of the whole; as well
> as acceptable, that is, really consonant with
> the morality of the part, of the individual.[91]

Restated, then, executive responsibility has been
explored in connection with the dual aspects of leadership.
These aspects were seen to be the result of the "opportunis-
tic" and "moral" sectors of the organizational environment.
Respectively, these were seen to involve the physical,
social, and biological forces and circumstances existant,
and the element of purpose in that context. In the environ-
ment of opportunism, the skills, knowledge, techniques, and
similar abilities of the leader are called upon; in the
moral aspects of the cooperative system, however, it is
the quality of leadership which is most important. As the
moral functions of the executive increase, so also does the
moral complexity of his position. Thus the test of moral
leadership is in the capacity of the executive for moral
complexity and in his ability to create, identify, and develop
purpose. It is in these areas that executive responsibility

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[90]The Functions, pp. 279-281.

[91]Ibid., p. 281.

finds its challenge.

Summary. The complex formal organization has been examined in terms of the organizational "elements" of communication, purpose, and personal willingness. The relations of these elements to the total cooperative effort were illustrated through a discussion of the manner in which they affect its structure and functions. The element of communication, for example, was seen to be a limiting factor in the size and structure of the organization. The relationship of the communication system to the functions of coordination and specialization was also noted and it was seen that these functions were made possible by the hierarchical communications structure that comprises the executive organization. Thus, the system of status, or authority, is also affected by, and affects, the communication element. The element of purpose similarily is a determinant of organization function and structure since it is concerned chiefly with organizational planning. The specialization and coordination of work in the organization, for example, is the result of the fragmentation of general purposes. Consequently, the structural arrangement of the organization is determined by numbers and kinds of its specialized component units. And, in the consideration of the organization element of personal willingness, it was seen that an important and creative aspect of the executive function was involved. Although techniques of persuasion are employed, and a system of

incentives is maintained by the organization for the purpose
of eliciting the participation of individuals, it is through
the creative, or moral, aspect of the executive function that
enduring cooperation is secured. This creative function in-
volves the identification of personal effectiveness with
organizational effectiveness. Central to the organizational
functions that arise in connection with the elements of com-
munication, purpose, and willingness to cooperate is the
decision-making process. This process is specialized through-
out the organization and, accordingly, is not the function of
individuals. The primary concern of the decisive process is
the reconciliation of organizational ideals, or purposes,
with the means available for their attainment. It is the
responsibility of the executive to provide the leadership
essential to effective decision-making. Leadership has pri-
mary, creative aspects, and secondary, management aspects.
The quality of leadership can be measured by the capacity of
the executive for creative decision—a capacity which tran-
scends the mere exercise of skill or technique. Creative
leadership defines, develops, and establishes purpose. Basic
to this creativity is the ability to cope with the decisions
which are occasioned by the moral breadth and complexity of
his position. This breadth and complexity is the result of
the addition of the moral codes of the organization to the
personal moral codes of the executive. It is also due to the

necessity for the executive to create moral codes for others. In other words, he must seek the acceptance by the members of organizational values through the creation of morale.

The Informal Organization

The formal-informal relationship. With the inclusion of his final structural concept, that of the "informal organization," Barnard rounded out his theory. This informal group is that which results from contacts incidental to the discernment and accomplishment of formal purpose. Such groups exist inside all formal organizations and, although lacking a conscious joint purpose, are able to achieve joint results.[92] Although without structure and of varying density,[93] they reflect attitudes, emotions, and instincts, and thus can effect changes in the formal system. How this comes about is seen more clearly if the origin of customs, mores, folklore, and similar practices and beliefs are considered. These derive from usage and habit, noted Barnard, and, by contrast, formal purpose usually has a logical basis which eventually becomes "official" through being legally so established.[94]

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[92]The Functions, pp. 114-115.

[93]"Density" is determined by the number of people brought together by formal purpose. Consequently, the density of the informal group corresponds.

[94]The Functions, p. 116.

It is not unusual, Barnard maintained, that the
relationship of the informal to the formal organization is
not recognized. The informal group is difficult to describe
and, as noted, lacks structure.[95] An "excessive concentra-
tion" on the formal aspects of the system may also work
against such recognition.[96] But when the informal organi-
zation is regarded as necessarily preceding the development
of the formal system, the relationship is less obscure. It
is through informal means that initial contacts are estab-
lished, communication begun, willingness signalled, and
purpose accepted. On the other hand, the informal organi-
zation must rely on the eventual emergence of the formal
group to provide a systematic pattern of activities to a
degree sufficient to maintain the contacts which need and
interest established. Cooperation thus becomes "purposive"
and its continuity and consistency depend upon a formal
structure.[97]

It is also true, in Barnard's view, that formal
organization must bring into being the informal groups
essential to their own survival. Much of what is classed
as cooperation is informally achieved in the sense that it

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[95]Ibid., pp. 114-115.

[96]Ibid., p. 121.

[97]Ibid., pp. 116-120.

depends to great extent on the attitudes, motives, and
emotions of individuals.[98] These feeling can unconsciously
work to coordinate or hinder the system of activities that
commands the consciously coordinated efforts of the formal
organization. In the absence of the coincidence of infor-
mal and formal coordination, disintegration occurs.[99] This
is not to state that individual and group purpose must be
identical for organizational effectiveness and efficiency.
In Barnard's organizational theory, it will be recalled,
the fragmented, "local" ends of the component units can
command the loyalties of unit members without loss to larger
cooperative system. Regardless of individual motives, the
coordination of successful cooperative purposes accomplishes
the general purpose of the system as a whole.[100]

It is in Barnard's informal group, then, that such
intangibles as "group feeling" and "public opinion" are
communicated. The cohesiveness of the formal group derives
from the informal communication to group members of the accep-
tance of the impersonal authority and purposes of the formal
system. In this manner "willingness to serve" can be
elicited in a way which permits the individual to preserve

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[98]That considerable evidence supporting this was
amassed in the Hawthorne studies is noted by Barnard. _Ibid._,
p. 122.

[99]_Ibid._, pp. 120-122.

[100]_Ibid._, pp. 231-233.

a feeling of integrity, free will, and self-respect.[101] The degree of personality which is surrendered by the acceptance of formal authority and purpose can thus be regarded as limited.[102] Concurrence is possible within an informal system which is free of conspicuous authority.[103]

Summary. What has been stated concerning informal organizations should emphasize and clarify their relationships to formal organizations. Interactions among persons become systemized and result in formal groups which serve to sustain desired contacts and to promote resulting group purposes. Once established, the formal group is itself the source of informal organization due to the interaction resulting from essential contacts among members. These informal groups serve to maintain communication and cohesion in the formal system and to protect individual integrity.

Summary

Chester Barnard's theory of cooperation and organization has been stated in terms of its "structural" and "dynamic" concepts. The former relate the individual, the cooperative system, the simple and complex formal organization, and the informal organization and constitute the

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[101] Ibid., p. 122.

[102] Ibid., pp. 223-226.

[103] Ibid., p. 122.

"anatomy," or framework, of the theory. In this sense they can be regarded as static. The "physiological" aspect provides the dynamic concepts which are apparent in the functioning organization. These concepts of free will, cooperation, communication, authority, decision, equilibrium, and executive responsibility have been considered here in conjunction with the structural concepts--a fact which stresses the impossibility of their separation except in a taxonomic sense.

Briefly, the formal organization has been envisaged as a component of the greater cooperative system.[104] The purpose of organization is the coordination of the other component systems which are physical, social, and personal. Each of these are subject to limitations inherent in their own natures and in their environments. To overcome these limitations to cooperation decisions must be made concerning their relevance at a given time. This is the discernment of the "strategic" factor whose control can effect changes in the total situation. Successful cooperation means "effectiveness" which is the accomplishment of formal purpose and requires organizational balance with the external environment; it also means "efficiency" which is obtained through the satisfaction of individual motives and requires

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[104]Barnard saw all cooperative systems, except church and state, in the context of larger systems.

internal equilibrium. Survival of the organization depends on this success as well as on the individual acceptance of authority and of at least some aspect of the general purpose. While these conditions are usually more readily observed in the simple organization, they obtain in the complex system as well since the latter is composed of simple specialized units of organization.

The work of the organization, then, is that of accomplishing general purpose while satisfying the motives of its members. To do this it must elicit cooperation through the provision of social and material incentives. In addition, efforts must be coordinated and purposes communicated. The executive function, which is carried out both formally and informally, is to maintain the organization in operation so that it can accomplish its ultimate purpose. The processes of decision by which this is carried out require of the executive a capacity for moral complexity and high responsibility. Finally, the informal operation is essential to the formal organization at all levels since it gives rise to formal groups, communicates intangibles, provides cohesion, promotes individual integrity, and validates the actions of the formal organization.

EDUCATIONAL ADMINISTRATION: AN OVERVIEW OF ITS DEVELOPMENT
AND SOME RECENT TRENDS

Introduction

Since it is the intention of this study to compare
the theory of Chester Barnard which has been surveyed with
selected studies by students of educational administration,
it is considered necessary at this point to provide a back-
ground for the development of that area of educational
research. Accordingly, American school administration is
scanned here in the light of changing concepts which have
affected its development.

The early period. With the period of urbanization
which occurred in the United States after the Civil War came
a corresponding growth in school enrollment. Since problems
of organization increased accordingly, the administration of
schools became a full-time occupation--a condition that was
unusual before this time. From approximately 1865 until
1900 public school administration was to a considerable
extent regarded as primarily a matter of scholarly leader-
ship concerned with the philosophy and purposes of education
and with the development of methods for its dissemination.[1]

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[1]Raymond E. Callahan and H. Warren Button, "Historical

The causes of change. By 1900 the concept of administration began to change. The reasons for this were several. Local control and support of the school made the position of the administrator an insecure one.[2] At the same time, in this era of the "muckrakers," a spirit of reform dominated most of the nation. Graft and waste were attacked at all levels and in all aspects of public life. What began as a moral issue, however, became subject to a "secularizing tendency. . . an increasing disposition to view the reform. . . not as a high moral endeavor but as a matter of improving the quality of administration."[3] Thus, the efficiency which industry had demonstrated as attainable in the management of affairs was demanded of all public institutions.[4] The demand was not ignored.

Nor did the problems within the urban school lessen. Immigration continued to bring thousands of new enrollees and to create new social problems. The cost-consciousness

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Change of the Role of Man in the Organization: 1865-1950," Behavioral Science and Educational Administration, Sixty-third Yearbook of the National Society for the Study of Education, Part II (Chicago: The Society, 1964), pp. 73-76.

[2]For a detailed opinion on the effects of local control see, Raymond E. Callahan, Education and the Cult of Efficiency (Chicago: University of Chicago Press, 1962).

[3]Dwight Waldo, The Administrative State (New York: The Ronald Press, 1948), p. 28.

[4]Ibid., pp. 28-30.

of the public was in sharp contrast to the increasing
demands on the schools. Frequently the successful admini-
strator came to be seen as one who apparently provided
education at a "reasonable" cost determined by the public.[5]

Early administrative preparatory programs. The
trend toward efficiency in school administration continued.
Representative of this was the work of Ellwood Cubberly of
Stanford and of George Strayer of Columbia. Although their
views differed considerably, the influence of both men was
evident in the preparatory programs which appeared through-
out the 1920's.[6] For the administrator Cubberly emphasized
an early broad preparation which "should. . . open up to
the student permanent interests in music and art, litera-
ture, history, science, and human welfare." To this was to
be added a "technical preparation" in educational theory,
history, and administration and a "practical preparation"

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[5]Callahan and Button, op. cit., pp. 78-80.

[6]Ibid., p. 85. For some other recent comment on
Cubberly's influence, see Bernard Bailyn, Education in the
Forming of American Society (New York: Alfred A. Knopf, Inc.,
and Random House, Vintage, 1960), espc. pp. 10-13. See also
Lawrence A. Cremin, The Transformation of the School (New
York: Alfred A. Knopf, Inc., and Random House, Inc., Vin-
tage, 1964), pp. 67-68. In particular, see Cremin's, The
Wonderful World of Ellwood Patterson Cubberly (New York:
Bureau of Publications, Teacher's College, Columbia, 1965).
For a more specific reference to his work in administration,
see Jesse B. Sears and Adin B. Henderson, Cubberly of Stan-
ford (Stanford: Stanford University Press, 1957), pp. 127-164.

in actual school work.[7] Strayer, on the other hand, empha-
sized the skills requisite to the success of the profes-
sional man in a business society with his concentration on
finance, the "plant," business management, and public
relations.[8]

The search for principles. It was perhaps the
heightened social awareness of the 1930's that brought a
re-examination of the purposes of the school and of its
adequacy for its times. For the administrator it meant more
attention to the connection between the purposes and the
increasingly complex organization through which they were
accomplished. Although the techniques and practices of
business were still seen as properly occupying a consider-
able portion of the administrator's time, it was in this
period that students of school administration began the
attempt to develop systematic concepts which would define
the boundaries, substance, and process of their subject.[9]

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[7]Ellwood P. Cubberly, Public School Administration
(Cambridge: The Riverside Press, 1916), pp. 133-134.

[8]This concentration is evident in the frequently
cited works of Strayer. See, for example, Jesse B. Sears,
Public School Administration (New York: The Ronald Press,
1947) which provides one of the most extensive bibliogra-
phies in educational administration literature and in which
thirteen of Strayer's fifteen citations deal in such areas
as finance, reorganization, structure, surveys, and buildings.

[9]See, for example, Edwin J. Brown, Secondary-School
Administration (Cambridge, Mass.: The Riverside Press, 1938).

Among the most notable and prolific in this inquiry were
Arthur Moehlman, Paul Mort, and Jesse Sears whose influence
was widespread throughout the 1940's and 50's and whose work
still retains considerable significance in many schools of
education.[10] In the efforts of each of these men there was
an attempt to arrive at principles of administration by a
practice oriented approach. Mort, for example, outlined "a
series of principles derived from the public sense of what
is fitting."[11] Sears, too, took a "different approach" and
examined "underlying purposes," and "the nature of. . .
problems, techniques, and processes, with emphasis upon 'how
to find out how to administer.'"[12] Similarily, Moehlman
sought "principles. . . derived from the purposes of educa-
tion and accepted educational practice."[13] To what extent
these, and other efforts of the period, contributed toward
the eventual development of a science of administration
would be difficult to determine. There was still a consider-
able amount of attention given in these works to the skills
of management. Yet there was belief in a necessity for

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[10]Callahan and Button, op. cit., pp. 90-91.

[11]Paul R. Mort and Donald H. Ross, Principles of
School Administration (New York: McGraw-Hill Book Company,
Inc., 1946), p. x.

[12]Sears, op. cit., p. iii.

[13]Arthur B. Moehlman, School Administration (2nd ed.;
Cambridge, Mass.: The Riverside Press, 1951), p. 59.

discovering the principles which would serve as guides to administrative action. It was this emphasis which was to become the dominant feature of administrative study in the modern era.

The Contemporary Movement in Educational Administration

The immediate origins. What has come to be regarded as modern in the study of administration by students in the field of education had its origins in the late 1940's with the simultaneous and converging interests of three groups: the Kellogg Foundation, the American Association of School Administrators (AASA), and the National Conference of Professors of Educational Administration (NCPEA).[14] The Kellogg Foundation's long-standing programs of community development brought to its attention the problems and effects of schools and administrators in the community. Consequently, it agreed to support financially the programs for the study and improvement of school administration proposed by the AASA. The result was the formation of the Cooperative Program in Educational Administration (CPEA) whose work was principally centered around eight major regional centers.[15] Over a

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[14]Andrew W. Halpin (ed.), Administrative Theory in Education (Chicago: Midwest Administration Center, University of Chicago Press, 1958), pp. 1-4.

[15]Centers were established at the following universities and colleges: Chicago, George Peabody, Harvard, Ohio

period of ten years approximately nine million dollars were
provided by the Foundation.[16] There were a considerable num-
ber of conferences on issues and programs, inter-disciplinary
seminars, field studies, intern programs, and research
studies conducted in the behavioral and social sciences. In
most of these efforts there was an obvious shift in emphasis
to the theoretical study of administration. Griffiths claims
that:

> The interest created, the funds and facilities
> provided, and the talent recruited have in the
> past few years moved the field farther along
> than it had moved in the preceding half-century.
> In large measure, the present urgency concern-
> ing theory can be traced to the stimulus given
> by the Kellogg Foundation.[17]

The contributions of the National Conference of Pro-
fessors of Educational Administration are similar. This
group has provided an impetus to scientific inquiry through
its publications. It has probed the traditional bases of
administrative study and has increased the available litera-
ture of modern educational research. Much of this, such as
Administrative Behavior in Education,[18] has sought to

State, Oregon, Stanford, Texas, and Teachers College,
Columbia.

[16]Daniel E. Griffiths, Administrative Theory (New
York: Appleton-Century-Crofts, Inc., 1959), pp. 2-7.

[17]Griffiths, op. cit., p. 5.

[18]Roald F. Campbell and Russell T. Gregg (eds.),
Administrative Behavior in Education (New York: Harper and
Brothers, 1957).

synthesize the scientific approaches taken, to discover new directions for research, and to emphasize the value of theory to these efforts. As with the CPEA, its principal contribution appears to be establishment of communication among those concerned with programs for the training of administrators for the public schools.

The stimulus to research in administration provided by the University Council for Educational Administration (UCEA) should also be noted. From its beginnings in 1956, this group has worked for the cooperation of selected major universities in the development of training programs and an inter-disciplinary approach to administrative study. Its influence is evident in such publications as <u>Administrative Theory in Education</u>.[19]

<u>The result</u>. It would appear that the most notable outcome of this period of change in the study of administration by educators has been the focusing of their attention on the basic problems of the scientific study of their discipline. In this sense, it has been for them a period of awakening rather than of discovery. It has also been a period in which many educators have realized that the search for the "universals" of organization is in itself a recognition of the need for an approach which is both scientific and interdisciplinary. A science of organization must deal

[19]Halpin, <u>op</u>. <u>cit</u>., pp. 2-4.

in general and comprehensive theory which describes the total cooperative effort and not merely the specific functions of specific cooperative systems. There is considerable evidence that this recognition has existed among a number of students of administration for some time. In 1938, for example, Edwin Brown commented:

> . . . there is reason to believe that altogether too much time has been given in the past to teaching school administration as something apart and separate, rather than teaching administration in a general way from the basis of considering fundamental principles. Granting that the statement is sound, the administration of a railroad,. . . baseball club, a church diocese. . . , a high school,. . . or a polar expedition differs only in the details as they are applied to the general field of administration.[20]

As stated previously in discussing the development of the general field of administrative thought, such observations have been made by students from many disciplines. Sociologists, psychologists, political scientists, economists, natural scientists, and others have made contributions to the literature of the field. The discovery of this literature is indeed an advance. Much rediscovery and restatement can be eliminated. As a source of hypotheses, concepts, and theories, this knowledge is indispensable.

What is needed and why. What is clear, then, is that the problems encountered by educators in administrative and organizational study are not peculiar to their discipline.

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[20]Brown, _op. cit._, pp. 4-5.

Some of these problems were noted previously. Undoubtedly, the most critical and most widely maintained difficulty is the absence of an adequate theory which would permit the description, control, and prediction of organizational behavior to a useful degree. For without theory there is no available guide to procedure in administrative study, no structure or principles to order, explain, and relate collected facts and observations, no source of hypotheses or of the abstraction essential to a comprehensive and systematic explanation of phenomena.

But there is not yet a commonly accepted meaning of "theory" among students in the field of organizational study. The fact that no common scientific language exists to give precision to the attempts to communicate between and within the various disciplines involved in this area has also been noted. Further, since organizational theories seek to describe human activity, the innumerable variables operative in observed situations are extremely difficult to identify. Some students of administration, such as James Thompson, feel that although some progress is indicated the emphasis have been on ". . . a few aspects of administration or behavior in selected types of administrative situations."[21] What is needed Thompson affirms, is a concentration on the

[21]James D. Thompson, "Modern Approaches to Theory in Administration," in Halpin, op. cit., p. 37.

whole process of administration rather than on the correlations of isolated actions.[22] Obviously, his call is for an integrative theory of organizational structure and process.

But the condition outlined by Thompson is, as noted above, true of the entire field of administration and the manner in which the various disciplines have approached the construction of theory show a considerable similarity of thought among them. The extent to which this is true, of course, is of particular importance to this study. As stated at the outset, it is essential to establish the current study of educational administration as representative of the general modern approach since it is on this basis that studies in educational administration will be selected for comparison with the work of Chester Barnard.

The Background for Selection

The general field of study. A brief review of what have already been indicated as the major trends in the general field of modern administrative theory and research should suffice to establish the basis on which educational administration studies can be selected as representative of that field. Relying on such classifications as that of March and Simon, it becomes apparent that there is considerable emphasis in the broader research area of administration

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[22]Ibid.

and organization on such concepts as role, personality, needs, motivation, decision-making, and organizational equilibrium.[23] In addition to these, it was also seen that Koontz identified "schools" concentrating on the analysis of such concepts as group process, the organization as a social system, and the use of the mathematical model.[24] There are other categories of administrative study which could be distinguished. Theories of information and communication, for example, might be added to the list, along with cybernetic approaches and operations analysis and research.[25] It is possible, of course, to subsume these under those schools already listed but their separate mention serves to indicate the direction of modern administrative study. As noted previously, there is no well defined field. It is, as Scott labels it, "an amorphous aggregation of synthesizers and restaters, with a few extending leadership on the

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[23]James G. March and Herbert Simon, Organizations (New York: John Wiley and Sons, 1958), passim.

[24]Harold Koontz, "The Management Theory Jungle," Readings in Management, ed. Max D. Richards and William A. Nielander (Cincinatti: South-Western Publishing Company, 1963), pp. 4-12.

[25]Examples of these approaches are numerous. See Richards and Nielander, op. cit.; James G. March (ed.), Handbook of Organizations (Chicago: Rand McNally Publishing Company, 1965); and Albert H. Rubenstein and Chadwick J. Haberstroh (eds.), Some Theories of Organization (Homewood, Ill.: Richard D. Irwin, Inc., and The Dorsey Press, Inc., 1960).

frontier."[26] It will be seen that the situation in administrative study in education is similar to that in the larger field of modern administrative thought.

The problem of selection. The selection of the educational studies which are indicative of the congruence of educational and general administrative thought and which will serve as the basis of comparison with the work of Chester Barnard presents some difficulty, however. It is true that the Cooperative Program in Educational Administration, the National Conference of Professors of Educational Administration, the University Council for Educational Administration, and other interested groups, such as the National Society for the Study of Education, have fostered communication and exchange among students of administration; but, as Griffiths points out, no adequate research summaries exist in that field.[27]

The procedure to be followed. There are, fortunately, in addition to some separately undertaken efforts

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[26]William G. Scott, "Organization Theory: An Overview and an Appraisal," Organizations: Structure and Behavior, ed. Joseph A. Litterer (New York: John Wiley and Sons, Inc., 1963), p. 26.

[27]Daniel E. Griffiths, "Research and Theory in Educational Administration," Perspectives on Educational Administration and the Behavioral Sciences, Center for the Advanced Study of Educational Administration (Eugene: University of Oregon, 1965), p. 47.

of individual students, the publications of the groups
mentioned above which incorporate the work of various stu-
dents of educational administration. While these publica-
tions are not summaries of administrative research, they do
represent what is most recent and, apparently, most salient
in that area. Thus, such essential criteria for selection
as timeliness and relevance of scope and content to the
larger field of study are to a great extent satisfied. Con-
sequently, these works should provide leads to the necessary
studies, if not the studies themselves. It should be noted
that the work of a relatively few individuals appears to
have had the most impact in this area of educational research.
Undoubtedly, this is due to the recency of this particular
research emphasis in education. Accordingly, the classifica-
tion of the principal types of study which have been carried
out by educators is an essential first step in the process
of selection and analysis.

In addition to considering the research emphasis of
those groups which have provided much of the impetus for
administrative study, the CPEA, NCPEA, and UCEA, it will be
necessary to consider other reviews, collections such as
those found in the Review of Educational Research,[28] the

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[28]Especially, Review of Educational Research:
Educational Organization, Administration, Finance, XXXIV
(October, 1964).

National Society for the Study of Education Yearbook for
1964,[29] as well as the separate contributions of educators
working outside the research setting provided by the organi-
zations noted. It will also be useful, in gaining a wide
cross section of administrative study in education, to con-
sider such later contributions as that of the Center for the
Advanced Study of Educational Administration at the Univer-
sity of Oregon.[30] By an analysis of the frequency of, and
of the significance given to, various types of theoretical
studies in the literature described, it is hoped that
studies will emerge which can be used as representative of
the general field.

Trends in the literature of educational administra-
tion. What is perhaps the broadest survey of recent
administrative literature is found in the Review of Educa-
tional Research for October, 1964. Although it attempts to
survey the literature of "organization, administration,
finance," as noted, Griffiths points out that it fails to
provide a comprehensive summary of administrative and

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[29]The National Society for the Study of Education,
Behavioral Science and Educational Administration, Sixty-
third Yearbook of the National Society for the Study of
Education, Part II (Chicago: The Society, 1964).

[30]Center for the Advanced Study of Educational
Administration, Perspectives on Educational Administration
and the Behavioral Sciences (Eugene: University of Oregon,
1965).

organizational research.[31] It does call attention, however, to what is seen as significant in such collections as NSSE yearbook and the UCEA publication, Administrative Theory in Education.[32] Six "themes that recur with striking regularity" are cited in the Review: the theoretical approach, organizational operation, roles in the organization, personality studies, "cultural and individual values," and leadership.[33] Also noted are new "directions" focusing on change in organizations, interpersonal perception analysis, and studies of administrative behavior.[34]

Only slightly less recent is the previously-cited sixty-third yearbook of the NSSE, Behavioral Science and Educational Administration. Due to a "growing awareness" in the Society of "the ferment in the field of administration," the yearbook was published in 1964 in order to "present postwar developments in administrative practice and theory."[35]

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[31]Ibid., p. 47.

[32]Andrew W. Halpin (ed.), Administrative Theory in Education (Chicago: Midwest Administration Center, University of Chicago, 1958).

[33]James M. Lipham, "Organizational Character of Educational Administration Behavior," Review of Educational Research: Educational Organization, Administration, Finance, XXXIV (October, 1964), pp. 435-454.

[34]Conrad Briner and Roald F. Campbell, "The Science of Administration," ibid., pp. 485-492.

[35]The National Society for the Study of Education, Behavioral Science and Educational Administration, Sixty-third Yearbook of the National Society for the Study of Education, Part II (Chicago, The Society, 1964), p. vii.

It seeks to interpret and describe what is new in educational administration by presenting it in historical perspective, by tracing the development of theoretical approaches among educators, and by making available specific studies which obviously are considered as significant and representative contributions. More precisely, these studies deal in leadership, organizational equilibrium, psychological variables and administration, decision-making, the formal and informal organization, and the relationships of organizations and their clients. The concluding selections deal with the implications of these approaches for administration and education.

One of the latest compilations in the literature of modern administrative thought is Perspectives on Educational Administration and the Behavioral Sciences published in 1965 by the Center for the Advanced Study of Educational Administration.[36] Its contributors, like those of the NSSE yearbook, represent a wide geographic distribution; but what clearly distinguishes it from many of the other current studies of administration is the breadth of its interdisciplinary analysis of administration and organization.

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[36]The center "is a national research and development center sponsored by the Cooperative Research Branch of the United States Office of Education and the University of Oregon." Center for the Advanced Study of Educational Administration, Perspectives on Educational Administration and the Behavioral Sciences (Eugene, Ore.: University of Oregon, 1965), frontispiece.

Avowedly, it seeks "to assess the actual and potential con-
tributions of various academic disciplines to the program
area of the Center, to evaluate the field of administration
as an area of academic interest, to discuss existing
deficiencies in research and practice, and to examine the
relationships of educational institutions to the larger
social and cultural environments in which they are embedded."[37]
Since the work of the center deals primarily with the "social
context of school organization and educational administra-
tion," it is not surprising that five of its seven papers
are by behavioral scientists from the fields of sociology,
social psychology, economics, anthropology, and political
science.[38]

A similar approach is taken in Administrative Theory
in Education[39] which is comprised of the "eight major
papers" presented at a UCEA seminar at the University of
Chicago's Midwest Administration Center in 1957. Here,
also, is found an interdisciplinary approach to administra-
tive study "designed to facilitate an exchange of ideas
between social scientists and educational administrators."[40]

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[37]Ibid., p. v.
[38]Ibid.
[39]Halpin, op. cit.
[40]Ibid., p. xiii.

The uses of theory are examined as well as the problems encountered in its use, the psychological and social settings of administration and organization are stressed, and decision-making as the central function of administration is explored.

It is Griffiths' "interim statement," Administrative Theory, published in 1959, which summarized the study of educational administration at that time.[41] The main attempts at theorizing are here seen as those of Mort with his "common sense" principles, the approach of Sears which is based on a concept of administration as deriving its nature from the activity it manages, the "competency concept" of the Southern States CPEA at George Peabody College with its emphasis on what ought to be, and the "social process" approach at the Midwest Administration Center focusing on the "nomothetic" and "ideographic" dimensions of behavior.[42] The final two chapters of this work are devoted to Griffiths' own theorizing on the decision-making process.[43]

Earlier, the NCPEA-sponsored Administrative Behavior in Education had attempted "to synthesize and interpret research and experience dealing with the factors affecting

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[41]Griffiths, Administrative Theory, p. v.

[42]Ibid., pp. 47-55.

[43]Ibid., pp. 71-113.

administrative behavior" and had stressed the need for a theory-oriented approach to administrative study.[44] This book, however, does not go beyond the recognition of such a need. What is perhaps most significant for purposes here is its emphasis on the nature of administrative behavior and on the need to relate research knowledge in such a way as to provide foundations for the development of a theory of administrative behavior."[45] Consequently, there is considerable space devoted to the importance of the psychological and sociological factors affecting individuals and organizations.

Moore's 1957 report on the research of the CPEA to that date provided a similar picture in that it was characterized by a lack of actual theorizing.[46] As Halpin remarks, it consisted mainly of "exhortations, how-to-do-it prescriptions, catalogues of opinion. . ." which were of little consequence to the theory-minded.[47]

One of the most noteworthy developments in

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[44]Roald F. Campbell and Russel T. Gregg (eds.), Administrative Behavior in Education (New York: Harper and Brothers, 1957), forward.

[45]Ibid., p. 153.

[46]Hollis A. Moore, Jr., Studies in School Administration: A Report on the CPEA (Wash., D. C.: American Association of School Administrators, 1957).

[47]Halpin, op. cit., p. 3.

educational administration from the standpoint of the modern
emphasis in administrative thought, appears to be the advent
of the Educational Administration Quarterly. Commencing in
the winter of 1965, and sponsored by the UCEA, it has as its
aims the "increase in communication between and among pro-
fessors and practicioners, and the provision of a forum for
the critical examination of ideas."[48] The "modern" charac-
ter of the Quarterly is evident in its adherence to the idea
of commonalities among all types of administration, its call
for concept and theory development as a guide to administra-
tive action, and in the importance it assigns to the empiri-
cal testing of ideas. In its brief existence, it has shown
a clear concern for the behavioral sciences and their rela-
tionships to administration and organization. Of the twenty
articles examined which dealt with current administrative
thought, nearly a third have been concerned with ideas
relating to concepts such as organizational behavior and
decision-making and to critiques of the modern emphasis in
administrative study.[49]

One of the most timely and comprehensive individual
efforts is that of John Walton since he advances a general
theory which seeks to incorporate the various phases of

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[48]Educational Administration Quarterly, I (Winter,
1965), pp. iii-iv.

[49]Ibid., (Winter, 1966), (Spring, 1966).

administration into a conceptual whole and which seeks com-
mon factors in the administration of all organizations.[50]
Works such as those of Mort and Sears, it was noted, were
confined to less generalizable ideas. Generally, individual
contributions were found to be text books with emphasis on
various administrative processes and techniques. While some
of these works recognize the uses of the theoretical approach,
no attempt at theory construction was discovered in the vari-
ous volumes reviewed.[51]

<div align="center">Some Representative Modern Studies in
Educational Administration</div>

It is essential here to the comparative study to be
made to distinguish representative areas of modern admini-
strative thought in educational research. It therefore
appears advisable, for purposes of clarity and convenience,
to subscribe to classifications frequently encountered in
the educational literature examined. If the types of

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[50]John Walton, Administration and Policy-Making in
Education (Baltimore: The Johns Hopkins Press, 1959).

[51]See, for example, Roald F. Campbell, John E.
Corbally, Jr., and John A. Ramseyer, Introduction to Educa-
tional Administration (Boston: Allyn and Bacon, 1962); Will
French, J. Dan Hull, and B. L. Dodds, American High School
Administration, rev. ed. (New York: Rinehart and Company,
1957); Edgar L. Morphet, Roe L. Johns, and Theodore L.
Reller, Educational Administration--Concepts, Practices, and
Issues (Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1959).

educational studies identified are representative of the larger body of administrative theory, as is maintained, these classifications should serve to provide the scope and content essential to representativeness.

The studies for comparison. From the educational literature surveyed it is possible to identify five types of contemporary administrative and organizational study through which, it is felt, a description of current trends in administrative thought can be supplied. In these, as in other administrative studies, the boundaries are not well delineated but the classifications used are considered valid and useful since many other categories of administrative study not specifically singled out for comparison can conveniently be contained in one or more of the principal types of study identified. Ideas concerned with role, personality, needs, and motives, for example, will appear mainly in a consideration of administration as a social process--an area of major emphasis, it was seen, both in and out of educational research. Consequently, it is regarded as essential that this concept be selected for comparison with Chester Barnard's work. Secondly, the much-explored process of decision-making must also be included on the basis of its prominence in all the administrative and organizational literature reviewed. Likewise, the behavioral study of leadership is common to both educational and general concepts of administration and is therefore selected for comparison.

And while the <u>formal organization</u> has not been examined as
an entity by a great number of students of educational admini-
stration, a consideration of one such study involving the
fundamentals of organization is held to be useful since it
explores a concept of particular relevance in the general
field of organizational study. Its comparative investigation
may also provide for educators an indication of their rela-
tive progress in this particular aspect of their discipline.
For very similar reasons the <u>general theory</u> of John Walton
is included. This theory, as previously noted, is also more
inclusive than the frequently encountered "process"
approaches to administration in that it seeks to furnish an
integrative explanation of them. Further, it provides an
analysis which goes considerably further than the examina-
tion of the fundamentals of organization noted above since
it is concerned with both internal and external factors
affecting administrative action.

     <u>The concept of system</u>. In addition to those studies
specified, special note should be taken of the fact that the
concept of the organization as a <u>system</u> will also be examined.
This is of major significance to this study in that Barnard's
theory is here regarded as a systems approach which attempts
a composite explanation of the manner in which the processes
of administration and organization function. It is felt,
accordingly, that the idea of system can best be treated as
a means through which relevant conclusions can be reached.
It will thus be excluded from the expository and comparative

A SURVEY OF SELECTED STUDIES IN EDUCATIONAL
. . ADMINISTRATION

Introduction

Concepts of administration dealing with the social
process approach, decision-making, leadership, and the formal
organization have been identified and selected as representa-
tive of modern administrative thought. In addition, a
general theory of administration which attempts an integra-
tive explanation of its internal and external processes has
been included for examination since it incorporates much
that is current in administrative theorizing. It is the
purpose of this chapter to survey these efforts in order to
extract the fundamental ideas which can be compared to the
conceptual bases of Chester Barnard's theory of organization.

Administration as a Social Process

The development of the concept. The formulation of
the concept of administration as a social process is, in
educational research, largely the result of the work carried
out at the Midwest Administration Center at the University
of Chicago. Stemming from a recognized need to explore the
psychological and sociological aspects of administration,
this approach seeks to provide a theoretical framework

functional administrative roles. On the other hand, what is also implicit in this view of organizational behavior is the withholding by the subordinate of the recognition of the legitimacy of administrative functioning in areas involving particular individual competencies or in situations in which the emotional, and often essentially irrational, aspects of individual behavior are involved. What is seen as the "ideal type" of administrative relationship, then, is that in which the interaction of superordinate with subordinate occurs in those "functionally specific" situations in which the competence and authority of all participants is recognized.[5]

The dimensions of social activity. The resulting social system, a concept regarded as applicable at all levels of organization, is seen as embracing two interactive classes of phenomena. First, there is the "nomothetic," or normative, dimension of social activity. This is comprised of institutions, those agencies designated to carry out the functions of the greater social system; of administratively defined roles which comprise the dynamic elements of institutions and through which institutional analysis is possible; and of the role expectations which define role obligations

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[5]Jacob W. Getzels, "Psycho-Sociological Framework for the Study of Educational Administration," Harvard Educational Review, XXII (1952), pp. 236-241. See also, Arthur P. Coladarci and Jacob W. Getzels, The Use of Theory in Educational Administration (Stanford: School of Education, Stanford University, 1955), pp. 17-26, for another comment on this relationship.

and responsibilities. Roles are seen as complementary. That is, they derive meaning only in relationship to other roles.[6] "It is this quality of complementarity," says Getzels, "which fuses two or more roles into a coherent, interactive unit and which makes it possible for us to conceive of an institution as having a characteristic structure."[7]

Secondly, there is the individual in the organization whose personality dynamically orders "those need-dispositions that govern. . . <u>unique</u> reactions to. . . and expectations in the environment."[8] These "need-dispositions" are constituted of "individual tendencies to orient and act with respect to objects in certain manners and to expect certain consequences from these actions."[9] Thus, the individual, his personality, and his need-dispositions provide the "idiographic" dimension of social activity. It is the interaction of these two classes of phenomena which produce what is here referred to as social behavior.[10] "Effective" behavior, for

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[6]Getzels, in Halpin, <u>op</u>. <u>cit</u>., pp. 152-153.

[7]<u>Ibid</u>., p. 153.

[8]<u>Ibid</u>., p. 154.

[9]<u>Ibid</u>., citing Talcott Parsons and Edward A. Shils, <u>Toward a General Theory of Action</u> (Cambridge: Harvard University Press, 1951), p. 114.

[10]Jacob W. Getzels, "Conflict and Role Behavior in the Educational Setting," <u>Readings in the Social Psychology of Education</u>, ed. W. W. Charters, Jr., and Nathaniel L.

example, would be the result of the congruence of individual behavior with institutional role expectations; "efficiency," on the other hand, is achieved by the satisfaction of individual needs.[11] It is therefore necessary to know both institutional role-expectations and individual need-dispositions in order to understand behavior in a specific situation. The concept of selective interpersonal perception is useful to this end.

Selective interpersonal perception. Selective interpersonal perception envisages the separate enactment by complementary role incumbents of perceived normative role expectations based on the personal need-dispositions of each. These separate perceptions are related through such features as values, objects, and symbols which exist in the perceptions of both role incumbents. Consequently, the extent to which perceptions are congruent determines the degree of understanding existant; conversely, if the perception and analysis of expectations are incongruent, misunderstanding results. Says Getzels:

> . . . the functioning of the administrative process
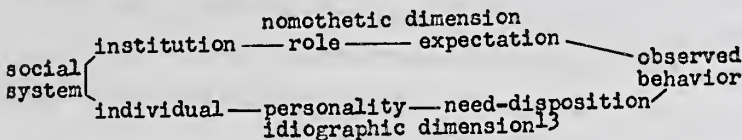> depends not only on a clear statement of the public

Gage (New York: Bureau of Publications, Teachers College, Columbia University, 1963), 311.

[11]Jacob W. Getzels and Egon G. Guba, "Social Behavior and the Administrative Process," School Review, LXV (Winter, 1957), pp. 433-435.

expectations but on the degree of overlap in the perception and private organization of the expectations by the specific role incumbents.[12]

What has been set down to this point is illustrated by the following model:

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              nomothetic dimension
       institution ── role ─── expectation ──
social(                                        observed
system(                                        behavior
       individual ── personality ── need-disposition
              idiographic dimension[13]
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As previously noted, the nomothetic dimension consists of the institution, the role, and expectations, "each term being the analytic unit for the term preceding it."[14] Idiographically, it was seen, the individual, his personality, and his need-dispositions comprise the second dimension of social behavior. These are arranged, of course, in the same analytic order as the terms of the nomothetic dimension. If B is seen as "observed behavior," R as the role established by public expectation, and P as personality in terms of need-disposition, the following equation is applicable:

$$B \text{ equals } f(R \times P)[15]$$

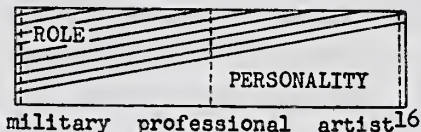The extent to which either role or personality dominates behavior depends upon given acts, roles or situations. This

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[12]Getzels, in Halpin, op. cit., p. 156.

[13]Ibid.

[14]Ibid.

[15]Ibid., p. 158.

can be demonstrated by the following rectangle which represents a field of behavior:

military   professional   artist[16]

According to this conception, acts are seen as occurring somewhere along the line which dissects the rectangular field. Those situations in which role expectations are dominant are seen at the left of the diagram; the dominance of personality in a situation can be seen at the right. Social behavior, however, is a function of both role and personality since neither individual or role considerations can be fully eliminated in a given social act. The extent to which either role or personality are emphasized in the administrative relationship is seen as dependent upon the "leadership-followership" styles employed.[17] These also were seen as nomothetic and idiographic as well as "transactional," the latter term denoting a fusion of the other two.[18] Thus, these dimensions of behavior emphasized, respectively, role and effectiveness, individual satisfaction

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[16]Ibid.

[17]Getzels and Guba, op. cit., p. 435.

[18]Ibid.

and efficiency, and a balance of both.[19]

The usefulness of the concept. The significance of
the concept of administration as a social process can be
seen in part in the two levels of interaction which it
identifies. Effective administrative functioning was held
to depend upon a satisfactory degree of congruence between
the preceived expectations of individuals in complementary
role situations. A further usefulness of this concept is
found in the clarification it brings to "the genesis and
nature of institutional and individual conflict."[20] Defin-
ing conflict as "the mutual interference of reactions,"[21]
the social process model identifies three types encountered
in the administrative processes. These are seen as "role-
personality conflict, role conflict, and personality con-
flict."[22] Role-personality conflict, it is held, results
from the incompatibility of individual need-dispositions
with expectations of the institutionally prescribed role.
Role conflicts are encountered when conformity to simultane-
ous expectations are "mutually exclusive, contradictory, or
inconsistent."[23] These contradictions and inconsistencies

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[19]Ibid., pp. 435-438.

[20]Getzels, in Halpin, op. cit., p. 161.

[21]Ibid.

[22]Ibid.

[23]Ibid.

may have their sources in the diverging concepts and definitions of roles which are held by associates or by various role incumbents, or in the inconsistency of separate roles occupied by the same person. Conflict may also have its origin in the personality of the role incumbent. The internal opposition of needs and dispositions may lead to an inability to stabilize a relationship to a given role which is acceptable to the whole social system since, in such cases, the role is perceived as a means of personal satisfaction alone.[24]

Summary

The view of administration as a social process provides both a structural and functional approach to organizational behavior. Structurally, the organization is seen as a system of hierarchical relationships which provides for the functional processes of administration. Since these relationships are based on authority "delegated" by the members of the organization, they are, in an ideal sense, rational and impersonal recognitions of the specific technical functions of the various role incumbents.

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[24]Ibid., pp. 159-165. Getzels later introduced an "anthropological" dimension into the social process model. This stemmed from the influence of the culture on the institution and the individual. But the resulting potential for conflict between values and roles and "between and within roles" are essentially described in the types of conflict already noted. Getzels, in Charters and Gage, op. cit., pp. 312-317.

Roles are organizationally defined and constitute the means through which organizational activity can be analyzed. They also incorporate the expectations of the institution. Thus, the institution, the role, and the attendant expectations provide the "nomothetic" dimension of organizational behavior. On the other hand, the individual, or "idiographic," dimension is comprised of the personality and "need-dispositions" of the individual in the organization. Organizational effectiveness is achieved through satisfaction organizational expectations; efficiency is the result of the attainment by the individual of his need-dispositions. The degree of congruence between the perceived need-dispositions of complementary role incumbents is indicative of the degree of understanding extant in the organizational setting. The perception of expectations by the individual is, of course, dependent upon the dominaice of either role or personality in his view of the organiation. Conflict results when role expectations and personlity fail to find points of coincidence, when role expecttions are inconsistent, or when the individual is unabl to adjust his own needs with his dispositions.

Administration as Decision-making

Griffiths' study. Decision-making, the second of the selected administrative concepts to be examined, was seen to be prominent in the field of modern administrative

study. In educational research the most comprehensive
treatment of decision-making is that of Daniel E. Griffiths
and, consequently, it is his formulation which will be sur-
veyed.[25]

Administrative and organizational decision. Admini-
stration, in Griffiths' view, centers on the development and
regulation of the process of decision-making. It is through
this "process of directing and controlling life in a social
organization" that organizational purposes are implemented.[26]
What is important to note in this description is that admini-
stration is not conceived as carrying out the work of the
organization, but is seen as maintaining the systems and
processes through which that work is accomplished. Thus a
crucial distinction can be made between organizational
decisions, pertaining to the work of the organization, and
administrative decisions, which establish the criteria under
which organizational decisions are reached. In other words,
administration is concerned with ensuring that the processes
of organizational decision-making proceed in an effective
manner. A committee, for example, may hold the power of
deciding a particular issue yet the limits within which it

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[25]Daniel E. Griffiths, Administrative Theory (New
York: Appleton-Century-Crofts, 1959), pp. 71-113.

[26]Ibid., p. 72.

operates, the time alloted for decision, and similar criteria
may be administratively established. Viewed in this way,
organizational effectiveness can thus be regarded as dependent
upon the quality of organizational decisions and upon the
degree to which they are effected rather than on the admini-
strative behavior of an individual.[27]

The conceptual bases. Before considering the pro-
cesses through which decision-making is held to function in
Griffiths' view, it should be useful to examine the concepts
upon which his description rests. Consequently, the nature
and importance of organization, perception, communication,
power, and authority must be dealt with. It is equally
essential, of course, to examine what is meant by decision-
making as the term is employed in this context.

For purposes of the theory under consideration, the
concept of decision-making is extended beyond the idea of
mere decision terminating in time. It is seen to influence
not only the course of action through judgement, but to
include "the acts necessary to put the decision into opera-
tion."[28] Decisions are further conceived to be sequential
in nearly every instance since they usually depend on other

[27]Ibid., pp. 72-77.

[28]Ibid., p. 76; cf., William R. Dill, "Decision-
making," Behavioral Science and Educational Administration,
Sixty-third Yearbook of the National Society for the Study
of Education, Part II (Chicago: The Society, 1964), p. 201.

decisions previously reached. Griffiths likens this sequence
to precedent in law through which the direction of judicial
decision is determined. It is around this sequence and inter-
relatedness that organization is held to be constructed and
it is seen as the function of the administrator to bring about
the essential condition of decision.[29]

The organization. Since the administrative functions
occur within an organizational context, the nature of the
organization must be understood if administrative direction
and control are to be effective. Subsuming the concept of
organization under that of administration, decision-making
theory distinguishes the formal aspects of organization from
the informal. The former is defined as "an ensemble of indi-
viduals who perform distinct but interrelated and coordinated
functions in order that one or more tasks can be completed."[30]
It is in this setting of interrelatedness and coordination
that organizational endeavors succeed or fail, since it is
here that the decisions are made which govern and direct
organizational processes toward the accomplishment of the
purposes of the system. Further, the manner in which deci-
sions are made determines the structure of the organization.
A large number of decisions made at a relatively low level

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[29]Griffiths, Administrative Theory, pp. 74-76.

[30]Ibid., p. 77.

of authority would, for instance, indicate a decentralized
system. It would appear to follow in this theoretical
approach that a knowledge of the decision-making process
"is the key to. . . organizational structure."[31]

But the decisions made in the formal organization
are also affected by the informal organization which exists
within and around the formal system and which may be opposed
to it. Griffiths regards the influence of informal groups
as either transitory or fixed, depending upon the type of
characteristics or special interests which brought about
the initial contact among the informal group members. What-
ever the duration of these unstructured systems of inter-
personal relationships, they must be reckoned with in the
processes of the formal organization in view of their
capacity for opposition or sanction.[32]

Perception and communication. The decision-making
process is also affected by the perceptive ability of indi-
viduals. Differing perceptions, resulting from the past
experiences of persons and from their different expecta-
tions, lead to differing actions. Matter for decision are
thus arranged in ways meaningful to the perceiver and with
varying degrees of skill. Perception is also essential to

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[31]Ibid., p. 80.

[32]Ibid., pp. 80-82.

communication. The common perception of phenomena, for example, establishes the common bases of understanding through which cooperative effort comes into existence.[33]

Power and authority. While the manner in which a ituation is perceived is held to greatly influence decision-raking, the concept of power can also, in this view, be related to that process. If power is seen as the extent to which the individual can make decisions which greatly affect organizational action and influence other decisions, then it follows that "the one who exercises most control over the decision-making process in an organization has the most power."[34] Power distribution in an organization could, according to this concept, be determined by the number and effects of decisions made. Obviously, control of the decision-making process means power over the sequence of actions triggered by that process. It is important, however, to differentiate between the concepts of power and authority. This distinction is useful in clarifying the administrative function in decision-making if it is seen that the acceptance of authority indicates a willingness to accept the power of another. In relation to decision-making, this can be stated as a recognition of the "legitimacy" of the decisions which

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[33]Ibid., pp. 82-85.

[34]Ibid., p. 87.

establish the criteria for the sequential decisions of the
organization. Or, as previously defined, it is the acceptance
of the administrative function of maintaining the organiza-
tional processes.[35]

The processes of decision. Proceeding from the con-
cepts and assumptions which underlie decision to a considera-
tion of its actual processes, it is possible to identify a
procedural sequence in this theory which strongly resembles
the "scientific method" of problem statement, analysis,
hypothesizing, experimentation, and verification. While
some of these steps have already been noted in dealing with
the conceptual bases of the theory, some of the problems
which may attend sequential decision-making should be
examined. The usefulness of the decision-making process
should also become apparent.

Identification and limitation. Following the steps
of the process outlined by Griffiths, it is first essential
to "recognize, define, and limit the problem."[36] This
initial step, of course, is subject to the perceptions of
the decision maker. Since it is quite possible that this
perception is selective, it is also possible that the prob-
lems which present threats to individuals may be "screened
out" of their perceptual range. For this reason the

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[35]Ibid., pp. 85-88.
[36]Ibid., p. 94.

identification of the "correct" problem is vital to the
interests of the organization. The usefulness of an accurate
statement as the first step in problem solving needs little
comment.[37]

Analysis and evaluation. Once the problem has been
defined, it must be analyzed and evaluated. In this second
stage of the decision-making process a determination must be
made concerning the priority to be attached to the solution
of the problem as well as the question of who should solve
it. The importance of such decisions can be seen in situa-
tions where problems of greater magnitude supersede a
particular issue and where a person other than the problem
analyst may be the appropriate source of decision. Thus the
theory suggests that adequate decision-making is possible
only in "occasions of decision."[38] Griffiths identifies
these occasions in three ways: the intermediary, in which
the execution of an order or a policy is delegated by a
superior; the appellate, when matters are referred to superi-
ors by subordinates for a judicial-type ruling; and the
creative, those originating with the administrator which may
depart from policy and precedent and are thus the most

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[37]Ibid., pp. 94-97.

[38]Ibid., p. 97. This is, as Griffiths points out,
after Barnard. See Barnard, The Functions of the Executive,
p. 194.

difficult to make.[39]

Criteria establishment. Problem solving requires criteria and, accordingly, it is in this third step in the decision-making process that goal achievement is judged. This part of the process involves the values of both the organization and the individual. Obviously, the perceptions and motivations of participants determine the selection of criteria for proposed solutions.[40]

Data collection. The need for data on which to base decisions is apparent. The problem in this connection arises, of course, in the determination of what data to collect. In a sense, the existence of the formal organization can be seen to depend on the flow of this information in the correct channels since communication is essential to the decision-making upon which organizational effectiveness and efficiency depends.[41]

Selecting a solution. The point of decision is reached in the fifth step of the process. It is here that solutions must be formulated, weighed, and selected. The inventiveness, logic, and decisiveness of groups and individuals are thus brought to bear on the problem. The theory

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[39]Griffiths, Administrative Theory, pp. 97-102.

[40]Ibid., pp. 102-103.

[41]Ibid., p. 103.

of decision-making set down here maintains, however, that the reaching of a solution has already been determined to a considerable extent at this point. This is seen to be due to direction of decision set by "crucial minor decisions made. . . at different phases of the sequence."[42] These minor sequential decisions are regarded as the result of a probable chain of events brought about by existing possibilities and situations through which decision logically proceeds.[43] "It should be obvious," states Griffiths, "that subdecisions have been made in each of the preceding steps, and these circumscribe the nature of the solution to be selected and tested."[44]

Effecting the solution. The effecting of the selected course of action constitutes the final step of the decision process and involves the "programming, control, and evaluation" of the solution.[45] Respectively, these elements refer to the establishment and maintenance of the means for problem solving, to the ensuring of the correspondence of plans and procedures through a limitation of the decision-making power, and to the assessment of the

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[42]Ibid., p. 107.

[43]Ibid., pp. 103-107.

[44]Ibid., p. 105.

[45]Ibid., p. 107.

worth of the solution adopted and of the extent to which it was implemented.[46]

Summary. The proposition that decision-making is the central function of administration is advanced by Daniel E. Griffiths. Administrative decision, in this view, is held to be concerned with the maintenance of the systems and processes whereby organizational decision is effected. Consequently, organizational decisions are not effected by individuals. A decision is broadly defined as including the sequence of acts essential to its realization. The sequential nature of decision requires certain structural accommodations in the organization. Decisions in the formal organization also affect, and are affected by, the informal organization since the latter group can sanction or oppose. How such groups and individuals react in the organizational setting of decision is dependent on their perceptions of various situations. The advancement of the common perception of phenomena depends on the system of communication. Communication is thus critical in influencing decision. The degree to which the decisive process is controlled provides an index of power in the organization. Power exists independently of authority since authority is "delegated" and thus constitutes a recognition of power.

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[46]Ibid., pp. 107-112.

The concepts of decision, organization, perception, communication, power, and authority can be seen as operative in the sequential steps of the decisive process. "Identification and limitation," for example, require the perception of the decision maker. Likewise, the structure of the organization is determined by the communication requirements in all the steps of decision. The determination of who is to decide provides a further illustration of the applicability of these concepts. In such determinations reside the delegation of authority and, accordingly, the recognition of power. Similarily, the establishment of criteria also implies a reliance on individual perception as well as the existence of power and authority, as do the latter stages of the decisive processes which involve the selection and effecting of solutions.

Administration and Leadership

The study of leadership. The study of leadership has been emphasized in many of the social sciences since the early part of the century.[47] Classrooms, communities, industrial enterprises, and military and governmental agencies are typical of the settings which have provided a

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[47]Gordon L. Lippit, "What Do We Know About Leadership?" Leadership in Action (Washington, D. C.: National Training Laboratories, National Education Association, 1961), p. 7.

wide range of situations for study by students from such disciplines as sociology, psychology, anthropology, education, business administration, and other social sciences.[48]

In current educational research, leadership has for the most part been examined in conjunction with administration.[49] What is undoubtedly the most comprehensive statement in this respect is that of James M. Lipham in which he makes "a crucial distinction between leadership and administration."[50] It is on the basis of the study which proceeds from this distinction that leadership is here summarized.

Administration and leadership distinguished. Lipham's ideas are based in part on John Hemphill's definition of leadership "as the initiation of a new structure or procedure for accomplishing an organization's goals and objectives."[51]

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[48]Kenneth F. Herrold, "Scientific Spotlight on Leadership," Leadership in Action, ibid., p. 3.

[49]James M. Lipham, "Leadership and Administration," Behavioral Science and Educational Administration, Sixty-third Yearbook of the National Society for the Study of Education, Part II (Chicago, The Society, 1964), p. 125.

[50]Andrew W. Halpin, "Essay Previews," review of the National Society for the Study of Education Yearbook, Behavioral Science and Educational Administration, in Educational Administration Quarterly, I, Winter, 1965, p. 51. Cf. Philip Selznick, Leadership in Administration (Evanston, Ill.: Row, Peterson and Company, 1957), especially pp. 4-5, for a similar distinction between administration and leadership.

[51]Lipham, op. cit., p. 122.

As Lipham notes, this may involve the use of role or person-
ality, or both. But whether the leader's influence derives
from status or personal characteristics it is possible, in
this view, to identify the principal concern of leadership
as that of effecting change. Whether the leader's course of
action deals with organization structure, method, or aims,
the emphasis is on an alteration of present condition. Con-
versely, the administrator is viewed as primarily concerned
with the use of organization structure and procedure to
achieve set purposes. Thus, the administrative function is
one of preserving the stability of both the organization and
its goals. The potential for conflict between administrative
and leadership roles, notes Lipham, is accordingly great.
This is especially true, he feels, when both roles are occu-
pied by the same person as they are in most organizations.
In such cases, therefore, it is essential for the incumbent
to recognize which role is pertinent at a given time if
incompatible demands are to be avoided.[52] It is also essential
to keep in mind the fact that both roles are important. "The
distinction," says Lipham, ". . . carries no implication that
one is universally more appropriate, more important, or more
difficult than the other. In both. . . the same organiza-
tional and individual variables are involved."[53]

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[52]Ibid., pp. 121-123.

[53]Ibid., p. 123.

The behavioral study of leadership. Since the role
and personality factors of leadership carry sociological and
psychological implications, Lipham notes the limitations of
leadership studies which have a basis that is strictly socio-
logical or psychological. Psychological studies, for example,
have generally been concerned with the "traits" of leaders,
attempted measurements of personality, and with a search for
"a generalized personality syndrome typical of leaders."[54]
The sociological, or situational, study of leadership empha-
sizes roles and group relationships as more important to an
understanding of behavior than studies of individual charac-
teristics. As Lipham points out, however, the analysis of
situations yields more information about group phenomena than
about leadership.[55]

It is in view of the limitations inherent in the
situational and psychological studies of leadership that
Lipham directs attention to the "behavioral" analysis of
leadership. In this latter viewpoint, the behavior of the
leader is seen as the product of either situational or per-
sonal factors, or of both combined. Neither type is regarded
as dominant. As Lipham acknowledges, this concept has much
in common with the "social process" model of organizational

[54]Ibid., pp. 126-127.
[55]Ibid., pp. 130-133.

behavior in which the individual, or idiographic, dimension
of organizational behavior, which is a reflection of indi-
vidual personality and motives, interacts with the nomothetic,
or situational, dimension which embodies organizational
structure, process, and goals.[56] Also basic to this
behavioral concept is the work of the Personnel Research
Board at Ohio State University. Here, research on leadership
has been conducted on the basis of the previously noted
Hemphill definition of the leadership act as the "initiation
of structure."[57] This was also seen to involve the personal
characteristics of the leader which work to influence organi-
zational members. Specifically, the Ohio studies identified
two dimensions of leadership:

> Initiating structure refers to the leader's behavior
> in delineating the relationship between himself and
> the members of his work group, and in endeavoring to
> establish well-defined patterns of organization,
> channels of communication, and methods of procedure.
> Consideration refers to behavior indicative of friend-
> ship, mutual trust, respect, and warmth in the rela-
> tionship between the leader and the members of his
> staff.[58]

That these dimensions provide the basis for a behavioral
examination of leadership would be apparent. In the "initi-
ation of structure," for example, the sociological, group
characteristics of the organization provide the "patterns,"

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[56]Ibid., p. 138.

[57]Ibid., p. 134.

[58]Ibid. (Italics mine.)

"channels," and "methods" noted in the definition above.
"Consideration," on the other hand, involves the psychological, individual element of leadership behavior since it provides a description of the interaction between the leader and the other members of the organization. Again, both aspects of leadership contribute to organizational change. Consequently, a behavioral approach to the study of leadership is essential to the analysis of the effects of its sociological and psychological components.

This is not to state that administration is not also susceptible to behavioral analysis. In maintaining organizational structures to accomplish stated goals, the administrator also encounters the sociological and psychological dimensions of organizational behavior. The desired ends, however, are different from those of leadership as it is defined here. Further, as Lipham states, the dichotomy between leadership and administration is not absolute. Initiating structure, for example, involves the steps of the administrative process of decision-making in the selection of alternatives. The distinction between leadership and administration in this case would evidently appear at some point in the process where implementation actually occurs.[59]

Some further implications. Lipham also stresses some additional implications in the behavioral consideration

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[59]Ibid., p. 140.

of leadership. Sociological and psychological variables, for example, would also be operative in the larger environment in which the organization functions and their effects on leader behavior must also be determined. Most of the behavioral research on leadership has, according to Lipham, focused on the internal aspects of organization. What is also implied, of course, is the usefulness of the behavioral viewpoint in extending the boundaries of leadership research.

Nor are there adequate means for the evaluation of leadership as behaviorally conceived. In Lipham's view, the assessment of the process of leadership has often diverted attention from the purposes for which the organization exists. The initiation of structure, for instance, does not guarantee goal attainment; change in objectives does not mean organizational success. Both, however, can be cited as evidences of leadership if its behavioral dimensions are used as criteria.[60]

There is a further problem arising from the administration-leadership distinction described by Lipham. Implicit in the description of leadership as an activity concerned with organizational change and administration as a stabilizing organizational force is the belief that effective leadership may challenge the existing organizational commitment which the administrator seeks to accomplish. In one

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[60]Ibid.

sense, it involves the opposition of the individual and organizational personalities, often in the same individual. What is essential, says Lipham, is a better knowledge of "the extent to which leaders are modified by organizational goals and the extent to which organizational goals become modified by leaders."[61]

Summary. James M. Lipham's view of leadership as distinct from administration is based on a definition of leadership as the agent of change in organizational method, structure, and goals. Administration, on the other hand, is seen as the means of maintaining organizational stability through existing structural arrangements for the attainment of stated goals. In the behavioral approach to leadership, psychological and situational dimensions of leader behavior are identified which emphasize the "initiation of structure" and "consideration" as its principal distinguishing elements. These dimensions were seen to be highly similar to the previously noted social process concept of organizational behavior which described its sociological and psychological aspects. A further value for the concept can be seen in its use in identifying potential role conflict for the administrator-leader. The clear distinction of administrative and leadership functions pose difficulty, however, as does the

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[61] Ibid., p. 141.

establishment of criteria for the evaluation of leader
effectiveness. Finally, situational and psychological vari-
ables in the greater environment in which the organization
functions also need to be reckoned with in the assessment of
leadership behavior.

The Formal Organization

Definition. The formal organization has been defined
in a number of ways. Litterer's definition is representative
in describing it "as a conscious plan or system of tasks and
relations between tasks to coordinate the efforts of people
in accomplishing goals effectively and efficiently."[62] The
emphasis here, as in most statements of formal organization,
is on the plan or system of tasks rather than on the nature
of the tasks themselves. Thus, the formal organization can
be viewed as the planned arrangement through which the work
of the organization is performed and which specifies the
structure essential to the attainment of organizational pur-
poses.

The need for a total view. In his discussion of the
formal organization of the school, W. W. Charters attempts
to "describe a different mode of analysis"[63] which goes beyond

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[62]Joseph A. Litterer (ed.), *Organizations: Structure
and Behavior* (New York: John Wiley and Sons, Inc., 1963),
p. 30.

[63]W. W. Charters, Jr., "An Approach to the Formal
Organization of the School," *Behavioral Science and Educa-
tional Administration*, Sixty-third Yearbook of the National

the mere descriptive power of the basic concepts" which have evolved from the study of organizations.[64] In his view, these concepts center only on the tasks, positions, authority system, and the departmentalized administrative units of the organization.[65] Since these emphasize structure, it is claimed, they are completely static and afford no means for assessing the dynamic elements of organization or their inter-relatedness.[66] The usefulness of these concepts, Charters believes, is confined to the analysis of the organization as a series of related tasks, to position grouping and speciali-zation, and to the hierarchical structuring of the authority system, which together constitute the administrative "depart-ment."[67] They are particularily limited, in Charters' view, for use in educational research since they "tend to treat administration as though it had nothing to do with the basic work operation of the school--the teacher-learner process."[68] What is needed, he feels, is a means of organizational analy-sis which will take account of both the structural and

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Society for the Study of Education, Part II (Chicago: The Society, 1964), p. 246.

[64]Ibid., p. 243.

[65]Ibid., pp. 243-244.

[66]Ibid., p. 245.

[67]Ibid.

[68]Ibid., p. 246.

personal factors in systems of cooperation. But just as the formal approach emphasizes the impersonal aspects of organization, so the concepts relating to the personal elements often fail to consider the structural aspects.[69] "Perhaps," states Charters, "the wedding of the two approaches will be beneficial."[70]

Workflow. In order to provide what he considers to be a more useful concept of the formal organization, Charters relies on three concepts: "workflow," "division of labor," and "coordination in the workflow."[71] The first of these is "borrowed unabashedly from industrial engineering" and "represents the sequence in which work operations are performed and techniques applied in order to transform material from its original state to a more desirable or valuable state."[72] Applying this to the school, Charters envisages the pupil as the subject of the workflow process which consists of a series of events planned to accomplish certain educational goals. Unlike other "material," however, the student can ignore, reject, or accept, thus creating new dimensions in the overflow.[73] Apparently, for Charters, it

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[69]Ibid.

[70]Ibid.

[71]Charters, op. cit., pp. 246-253.

[72]Ibid., p. 246.

[73]Ibid., pp. 247-248.

is in this interaction that these planned events differ from
the series of related "jobs" described by the task concept
since the latter was defined as excluding human factors.
Further, environmental influences are greater on, and more
numerous for, student "material" than those operative on the
material of business or industrial context. In this respect,
also, the concept of workflow is held to provide a broader
and more useful view of the formal organization of the
school than the "static" traditional concepts by emphasizing
the highly variable nature of both environmental context and
"material." Viewed in this manner, therefore, the functions
of the school are to provide a sequence of educational events
and to influence their acceptance.[74]

The division of labor. Charters' second concept,
the division of labor, refers to the specialization and dis-
tribution of the tasks of the workflow process. He regards
this as superior in some respects to the traditional concept
of department which was previously noted. "It does not," he
claims, "require us to introduce the concept of authority
prematurely as 'department' does."[75] What is implied, of
course, is the prominence of authority in the hierarchical

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[74]Ibid., p. 248.
[75]Ibid.

alministrative unit.[76] Further, he maintains that "division
of labor" is a concept of considerable importance since it
is on the basis of such division that work is determined and
assigned. Consequently, the location and analysis of prob-
lems in the structure or workflow of the organization will
also be facilitated by this initial determination.[77] Here,
again, there is also an obvious effort to extend the useful-
ness of the concept to the analysis of the personal factors
in formal organization through an emphasis on the specialized
abilities of individuals as well as on the structural aspects
of the cooperative system. In the school, for example, this
calls for decisions concerning specialization by grade, sub-
ject, and so forth, as well as other arrangements for non-
instructional activities. Many of these latter activities
are seen as serving to preserve the school in a satisfactory
relationship to the larger social system and to coordinate
its internal processes.[78] Or, to use Charters' words, these

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[76]Charters does not elaborate on this statement.
What he refers to is perhaps, as indicated, that the concept
of division of labor emphasizes work specialization as basic
to the structural and dynamic functions of the organization,
while the concept of "department" stresses the hierarchical
arrangement of functions as administrative units. Thus, the
latter is evidently seen as a matter of structural convenience
which lacks the sophistication of the former concept.

[77]Ibid., p. 249.

[78]Ibid., p. 251.

are the "input-output" and the "work-co-ordination" func-
tions.[79]

Coordination. The problem which arises in connection
with coordination is "one of the principal problems of the
organization of work," according to Charters.[80] In the
school, as in most organizations, there are numerous work-
flow channels in which interdependent activities are carried
out. Accordingly, these must be coordinated. Coordination
affects such phases of these activities as their content,
timing, and the use of organizational resources and facili-
ties. The "mechanisms of coordination" are provided through
such means as specification of individual functions, the
establishment of systems of communication, and the authority
system.[81] The specification of functions, for example,
stipulates the role of each organizational member in con-
siderable detail, communication systems serve both formal
and informal purposes,[82] and the authority system provides
for "legitimate" decision-making in the organization.
Further, the system of authority provides centralized com-
munication channels through which information is selected,

[79]Ibid., pp. 251-252.
[80]Ibid., p. 253.
[81]Ibid., pp. 258-259.
[82]Ibid., p. 258.

processed, and made available.[83] The degree to which
coordination is essential is, of course, determined by a
number of factors. Organization size, environmental condi-
tions, the skill of organization members, turnover, and
intricacy of specialization provide some indications of the
great number of factors which can work to impose such a
requirement.[84]

Summary. In seeking to extend the analysis of the
formal organization of the school beyond the descriptive
stage, Charters introduces the concepts of work-flow, division
of labor, and workflow-co-ordination. By expanding the tra-
ditional formal concepts of task, position, authority, and
department, he attempts to bring together the psychological
and sociological elements of school organization into a
coherent whole. In other words, he attempts to define the
formal organization in terms of its dynamic and structural
elements rather than merely in terms of tasks and positions
regulated by the authority system. Students as the "materi-
al" of the workflow process, for example, can be described
in both the active and passive phases of their relationship
to the "sequence of events" to which they are introduced.
This concept, it is maintained, thus serves to highlight the
tasks of the school as those of providing these events and

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[83]Ibid., p. 249.
[84]Ibid., pp. 259-260.

of inducing student acceptance and participation. In order
to facilitate this organizational process, it was seen, tasks
are fragmented and assigned through a system of specializa-
tion. This is described by the concept of the division of
labor--a concept "somewhat parallel"[85] to the structural
notion of the administrative department. The particular
value of the division-of-labor concept is held to be in its
value in the analysis of organizational functions. Coordi-
nation of the workflow, the third of the concepts advanced
by Charters, was seen to involve both the organizational
systems of communication and authority since these provide
the means for channelling the authenticating essential in-
formation and, consequently, are regarded as coordinative
mechanisms. A third means of coordination included in this
sector of organization provides the specifications for the
functions of the members of the system.

A General Theory of Administration

A comprehensive view. John Walton's book, Admini-
stration and Policy-Making in Education,[86] represents an
approach to administrative study that attempts to be some-
what more comprehensive than the concepts of administration

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[85]Ibid., p. 248.

[86]John Walton, Administration and Policy-Making in
Education (Baltimore: The Johns Hopkins Press, 1959).

and organization already examined for purposes of contrast
with the work of Chester Barnard. Whereas the previously
considered studies emphasized certain concepts as central to
administration and organization, Walton's effort seeks to
provide a general theory which "will explain with some degree
of coherence and consistency the wide range of administrative
phenomena."[87] In this attempt he relies on a number of
propositions whose development provides the "general theoreti-
cal framework"[88] essential to his task. It is on the basis
of these "highly controversial"[89] propositions that this
exposition of his theory proceeds.

The basic propositions. Central to Walton's theory
is the belief that administration is an organizational
activity in its own right that can be abstracted from the
other activities of the organization. In taking this view,
he rejects the notion that the administrator must be pri-
marily a specialist in one or more of the substantive

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[87]Ibid., p. 1. For an earlier emphasis by Walton on
the use of theory in administration, see John Walton, "The
Theoretical Study of Educational Administration," The Harvard
Educational Review, XXV (Summer, 1955), 169-178; see also
John Walton, "The Nature and Function of Theory," Educa-
tional Theory, VII (October, 1957), 240-248.

[88]Walton, Administration and Policy-Making in Educa-
tion, p. 1.

[89]Ibid., p. 2.

organizational functions. Also discarded is the notion
advanced through the concept of "managerial revolution" that
the administrator is the logical source of purpose since, in
a complex and expanding society, he is in the best position
to appreciate that complexity.[90] The value orientation of
each of these conflicting theories is evident. Consequently,
Walton eliminates them from serious consideration as contribu-
tive to a scientific study of administration. Also in line
with his concept of a distinguishable administrative activity
is Walton's contention that such activity is essentially
similar regardless of the type of organization considered.[91]
It should be noted that in each of these propositions that
the separation of administration from the establishment of
purposes is essential. What is also apparent, of course, is
that administrative functioning is confined to the procedural
aspects of organizational activity. Thus, in Walton's view,
the "three principal functions of administration" which must
be considered are the discernment of purpose, the coordina-
tion of effort, and the securing of the means of organiza-
tional survival.[92]

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[90]Ibid., p. 33, citing James Burnham, The Managerial
Revolution (New York: The John Day Company, 1941).

[91]Walton, Administration and Policy-Making in Educa-
tion, pp. 21-36.

[92]Ibid., p. 63. Cf., John Walton, "New Concepts in
Educational Administration," Educational Administration:
Selected Readings, (ed.), Walter G. Hack, et al. (Boston:

The discernment of purpose. The establishment of
purposes involves values. An activity which is held to be
disengaged from the substantive aspects of organization and
which shares a commonality with similar activities in all
organizations cannot, therefore, retain such identity if
concerned with the setting of objectives. Walton is explicit
in this respect:

> Administration is directly responsible, not for
> performing the work of an organization, but for
> attending to its performance; administration in
> business and industry neither produces nor sells
> goods, nor does educational administration teach
> geography.[93]

The activities of administration are, he contends, those
which maintain the organization and direct its internal
activities toward goal achievement. Actions designed "to
modify the purposes of an organization,. . . cannot. . . be
regarded as administrative in nature."[94] Thus, while the
administrator serves "to apprehend purposes,"[95] his scope
of action is restricted to providing the means by which they
can be accomplished and to coordinating the essential

Allyn and Bacon, 1965), 209-216. This outlines administra-
tive responsibilities which closely resemble Walton's
functions.

[93]Walton, Administration and Policy-Making in Educa-
tion, p. 41.

[94]Ibid., p. 42.

[95]Ibid., p. 44.

activities.[96] Walton does not maintain, however, that the
administrative role incumbent never acts in a manner to
effect change of purpose. But the administrator so committed,
he states, "is not acting _qua_ administrator" but is engaged
in the exercise of "statesmanship" which, thus described, is
beyond the procedural confines of administrative activity.[97]
Although this view has been similarily expressed in such con-
cepts of leadership as that of Lipham which was examined
earlier, it will become immediately apparent in the discus-
sion of Walton's administrative function of coordination that
leadership is, for him, an attribute of the administrator.

Coordination. It is through the coordinative
activity that the relationships between the specialized
activities of the personnel of the organization and its
resources are regulated. Essential to this administrative
direction, Walton maintains, are the hierarchical structure
which has evolved from organizational need, the system of
authority through which decisions are made and communicated,
and the personal traits of the administrator.[98] In consid-
ering organizational structure, for example, Walton asserts:

> It is extremely difficult, if not impossible, to
> visualize any procedure whereby. . . activities. . .

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96 _Ibid._, pp. 41-45.

97 _Ibid._, p. 108.

98 _Ibid._, p. 95.

> can be co-ordinated except through line structure,
> at the apex of which there is one person who has
> the authority, the time, and the channels of com-
> munication to direct all these activities in their
> complex reciprocal relations.[99]

The relationship of the authority system coordina-
tion is also evident in this view. Authority, says Walton,
is "the power and the recognized right of the administrator
. . . to make decisions necessary for the co-ordination of
the activities. . . within an organization."[100] It should
be noted that, in Walton's theory, the use of authority does
not imply the imposition of will. It is, rather, the
furtherance of common purpose and thus to a considerable
extent has its basis in the legal and social mandates pro-
vided by society through laws, customs, mores, and rules.[101]

Coordination is, as stated, also dependent on the
personality of the administrator. It is Walton's position
that leadership "is part of the administrative process" and
"is a personal quality or set of qualities that are required
for the co-ordination of the people working with an organiza-
tion."[102] Leadership, as defined here, also comprehends the
ability to discern purpose and to gain support for the
organization, but, states Walton, it "more specifically"

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[99]Ibid., p. 103.
[100]Ibid., p. 104.
[101]Ibid., pp. 104-108.
[102]Ibid., p. 109.

relates to the administrative function of coordination.[103]
The personal basis for authority and leadership, he feels,
can be found in the "traits" evident in the administrator's
ability to coordinate people and resources,[104] in his
capacity for the "generalism" which provides the objective
view of the organization essential to internal balance among
its activities,[105] and in the "charisma" which is seen by
Walton as "the ability to get people to identify themselves
with an organization and its purposes."[106] Again, it should
be kept in mind that Walton's administrator is here con-
cerned only with "procedural" leadership, or coordination,
which is "the specification of the organization itself" and
not with the content of the organization's activities.[107]
This restriction was similarily apparent in the administra-
tive function concerned with the discernment of organiza-
tional purpose and, it will be seen, it can also be identified
in the third of Walton's administrative functions which
focuses on gaining of support for organizational objectives.

Securing support. The "providing of means for an
organization's survival"[108] primarily involves the external

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[103]Ibid.

[104]Ibid., p. 111.

[105]Ibid., pp. 112-113.

[106]Ibid., p. 114.

[107]Ibid., p. 116.

[108]Ibid., p. 63.

societal relationships of the organization in its efforts
"to obtain material and psychological support"[109] for
accepted purposes, just as the coordinative function pri-
marily regulates the balance and functioning of the internal
organizational processes. This solicitation of support
entails the provision of information, persuasion, politics,
and similar activities which are generally classed as "pub-
lic relations."[110] Although Walton sees a prevalent skepti-
cism about the effects of these operations on accepted
purposes, he considers it essential to recognize these activi-
ties as means of maintaining the organization in operation
in order to achieve organizational objectives and not as
methods of effecting changes in established goals. Thus,
the logical connection of administration with this external
function "is implicit in our definition of administration,"
states Walton.[111] Stated differently, the securing of sup-
port is also a procedural function of administration.

Summary. In John Walton's "general theory," admini-
stration is regarded as the activity concerned with the
procedural aspects of organization. The intrinsic, sub-
stantive functions of the organization which deal with the

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[109]Ibid., pp. 118-129.

[110]Ibid., p. 129.

[111]Ibid.

accomplishment of purpose are thus not seen as part of the process of administration. They are, rather, coordinated by it. Accordingly, administration is conceived as an entity which is independent of the other processes of organization. Also in line with this concept is the view that administration is similar in all organizations since it does not depend on organizational functions for identity. In all organizations, for example, it is effected through an hierarchy and system of authority which are essential to the coordination of specialized activities and to communication. It is through this coordination and communication that the accepted purposes of the organization are accomplished. The discernment of these purposes, along with the securing of the support essential to maintaining the organization in operation, constitute the other principal functions of administration. The success of the administrator is dependent upon his capacity for leadership since that activity is regarded as the result of his ability to effectively carry out the administrative functions. The stability and ultimate survival of the organization are, accordingly, dependent on the performance of the administrator since his functions comprehend the reasons for organizational existence, the regulation of its internal operation, and the character of its external relationships.

Summary

Five contemporary views of administration and organization have been examined and individually summarized. These were the work of students of educational administration and encompassed various concepts. For example, organizational behavior was seen as a social process of interaction between the sociological aspects of the institution and the psychological factors introduced by individual behavior; administration was treated as an activity which has as its principal concern the scientific steps of the decision-making process; a dichotomy was described between the substantive activity of leadership and the procedural activity of administration; and the formal organization was examined in terms of the processes which coordinate and specialize its workflow. Also surveyed was a general theory based on the administrative functions of apprehending purpose, coordination of organizational activities and resources, and the securing of support for organizational purposes. Since it is the stated intention of this study to compare these works with concepts basic to the organizational theory of Chester I. Barnard, the chapter which follows is devoted to that purpose.

CHAPTER VI

A COMPARISON OF SELECTED ADMINISTRATIVE STUDIES
WITH THE WORK OF CHESTER I. BARNARD

Introduction

In this comparison of the work of modern students of
educational administration with that of Chester Barnard, it
will be seen that analysis is directed to the conceptual
basis of these studies rather than to their empirical impli-
cations. Further, the work of Barnard penetrates much deeper
in its conceptual exploration than any of the contemporary
studies examined here. It is considered essential at this
point, however, to restrict comment on his writings to those
aspects which either explicitly or implicitly hold meaning
for the modern concepts which have been surveyed in the pre-
ceding chapter. It is hoped, of course, to illustrate in
the concluding section of this study the depth and signifi-
cance of other aspects of Barnard's theory of social cooper-
ation. It should be recalled that the modern studies which
are of immediate concern here as the bases of comparison
treat separately with administration as a social process,
as decision-making, in concepts of leadership and of formal
organization, and in a general theory.

Administration as a Social Process

The dimensions of behavior. In the concept of administration as a social process, it was seen, the interaction between the psychological and sociological aspects of social activity was regarded as a determinant of organizational behavior. Sociologically, the roles of the institution were defined in terms of normative expectations. Together, institution, role, and expectations were classed as the "nomothetic dimension" of behavior. Psychologically, the "idiographic dimension" of social activity was seen to be comprised of the individual, his personality, and his need-dispositions.

Effectiveness and efficiency. It is in this emphasis on the dimensions of behavior that the social process theory bears "a striking similarity to the evaluative concepts. . . advanced by Barnard,"[1] to use Lipham's words. The relationship is most clearly seen in connection with "effectiveness" and "efficiency" as defined by Barnard and by Getzels and Guba.[2] In both instances, it will be noted, effectiveness

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[1]James M. Lipham, "Leadership and Administration," Behavioral Science and Educational Administration, Sixty-third Yearbook of the National Society for the Study of Education, Part II (Chicago: The Society, 1964), p. 121.

[2]Chester I. Barnard, The Functions of the Executive (Cambridge: Harvard University Press, 1938), pp. 19-21 and 55-59; Jacob W. Getzels and Egon G. Guba, "Social Behavior and the Administrative Process," School Review, LXV (Winter, 1957), pp. 435-438.

is conceived as an organizational attribute deriving from
the attainment of organizational goals, while efficiency is
the result of the satisfaction of personal motives. "The
complete distinction between the aim of a cooperative effort
and that of an individual,"[3] is thus as clearly emphasized in
The Functions as it is in the social process view which
describes the nomothetic and idiographic dimensions of
organizational behavior.

The importance attached by both the Barnard theory
and the social process approach to the interaction between
these sociological and psychological factors of behavior must
be emphasized. In the concept of social process this inter-
action was seen, it will be recalled, as the result of the
separate perceptions of institutional expectations by indi-
viduals in complementary, superordinate-subordinate role
situations. The degree to which these separate perceptions
"overlapped" in dealing with common existential phenomena
in the organization was held to determine the adequacy of
the administrative process. What appears to be a highly simi-
lar formulation is summed up by Barnard thus:

> Indeed, the desire of individuals to cooperate,
> which as to singular individuals is a psycho-
> logical fact, is as to systems of cooperation a
> social fact. Conversely, the satisfactions
> derived from cooperation, which are as to the

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[3]Barnard, The Functions, p. 43.

> individual psychological facts, are from the
> point of view of cooperative systems social
> effects of cooperation, and they determine
> cooperation itself.[4]

What is implicit in this statement, of course, is the
inevitability of the interaction of the individual, psycho-
logical viewpoint with the organizational, sociological
factors which Barnard saw as stemming from the structural
aspects of the system of cooperation. It will be kept in
mind that this was also stated by Barnard in terms of the
inseparability of the dynamic and structural elements of
organization.

The coincidence of Barnard's concept of organization-
al behavior with the social process analysis of cooperation
is evident, then, in the manner in which both viewpoints
rely on the degree of congruence between organizational and
individual interests, as perceived by the organization's
members, as a measure of organizational effectiveness in
goal achievement and efficiency in the production of indi-
vidual satisfactions.

The concept of authority. There are other common
elements in the work of Chester Barnard and the social process
model of organizational behavior. There is, for example, an
obvious agreement concerning the source of authority in the
cooperative situation. Although Getzels, relying on Max

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[4]Ibid., p. 45.

Weber's definitions, finds its origin in the democratic
situation in the "rational,"[5] he is not far removed from
Barnard:

> The followers may grant authority to the leader
> in one situation because of the followers' needs
> and the leader's relevant capacities within the
> specific situations.[6]

Compare Barnard's statement on the same topic:

> Authority is the character of a communication. . .
> by virtue of which it is accepted by a contributor
> to. . . the organization as governing the action
> he contributes.[7]

The voluntary nature of the action of the subordinate is
evident in both cases since both involve the granting and
acceptance of superordinate action.

The idea that authority resides in the consent of the
governed is further reinforced in both theories by the sep-
arate concepts of "functional specificity" and of a "system
of incentives." In the first instance, it will be remembered,
the social process model envisages functional specificity as
a limitation of superordinate authority to clearly defined
areas of competence through individual acceptance or rejec-
tion of various administrative roles.[8] In Barnard's view,

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[5]Jacob W. Getzels, "Psycho-Sociological Framework for
the Study of Educational Administration," Harvard Educational
Review, XXII (1952), 236-238.

[6]Ibid., p. 243.

[7]Barnard, The Functions, p. 163.

[8]Getzels, Harvard Educational Review, pp. 236-241.

the purpose of the system of incentives was to elicit and maintain the cooperative behavior necessary to organizational effectiveness and efficiency. This behavior was possible, it was seen, only in the system of authority based on individual acceptance of organizational purpose and administrative direction. In other words, the system of incentives exists to secure subordinate acceptance of the superordinate functions essential to organizational goal achievement.

The degree to which the system of authority is held to be influenced by the superordinate-subordinate relationship is also evident in both the idea of "role complementarity" outlined in connection with the social process view and in the informal organizations described by Barnard. As previously indicated, it would appear that in accepting subordinate roles individuals either implicitly or explicitly accept a superior authority for the superordinate role involved. Although the complementary relationship thus established is part of the formal system of organization, the effectiveness of such a relationship was seen by Barnard, it will be recalled, to depend upon the cooperation of the informal group. Hence, a complementary relationship between the formal and informal aspects of organization can be identified. As noted in the previous consideration of Barnard's organizational theory, the coexistence of the formal and informal groups is mutually advantageous. The formal group, for example, is the means by which the informal group

gains satisfactions; on the other hand, the informal group
affords means of communication not available in the formal
structure and helps to preserve morale and the system of
authority.[9] In short, the survival of either group is depen-
dent upon the existence of the other. Consequently, there
can be no complementary role situation without informal
sanction; nor can the superordinate who is denied authority
direct the organization toward the effectiveness and
efficiency essential to the achievement of organizational
and individual goals.

   Conflict. Another significant likeness can be
identified between the theory of administration as a social
process and the writings of Chester Barnard. This simi-
larity occurs in connection with the ideas of "conflict" in
the organizational setting which are advanced by both Barnard
and the social process theorists. As noted in conjunction
with the previous examination of Barnard's concept of the
cooperative system, conflict involved the moral codes of
individuals and organizations.[10] In the social process

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[9]Barnard, The Functions, p. 169-171.

[10]Barnard, The Functions, pp. 270-271; cf., Barnard,
Elementary Conditions of Business Morals, reprinted from the
California Management Review, I (Fall, 1958), (Berkeley: The
Regents of the University of California, 1958), which
essentially reaffirms the position stated in The Functions
concerning individual and organizational morality and the
occasions of conflict.

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model it was seen to comprehend institutional roles and individual personality.[11] In both instances conflict appears to have common origins. Barnard, it was evident, saw the development of moral codes as the result of external forces. Many factors, such as the religious, social, physical, biological, and technical worked to produce these individual and institutional codes which "tend to inhibit, control, or modify inconsistent immediate specific desires, impulses or interests, and to intensify those which are consistent with such propensities."[12] In individuals, this tendency "is a matter of sentiment, feeling, emotion, internal compulsion, rather than one of rational processes of deliberation.[13] The relationship of codes, thus defined, to motives should be apparent since the latter were seen by Barnard as "desires, impulses, wants. . . constructions for the psychological factors of individuals. . . resultants of forces in the physical, biological, and social environments present and past."[14] So also in the social process concept where:

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[11]Jacob W. Getzels, "Conflict and Role Behavior in the Educational Setting," Readings in the Social Psychology of Education, ed. W. W. Charters, Jr., and Nathaniel L. Gage (New York: Bureau of Publications, Teachers College, Columbia University, 1963), pp. 309-318.

[12]Barnard, The Functions, p. 261.

[13]Ibid.

[14]Ibid., pp. 17-18.

"Indeed, needs and expectations may both be thought of as motives for behavior, the one deriving from personalistic sets and propensities, the other from institutional obligations and requirements."[15] Thus it is evident, both here and in the previous examination of the work of Barnard and the social process view, that the psychological and social dimensions of the administrative relationship can be seen to have their genesis in individual and organizational motives as expressed through codes of behavior. Institutionally, then, it might be stated that these motives give rise to organizational codes which are given substance through roles and organizational expectations; individually, they can be conceived as finding their medium in personality and need-disposition.

That conflict of codes involves a concept similar to that which describes role-personality type conflicts should be increasingly more evident. What Getzels classes as "role conflict" was the result of roles which are "mutually exclusive, contradictory, or inconsistent."[16] This might also be seen in the conflict of organizational codes previously

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[15]Jacob W. Getzels, "Administration as a Social Process," Administrative Theory in Education, ed. Andrew W. Halpin (Chicago: Midwest Administration Center, University of Chicago Press, 1958), 155.

[16]Ibid., p. 161.

described by Barnard in which the sociologically defined
aspects of organizational behavior are in conflict. Simi-
larily, role-personality conflict, which, in the social
process theory, was seen to mean the incompatible demands of
role and need-dispositions, can be construed in Barnard's
view as the conflict of organizational and individual codes;
that is, of the conflict between the sociological and psycho-
logical dimensions of organizational behavior. Finally, that
area in which the social process model was seen to depict the
individual as psychologically at odds with himself due to
incompatible need-dispositions, the area of personality con-
flict, can be equated with Barnard's description of the con-
flict of private codes within the individual.[17]

Summary. The similarities between certain phases of
the work of Chester Barnard and the theory of administration
as a social process have been seen to originate in a common
concept of organization. In this view organization is the
context of the sociological and psychological factors of
cooperative behavior. The interaction between and within
these dimensions of organization was held to be the source
of that behavior and involved a system of authority based on
the acceptance or rejection of institutional expectations by
subordinates on the basis of perceived satisfactions,

[17]Ibid., pp. 161-162, and Barnard, The Functions, pp.
265-281.

rationality, and inducements. The degree of congruence
between organizational expectations and individual motives
provides a measure of organizational effectiveness and
efficiency. The potential for conflict in the organizational
setting thus described is recognized in both the concepts
compared. For Barnard, these conflicts involved private and
institutional moral codes which were seen to be highly simi-
lar to the individual needs and organizational expectations
described in the social process model as the sources of
role and personality conflicts.

Administration as Decision-making

The concept of decision-making. It was seen in the
preceding chapter that, in Daniel Griffiths' view, decision-
making is the central function of administration. In this
concept, decision-making was considered as an activity that
is principally concerned with the provision of the means of
organizational decision and involves a sequence of action
which must be accommodated by the structural arrangement of
the organization.[18]

Administrative and organizational decision. What is
undoubtedly the most basic and significant similarity between
the Griffiths and Barnard theories of decision is the dis-
tinction which is made between organizational and administra-
tive decision. For Griffiths, it was seen, organization

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[18]Daniel E. Griffiths, Administrative Theory (New
York: Appleton-Century-Crofts, Inc., 1959), pp. 71-113.

decision is concerned with the work of the whole organization; administrative decision, on the other hand, serves to monitor this organizational function by establishing and preserving in operation the criteria and processes through which it is carried out. Thus, organizational decisions are not the work of individuals, nor are the decisions of individuals the determinants of organizational work. That is to say, organization decisions are collectively taken by a sequence of actions throughout the organizational hierarchy which tend to set the course, or direction, of the ultimate action taken. It is this sequential and collective nature of decisive action which gives to organization decision-making its impersonal, organizational character and from which organizational structure derives. Further, organizational effectiveness was held to depend upon the quality of organizational decisions and on the efficiency with which they were carried out.[19]

While Barnard is more explicit concerning the nature of organizational and executive decision, there is, as stated, little fundamental difference between his concept of the decisive process and that of Griffiths. In both cases, it was seen, organizations are social systems in which coordinated and related purposeful activities occur.

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[19]Ibid., pp. 71-74.

Decision, which is in Barnard's view the "essence of organization" and "the deliberate adoption of means to ends,"[20] is obviously essential to such coordination. Further, the interrelatedness of organizational activities also occasions decisions concerning not only coordination but the specialization which it both brings about and from which it stems. This latter view is specifically Barnard's,[21] but it is suggested also by Griffiths in his view of administration as "directing and controlling life in a social organization;"[22] a process by which controls are established "to make certain that performance agrees with plans."[23] What is explicit in each view is that the activity of the organization requires coordination and specialization for goal attainment and that such coordination and specialization involve administrative decisions; what is implicit is that this specialized and related activity which is the work of organizations also requires, internally, specialized organization decisions. In other words, it is the function of the administrator to relate and provide the conditions of organization decision through which organizational functions are performed. Stated by Barnard, the administrative

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[20]Barnard, The Functions, p. 186.

[21]Ibid., pp. 186-189.

[22]Griffiths, Administrative Theory, p. 72.

[23]Ibid., p. 73.

function "is not that of the organization, but the specialized work of maintaining the organization in operation."[24]

Sequential decision and organizational structure. There is also a definite relationship to be found between the ideas of sequential decision that are advanced in both theories. In Griffiths' view, it has been noted, it was through a series of interdependent decisions that the actions of the organization and its structure were determined.[25] Barnard's statement of this concept is again more precise, but the kinship of ideas is unmistakable. For him, decision resulted from the necessity for the "constant determination of new strategic factors. . ." which "in an organization. . . requires a sequence of decisions at different times and also by different executives, and other persons, in different positions."[26] This he attributed to the fact that organization purpose is general in nature and is so envisaged by those who make general decisions. Its fragmentation is essential to its attainment and involves the development of "detailed purposes" and "subsidiary decisions."[27] In this manner the direction of organizational activity is set. Obviously, then, ". . . the process of decision is one of successive approximation--

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[24]Barnard, The Functions, p. 215.

[25]Griffiths, Administrative Theory, pp. 76-77.

[26]Barnard, The Functions, pp. 205-206.

[27]Ibid., p. 206.

constant refinement of purpose, closer and closer discrimination of fact. . . ."[28] Organizational structure was thus considered by Barnard to be affected by the requirements of decision-making. This was previously noted in connection with the communication function in the complex organization. Here it was seen that the distribution of organizational functions in the executive organization and in the other positions throughout the system was the result of specialization which required coordination. Effective communication is essential to that end and this is achieved through the "processes of interacting decisions distributed throughout the positions in the lines of communication."[29] Consequently, in this sense, it can be stated that organizational structure is dependent on the manner in which the decision-making positions are dispersed in the system of organizational communication. Griffiths' concurrence in these respects is clearly evident. "Organizations," he states, "take their common form from the decision-making process."[30] In his view the similarities and differences among various organizations were the result of the modifications imposed on the process of decision by the nature of the special work of the

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[28]Ibid.

[29]Barnard, The Functions, p. 187.

[30]Griffiths, Administrative Theory, p. 78.

organization. But, he points out, the difference is one of substance, not of structure.[31] The similarity of the Griffiths and Barnard viewpoints concerning the structural accommodation of the processes of decision is further apparent in the manner in which sequential decision is effected. For Griffiths, the degree of organizational centralization, and consequently the type of organizational structure, is determined by the extent to which decisions are reached at the higher or lower levels of the administrative hierarchy. Thus, in the relatively decentralized operation, the sequence of decisions would be considerably longer and more detailed than in the centralized system of cooperation which would require a decentralized structure of the "flat" type.[32] As noted, this description of the sequential process and its effects on organizational structure parallels closely Barnard's view of the distribution of the decision-making function throughout the executive organization.

     The informal organization and authority. Another obvious similarity in these two concepts of decision-making is encountered in the views of the informal organization outlined by Griffiths and Barnard. This likeness is principally due to their common belief that the processes of decision

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[31]Ibid.

[32]Ibid., pp. 78-80.

must take into consideration the influence of the informal group. In both theories, it will be remembered, authority was described as having its source in the acceptance of those affected by it. Accordingly, those informal associations which arise apart from the formal plan of organization can exert an influence either by sanctioning or altering formal decision through acceptance or rejection.[33] In fact, the stabilization of authority through such acceptance was described by Barnard as an essential function of the informal organization.[34]

Perception and decision. The perceptions of individuals are also regarded in both theories as of great significance in the formal context of organization. The common perception of phenomena, says Griffiths, is essential if commonly agreed upon solutions to problems are to be reached.[35] It is in this connection also, it was seen, that Barnard described the "strategic factor" as "the center of the environment of decision" since its discrimination is the "first step in defining the action required."[36] However, the possibility for accurate discrimination, or perception,

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[33]Ibid., p. 78.

[34]Barnard, The Functions, p. 122.

[35]Griffiths, Administrative Theory, pp. 95-96.

[36]Barnard, The Functions, p. 205.

varies with the types of factors under consideration. As
Barnard indicated, relative precision is possible in dealing
with such elements as the physical, chemical, and biological.
But in the perception of the psychological, political, social,
or moral, no adequate techniques for evaluation appear to
exist. Thus the possibility of perceptive "unbalance" is
great since, for both Griffiths and Barnard, the past
experiences and abilities of individuals determine the man-
ner in which a situation is personally organized, or interna-
lized.[37] The importance of the perception of the important
elements of a situation is stressed by Griffiths: "One
measure of the success of an organization is the extent to
which the decision-makers perceive the 'right' problems,
define, and limit them."[38] Similarily, in Barnard's words,
what is involved is organizational "good" which is dependent
upon the accurate "analysis of present circumstances."[39]

The process of decision. In addition to those simi-
larities which have been shown to exist between the
approaches of Barnard and Griffiths to the nature of decision-
making in organizations and between the concepts on which
their theories are built, there are also common elements in

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[37]Ibid., pp. 206-209; and Griffiths, Administrative
Theory, pp. 95-97.

[38]Griffiths, Administrative Theory, p. 97.

[39]Barnard, The Functions, pp. 200-201.

adoption, experimentation, and evaluation. Again, it is
essential to keep in mind that Barnard's concept of the
strategic factor is used to describe analysis at all levels
of decision. It is by definition that the procedures of
Griffiths and Barnard are similar; it is in terminology that
they differ. Barnard's own concrete example of the changing
strategic factor, in which a piece of land has been deter-
mined to need potash, illustrates the similarity claimed:

> . . . when the need has been determined, a new sit-
> uation has arisen because. . . instead of potash,
> the limiting factor, obtaining potash then becomes
> the strategic factor; and this will change progres-
> sively into obtaining the money to buy potash, then
> getting machines and men to spread potash. . .[42]

It should also be emphasized that in both concepts
of the process of decision that specialization is essential
in the various steps which were distinguished. Naturally not
all of the functions and determinations are made at the same
level of decision nor by the same persons. Specialized
decisions are made in specialized positions. As Barnard
makes clear, ". . . the emphasis in the executive function is
on the definition of purposes; among other functions the
emphasis is upon discrimination of the environment."[43] In
both views, then, the processes of decision are carried out

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[42]Ibid., p. 204.

[43]Ibid., pp. 210-211.

in a sequence of specialized stages, each of which represents a refinement of the problem, or purpose, initially established.

Summary. In comparing the theories of Daniel Griffiths and Chester Barnard concerning decision-making in organizations, the fundamental similarity is seen to exist in the distinction made by both men between administrative and organizational decision. Administrative decision is seen as concerned with the establishment and maintenance of the processes of organizational decision. Organizational decision, on the other hand, is held in both instances to be a function of the system as a whole which is carried out sequentially through a series of specialized and interdependent positions in the formal line of communication and authority. Consequently, the organizational structure essential to the communication of decision is determined by coordinative requirements. The acceptance of the authority of decision by the informal organization, which exists to accommodate those perceived needs of organization members not accounted for in the formal scheme, is essential to organizational effectiveness and efficiency. In both the formal and informal aspects of organization, determinations are made on the basis of individual and group perceptions. Formally, logical and impersonal processes of problem-solving and goal-setting are relied upon. This requires a

"scientific" method of analysis which constantly refines and redefines through the discernment of a series of "strategic factors" in the environment of decision.

Administration and Leadership

The administration-leadership dichotomy. In examining the distinction which was made by James Lipham between the administrative and leadership activities in an organization, it was seen that it was difficult to clearly separate these two executive functions. Leadership, it will be recalled, was identified by Lipham as the source of change in the organization's structure, procedures, or objectives. Administration, on the other hand, was described as the agent of organizational stability since it is concerned with maintaining the organization in operation to accomplish established goals. This distinction was seen as useful in the analysis of the sociological and psychological dimensions of administration and leadership and in the identification of potential role conflicts for the administrator-leader.[44]

Administration and leadership in Barnard's work. There are persuasive arguments in the writings of Chester

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[44]James M. Lipham, "Leadership and Administration," Behavioral Science and Educational Administration, Sixty-third Yearbook of the National Society for the Study of Education, Part II (Chicago: The Society, 1964), pp. 119-141.

Barnard which support the notion of an administration-leadership dichotomy. Most notably and explicitly these occur in works written after the basic theory of cooperation was set down in The Functions of the Executive, but it will be seen that the distinction made is implicit in the latter work as well.[45]

What is without doubt Barnard's clearest statement differentiating between the activities of administration and leadership is made in conjunction with his examination of the system of status in the formal organization.[46] In stressing the requirements for the organizational stability described as necessary in his theory of organization, Barnard identifies the "essential tools of administration" as the system of communication, the habitual practices of the organization, technical procedures, and positions of varying status. These, he believed, constitute its "most 'visible' general parts."[47] The association of stability and administration is further elaborated:

> Being the tangible machinery of administration and
> indispensable to it, the protection of both status

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[45]Barnard, The Functions, pp. 258-284.

[46]Chester I. Barnard, "Functions and Pathology of Status Systems in Formal Organizations," Organization and Management: Selected Papers (Cambridge: Harvard University Press, 1948), pp. 207-244.

[47]Ibid., p. 240.

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and of procedure comes to be viewed quite sincerely
as the sins qua non of the organization.[48]

But it is an undue emphasis on "the apparatus of communica-
tion and administration"[49] that makes apparent the distinc-
tion between leadership and administration. Barnard is most
explicit in this respect:

> It opposes leadership whose function is to promote
> appropriate adjustment of ends and means to new
> environmental conditions, because it opposes change
> either of status in general or of established pro-
> cedures and habitual routine. This overvaluation
> also discourages the development of leaders by
> retarding the progress of the abler men and by put-
> ting an excessive premium on routine qualities.[50]

Elsewhere, Barnard is less precise in dealing with
leadership and administration as separate activities. But,
as stated, the distinction is implicit throughout his
theory. The dual nature which he ascribed to the executive
functions, for example, is a recognition of both its routine
and dynamic aspects.[51] He furthered this recognition in his
essay, "The Nature of Leadership," where leadership is
regarded primarily as a matter of guiding the members of an
organization in coordinated activity.[52] The emphasis here

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[48]Ibid.

[49]Ibid., pp. 240-241.

[50]Ibid., p. 241.

[51]Barnard, The Functions, pp. 185-211.

[52]Barnard, "The Nature of Leadership," Organization
and Management, p. 83.

is, of course, on the dynamic activity of "guiding." Secondary to this, states Barnard, is "the management or administration of. . . properties."[53]

But the difficulty of dividing the executive's work into two well-defined functions is evident in the "four sectors of leadership behavior"[54] identified by Barnard. The first two of these sectors deal with the establishment of purpose and the initiation of means for its accomplishment and clearly involve change. Thus, using Lipham's administration-leadership distinction, these sectors can be regarded as leadership activities. The remaining two areas of executive behavior are more obviously administrative in the sense of the previous distinction. In the third sector of leadership, for example, the executive maintains and preserves organization in order to "stimulate" coordination, an activity which comprises the fourth sector of leadership.[55] Since these activities were seen by Barnard as inseparable and concurrent,[56] it is obvious that his executive functions embody a recognition of what Lipham called "a number of problems in

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[53]Ibid., p. 84.
[54]Ibid., p. 85.
[55]Ibid., pp. 85-91.
[56]Ibid.

need of further clarification"[57] relative to the extent of
the administration and leadership dichotomy. These prob-
lems, it will be recalled, centered in part on questions
stemming from the degree of similarity between certain
leadership and administrative processes such as decision-
making, and from the extent to which these processes appear
to be mutually exclusive. It is undoubtedly in connection
with such problems that Barnard identified the stable and
unstable conditions in which leadership must exercise either
calm deliberation or creativity.[58] Again, the emphasis
appears to be on distinguishing those situations requiring
stability from those in which change is essential. This
emphasis is also present in the two aspects of leadership
which were outlined in Barnard's theory of organization.
These, it was seen, are either readily acquired technical
abilities, or abilities which are more general and involve
quality of action, such as those dealing in "attitudes and
ideals."[59] It was to this latter type of activity that
Barnard was referring when, speaking of the organizational
structure essential to cooperation, he stated:

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[57]Lipham, Behavioral Science and Educational Admini-
stration, p. 139.

[58]Barnard, "The Nature of Leadership, Organization
and Management, pp. 91-92.

[59]Barnard, The Functions, p. 260.

> But these structures do not remain in existence,
> they usually do not come into being, the vitality
> is lacking, there is no enduring cooperation,
> without the creation of faith, the catalyst by
> which the living system of human efforts is
> enabled to continue its incessant interchange
> of energies and satisfactions.[60]

Thus, in carrying out the higher purposes of the executive position, Barnard's leader is very much the "initiator of structure" described by Lipham in the preceding chapter.

There is a further element that should be noted in Barnard's work which also appears to have significance for the distinction made between leadership and administration. This is implicit in the concepts of the "moral" and "opportunistic" environments which were examined in the process of surveying Barnard's theory of organization. As noted in this survey, the moral environment deals in "attitudes, ideals, hopes, and values."[61] These serve not only to modify the environment, but, says Barnard, "the resistance of the environment compels the modification of these purposes and ultimately qualifies the aspirations they represent."[62] In the opportunistic field of organization, on the other hand, is found the sector of organizational action which is determined by present circumstances and conditions.[63] It is here

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[60]Ibid., p. 259.

[61]Ibid., p. 211.

[62]Ibid.

[63]Ibid., p. 201.

that "logical and analytical processes"[64] are most effective.
While it is apparent that neither definition totally excludes
either the leadership or administrative functions of the
executive, there is a matter of primary emphasis in each sec-
tor which indicated that executive work demands both creative
and manipulative actions. The difficulty of making a sharp
distinction between them is again underlined. Perhaps the
inseparability of the moral and opportunistic sectors of
organization is best stated by Barnard when he comments that
"the two aspects are synthesized in concrete acts"[65] since
"these functions are elements in an organic whole. It is
their combination in a working system that makes an organi-
zation."[66]

The social and psychological factors of behavior.
Lipham's behavioral concept of leadership was seen to be
based on sociological and psychological dimensions that have
considerable similarity to those described in the social
process model of organizational behavior. In this "behavioral"
approach to leadership the behavior of the leader was held to
be the result of the workings and interaction of the situa-
tional and personal factors in the organizational setting.

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[64]Ibid., p. 211.

[65]Ibid.

[66]Ibid., pp. 233-234.

Thus, in "initiating structure," an activity seen as basic to the leadership process, the sociological dimension of organization is encountered since what is involved is the establishment of the institutional means of organizational goal and individual need achievement. On the other hand, the second characteristic of leadership was defined as "consideration" and involved the psychological aspects of that activity since it describes the relationships of the leader with the individual members of the organization.[67] As stated, there is a definite similarity in this approach to the "nomothetic" and "idiographic," or organizational and individual, dimensions of the social process concept.

The extent to which Barnard's theory of organization embodies the sociological and psychological dimensions thus defined was considered at some length in the previous chapter in comparing a portion of his work with the social process description of behavior. In Barnard's view, it will be recalled, the maintenance of cooperation was dependent upon the effectiveness of the organization in the attainment of its goals and its efficiency in the provision of individual need satisfactions. What are involved, obviously, are the situational and personal factors of organizational behavior. The implications of these sociological and psychological

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[67]Lipham, Behavioral Science and Educational Administration, pp. 133-139.

dimensions of organization for the leader are summed up by
Barnard:

> The survival of cooperation, therefore, depends
> upon two interrelated and interdependent classes
> of processes; (a) those which relate to the system
> of cooperation as a whole in relation to the en-
> vironment; and (b) those which relate to the
> creation or distribution of satisfactions among
> individuals. The instability and failures of
> cooperation arise from defects in each of these
> classes of processes separately, and from defects
> in their combination. The functions of the
> executive are those of securing the effective
> adaptation of these processes.[68]

The definite emphasis on the executive function of "adapta-
tion" of organizational and individual "processes" leaves
no question of the behavioral aspect of Barnard's work or
of the importance he attached to this approach to the analy-
sis of both organizational and executive behavior.

     Conflict. Implicit in Barnard's statement concerning
the interrelatedness and interdependence of the processes of
cooperation is the potential for conflict between the neces-
sity for the executive's identification with organizational
purpose and the necessity for the satisfaction of individual
needs. Obviously, there must be a balance and, as noted in
conjunction with Barnard's concept of executive responsibility,
this balance is dependent on the degree to which the "moral
complexity" of the leader is commensurate with the complexity

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[68]Barnard, _The Functions_, pp. 60-61.

distinction between leadership and administration is evident. Although Barnard saw both activities as aspects of the executive functions, while Lipham stresses the dichotomy, both recognize the interrelatedness of the two concepts and apparent impossibility of making a clear differentiation. What is most obvious in the distinctions made by both men, however, is the emphasis on leadership as the source of organizational change. Administration, on the other hand, is viewed in each case as a matter primarily concerned with the less dynamic aspects of organization which are required to preserve the system in its pursuit of established goals.

The value of the "behavioral approach" to the study of leadership and cooperative activity is also emphasized in both works. In fact, the psychological and situational constituents of behavior provide the bases for both concepts. It is in connection with these factors, also, that the potential for conflict is great since they may be in opposition to each other. The extent to which either of these elements is dominant is difficult to assess due to the complexities which attend their interaction.

The Formal Organization

Charters' analysis. In the preceding chapter, it was pointed out that Charters attempted to examine the formal organization of the school in terms of the concepts of "work-flow," "division of labor," and "co-ordination." Using this

"different mode of analysis," he hoped to achieve a synthesis
of approaches to the study of organizations which would make
evident their sociological and psychological dimensions.
This synthesis was held to be unattained by what he sees as
the usual fundamentals of formal organization which involve
only structural concepts of task, position, authority, and
administrative department.[70]

Barnard's definition. To examine this approach in
the light of Chester Barnard's thought, it is first essential
to review the manner in which Barnard arrived at his defini-
tion of the formal organization. It will be recalled that
Barnard envisaged the organization as but one element of the
greater system of cooperation. In addition to the organiza-
tion component, he saw this system as comprised of physical,
social, and personal environments resulting from differences
in techniques and geography, from various interactions in
individual and organizational relationships, and from indi-
vidual differences. Of the four, however, only the organi-
zation element was regarded as constant. The others were
variables due to their susceptibility to change. Since the
formal organization was seen as the means for coordinating
the variable elements of the cooperative system, it was

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[70]W. W. Charters, Jr., "An Approach to the Formal
Organization of the School," Behavioral Science and Educa-
tional Administration, Sixty-third Yearbook of the National
Society for the Study of Education, Part II (Chicago, The
Society, 1964), pp. 243-261.

regarded as the factor common to all such systems. In other
words, organization was conceived, in its coordinative func-
tion, as the element of cooperation most subject to generali-
zation. The physical, social, and personal factors, for
example, might vary from system to system, but the fact that
their coordination is essential to cooperation is inescap-
able.[71] From this approach, Barnard arrived at a definition
of the formal organization "as a <u>system of consciously co-
ordinated activities or forces of two or more people.</u>"[72]
Implicit in this definition, of course, is a common purpose
for which cooperation is essential.

Workflow. The extent to which Barnard's idea of the
formal organization rests on the workflow concept seen
desirable by Charters is interesting. Charters feels that
the usual definition of the formal organization of the school
deals in "the various ways of distributing administrative
tasks among positions and the patterns for forming administra-
tive units."[73] While this definition is offered specifically
in connection with school organization, Charters apparently
regards it as a typical conception of the formal organization.
Such a definition does not appear to be descriptive of

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[71]Barnard, The Functions, pp. 65-81.

[72]Ibid., p. 73.

[73]Charters, op. cit., p. 244.

Barnard's concept, however. For example, it was seen that
Barnard regarded the formal organization as a system of
consciously coordinated activities and not merely as the
means of task assignment and specialization. The emphasis
on a system of activities and on their coordination quite
obviously implies an interrelatedness of the tasks involved
in those activities. This interrelatedness of tasks appears
to be highly similar to the workflow which Charters described
as "the sequence in which operations are performed and tech-
niques applied in order to transform material."[74] And
although in Charters' usage the "material" of the process is
the pupil, the universality of Barnard's concept of the for-
mal organization as the coordinating agent of the larger
system is not relinquished. For what is most essential to
bear in mind is that Barnard's system of coordination deals
in those activities which are the result of physical, social,
and personal factors. As seen previously, neither the situ-
ational or psychological environments, nor their interactions
are ignored. It is these that produce the dynamic system of
activities, or tasks, which result in cooperation when co-
ordinated. The emphasis in Barnard's definition is clearly
not on isolated tasks or positions or on their assignment.

Division of labor. The second of Charters' concepts

[74]Ibid., p. 246.

for the analysis of the formal organization, the "division
of labor," is also conspicuous in the work of Barnard. Here,
also, Barnard is more penetrating. Comprehended in his view
of the division of labor are the functions of organizations
and the specializations of men.[75] Thus, while the work of
organizations and of individuals is conceptually separate,
the sources of their specialization are the same. In both
instances considerations of time and place, of the persons
with whom the work is done, of the objects worked on, and
the methods used are the "bases of specialization."[76] Since
Barnard saw these "as elements inseparable from each other
in the concrete case,"[77] he held them to be interdependent.
"The significant concrete stage of specialization," he con-
tinues, "is the unit organization rather than the 'special-
ized' individual."[78] Consequently, the analysis, or
specialization, of organizational purposes into detailed
parts is best directed toward those units.

The uses of the concept of the division of labor in
organizational analysis is essentially the same in Charters'
view. It was seen, however, that in his concept the basis

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[75]Barnard, The Functions, p. 127.

[76]Ibid., pp. 128-129.

[77]Ibid., p. 135.

[78]Ibid., p. 136.

for analysis of the educational organization is the instructional unit.[79] While this might appear to differ from Barnard's concept in that it often concentrates on the individual specialization of the teacher, no great significance can be attached to this distinction if the unit referred to is truly the basic element of the organization under consideration for, as he states:

> The properties of the unit formal organization are determined by physical, biological, and social factors. The understanding of those factors and of the processes essential to conformation to them is the central method of the study of formal organization.[80]

What can be seen as essential, then, is the method of analysis of the component unit, whether it be defined in terms of its specialized activity or as an administrative structural arrangement.

Coordination. The need for coordination that arises in the formal organization is similarily stated by both Barnard and Charters. Charters, it was seen, states this requirement in terms of the coordinating "mechanisms" of "specification of functional role," "exchange of information," and "investment of authority for decision-making."[81] According to Charters, it will be recalled, role specification

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[79]Charters, op. cit., p. 249.

[80]Barnard, The Functions, p. 285.

[81]Charters, op. cit., pp. 258-259.

refers to the stipulation of organizational expectations, procedures, materials to be used, and similar "impersonal" decisions.[82] It is these functional specifications which Barnard saw as the bases of specialization. These bases were noted above in connection with the division of labor and they specified, it was seen, conditions of time, place, materials, personnel, and method in the attainment of organizational purpose. Both descriptions, as is evident, relate to the coordinating aspect of the specialized activity essential to cooperative effort.

The "exchange of information," as the second of Charters' mechanisms for coordinating the activities of the formal organization, is similar to the coordination function which Barnard described in his concept of communication. In Charters' view this exchange in the channels of communication provides the means for linking the contributors in the work-flow and, consequently, for the coordination essential to cooperation.[83] Barnard, it will be recalled, was explicit in according a central position in his theory of organization to the system of communication. As he states: "Every other practical question of effectiveness or efficiency-- that is, of the factors of survival--depends upon it."[84]

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[82]Ibid., p. 258.

[83]Ibid.

[84]Barnard, The Functions, p. 175.

Obviously, these factors include coordination.

The system of authority in the organization, it was noted, comprises the third coordinating mechanism described by Charters. This "investment of authority for decision-making," constitutes, he believes, "the most generally useful mechanism of work co-ordination"[85] since it involves the centralization of both decision-making and communication in a manner which is impersonal and which provides for the "legitimate" exercise of authority.[86] Barnard also, it will be remembered, saw the authority system as composed of the positions of the executive organization which provide the centers of communication[87] and organizational decision-making.[88] Decisions made in this system of authority thus gain an authentic character since they emanate from the legitimate hierarchical structure. Since these decisions are organizationally, rather than individually, determined, they are impersonal. In the Barnard theory, it was seen, this impersonality induced acceptance by organizational members. In both the Barnard and Charters' formulations, these organizational decisions thus serve to coordinate the activities

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[85]Charters, op. cit., p. 258.

[86]Ibid., p. 259.

[87]Barnard, The Functions, p. 218.

[88]Ibid., pp. 231-233.

essential to cooperative effort.

Summary. Charters' call for an approach to the analysis of the formal organization which goes beyond the traditional structural concepts of task, position, authority, and administrative department appears to be answered to a considerable extent by Barnard's concept of organization. In Barnard's view, it was seen, the organization was conceived as the constant element which serves to coordinate the other component elements of the greater cooperative system. Since these other environments are social and personal, as well as physical, it can be seen that Barnard's description of the organization embodies both structural and dynamic elements. Further, his theory of cooperation was seen to embrace the fundamental concepts which Charters lists as essential to organizational analysis. These concepts of workflow, division of labor, and coordination were seen to refer, respectively, to the sequence of activities essential to the accomplishment of organizational purpose, to the means for the specialization of those activities, and to the system of authority through which decisions are reached and communicated.

A General Theory of Administration

The scope and basic functions. The basis on which the "general" theory of John Walton was selected for study, it will be recalled, was that it represents an attempt by a

contemporary educator to advance a comprehensive explanation
of the manner in which the administration of the organization
is effected. While Walton's effort was seen to be more
broadly conceived than those works which focused on such con-
cepts as decision-making and social process, it similarily
appears to lack the inclusiveness embodied in the structural
and dynamic elements of Chester Barnard's theory of organiza-
tion. Lacking in Walton's work, for example, are such con-
cepts as those dealing with the individual, free will, the
processes of decision and communication, and the informal
organization--concepts which were considered at some length
by Barnard in their relationships to cooperative systems.
Nevertheless, while Walton restricts himself to presenting
a theory of administration and Barnard examines both organi-
zational structure and executive function, there are basic
similarities in their work which suggest the inseparability
of organizational and administrative study. Also indicated
by such comparison is the further relevance of Chester
Barnard's thought to modern organization and administrative
study and the degree to which it incorporates "the wide
range of administrative phenomena" referred to by Walton.[89]

As demonstrated in the preceding chapter, Walton's
theory of administration described the three central

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[89]John Walton, *Administration and Policy-making in
Education* (Baltimore: The Johns Hopkins Press, 1959), p. 1.

functions of that activity as the discernment of purpose, the coordinative function, and the provision of the means for the survival of the organization.[90] Contrasted with Barnard's "essential executive functions"[91] dealing with purpose, communication, and the securing of necessary effort, Walton's concepts appear to agree to a considerable extent.

Purpose. The degree to which this similarity of functions exists is evident, for example, in the manner in which both men conceived the process of administration as related to purpose. Since Barnard spoke of "the formulation of purpose and objectives"[92] as a function of executives, it might be concluded that there is a basic disagreement between this idea and Walton's function which restricts the administrator to the apprehension of purpose. But Barnard, it may be recalled, described an "executive organization" which permeates the hierarchical structure and authority system of the organization.[93] It was this executive system

that formulates, redefines, breaks into details, and decides on the innumerable simultaneous and progressive actions that are the stream of syntheses constituting purpose or action.[94]

[90]Ibid., p. 63.

[91]Barnard, The Functions, p. 217.

[92]Ibid., p. 231.

[93]Ibid., pp. 111-112.

[94]Ibid., p. 231.

Thus, the setting of purpose is not the functions of <u>an</u> administrator but of the organization. As Barnard notes, it "requires a pyramiding of the formulation of purpose"[95] which brings about the need for coordination and the executive definition of those aspects of the general purpose which apply to the specialized activity of a particular sector of the organization. That this view is highly similar to Walton's concept of administrative discernment of purpose and coordination of effort is apparent.

This similarity in viewpoint is further buttressed by Barnard's distinction between organizational functions and processes. "Organization decisions," he states, ". . . are not specialized to individuals but are <u>functions</u> of the organization as a whole; but the <u>processes</u> of decision are necessarily specialized."[96] These functions and processes involve two separate emphases which for the executive "is upon the definition of purposes" and among other functions "is upon the discrimination of the environment."[97]

The distinction which is made by both Barnard and Walton between routine administrative functions and those

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[95]<u>Ibid</u>., p. 232.

[96]<u>Ibid</u>., p. 210.

[97]<u>Ibid</u>., p. 211. "Discrimination of the environment" refers, of course, to the actions of the specialized units of the organization.

dealing with the establishment of organization goals also indicates a similar conceptual basis concerning the latter function. Although Walton sees the goal-setting activity as "statesmanship" and not as administration, he recognizes the possibility that it may be engaged in by the administrator:

> We should make it perfectly clear that our theory does not say that an administrator should never presume to act in this capacity. We have stated that when he does he is not acting qua administrator.[98]

Barnard's view was similar. The executive functioned both in the objective field of the environment relating to the "means and conditions of obtaining ends,"[99] and, as a leader, he dealt in the "moral sector. . . of attitudes, values, ideals, hopes."[100]

Coordination. Coordination, as the second of Walton's administrative functions, provides another concept which is also given considerable emphasis in the work of Barnard. In both analyses, coordination is inseparable from the definition and attainment of purpose.[101] As stated by Barnard:

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[98]Walton, Administration and Policy-making in Education, p. 108.

[99]Barnard, The Functions, p. 105.

[100]Ibid.

[101]Walton, Administration and Policy-making in Education, pp. 86-88.

> . . . purpose must be broken into fragments,
> specific objectives, not only ordered in time
> so that detailed purposes and detailed actions
> follow in the series of progressive coopera-
> tion, but also ordered contemporaneously into
> the specializations--geographical, social, and
> functional--that each unit organization implies.[102]

Since complex organizations consist of a number of unit organizations so specialized, their coordination is dependent upon communication.[103] It is the "maintenance of organization communication" which Barnard saw, then, as an essential function of the executive.[104] Its relation to Walton's coordinative function of creating and maintaining organization needs little elaboration since, quite simply, "the object of the communication system is coordination of all aspects of organization" and "it follows that the functions of the executive relate to all the work. . . accomplished through formal coordination."[105] Essential to this, Walton indicates, is the hierarchical structure of the organization[106]--a notion which is much like Barnard's concept of the positions of the executive organization as the centers of communication and decision.[107]

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[102]Barnard, The Functions, p. 231.

[103]Ibid., pp. 106-113.

[104]Ibid., p. 217.

[105]Ibid., p. 215.

[106]Walton, Administration and Policy-making in Education, p. 101.

[107]Barnard, The Functions, pp. 217-218.

Securing support. While coordination is the means
through which its internal regulation is accomplished, the
organization is dependent for external support on the estab-
lishment of a favorable environmental climate. At first
glance, Barnard's description of this function as that of
"securing essential services from individuals"[108] does not
appear to resemble Walton's "public relations" function.[109]
But a considerable likeness can be demonstrated. Barnard
saw this activity as consisting of the establishment of
"cooperative relationships" with contributors which would
make it possible for the organization to benefit from their
services. This involved proselyting, propagandizing, per-
suading, recruiting, negotiating, and providing incentives,
for example, and was directed not only to employees but to
customers or any other type of "contributor" to organization
welfare.[110] When contrasted with Walton's public relations
function which meant securing the "material and psychologi-
cal support"[111] essential to organization purposes, the
principal difference appears to be merely one of the types

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[108]Ibid., p. 227.

[109]Walton, Administration and Policy-making in Edu-
cation, p. 118.

[110]Barnard, The Functions, pp. 75 and 227-229.

[111]Walton, Administration and Policy-making in Edu-
cation, p. 125.

of "publics" likely to be encountered and the nature of their organizational relationships.

Summary. While the theory of administration advanced by John Walton is less comprehensive than Chester Barnard's theory of organization and cooperation, there is a considerable likeness between the two formulations. This similarity is principally evident in those administrative, or "executive," functions which provide the means through which organizational work is effected. In both theories these activities center on the purposes of organization, the coordination of its specialized internal operations, and the external relationships essential to its maintenance and support. Although Barnard does not exclude questions of value from the scope of management functions, his description of the "opportunistic" and "moral" aspects of the related positions corresponds to Walton's concept of a value-free and discernible administrative activity as distinct from "statesmanship." What is important here, of course, is the recognition in each theory of the possibility for both types of activity in what Barnard called the "executive" functions. Thus, the ascertainment of purpose, the coordination of effort to achieve it, and the obtaining of the support essential to that end are administrative functions carried out through the hierarchical structures of all organizations. "Statesmanship," on the other hand, is *supplied by those executive positions engaged in the establishment of purpose--that is, those concerned with both the*

means and ends of organization.

Summary

Recent concepts of administration and organization dealing in studies of "social process," leadership, decision-making, and formal organization have been compared with and found similar to ideas in the theory of cooperation formulated by Chester Barnard. In addition, a general theory of administration was seen to be based on fundamentals that could be related to Barnard's work to a considerable degree.

Employing what is currently referred to as the social process concept, for example, both Barnard and Getzels examined administration in terms of the psychological and sociological dimensions of the organizational context. These individual and institutional dimensions and the interactions between them were, in the views of both men, the sources of organizational behavior. Consequently, the degree of coincidence between individual needs and organizational expectations was held to be a major determinant of the success of cooperation.

The decision-making concept advanced by Daniel Griffiths was also seen to embody fundamental ideas similar to those expressed by Chester Barnard in his theory of organization. Both Barnard and Griffiths differentiated, it was noted, between the administrative decisions which maintain

the organization in operation and the specialized decisions
made throughout the organization. It was also seen in com-
paring these two concepts that in both views the requirements
of decision-making directly influenced the structure of the
organization due to the obvious need for communication.
Further, the authority of decision was seen by both theorists
as dependent upon its acceptance by the informal organiza-
tion. The processes by which decisions are effected and
through which solutions result are described in both formu-
lations as a sequence of actions which constantly identify
and refine purpose in a logical manner.

The distinction between administration and leader-
ship made by James Lipham was likewise encountered in the
work of Barnard. Lipham, it was seen, identified admini-
stration with the procedural aspects of organization. Leader-
ship, on the other hand, he regarded as principally con-
cerned with the dynamic organizational functions involving
changes in organizational purposes, methods, or structure.
While Barnard does not explicitly examine the claimed
dichotomy in the same terms, he does explore at some length
the "opportunistic" and "moral" sectors of the executive
position which were seen to comprehend essentially the same
procedural and substantive areas of administration and
leadership as these latter activities are defined by Lipham.
The difficulty of sharply distinguishing between these
executive functions was noted in both concepts, as was the

resulting potential for conflict when a given role incumbent is both administrator and leader. It was also seen that the situational and individual factors of organization were basic to these two viewpoints since what are involved in each are administrative decisions affecting institutional processes and leadership decisions affecting matters of substantive importance to individuals. The "behavioral" character of both works is thus obvious.

The need for consideration of both the sociological and psychological elements in the organization is also emphasized in Charters' proposal for organizational analysis. Relying on concepts of workflow, division of labor, and coordination, Charters constructs an approach to understanding the formal organization in operation that was seen to have a parellel emphasis in Barnard's organizational theory. Barnard's description, it was seen, incorporated the dynamic elements of organization and thus went beyond the traditional static definition of formal organization which was identified and seen as inadequate by Charters.

In a similar manner, the general theory of administration provided by John Walton rests on fundamentals which can be identified in Barnard's description of executive activity. For Walton, as for Barnard, the basic functions of administration are concerned with organizational purpose, coordination, and the securing of the material and psychological support essential for the organization's survival.

Although Walton sees the administrative activity which is related to these functions as confined to identifying and furthering accepted purposes, he also defines a "statesmanship" activity in the executive position which is concerned with the establishment of purpose. As noted above, Barnard described these two executive functions in terms of the opportunistic and moral phases of cooperation.

It is now essential to examine the apparent relevance of Barnard's theory in its broader aspects. Accordingly, this theory will be treated in the concluding section which follows as a "systems" concept which provides an integrated view of administration and organization by incorporating many of the current analytic approaches to these phenomena.

C H A P T E R   V I I

CONCLUSION

Systems Theory in Modern
Administrative Thought

The study restated. In the preceding chapters an
attmpt was made to examine the empirically based theory
of ocial cooperation which was formulated by Chester I.
Barnard. This theory was described in terms of its concep-
tual bases after being established in the context of the
larger field of administrative thought. Studies from edu-
cational administration were then selected for comparison
with important concepts from Barnard's work. The selection
of these studies was made on the basis of an historical and
evaluative overview of the development of research in edu-
cational administration. This overview was intended to
establish the recency, representativeness, and particular
significance to this study of the educational research
chosen for description and comparison. Accordingly, con-
cepts of social process, decision-making, leadership, and
formal organization, as well as a "general theory" of
administration, were set down and assessed with respect to
the relevance of Barnard's structural and dynamic concepts
for them.

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Procedure for analysis. What now becomes the
immedite concern of this effort is an analysis of the manner
in whih the contributions of Barnard to modern administra-
tive hought are evidenced by the descriptions and compari-
sons hus made. This will be undertaken by treating
Barnard's theory as a "systems" concept which is comprehen-
sive and integrative and, therefore, a thoroughly modern
contribution. This approach, it is felt, has considerable
justification. As noted previously, the search for such a
comprehensive and integrated formulation is a principal
characteristic of that which is regarded as modern in
administrative thought. This need has been repeatedly
stressed. Bakke states, for example:

> . . . seldom does one find a careful and systematic
> description of the nature and structure of the
> 'thing' with whose internally and externally dir-
> ected activity the hypotheses are concerned.[1]

It is here maintained on the basis of what has been hereto-
fore set down that the work of Barnard is such "a careful
and systematic description" of the organization, Koontz
suggests that Barnard is perhaps the father of the current
view of the organization as a cooperative social "system."[2]

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[1]E. Wight Bakke, "Concept of Social Organization,"
Modern Organization Theory, ed. Mason Haire (New York: John
Wiley and Sons, Inc., 1959), pp. 16-17.

[2]Harold Koontz, "The Management Theory Jungle," Read-
ings in Management, ed. Max D. Richards and William A.
Nielander (Cincinatti: South-Western Publishing Company,
1963), p. 9.

Barnard, himself, of course, emphasized heavily the system aspect of his theory. This was particularily evident in connetion with his view of all organizations as "sub-systems" ofthe larger cooperative endeavor.[3] There thus appears to be little difficulty in establishing the validity of this procedure.

The concept of system. There are numerous definitions of varying complexity which describe the concept of system. In von Bertalanffy's view it is simply a "set of elements standing in interaction"[4] while Allport makes a more detailed statement:

> . . . any recognizably delimited aggregate of dynamic elements that are in some way interconnected and interdependent and that continue to operate together according to certain laws and in such a way as to produce some characteristic total effect. A system, in other words, is something that is concerned with some kind of activity and preserves a kind of integration and unity; and a particular system can be recognized as distinct from other systems to which, however, it may be dynamically related. Systems may be complex; they may be made up of interdependent subsystems, each of which, though less autonomous than the entire aggregate, is nevertheless fairly distinguishable in operation.[5]

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[3]Chester I. Barnard, The Functions of the Executive (Cambridge: Harvard University Press, 1938). See in particular pp. 65-81.

[4]Ludwig von Bertalanffy, "General System Theory," General Systems, Yearbook of the Society for the Advancement of General Systems Theory, Vol. I (Ann Arbor, Mich.: Braun-Brumfield, Inc., 1956), p. 3.

[5]F. H. Allport, Theories of Perception and the Concept of Structure (New York: John Wiley and Sons, Inc., 1955), p. 469, cited in Daniel E. Griffiths, "Administrative Theory

Thus, the concern of the modern systems theorist is with "problems of organization, of wholeness, of dynamic interaction."[6] Further, this approach is most immediately concerned with "open" systems that deal in input and output with their environments and with the "models, principles, and laws that apply to generalized systems or their subclasses, irrespective of their particular kind, the nature of their component elements, and the relations of 'forces' between them."[7] What is obvious is the search for a theory which describes the generalized relationships between and among diverse fields of concentration. Implicit in this view, of course, is the integration not only of the elements of a given system but of the various disciplines to which the concept is applied. But it is also essential to note, as von Bertalanffy points out, what the system concept is not:

> It is not pure mathematics or identical with the triviality that mathematics of some sort can be applied to any sort of problem; instead it poses specific problems which are far from being trivial. Further, General System Theory is not a search for vague and superficial analogies between physical, biological, and social systems. Analogies as such are of little value, since beside similarities

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and Change in Organizations," *Innovation in Education*, ed. Matthew B. Miles (New York: Bureau of Publications, Teachers College, Columbia University, 1964), p. 428.

[6]von Bertalanffy, op. cit., p. 1.

[7]Ibid.

> between phenomena, dissimilarities always can be
> found as well. . . in certain aspects, corre-
> sponding abstractions and conceptual models can
> be applied to different phenomena. It is only
> in view of these aspects that system laws will
> apply. This does not mean that physical systems,
> organisms and societies are all the same.[8]

Boulding concurs and states: "It does not seek, of course,

to establish a single, self-contained 'general theory of

practically everything' which will replace all theories of

particular disciplines."[9]

The particular relevance of such an approach to a

theory of organization is apparent. The complexity of the

human relations involved in cooperative situations has

clearly not been unraveled by traditional methods of study.

But observed similarities between different organisms and

such "organizations" as atoms, molecules, and social coopera-

tive efforts cause considerable excitement among systems

theorists. The self-regulating, or "homeostatic," properties

which are in evidence in various systems, for example,

closely resemble the thermal and coagulating processes of

the biological systems. Griffiths sees these regulative and

organizational tendencies of open systems as those which

make possible the maintenance of a "steady state" since,

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[8]*Ibid.*, p. 2.

[9]Kenneth Boulding, "General Systems Theory--The
Skeleton of a Science," General Systems, Yearbook of the
Society for the Advancement of General Systems Theory, *Vol.*
I, 1956, p. 11.

given a continuous input, a constant ratio among elements
is observable. A further feature on which he comments,
"equifinality," is the means by which the open system can
arrive at consistently similar results despite dissimilar
starting conditions. "Feedback" also plays a part in this
regulative process in that it represents that portion of the
systems output which influences the manner in which future
output is determined. Griffiths also comments on the struc-
tural similarities of diverse systems which are evident in
the "progressive segregation" which "occurs when the system
divides into a hierarchical order of subordinate systems,
which gain a certain independence of each other."[10]

Modern concepts of the "system," then, concentrate
on the identification of the structural and behavioral simi-
larities in areas of considerable specific dissimilarity. It
is but necessary to turn to the parallel and separate studies
of various administrative "disciplines" to find considerable
support for this view. "Today," says von Bertalanffy, "our
main problem is that of organized complexity."[11] Concepts
of organization, wholeness, and differentiation abound.
These concepts, von Bertalanffy states,

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[10]Griffiths, "Administrative Theory and Change in
Organizations," Innovation in Education, pp. 429-430.

[11]von Bertalanffy, op. cit., p. 2.

pop up everywhere in the biological, behavioral, and social sciences, and are, in fact, indispensable for dealing with living organisms or social groups. Thus a basic problem posed to modern science is a general theory of organization.[12]

What has been previously referred to herein as "modern administrative thought" can now be seen as dealing in systems concepts, in particular with reference to the search for the "universals" of organization. As Scott notes, the principal difference between general system theory and much contemporary study of organizations is found in the fact that systems theory per se deals in systems of all types and levels while the latter is concerned with the concept of system as it applies to the social organization.[13] Again, the value of the systems concept to current administrative study is readily apparent in the manner in which it provides a conceptual framework that is both comprehensive and integrative and in its emphasis on the similarities, or "universals," of interdisciplinary structures and processes. That Chester Barnard's theory is such a systems approach must now be considered.

Barnard's theory as a systems concept. The extent to

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[12]Ibid.

[13]William G. Scott, "Organization Theory: An Overview and an Appraisal," Organizations: Structure and Behavior, ed. Joseph A. Litterer (New York: John Wiley and Sons, Inc., 1963), p. 22.

which Barnard's theory is a modern systems concept of organization is clearly discernable from those aspects of his work which have been examined. In his view of the formal organization "as a system of consciously coordinated activities or forces"[14] and "as an interpersonal system of coordinated human efforts"[15] he is quite explicit in identifying the systems aspect of his theory. This is further evident in the dynamic and structural concepts from which his idea of the organization derives. The "sets of elements standing in interaction"[16] described by von Bertalanffy are readily distinguishable in Barnard's social, physical, and psychological components of the system. It was also in connection with these interdependent and interrelated elements that the relationships between such "an aggregate of dynamic elements"[17] was shown to exist. By way of illustration, it may be recalled that Barnard saw authority as a dynamic concept which was rooted in the consent of the individual who possessed a free will subject to such limitations as a proliferation of choices, and physical, biological, and social factors. Co-operation and communication were also seen to be affected

[14]Barnard, The Functions, p. 73.

[15]Ibid., pp. 94-95.

[16]von Bertalanffy, op. cit., p. 3.

[17]Allport, loc. cit.

by these same limitations and the need for decision and
responsible action thus arose. Accordingly, it was through
these functions that the equilibrium of the system was main-
tained and the efficiency and effectiveness essential to
system survival was assured.

Methodically, then, Barnard demonstrated the "inte-
gration and unity" which Allport considers essential in his
definition of the system.[18] As stated, Barnard accommodated
what he saw as both the dynamic, substantive features and
the structural elements of the organization in his theory.
Nor is it difficult to perceive that he provides an "open"
system since its basic characteristic, that of exchanging
input and output with its environments, is clearly empha-
sized in Barnard's description of the manner in which the
forces of the various environments affect each other and the
systematic whole. It is precisely what Griffiths called the
"dynamic interplay of sub-systems operating as functional
processes"[19] which is described in Barnard's discussion of
the physical, social, and psychological sub-systems. As
stated, it is the coordination, regulation, and structuring
of these elements which is the work of the organization and
which is dependent on the "progressive segregation"[20]

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[18]Ibid.

[19]Griffiths, "Administrative Theory and Change in
Organizations," Innovation in Education, p. 429.

[20]Ibid.

determined through such self-regulating processes as both formal and informal "feedback." Further, regardless of the type of forces, or "inputs," from its environments the successful system must achieve equifinal results. Or, in Barnard's view, under any circumstances it must produce the satisfactions essential to secure and preserve the cooperation required for the attainment of organizational purpose. That is, it must be efficient and effective.

It is therefore maintained that Chester Barnard's theory can be considered as a modern systems concept. It should thus be relatively simple to illustrate the main contention of this study: that Barnard's work provides a comprehensive and integrated view of the organization and, since the construction of such is an avowed goal of modern organizational theorists, that his work accordingly has relevance to contemporary administrative study. The extent to which this is true is evident through a consideration of those selected studies from educational research which were described and compared with Barnard's theory.

A modern theory. Turning again to the selected portions of educational research referred to above, it will be recalled that views were examined which dealt in such "segments" of organizational study as social process, *decision-making, leadership, formal organization, and a* "general" theory confined to the *basic organizational elements*

of purpose, coordination, and external relationships. Now
Barnard's theory, on the other hand, was shown to have a
definite relevance for each of these approaches. Although
considerably more complex than each of these descriptions,
his concepts were demonstrated to be greatly similar. It
is therefore possible to identify a definite value in the
manner in which he provides a theory which serves as a
framework to incorporate these representative efforts into
a whole which, as has been repeatedly stated, is a major
concern of contemporary students of administration and
organization. Consider, by way of example, the manner in
which his notions of efficiency and effectiveness embrace
the nomothetic and idiographic, or institutional and indi-
vidual, dimensions of cooperation described in the social
process approach. In both analyses, it was seen, it was
the satisfaction of both the sociological and psychological
forces operational in the institutional setting which made
cooperation possible. Similarities were also found present
in the Griffiths and Barnard concepts of decision-making.
This was particularily apparent in the use of the steps of
the "scientific method" which was a prominent feature in
the work of both men and which was alternately stated by
Barnard in terms of the progressive definition and redefi-
nition of purposes. The further comprehensiveness of
Barnard's work was also underlined by his distinction between
the procedural and substantive functions of the executive.

This was seen to closely resemble the dichotomy between administration and leadership described by Lipham who arrived at this division by the assignation to the administrator the work of maintaining organizational operation while he saw leadership as the source of change. Further, the works of Charters and Walton separately seek to emphasize the necessity for a broader approach to the problems arising in cooperative situations. And, to the extent to which they explored such fundamental ideas as task, position, authority, department, purpose, coordination, and external organizational relationships, their hypotheses were seen to be of considerable similarity to Barnard's basic ideas. As stated previously, however, the depth of analysis present in the latter's theory is lacking. Charters, for example, stressed the need for the exploration of all dimensions of organizational behavior but does not go beyond citing the existence of both sociological and psychological factors. Walton, on the other hand, omits the consideration of such concepts as decision-making, communication, the informal organization, and the individual.

It is possible to identify in Barnard, then, an integration of those representative views of administration and organization which were explored as part of a more comprehensive theory. This theory is presented at a level of abstraction, it is felt, that makes it a useful means of theoretical statement and communication. It is further

maintained that Barnard's theory provides for the contemporary student of administration perspectives which are based on the observations of an eminently qualified student of organizational phenomena. Studies of internal and external power structures, for example, can be derived from his views of the internal and external environments, formal and informal, that exist in and around the organization and seek to influence it.[21] Similarily, suggestions for psychological and sociological analysis stem logically from his concepts of efficiency and effectiveness. This was demonstrated in discussing the concept of social process. The requirements of cooperation and communication and their effects on organizational size and structure can also provide ideas as does the distinction which Barnard made between administrative and "higher" executive functions.[22] The comparisons made herein which were basic to this study can therefore be regarded as providing support for the contention that, explicitly and implicitly, the fundamental organizational concepts of Barnard are capable of generating hypotheses and perspectives useful in the sociological and psychological study of cooperative effort. Neal Gross makes this point,

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[21]An example of the study of such influences is found in Neal Gross, Who Runs Our Schools? (New York: John Wiley and Sons, Inc., 1958).

[22]Barnard, The Functions, pp. 215-234.

though in a different context, when he says:

> . . . at this stage in the development of sociology
> as a scientific discipline, it is the sensitizing
> ideas and concepts of the sociologist, rather than
> his special empirical findings, that. . . hold the
> greatest promise for a rich 'payoff' in the train-
> ing of. . . administrators.[23]

Similarily, Griffiths states that the importance of the

social science approach is "not so much in the provision of

specific concepts that have empirical relationships to

administrative acts, but rather in the provision of ways in

which to view total performance."[24] Barnard's own estimate

of his contribution is very close to these viewpoints.

Speaking of The Functions, he stated:

> Whether the present essay is a contribution to the
> science hoped for remains to be determined by
> others. . . its chief value, if presently it has
> any, will merely lie in its expression of one view
> of experience. . . if it has any further value it
> will lie in the suggestion it may give to more
> component inquiry, which I hope can be undertaken.
> The test of it will come from its application to
> social phenomena as a whole, as they present them-
> selves to others--many others.[25]

It is most logically compelling that these assessments are

accurate. To reiterate and paraphrase Koontz's view, the

experience of men such as Chester Barnard can hardly be

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[23]Neal Gross, "Sociology and the Study of Administra-
tion," The Social Sciences and Educational Administration, ed.
Lawrence W. Downey and Frederick Enns (Edmonton, Alberta: The
Division of Education, University of Alberta, 1963), p. 38.

[24]Daniel E. Griffiths, "The Social Sciences and Admin-
istration: A Rationale (Response)," Downey and Enns, op. cit.,
p. 15.

[25]Barnard, The Functions, p. 292.

regarded as "armchair."[26] Such theory as they produce has the empirical basis of perceived fact and it should not be surprising if it also provides the basis for empirical studies. The work of Barnard, resting as it does on the observation of facts in which he was intensely interested and in an area in which he was highly experienced and par- ticularily literate, is thus held to present in a composite whole much of what is classed as modern in administrative thought. There is much evidence of an abundance of dupli- cate and parallel studies which rediscover much of what Barnard has collected into a systematic whole. Griffiths' previously cited comment is well made. Students of admini- stration would indeed profit immensely from a reading of Barnard since he goes a long way toward what Bertram Gross calls the "action-theory marriage."[27] The importance of the contribution of "the man on the job" has been much empha- sized.[28] It is curious that such a demonstrably singular contribution is apparently much ignored.[29]

In conclusion, no effort to construe Chester

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[26]Koontz, op. cit., pp. 14-15.

[27]Bertram Gross, The Managing of Organizations: The Administrative Struggle, Vol. II (New York: The Free Press, 1964), p. 843.

[28]See, for example, Koontz, op. cit.

[29]"Famous Firsts: Composer of Management Classics," Business Week, November 27, 1965, pp. 84-86.

Barnard's formulation as _the_ theory of administration has
been undertaken. To reiterate, his significance for modern
administrative thought is held to reside in the empirically
based view of administration and the organizational whole
which he provides. It is also presented at a level of
abstraction which advances the scientific study of the prob-
lems of organization. The comparative study undertaken here,
it is hoped, has demonstrated the particular relevance of his
theory to the contemporary study of modern administration.
What is also emphasized is the importance of the contribu-
tions of a man who was not only a practicioner in his field
but who was a scholar as well who brought to the analysis
of cooperation a wide range of knowledge in several disci-
plines and an obviously high degree of intelligence.

Needed Research

In keeping with what has already been stated in this
concluding chapter of the study, the manner in which such
a theoretical formulation such as Chester Barnard's provides
the basis for empirical investigations bears examination.
It may be possible, for example, to identify and analyze the
"strategic" factors in given administrative situations and
thus effect their control or bring about a deeper apprecia-
tion of the possible solutions of administrative problems.
Conceivably, studies of this nature might also emphasize the

numerous factors operative in such cases and call attention
to a variety of perspectives essential to administrative
actin. Or, concepts like that of the informal organization
provde the basis for investigations focusing on comparisons
betwen stated behavioral expectations in organizations and
actal performance. In such ways, detailed analyses of such
thories appear most desirable.

Another area of research which has particular rele-
vance for modern administrative thought is that of the
comparative study of administration and organization. As
Robert Dahl has emphasized, the evolution of a science of
administration requires the assessment of the differences
and similarities of various types of organizations in order
to determine if indeed these do exist in a useful form the
sought-after "principles and generalities" of administration
and organization. Such comparisons could be made not only
intra-organizationally, but on the forms of organization
found in various nations. The need for these types of
research is underlined by such comments as those of Barnard:

> Many times I have noted that executives are able
> to understand each other with very few words when
> discussing essential problems of organization,
> provided that the questions are stated without
> dependence upon the technologies of their respec-
> tive fields. This is strikingly true, in fact
> chiefly observable, when men of radically differ-
> ent fields discuss such questions.[30]

[30]Barnard, The Functions, p. vii.

Studies such as that by Evan comparing grievance systems in the military and in industrial organizations,[31] and that of Halpin on the leader behavior of aircraft commanders and school superintendents also emphasize this viewpoint and illustrate some of its possibilities.[32]

The exploration of the problems of administration through the perspectives afforded by many disciplines should also be encouraged. Obviously, problems of administration and organization "cut across" all phases of human activity and, consequently, the involvement of many disciplines in the study of these problems is inescapable. Not to take advantage of the insights and additional dimensions available from varied approaches to problems of cooperation leaves the prospects for an administrative science less tenable. Dwight Waldo's Perspective's on Administration illuminates some of the possibilities in this area of research.[33] As indicated during the course of this study, these newer approaches are not limited to the behavioral or social

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[31]William M. Evan, "Due Process of Law in Military and Industrial Organizations," Administrative Science Quarterly, VII (1962), pp. 187-207.

[32]Andrew W. Halpin, "The Observed Leader Behavior and the Ideal Leader Behavior of Aircraft Commanders and School Superintendents," Leader Behavior: Its Description and Measurement, ed. Ralph M. Stogdill and Alvin E. Coons (Columbus, Ohio: Ohio State University, 1957), pp. 65-68.

[33]Dwight Waldo, Perspectives on Administration (University, Alabama: University of Alabama, 1956).

sciences. Students of the physical and natural sciences and from such fields as mathematics have also encountered the problems of organized complexity and also seek to unravel them by systems concepts, mathematical models, and like methods.

The impact of the great sociological thinkers of the 19th century might also be investigated. The influence of men such as Durkheim, Pareto, and Weber was briefly noted, but not examined, herein. The ancestry of the concept of system in its broader aspects is generally traced to Pareto, for example. The importance of the thorough investigation of the development of this idea should be apparent if one of the main points of this undertaking has been made evident. The comparative and interdisciplinary studies suggested also serve to highlight its significance since they are also directed toward a quest for the universals of dissimilar activities.

Finally, the writings and actions of other contributors to administrative thought should be studied. As it has been made clear, it is hoped, the observations and experience of these students provide a fund of administrative knowledge, concepts, and suggestions from which further research can be designed. The Papers on the Science of Administration of Gulick and Urwick, for example, contains some impressively "modern" viewpoints provided by such figures as Henri Fayol

and Mary Parker Follet.[34] And as also stated previously,
the recognition of their contemporaneous nature is impor-
tant. Such recognition would perhaps help to avoid some
of the duplication of research efforts and rediscovery which
were referred to in the concluding remarks of this study and
which occur so frequently in the study of administration.

[34]Luther H. Gulick and Lyndall Urwick, _Papers on the Science of Administration_ (New York: Institute on Public Administration, Columbia University, 1937).

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APPENDIX A

Chester Irving Barnard[1]
(1886 - 1961)

Chester Barnard was born in Malden, Massachusetts, the son of Charles H. and Mary E. (Putnam) Barnard. He provided his own support from an early age through farm work and as a student janitor and monitor at Mt. Hermon Academy in Northfield, Massachusetts. Barnard entered Harvard in 1906 on a scholarship and here he also displayed an enterprising nature by conducting such outside activities as a dance band and a translation service. His career in the business world began after three years when he left Harvard to join the Boston statistical office of the American Telegraph and Telephone Company. The following year he moved to their New York Office as an office systems specialist. In 1922 he commenced his long association with Bell Telephone in Pennsylvania. By 1927 he was president of Bell of New Jersey. Except for a brief period in Washington during the 1940's, his entire career was spent in the telephone industry. During his time in the capital he served

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[1]The material in this biographic sketch was compiled from "Famous Firsts: Composer of Management Classics," Business Week, November 27, 1965, pp. 84-86; Current Biography, 1945, pp. 35-37; and an obituary, New York Times, June 8, 1961, p. 35.

as an assistant to Secretary of the Treasury Morgenthau, as
a consultant to the United Nations' Atomic Energy Commission,
as co-author with Robert Oppenheimer of the State Department
report on the international control of atomic energy, and as
president of the United Service Organizations for three
years. It was also during this period that he began his
membership on the board of the Rockefeller Foundation. He
was also its president from 1948-1952. Chester Barnard was
intensely interested in civic affairs and had a wide range
of intellectual interests. During the depression years he
organized the New Jersey Emergency Relief Association and
was also connected in an executive capacity with the New
Jersey Reformatory, the National Probation Association, the
Regional Plan Association, and a number of educational and
business organizations as well as hospitals. Upon his
official retirement from the world of industry in 1952 he
continued his other interests. In the decade which followed
he was president of the National Science Foundation, served
on a Presidentially sponsored commission on national health,
and on the New York City Board of Health. It was Barnard's
taste for scholarship, however, which led him throughout his
entire career to explore in depth and from a number of per-
spectives the nature of management and organization. He
lectured on these subjects extensively at such leading
institutions as Princeton University and it is the thoughts

presented therein which form, for the most part, the bulk of his writings. The breadth of his interests, academic and civic, are evidenced by the distinctions which he was accorded and the positions in which he served. Chester Barnard received seven honorary doctorates, the Meritorious Civilian Service Award of the Navy, the President's Medal for Merit, and membership in the French Legion of Honor. He was also a Fellow of the American Academy of Arts and Sciences, the American Association for the Advancement of Science, the American Philosophical Society, the Social Science Research Council, as well as a director of the National Bureau of Economic Research and of such business enterprises as The Prudential Insurance Company and Fidelity Union Trust. His hobby was classical music and he was a principal figure in the organization of the Bach Society of New Jersey. He was also influential in the establishment of the Newark Art Theatre.

Appendix B

An analysis of the frequency of citation of various works in the literature of administrative and organizational thought was made by James G. March and Charles Faux.[2] It was based on the following sample which was assembled on the basis of these criteria: the component works all focus on organizational behavior; they are recent and of recognized merit; they represent a variety of disciplines and research methods. Six disciplines are included.

Sociology
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Chapple, Eliot D., and Sayles, Leonard R. The Measure of Management. New York: Macmillan Publishing Company, 1961.

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Economics:
Dean, Joel. Managerial Economics. New York: Prentice-Hall, 1951.

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[2] The material in this section is from James G. March (ed.), Handbook of Organizations (Chicago: Rand McNally Publishing Company, 1965), p. x.

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Political Science:
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Psychology:
Likert, Rensis. _New Patterns of Management_. New York: McGraw-Hill, 1961.

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