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THE DEVELOPMENT OF A MODEL FOR

PARTICIPATORY GOAL SETTING

IN PRIVATE EDUCATIONAL

INSTITUTIONS

by

Gail Dean Schoppert

A Thesis Submitted to
the Faculty of the Graduate School at
The University of North Carolina at Greensboro
in Partial Fulfillment
of the Requirements for the Degree
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_____
Dissertation Adviser

APPROVAL PAGE

This dissertation has been approved by the following committee of the Faculty of the Graduate School at the University of North Carolina at Greensboro.

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SCHOPPERT, GAIL DEAN. The Development of a Model for
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This study was undertaken to explore the process of

goal setting in organizations in general, and private edu-

cational institutions in particular, in an effort to deter-

mine the potential usefulness of participation as a goal

setting method, and to develop a model for participatory

goal setting. The basic research method used was the survey

of literature, with attention to the literature of organi-

zational goals, the literature of private educational insti-

tutions, and the literature of participation in organizations

and particularly in educational institutions.

The study achieved its purposes. Four basic premises

were important to the project from its inception:

(1) Organizational goals are functional and important.

(2) Goal setting is a particularly difficult form of

organizational decision making. Both quality and acceptance

of goals is important in any organization, which makes the

task of establishing and communicating goals a critical one

for the organization.

(3) Goal setting is particularly important for private

schools and colleges because they are highly dependent on

external support.

(4) Participation is a legitimate and useful device for

organizational decision making, and can be applied to goal

setting.

Each of these premises was supported by the literature, which made possible the development of a model for participatory goal setting.

Three functions of goals--the guiding function, the motivating function, and the support-seeking function--were discovered as a result of the literature review. The data seem to support the proposition that each of these functions can be better served by goals set through participation than by those set in a traditional, elitist fashion.

A four-fold typology of organizational goals was developed wherein goals were classified as manifest (stated and intended), hidden (unstated but intended), public relations (stated but unintended), or latent (unstated and unintended).

A model for participatory goal setting was developed, consisting of a series of propositions, a graphic model, and a flow chart of organizational goal setting. Recommendations were made for the implementation of the model.

Conclusions reached as a result of the study included confirmation of the four basic premises listed above, confirmation of the three functions given above, confirmation of the usefulness of the typology of organizational goals discussed above, and the final conclusion that the model for participatory goal setting developed in this dissertation is feasible and should prove valuable for participatory goal setting in a private educational institution.

Recommendations for further research revolved around the implementation of the model, the testing of the typology, exploration of the relationship between goal quality and organizational success, and testing of the concept of organizational purpose.

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CHAPTER ONE

STATEMENT OF THE PROBLEM

The purposes of this dissertation are to explore the process of goal setting in organizations in general, and private educational institutions in particular, in an effort to determine the potential usefulness of participation as a goal setting method, and to develop a model for such participatory goal setting. The basic research method is survey of the literature, with attention to the literature of organizational goals, the literature of private educational institutions, and the literature of participation in organizations, and particularly in educational institutions.

As is demonstrated in Chapter Two, the term _goal_ is essential to the very definition of an organization. It therefore seems important that we know exactly what a goal is, how it functions, and that we explore the process of setting goals in modern organizations, and particularly in private educational organizations, which face a genuine crisis today.

Hughes, in his book _Goal Setting_, clarifies this need:

> We can know what we are as individuals or as a group only after we have first considered what it is we are trying to become. We can know whether what we are doing is absurd only after we have identified the goals we are trying to achieve. We can know the meaning of our individual jobs only after we have recognized the reason for our coming together as an organization. We are nothing

more than what we see ourselves achieving in terms
of goals. (1965, pp. 8-9)

One assumption underlying this dissertation is that
organizations are rational, and that they are goal seeking.
Actual observation of organizations may reveal apparently
irrational actions taking place. This problem will be dis-
cussed at a later point in the paper, but most scholars of
organizational behavior believe as Perrow does: "For a
full understanding of organizations and the behavior of
their personnel, analysis of organizational goals would seem
to be critical" (1961, p. 854). Perhaps this is because,
as March asserts:

> Every tool of management decision that is cur-
> rently a part of management science, operations
> research, or decision theory assumes the prior
> existence of a set of consistent goals. (1974,
> p. 133)

Even a superficial look at schools reveals that there
is great variation in the extent to which goals are expressed
in a consistent way. Yet Thompson and McEwan contend that
goal setting may be the most important activity of an organi-
zation: "The difference between effective and ineffective
organizations may well lie in the initiative exercised by
those in the organization who are responsible for goal-
setting" (1958, p. 29).

All of the authors cited above believe that organiza-
tional goals are important. Casual observers may feel that
the manifest goals of educational institutions are merely
empty statements, or perhaps that they serve the single

function of public relations. This researcher agrees with the scholars cited above. Four basic premises which it is felt are demonstrated from the literature reviewed here have prompted this attempt to develop a model for participatory goal-setting in private educational institutions.

(1) Organizational goals are functional and important.

(2) Goal-setting is a particularly difficult form of organizational decision making. Both quality and acceptance of goals is important in any organization, which makes the task of establishing and communicating goals a critical one for the organization.

(3) Goal-setting is particularly important for private schools and colleges because they are highly dependent on external support, and goals are a major means of engendering such support.

(4) Participation is a legitimate and useful device for organizational decision making, and can be applied to goal-setting.

The survey of the literature in Chapter Two elaborates and supports these basic premises and discusses private educational institutions and their constituencies. Chapter Two is more than a traditional "Review of the Literature." Since the literature constitutes the research base in this dissertation, there is a consistent effort to draw conclusions from the literature throughout the chapter and to relate the literature of goals, goal setting, participation and private schools in a meaningful way. The first section of Chapter Two deals with the nature and functions of goals. At the outset

of the chapter, definitions are developed for the terms: purposes, goals and objectives. At this point, however, for reader orientation, the major terms used in the dissertation are briefly defined:

social purpose: broad enduring intent assigned by society;

organizational purpose: the intention of the organization to maintain or improve its basic need position;

goals: broad statements of intent which enable those inside and outside the organization to perceive what it is the organization intends to do;

objectives: statements representing and specifying the changes which an educational institution seeks to bring about in students or aspects of the organization;

goal setting: the establishment of statements of intent for the organization;

participation: the ability of a group or individual to make meaningful input, either directly or through representation, toward a decision;

constituency: any group holding power, having been granted authority, or having the ability to exert influence in the organization;

power: the ability to produce a certain occurrence; to control the conduct of others;

authority: granted power; the right to make decisions which has been granted to one group or individual by another;

influence: the ability to produce an effect without apparent exertion of force or direct exercise of commands; by use of indirect or intangible means;

private educational institutions: schools and colleges controlled by boards of trustees and not under direct control of any governmental unit;

rational organization: an organization relying upon reason as the principal basis for decisions made within it;

acceptance: the willingness of members of an organization to abide by and cooperate with an organizational decision;

quality: the character of a decision which determines its effectiveness toward the achievement of purposes, goals or objectives.

Chapter Three is devoted to the actual development of a model for participatory goal setting in private educational institutions.

The choice of an arena, private education, has been dictated by the researcher's personal interest in the field and by mounting evidence that private schools and colleges face a variety of problems at this point in history, not the least of which may be an identity crisis based on their failure to successfully reassess and articulate appropriate educational goals. It appears that private educational institutions could profitably utilize a model which would enable them to perform the important goal setting function using a participatory model.

Chapter Four of this dissertation suggests methods for implementing the model in practice. Chapter Five sets forth the conclusions reached in the study, offers suggestions for future research in the area of goal setting, and summarizes the dissertation.

Gross and Grambsch, in their extensive study of university goals, have said: "In a special kind of system, the formal organization, the problem of goal attainment has primacy over all other problems" (1968, p. 4). But goals which have not been set are difficult to attain.

CHAPTER TWO

REVIEW OF THE LITERATURE AND
RATIONALE FOR THE MODEL

Nature and Functions of Goals

Etzioni defines organizations as "social units which
are predominantly oriented to the attainment of specific
goals" (1962, p. vii). Bennis says that "organizations are
primarily goal-seeking units" (1966, p. 7). Blau and Scott
contend that what all organizations have in common is that
they have been established "for the explicit purpose of
achieving goals" (1962, p. 1). Stinchcombe adds "by an
organization I mean a set of stable social relations delib-
erately created, with the explicit intention of continuously
accomplishing some specific goals or purposes" (1965,
p. 142).

The concept of organizational goal is basic to an
understanding of organizations. But as Gross and Grambsch
point out:

> In spite of the great amount of theory and research
> about formal organizations, surprisingly little
> attention has been given to defining clearly what
> is meant by a 'goal' in the first place. (1968,
> p. 5)

At this point the definition of organizational purposes,
goals, and objectives is in order.

Development of Definitions

Popham outlines the task involved in defining organi-

zational ends terms in education when he says:

> Some educators use the terms objectives, goals,
> aims, intents, etc., interchangeably. Others use
> the terms differently, depending on the level of
> generality involved. For instance, goal is used
> by some to convey a broader instructional inten-
> tion, while objective is reserved for more limi-
> ted classroom instruction. Anyone involved in a
> discussion of these topics had best seek early
> clarification of the way the terms are being
> employed. (1972, p. 432)

According to Scheffler, definitions in education can

fall into one of three categories: stipulative, descrip-

tive and programmatic, which are distinguished as follows:

> A general definition is often simply a stip-
> ulation to the effect that a given term is to be
> understood in a special way for the space of
> some discourse or throughout several discourses
> of a certain type. (1960, p. 13)

> Descriptive definitions, like the latter,
> may also serve to embody conventions governing
> discussions, but they always purport, in addi-
> tion, to explain the defined terms by giving an
> account of their prior usage. (p. 15)

> Where a definition...is acting as an express-
> ion of a practical program...we shall call it
> programmatic. (p. 19)

Scheffler goes on to say that programmatic definitions

have a moral element and must be evaluated in terms of the

program which they advocate. While it would be easy to pre-

sent a set of stipulative definitions for the purposes of

this paper, such definitions might or might not tally with

common parlance. At the other extreme, a programmatic def-

inition might violate research procedure. We could, for

instance, define goals as "statements of intent arrived at through participation." This programmatic definition leads logically to the assumption that statements otherwise formulated are not goals. Using this definition a participatory model for goal setting would be mandatory.

The definitions suggested here will therefore be descriptive in nature. Scheffler provides sufficient leeway in his discussion of descriptive definitions for the researcher to make decisions about the final form of the definitions after an exploration of previous uses (p. 18).

The major problem in this respect is that the literature is filled with confusing uses of the terms "goals," "purposes," and "objectives." A good example of this is in a recent book by Brubaker and Nelson in which the terms are used interchangeably, and sometimes two are even used synonymously in a single sentence (1972, p. 8). These authors have recently completed another book, however, in which they conceptualize the three terms as distinct (1974, pp. 7-10). Bloom, who defines objectives clearly in terms of behavioral expectations for students (1956, p. 26), goes on to use the terms "goals" and "objectives" interchangeably in a single sentence (p. 27), as do such well known authors as Cyert and March (1963, p. 19) and Katz and Kahn (1966, p. 264).

Webster's Third New International Dictionary defines the three terms as follows:

> goal--the end toward which effort or ambition is
> directed...a condition or state to be brought
> about through a course of action. (p. 972)

objective--something toward which effort is directed;
an aim or end of action. (p. 1556)

purpose--something that one sets before himself as
an object to be attained; an end or aim to be kept
in view in any plan, measure, exertion or opera-
tion. (p. 1847)

While dictionary definitions are not usually helpful
in focused research, it must be admitted that the circular-
isms above point up a genuine confusion. If technical dic-
tionaries are examined the result is not much better.
Zadrozny's <u>Dictionary</u> <u>of</u> <u>Social</u> <u>Science</u> defines a goal as
"the purpose toward which a social act progresses" (1959,
p. 136), but fails to define either objective or purpose.

A more definitive work, edited by Gould and Kolk, does
somewhat better, but unfortunately also fails to define the
other two key terms:

In sociology, and in much of anthropology,
economics, political science, and social psychol-
ogy, the term goal denotes any change in a situa-
tion which a person or a group intends to bring
about through his or its action. It is a concept
designating one of the subjective elements of action,
i.e. elements internal to the personalities of
those participating in the action. Synonyms of
goal are end, objective, and purpose. (1964,
p. 290)

The inclusion of "objectives" and "purpose" as synonyms of
"goal" adds much to the confusion in attempting to under-
stand these three terms as distinct entities.

Coming closer to the home field of this study, <u>The</u> <u>Dic-</u>
<u>tionary</u> <u>of</u> <u>Education</u> defines all three terms as follows:

goal--an aim or purpose; (2) (psych.) the objective
or end to be attained in any behavior situation.
(Good, 1959, p. 197)

> objective--a standard or goal to be achieved by the
> pupil when the work in the school activity or school
> division is completed; (2) the end toward which a
> school-sponsored activity is directed; (3) a desired
> change in behavior of a pupil as a result of exper-
> ience directed by the school. (p. 278)

> purpose--a directed drive toward a goal; (2) an
> object or aim that motivates or directs behavior.
> (p. 322)

Again, the circularisms dizzy the reader.

The literature of organizations provides some more specific definitions. Simon, for instance, defines goals as "value premises that can serve as inputs to decisions" (1964, p. 3). This definition implies one of the functions of goals which we shall deal with later, since goals are considered by Simon to be guides to action. This position is supported by Feldman and Kanter with this definition: Goals

> denote one or both of two ideas: (a) a function
> which is used to evaluate consequences of alterna-
> tives and (b) some end point which is to be achieved
> by means which are to be discovered. (1965, p. 628)

The concept of using goals to evaluate consequences is dealt with in a later section of this chapter.

Etzioni defines organizational goal as "a desired state of affairs which the organization attempts to realize" (1964, p. 6). Thompson's (1967) definition is very similar. Hughes states that "A goal is an end, a result, not just a task to be performed" (p. 18).

Farr, an organizational consultant, refers to two types of goals which are useful in arriving at a general defini-tion:

> The action-goal is the outcome which is the
> direct focus of the immediate actions of persons
> in the matrix.

> The matrix-goal is the goal which defines the
> operating purpose of a matrix. (1972, pp. 10-11)

Farr's concept of an action-goal is perhaps closer to what
we shall call an objective, but his statement that a matrix-
goal defines purpose suggests a hierarchy of terms, with
each more specific term elaborating and defining the more
general term above it in the hierarchy.

Mager, who is best known for his attention to educa-
tional objectives, has recently completed a book entitled
Goal Analysis, in which he defines a goal as "a statement
describing a broad or abstract intent, state, or condition"
(1972, p. 35). Mager goes on to show the relationship
between goals, which he avows "always sound important" (p. 6),
and objectives, which are specific and measureable. He con-
tends that even the fuzziest of goals can be analyzed and can
have a set of objectives drawn from them. This supports the
concept of a hierarchy of terms.

Merton suggests that the basic term in the hierarchy
is "purpose" (1962, p. 48), a position which Hughes supports:
"Goals derive from purpose" (p. 19). Hughes goes on, then,
to put the three terms in the hierarchical relationship
which will be adopted for use in this study:

> Objectives, then, describe goals related to
> company purpose. Objectives translate purpose
> into definite targets, with standards of achieve-
> ment useful to both company and individual. (p. 29)

Krathwohl (1964, p. 29) and Derr (1973, p. 124) both support this kind of arrangement, pointing out that the language becomes increasingly concrete as we move down the hierarchy.

In a recent paper, Brubaker, Nelson, Lancaster and Howard make this distinction in discussing the hierarchy of ends:

> We are using ends (objectives, goals and purposes) and means much as they are used in common parlance. We distinguish between objectives, goals, and purposes as follows: purposes are overall aims designed to meet man's basic needs; goals are statements of general intent; and objectives are more specific in nature and lend themselves to quantification. (1973, p. 1)

In further developing the idea of purpose as meeting basic needs, Roland Nelson, one of Brubaker's co-authors above, has related organizational purpose to Maslow's (1954, chs. 4, 5 and 8) hierarchy of needs, originally developed in terms of individual personality theory: "The true purposes of colleges are to satisfy one of the four following needs: survival, commergence, differentiation, or self-actualization" (Nelson, 1966, p. 17). Nelson goes on to indicate the impact of purpose level on all organizational decisions, and particularly on college admissions policy. Berne's earlier statement lends support to Nelson's line of reasoning: "The overriding concern of every healthy group is to survive as long as possible" (1963, p. 67). Drucker has listed five survival needs of organizations (1958, pp. 154-160).

Clark lends further support to this thesis in discussing the "enrollment economy" of community colleges "in

which a major end becomes the recruitment and satisfaction (retention) of students" (1962, p. 164). Nelson would contend that such institutions are at the survival level of purpose, and that this purpose would result in goals, and eventually in objectives, which would differ from those of institutions at higher purpose levels. Maciariello and Entemen discuss the desire to reach the differentiation level in private colleges, relating this to the problems of these schools in distributing resources:

> the natural desire of administrators, scholars, and students of a college to be associated with the best or one of the best of their kind...creates an unlimited number of programs and projects that could be implemented if only the funds were available. (1974, p. 595)

This is an interesting case for analysis, since these authors are suggesting that the purpose of differentiation has produced goals and objectives in an "unlimited" way. We can assume with some assurance that these goals and objectives are different from those of an organization which is fighting to survive.

In fact, this points up one of the important characteristics of goal setting. In most situations the goal setting process is one of choosing among a large number of "goods" rather than a choice between "good" and "bad" goals.

Other authors tend to define purpose as broad intent or ends (The Carnegie Commission, 1973, p. vii; Derr, 1973, p. 53; Wise, 1972, p. 14). The position adopted here will be that there are two kinds of purpose. One which we shall call

"organizational purpose" is in line with the definition of Brubaker and Nelson above: the intention of the organization to maintain or improve its basic needs position. This purpose will not ordinarily be stated by the organization. In the context of this definition, an institution generally has only one of four organizational purposes: to survive, to belong, to be different, or to self-actualize. At certain points in time an institution may be in the act of moving between levels, and it is also conceivable that sub-units of large organizations may be at different levels on the purpose hierarchy. This could be the case, for instance, with different departments of a large university.

While this concept of organizational purpose is extremely useful in understanding why organizations adopt certain goals and objectives, it does not appear to be the only kind of purpose operating in organizations. In accordance with the general use of the term "purpose" and with the other authors cited above, organizations seem to be pursuing what we shall call a "social purpose" over which they have little control. All social institutions have a social purpose relating to the humanization of society in some way. Schools, for instance, are assigned the social purpose of educating. This is the societal expectation for the schools.

Organizational purpose constantly impinges on and limits the goals which an organization may pursue. Social purpose also limits those goals. Social purpose is very broad, and is usually taken for granted by the public and

by the institution. It is interpreted through goals and implemented by the use of objectives.

A goal, as used here, is a broad statement of intent, related to the purposes of the institution, which enables those inside and outside the organizational structure to perceive what it is the institution intends to do. The next section will point up that some goals are not stated openly, but since the model developed in this dissertation will be directed toward the improvement of goal statements, and since this definition does conform with past uses of the term, the word "statement" is an important part of the definition.

An objective is, after Tyler, a statement representing "kinds of changes in behavior that an educational institution seeks to bring about in its students" (1950, p. 4). Objectives, however, need not necessarily apply only to students, as they can be drawn from any goal of the institution. Hence a growth goal might result in an objective stated in financial or numerical (enrollment) terms. The important distinction is that objectives are normally quantifiable and should convert goals into measureable behavioral statements, usually including a time orientation. Using the pattern suggested by Mager, objectives can be produced from all kinds of goal statements.

The question may be raised as to whether goal statements are needed if they must be converted to objectives for specific action use. Objectives may relate to a small segment of the organization. They will be much greater in number

than goals, and they are largely a matter of decision making on the part of the people in the organization who do the work on a day to day basis. Goals can and should, as contended here, be drawn from several or all of the constituencies of the organization.

A Typology of Organizational Goals

Goals have been defined here as "statements of intent," but it is obvious to observers of schools and other organizations that many things are taking place which do not appear to be related to stated goals. Are these random activities, or are the organizations in fact pursuing unstated goals as well as stated ones? Sometimes goals are not stated simply because they are taken for granted, as March and Simon contend:

> Most commonly the goal of the organization has been assumed as given (e.g. profit maximization for the business firm), and the possibility that there might be different interpretations of the goal or that other goals might impinge on the behavior of participants has been ignored. (1958, p. 124)

Perrow also states that "goals may be taken for granted" (1961, p. 854). Weatherford concurs (1960, p. 2). It appears, then, that some type of analysis must be made beyond simply reading goal statements in order to determine the goals of an organization.

As early as 1938 Barnard discussed purpose as "defined more nearly by the aggregate of action taken than by any formulation in words" (1968, p. 231). Not only statements, then, but activities, too, must be examined. Gross and Grambsch expand on this idea:

Two kinds of evidence are necessary before one
can confidently assert that a goal is present:
intentions and activities. By intentions, we refer
to what participants see the organization as trying
to do; what they believe its goals to be, what direc-
tion they feel it is taking as an organization.
Intentions are revealed either by verbal statements
or by inferences made from symbolic acts, gestures,
and other types of meaningful behaviors. By activ-
ities we refer to what persons in the organization
are in fact observed to be doing; how they are
spending their time, how resources are being allo-
cated. (1968, p. 10)

Perrow discusses what he called "official" and "opera-

tive" goals, which he defines as follows:

Official goals are the general purposes of
the organization as put forth in the charter,
annual reports, public statements by key execu-
tives and other authoritative pronouncements.

Official goals are purposely vague and general
and do not indicate two major factors which
influence organizational behavior: the host of
decisions that must be made among alternative
ways of achieving official goals and the prior-
ities of multiple goals, and the many unofficial
goals pursued by groups within the organization.
The concept of "operative" goals will be used
to cover these aspects. Operative goals desig-
nate the ends sought through the actual operat-
ing policies of the organization; they tell us
what the organization actually is trying to do,
regardless of what the official goals say are
the aims. (1961, p. 855)

Perrow goes on to say that official goals may be used to

justify operational goals. He is obviously separating "stated"

goals from "pursued" goals, but his typology is not fully

satisfactory, because some "official" goals are also "opera-

tive" in organizations. This is excellent fodder for the

beginnings of a typology, but along with this view, this

researcher would like to attempt to examine goals from the

framework of Merton's terminology of social structure, to

see if there are different types of goals. Merton, in dis-
cussing social functions, spoke of manifest and latent func-
tions. The distinction was this: "Manifest functions are...
intended and recognized by participants in the system" (1957,
p. 51), while "Latent functions are neither intended nor
recognized" (p. 51). Certainly we could speak of manifest
goals: those goals which are intended and publicly recog-
nized. But perhaps we can go further and use Merton's dimen-
sions, intention, and recognition to establish a four-fold
typology of organizational goals, particularly if we hold
that for a goal to qualify as intended, evidence must be
present to indicate that it is being pursued. This meets
Gross and Grambsch's criteria of activities and covers Per-
row's concern for "operative" or pursued goals. We will use
the terms "intended" and "stated," then, with the latter
roughly equivalent to "recognized."

The diagram below indicates the four kinds of goals
which this writer sees as existing in organizations:

	intended	unintended
stated	manifest goals	public relations goals
unstated	hidden goals	latent goals

Let us now take each of these categories in turn, to
see if such goals really exist in schools. The first type
is the stated and intended goal, which we term, after Merton,
"manifest." This is the obvious type of goal in any

organization and the type with which this paper is principally concerned, since we have defined a goal as a statement of intent. Examples from the field of education are many, one of which would be "to teach the basic skills necessary for survival in society." Schools say that they are teaching the "Three R's" and an examination of the activities of most schools would indicate that they really intend to do so. They allocate organizational resources for this purpose.

The second category, in the lower left corner of the quadrant, we call hidden goals. These goals are intended, but unstated. The reason such goals may not be stated is that those in the organization may not wish to state them. A classic example of this is presented by Perrow in discussing mental hospitals:

> Hospitals are said to have "displaced" the treatment goal in favor of custody. It is more appropriate to say that the goal of "treatment" is of symbolic value only, and the real, operative goal is custody, control, and minimal care. (1965, p. 926)

Why do mental hospitals not recognize custody as a goal? Probably for the same reason that schools do not recognize custody as a goal! This is because the statement of such a goal might prove unpopular, at least without detailed explanation. Brubaker and Nelson, in discussing goals, say "they must be considered reasonable--goals will not be supported if they do violence to accepted mores of those within or without the organization" (1974, p. 10).

This puts the organization in an awkward position. If a goal should be stated because it is really being pursued,

yet it seems unreasonable (or even just unpopular), the organization is faced with three choices: (1) it can state the goal and take its chances, (2) it can leave the goal unstated, continue to pursue it and ignore the principle that as many goals as possible should be manifest, or (3) it can abandon the practice and the goal. Certainly schools could de-emphasize custody as a goal, for instance, as Calkins demonstrated in a public high school (1974). Calkins, after taking this step, said: "Many schools were still in the position of requiring young men who had registered for the draft and who could vote to obtain a pass to go to the lavatory" (p. 20).

The third category of goals in our typology, in the upper right quadrant of the diagram, we call public relations goals. These goals are stated, but are not really intended by the organization, or at least we can see no evidence of pursuit of such goals. While all goals have a public relations function, these goals are purely public relations devices. There are probably many schools, for instance, which give lip service to "creativity" as a goal, but actually do little or nothing to teach for the development of creativity and do not intend to. Calkins was reacting to schools which said they were developing independence and self-discipline among students, but were pursuing just the opposite kinds of goals in practice. Public relations goals seem to exist in schools.

The final category, those goals which are neither intended nor stated, we call latent goals. In a sense these

are non-goals, since they meet neither the stated nor intended criteria established in the definition. To find these goals we must search for outcomes which are not stated nor supported by the resources of the organization. A careful look at what goes on from day to day in schools would probably reveal many latent goals, but one which seems to suit this category is "to provide a place for the beginnings of the process of mate selection." Who among us cannot recall the amount of time and energy spent, especially in high school, attending to members of the opposite sex? Many people actually find their mates in school, although this is not a stated, nor an intended, goal of the organization.

This four-fold typology resembles many such four-fold tables from the field of sociology, but particularly brings to mind the "Johari Window" which its originators, Joseph Luft and Harold Ingham, call a "graphic model of awareness in interpersonal relations." For a full discussion of this model, see Chapter Three of Joseph Luft's Group Processes, 1970. The model looks like this:

	Known to Self	Not Known to Self
Known to Others	OPEN	BLIND
Not Known to Others	HIDDEN	UNKNOWN

What Luft and Ingham suggest is that individuals work toward a more open personality by gradually expanding the size of the "open" quadrant, which also results in a reduction in the size of corresponding quadrants (p. 15).

This is exactly the purpose of our model for goal setting in private educational institutions. We suggest that schools are healthier organizations if most of their goals are manifest, since manifest goals will better serve the three functions set forth below. Private educational institutions should be honest with themselves about their assumptions and about the unpleasant tasks with which they are charged. They should also be honest with their constituencies. The model proposed will not guarantee that this will occur, since human beings, with all their faults, will state the goals, but, by suggesting a review of the activities of the organization, the model should help in making reality and goal statements agree.

It should be recognized that all of the above goals are in what we may call the "explicit" dimension, as opposed to what Polanyi calls "the tacit dimension" in his book of that title (1966). Polanyi begins with the statement that people know things which they cannot tell (p. 4). If goals are actually tacit to the degree that they cannot be verbally expressed, it will be impossible to turn them into manifest goals. But the ability to state "taken for granted" goals does exist if they are in the explicit dimension. We

should recognize that Polanyi's concept is important in organizations, but we cannot deal with it in our model.

The Temporal Nature of Goals

Goal statements are set forth at some point in time, and in this sense they are predetermined, at least until they are changed, and from that moment on they are predetermined again. Purpose is quite enduring, but goals normally have a life-span. Objectives, of course, have an even more concrete life-span and are easy to modify, but the alteration of goals, or the development of new goals, requires a certain amount of time and of interaction. It is for this purpose that a model is required, or even suggested. That goals must be continually reevaluated, that they are by nature emergent in spite of the seeming finality of a goal statement, is obvious. From one viewpoint it is obvious because, though socially assigned, social purpose could conceivably change and because organizational purpose level is also subject to change. Gross and Grambsch make this point in the preface to their extensive study of university goals:

> An essential phase of this goal-oriented function
> is to clarify the institution's present goals, and
> especially to distinguish between the real and the
> supposed, in order to evaluate the effectiveness
> of progress toward these goals--and, equally impor-
> tant, continually to reevaluate the goals themselves.
> As needs and contexts change, so may goals. (1968,
> p. v)

From another viewpoint goals must change because they must be the product of interaction to be valid. Hughes makes this statement:

> True, company goals may exist. But they may
> be completely unyielding, cast into concrete which
> has hardened before they can be communicated. This
> is unfortunate. Individual goal-setting is futile
> where company plans have been made once and for all
> and cannot be changed. We cannot ask a person to
> find his proper place in a company, adjusting his
> goals to corporate goals, unless we also are will-
> ing to consider the possibility that modification
> of company objectives may on occasion be called for.
> (1965, p. 64)

Brubaker and Nelson recognize that some objectives

(and this apparently applies also to goals) are predetermined,

while others are operational, or are generated by action

(1972, pp. 16-17). A case could be made for the idea that

goals are all predetermined, and that it is objectives which

arise from action, but even if periodically predetermined,

goals are an emergent phenomenon, not a fixed one.

Even in the case of relatively fixed goals, sociologists

have long recognized the concept of goal succession. Sills

provides several examples:

> The American Legion, to cite one example, was
> originally established in order to preserve the
> spirit which characterized the American Expedition-
> ary Force in World War I, but it very soon included
> in its objectives the protection of the rights of
> veterans and, particularly among local Posts, the
> instigation of community service projects. Dart-
> mouth College, to cite another example, was orig-
> inally founded primarily to educate and Christianize
> the Indians of New England, but it experienced no
> great difficulty in transforming itself into a gen-
> eral liberal arts college....The YMCA, therefore,
> is an example of an organization whose goals have
> changed, not because they were achieved, but rather
> because of fundamental changes in the social envir-
> onment in which its activities were carried out.
> (1962, pp. 147-8)

Sills goes on to give examples of organizations which have

adapted, failed to adapt and declined, or actually disappeared

because of their relative ability or inability to alter their goals (p. 153). Private educational institutions seem to be particularly vulnerable to this problem.

Thompson and McEwan state that "It is possible, however, to view the setting of goals...not as a static element, but as a necessary and recurring problem facing any organization" (1962, p. 177). They further clarify this point and suggest directions for a model when they say:

> Goals appear to grow out of interaction, both within the organization and between the organization and its environment. While every enterprise must find sufficient support for its goals, it may wield initiative in this. (p. 186)

In a recent article Schramm commented on adjustment of organizational goals as a result of both internal and external pressures:

> Organizations adjust their behavior and sometimes their goals to increase positive feedback from persons and groups outside the organization who furnish extrinsic judgments on organizational performance. The goals and performance of an organization must also be altered from time to time to conform to the judgments of persons within the organization. (1975, p. 87)

In the sense of our definition of goals as statements and drawing on the above use of the phrase "recurring problem," it is contended that goals are continually changing and therefore goal statements must be periodically revised as a result of some kind of interaction. Cyert and March suggest organizational reference points around which this interaction revolves:

organizational goals in a particular time per-
iod are a function of (1) organizational goals
of the previous time period, (2) organizational
experience with respect to that goal in the prev-
ious period, and (3) experience of comparable
organizations with respect to the goal dimension
in the previous time period. (1963, p. 123)

The Cyert and March approach of time segmentation, with

reference to present and past periods of time, is the most

useful view to use in development of a model. Goal statements

do exist, and the task of the organization is to engage in

analysis of such statements on a regular and systematic

basis. This appears to confirm that a vital organizational

function is the process of goal setting. In concluding

this section on the temporal nature of goals we quote Lecht:

What is a gleam in the eye of some visionaries
today may become a goal recognized by realistic and
knowledgeable people tomorrow--and what is regarded
as a goal today may become obsolete tomorrow.
(1966, pp. 15-16)

Goal Congruence

Under the hierarchical ends terminology adopted for use

here, it is apparent that goals should be congruent with soc-

ial and organizational purposes. Goals which are not con-

gruent with purposes at a given point in time would be

counter-productive. But goals which conflict with each other

can also cause problems for multiple-goal organizations such

as schools. Organizations have priorities among their

goals, and the model developed in this study attempts to

take that into account. In goal-conflict situations, where

a contemplated action will apparently support one goal but

be in conflict with another, the more powerful goal will usually take precedence, and the action will be judged in terms of goal priorities.

Cyert and March, who fully recognize the concept of goal conflict, point out that one method for dealing with this phenomenon is that organizations usually focus on one goal at a time:

> The notion of attention focus suggests one reason why organizations are successful in surviving with a large set of unrationalized goals. They rarely see the conflicting objectives simultaneously. (1963, p. 35)

This is an important statement supported by Feldman and Kanter, who contend that organizations deal with goals sequentially, which avoids conflict (1965, p. 640). In other words they expand on the concept of attention focus with the idea that this focus is sequential. They also assert that the division of the organization into subgroups helps to resolve goal conflict:

> organizations do not eliminate conflict entirely, but live with considerable latent conflict of goals. Organizations cope with these conflicts by dividing up the subproblems so units do not have to deal with conflicting goals. (p. 640)

When conflict between subgroups arises, it is ameliorated at higher levels where goal priorities can come into play.

Another kind of goal congruence which is important is the congruence of individual goals with organizational goals. Individuals pursue many goals in life, some of which are totally unrelated to their work roles, but some of which are. The greater the congruence between individual goals and

organizational goals the better for both the organization and the individuals within it. Hersey and Blanchard discuss this concept of goal integration and reach this conclusion:

> The hope in an organization is to create a cli-
> mate in which one of two things occurs. The individ-
> uals in the organization (both managers and subordi-
> nates) either perceive their goals as being the same
> as the goals of the organization or, although differ-
> ent, see their own goals being satisfied as a direct
> result of working for the goals of the organization.
> Consequently, the closer we can get the individual's
> goals and objectives to the organization's goals,
> the greater will be the organizational performance.
> (1972, p. 103)

These authors conclude that participation is an effec-
tive way of approaching goal integration. This is a key con-
cept for the model developed in this dissertation. Explic-
itly, Hersey and Blanchard state: "Involving subordinates in
the planning process will increase their commitment to the
goals and objectives established. Research evidence seems to
support this contention" (p. 103). Even when perfect inte-
gration of individual and organizational goals is not
achieved, the process of participatory goal setting should
achieve acceptance of organizational goals by the individ-
uals involved in the goal setting procedure.

Yet a third problem of goal congruence is that of con-
gruence between goals and objectives. Ideally objectives
should spring from goals, but often organizations overlook
their goals and concentrate on their objectives or their
rules. This phenomenon of "goal displacement" was first
described by Merton (1957, p. 199) and believed by him to
be the major problem of bureaucratic organizations. When

organizations focus on their rules, or when they focus solely on objectives as Brubaker and Nelson warn against (1974, pp. 11-12), they displace their intended goals and exhibit those traits which we associate with entrenched "red tape" bureaucracies. To the extent that schools are bureaucratic, and this is generally to a rather large degree, they must guard against goal displacement by adopting a regular procedure for goal setting. It should be virtually impossible for goal displacement to occur in an organization where goals are regularly reassessed and kept in full view of all members of the organization.

In summary, goals should be consistent with purpose and with each other. They should be congruent with individual goals to the greatest extent possible, and objectives should conform to the intent of goals and should not be permitted to dominate the organization.

The Guiding Function of Goals

It is apparent from our definition that goals tell people what should be done in the organization, at least in general terms. Hughes says, "Ends determine means. It is discouraging, however, how many times people, and companies, start out to do a job before they know what it is they hope to accomplish" (1965, p. 13). Luria and Luria (1970), in discussing the university, suggest that goals determine the structure of the organization itself.

This is an interesting point, little mentioned else-
where in the literature, although it is apparently sup-
ported by Hersey and Blanchard when they say:

> Prior to setting individual objectives, the
> common goals of the entire organization should be
> clarified, and, at this time, any appropriate
> changes in the organizational structure should
> be made. (1972, p. 105)

Form should follow function in organizational structure,
but O'Kane, in an unpublished draft of a paper, suggests that
education has simply adopted its structures from the world
of business, and that this artificial structure imposes func-
tion (1975, p. 2). Toffler, too, states that the school
was modeled on the factory (1970, p. 400).

As we look at less hierarchical structures, such as the
collegial structure of university departments, they seem to
result in part from the nature of the persons in the organiza-
tion, and in part from the goal of research, which requires
considerable freedom of action for individuals. Hospitals
place a professional structure side-by-side with a bureaucra-
tic structure, seemingly because the diagnostic and treatment
goal require professional autonomy while the goal of care is
better met by bureaucratic structure. Again, however, the
professional status of doctors may be responsible for this
model.

Twenty years ago, Blau, in his defense of bureaucracy
as an organizational form, recognized that it was not suit-
able for setting goals. His comments are enlightening:

> While bureaucracy is not suited for deciding
> between alternative ends, it is better suited for
> implementing these decisions. Hence the two forms
> of organization are complementary. Democratic val-
> ues require not only that social objectives be deter-
> mined by majority rule but also that they be imple-
> mented...bureaucratically. (1955, p. 265)

At least in certain cases it appears that goals do effect

the structure of an organization. The simultaneous use of

two kinds of structure, as in the hospital, is a model to

which the schools should give attention. In any event, Blau's

thoughts support the idea that goals should be set through

some kind of participatory process.

Brubaker and Nelson, while stressing the public rela-

tions value of goals, also admit that they "provide guidelines

for the assessment of the formal organization's activities"

(1972, p. 9). This is the guiding function of goals, a func-

tion which Simon provides insight into when he says:

> First, the goals may be used directly to syn-
> thesize proposed solutions (alternative generation).
> Second, the goals may be used to test the satis-
> factoriness of a proposed solution (alternative
> testing). (1964, p. 7)

Etzioni adds weight to the argument that goals are guides

to action when he says of goals: "such future states of

affairs, though images, have a very real sociological force

that affects contemporary actions and reactions" (1964, p. 6).

Hughes (1965, p. 8), Miner (1969, p. 291), Drucker (1954,

p. 121), and March (1974, p. 132) all discuss the guiding

function of goals.

As guides to action, then, goals tell us what to do,

serve as points of reference in judging what we have done,

and, again drawing on Simon, as "constraints, or sets of constraints" (1964, p. 1). In other words, goals also tell us, in general terms, what not to do. The fact that goals are broadly stated, or contain a certain vagueness, may be an advantage in that they provide some flexibility in uncertain situations and they permit professional judgment in establishing objectives.

In this sense, goals are often used as justifications for actions as well as for the dispensation of rewards and sanctions on the part of managers. Actions which appear to support organizational goals are rewarded; those which do not can be punished. Ideas and proposals which seem to further organizational goals are met with approval; those appearing to be in conflict with goals are discouraged and fail to get organizational support.

Brubaker and Nelson suggest that the best device to use in actually evaluating objectives and actions in a school situation is what they call "negative affirmation" (1975, cf. p. 66). That is to say, if an objective does not conflict with a goal, it should be considered to contribute. If you cannot say "no" you must say "yes." Negative affirmation seems an awkward term, but the concept is important as it brings a considerable element of freedom to the process of writing objectives, and since the process can be used at every level in our hierarchy of terms, its use will permeate an organization with an element of freedom. Goals which do

not obviously violate purpose are acceptable, at least for consideration in the goal setting process. Objectives which do not violate goals are acceptable, and means which do not conflict with objectives are acceptable.

Goals, then, are not empty words for public consumption. Even though broadly stated, they serve as guides to action, and the selection of inappropriate goals will eventually cause the downfall of an organization simply because inappropriate actions will result, and the purposes of the organization will not be met.

The Motivating Function of Goals

A considerable amount of psychological research indicates that goal setting and the knowledge of goals serve to motivate individuals toward a better performance than simple instructions to "do your best" (Buhler & Massarik, 1968, p. 2; Locke & Bryan, 1966, p. 257; Locke & Bryan, 1967, p. 128). The first book above is an excellent treatment of individual goal setting from the psychological point of view. Although this research was restricted to individuals performing specific tasks, and the term "goal" probably means "objective" as we have defined it, in the sense that it is measureable, the motivational role of the organizational goal can be inferred.

Hughes is very specific in his support of the motivating function of goals in organizations:

How to make the organization and its individual
members more effective. The answer would seem to lie
in harmony of goals and in a concept of goal setting
which will motivate individuals to work together both
for the common cause and for personal reasons. (1965,
p. 13)

Hughes further points out that forcing goals on employees

when the goals are not understood leads to dissatisfaction

(p. 22). As Barnard stated almost forty years ago,

The individual is always the basic strategic
factor in organization. Regardless of his history
or his obligations he must be induced to cooperate,
or there can be no cooperation. (1968, p. 139)

Blau suggests that goals have a great deal to do with

inducing individuals to cooperate: "To provide incentives

for its members and to justify its existence, an organization

has to adopt new goals as its old ones are realized" (1955,

p. 243).

When we speak of goals as motivators we refer in part

to their use in making people work harder or more seriously,

but also to their use as "social cement" in the organization.

Brubaker and Nelson imply this value of goals when they

mention "effecting cohesion among members of the formal

organization" (1974, p. 14). People who share common goals

are likely to enjoy higher morale and to make the organiza-

tion a little more tension-free.

Lowin surveyed a mass of literature for an article on

participation and decision making, and concluded:

In the Gestalt tradition, the participative
decision making subordinate is more fully aware
of his role in the complex system (e.g., job
enlargement) and the meaningfulness of his job
is enriched. (1968, p. 75)

We will hear more from Lowin in the section on participation below, but one important facet of his participative decision making model is participation in setting goals and objectives. When we tie Lowin's findings in with the concept of goals as motivators, a clear direction for a model results.

Goals perform the service of keeping the organization vital in the eyes of its own members. Again, the broadness of goal statements may be an advantage, since employees will be more readily able to agree with a broad statement of goals than with specific statements of objectives. Many people enter a particular organization because they identify with and are motivated by the goals of the organization. Teachers, who have been traditionally idealistic rather than materialistic, are very likely to be motivated to a significant degree by the goals of their organization. This may be particularly true in private educational institutions whose goals tend to be different from and less inclusive than those of public institutions.

The Support-seeking Function of Goals

Brubaker and Nelson recognize the support-seeking function of goals, stating that they are "ideal for public relations statements and for operating guidelines for those who work within an organization" (1974, p. 9). Etzioni says the same thing in a slightly different way:

> Thus the analysis of goals has made a full cycle, from considering goals as guides and ends for organizational activities to viewing them as means employed by organizations to improve their position in their social environment. (1962, p. 144)

Thompson and McEwan see one element of goal setting as persuading the larger society to support organizational endeavors (1962, p. 177) and Parsons mentions goals as legitimizers of the organization (1956, p. 238).

All organizations, and particularly private educational institutions, require public support to exist. Schramm has this to say:

> Any organization which is not self-sufficient but which relies on the support of groups outside the organization must conform to and place emphasis on those aspects of organizational performance deemed most important by the supporting outside groups. (1975, p. 89)

Private schools rely not only on outside groups, but on outside individuals as well. In the case of such private institutions parents must be convinced to enroll their children and donors must be persuaded to donate. Stuhr, who is a professional fund raiser, indicates that goals are a major part of the organization's case for support (1973, p. 32). Decisions to enroll or to give to an institution are made for a variety of reasons, such as the reputation which the school maintains, personal contacts, and public relations programs, but a key element is identification or agreement with the goals of the institution. Kingman Brewster makes this point most eloquently:

> Any activity as expensive as private education bears a heavy burden of persuasion--whether you are persuading the parent whose real income is declining or [others]....It has to start with a rearticulation of purposes. (1973, p. 34)

Another contributor to The Independent School Bulletin,
Francis V. Lloyd, Jr., in his column "An Apple For..." answers
the question "Why are private schools constantly reexamin-
ing their goals?" in this fashion:

> Therefore, non-public schools have to be sure that
> in their particular community they are providing
> special benefits for their students which would be
> difficult, if not impossible, to get in the public
> schools of that community....These "special bene-
> fits" must be constantly reexamined and reevaluated
> to make certain that in changing times and condi-
> tions they are still "special" and still "benefic-
> ial." (1972, p. 15)

In other words the goals of private educational institu-
tions must offer viable alternatives to the public schools,
a position supported by Heath (1972, p. 15). Goals are
of extreme importance in the public relations sense. Again,
broad statements are helpful, since they are likely to
engender wider agreement. The idea begins to emerge that
goal statements must be specific enough to be meaningful,
but open to a certain amount of interpretation if they are
to perform the major functions of guiding action, motivat-
ing people within the system, and gaining support from those
outside the system.

Goal Setting

Feldman and Kanter provide a focus for this section when
they say that in cases where goals are not evaluated in the
market, like education, "the organization must set its own
goals" (1965, p. 636). While the goals of private education
tend to be more subject to market evaluation than those of

public education, as we have just indicated above, goal
setting is still an organizational function. Hughes defines
goal setting very simply as "a process for deciding where
you want to go" (1965, p. 13). Wallis adds that "Any organi-
zation must have some means of setting its goals. It must
decide what to do, in what proportions, and with what prior-
ities" (1964, p. 1071). Both of these statements require
some interpretation in light of the definitions adopted for
the purposes of this study.

In the view proposed here, goal setting would be defined
as the establishment of broad statements of intent for the
organization, keeping in mind that our main concern is to
make more goals manifest, and to improve their quality in
terms of better enabling them to perform the three functions
given above. It should also be remembered that goal setting
is usually a process of choosing among an almost unlimited
number of "good" goals. The process, which Wallis refers
to, is the subject of this study, but he suggests that
whatever process is used, it should include an ordering of
goals into a hierarchy of importance. Once this is done
the question of proportions, which suggests amounts, can be
dealt with in the writing of objectives.

Drucker states that "The real difficulty lies indeed
not in determining what objectives we need, but in deciding
how to set them" (1954, p. 64). Barnard, in his classic
book titled The Functions of the Executive includes the

formulation of purpose and objectives as a major heading in his chapter on "The Executive Functions" and concludes that "the formulation and definition of purpose is then a widely distributed function, only the more general part of which is executive" (1968, p. 233). This implies a participatory, interactive form of goal setting, since Barnard's use of the term "purpose" approaches our use of "goal."

A variety of techniques for goal setting have been utilized or proposed in organizations, as the next section will indicate.

Traditional Goal Setting Methods

Goals have traditionally been set by the "man at the top" of the organizational structure, except in certain exceptionally democratic organizations. Etzioni indicates the range of possibilities:

> Virtually all organizations have a formal, explicitly recognized, sometimes legally speci- fied organ for setting initial goals and for their amendment. In some organizations goals are set formally by a vote of the stockholders; in others, by a vote of the members (e.g. in some labor unions); in still others, by a small number of trustees; and in a few by an individual who owns and runs the organization. (1964, p. 7)

Hughes, although recognizing this range of possible methods, says: "To be realistic, it is top management which has the most influence in deciding what will and will not be done; that is in determining company goals" (1965, p. 16). Drucker is quite explicit in stating that goal decisions are "a specific job of the entrepreneur" (1958, p. 162). These

statements are from the business world, of course, where the owners, and often the top management have a very real financial stake in the organization. It seems that the same reliance on top management has, however, been the pattern in non-profit organizations. Speaking of hospitals, Perrow supports this view and also indicates why professionals become administrators:

> Administration is power; those who wish to change things, get things done or done well, or implement social or personal goals in organizations will have to turn to administrative activity. (1965, p. 960)

This pattern has certainly been true in the field of education, as bright but frustrated teachers have turned to administration not only for financial and prestige reasons, but also in an effort to get things done, to exert power, and to participate in goal setting.

In education, McGrath says: "For some two centuries the dominant decision-making agency in the colleges and universities of the United States has been the board of trustees" (1970, p. 39). E. L. Springer, longtime headmaster, considers the goals of the independent school to be the joint responsibility of the board of trustees and the headmaster (1967, p. 86). Gross and Grambsch contend that organizational size is a factor in determining who sets goals:

> Further, the question arises of how one is to determine an organization's goals when there are differences of opinion among its members. In a small organization, this may not be difficult: the top man's goals for the organization are probably the organization's goals.

But as an organization grows large, many
persons may influence its goals. (1968, p. 5)

Wise has traced the gradual giving up of board power
in private institutions of higher education and the rise
of faculty and student power (1972, p. 21), a development
which we shall explore later in this section.

Farr supports the idea that the leaders of the organi-
zation have a certain amount of control over goals, and
further suggests the importance of external constituencies:
"Most goals exist in the environment, or are defined by envir-
onmental conditions or relationships. Therefore they are
subject to leader control, modification, and manipulation"
(1972, p. 6). Miner clarifies the concept of goals existing
in the environment: "These goals tend to be established,
not so much by the members of the organizations themselves,
as by the next larger social unit, the society" (1969, p. 291).
This view of goals is perhaps closer to what we call "social
purpose," but even if we grant that goals are given by soci-
ety, the setting of manifest goals is the process of selec-
tion and articulation of these environmental factors. Farr
seems to contend that this is primarily a leadership task.

Cyert and March present two classic solutions to the
goal setting problem: goal setting by the entrepreneur, who
then purchases compliance; and goal setting by consensus,
either a priori or a posteriori (1963, p. 24). These authors
do not specify how broad a segment of the organization must
be involved in a consensus decision, but appear to be recog-
nizing the role of participatory goal setting.

The Carnegie Commission on Higher Education, chaired by Clark Kerr, has recently published a study of the purposes and performance of higher education (1973). They have arrived at five purposes expressed in such a way that they would qualify as goals under the definition used here. Their method for goal setting was the time-honored one of collecting a group of experts and reaching consensus among themselves. This is virtually the only way in which "national goals" or "professional goals" are set, and is sometimes applied within organizations through the use of an administrative council or similar group. In fact, the board of trustees could be considered such a body of experts, although they are usually not professional educators. This kind of goal setting can produce some useful statements and can be helpful in an organization, especially if such groups are representative.

Etzioni, who earlier mentioned the "formal" goal setting mechanisms, points out that in practice goals are set by interaction, by the use of power, and by constraints from the environment (1964, p. 8), all of which provide clues for the establishment of a model.

Cyert and March contend that real goals are set by three processes:

1. The bargaining process by which the terms of the coalition (the organization itself) are fixed.

2. The internal organizational process of control, by which objectives are stabilized and elaborated.

3. The process of adjustment to experience by which coalition agreements are altered in response to environmental change (1963, p. 29).

All of these processes involve a certain amount of interaction and participation. It is very interesting to note from point two that elaboration and stabilization of objectives is used to produce goals. Goals, in other words, must be changed as a result of organizational experience.

Although goal setting may have traditionally been reserved for the few, Hughes points out that:

> All of this means that there are organizational goals which are not just simply the top man's goals, however much he changes and influences them and however much he is responsible for the success or failure of the institution during his term of office. (1965, p. 14)

At this point it is worthwhile to mention the literature of community power, which has examined for some thirty years the question of whether decisions are made by an elite or are pluralistic in nature. These studies have usually been confined to political decision making in an individual city, although Mills wrote about national power (1956). Hunter, who studied power in Atlanta, reached the conclusion that there was indeed an elite operating, and that the solution to the unjust imbalance of power which he found was to increase group activity (1953). Dahl, who studied Hartford, Connecticut, found that power was much more complex, diffuse, and pluralistic than those who posited the power elite theories believed (1961). Excellent summaries of the community

power studies can be found in Ricci (1971) and Pellegrin

(1967). For our purposes, it is important to realize that

goals, like political power, cannot, in a democracy, be

legitimately the domain of an elite, even if that group has

the legal authority to operate the organization, as in the

case of a board of trustees.

Kraushaar differentiates between the legal basis for

organizational decision making in private schools and the

practical basis as follows:

> Who really makes the decisions regarding goals
> and methods, and who is in a position to influence
> decisions about basic policies?
>
> The governance of most private schools is on
> paper relatively simple. The typical independent
> school operates on the basis of a charter which
> provides for a self-perpetuating board of trustees.
> In principle all powers and policy decisions are
> the board's, though in practice it delegates full
> administrative authority as well as certain policy-
> making powers to the school head, to be exercised
> by him at his discretion but with the advice and
> consent of the board....But although on paper the
> powers of the headmaster have changed but little,
> in this age of consensus and democratization, a
> sensible headmaster knows that his powers are
> limited in practice not only by the residual power
> of the board but by what the faculty and, more rec-
> ently, the students regard as acceptable policy.
> (1972, p. 265)

And, further, in regard to the role of parents and students:

> Nevertheless, they can and often do materially
> influence policy decisions by conveying in one way
> or another their pleasure or displeasure over the
> way the school conducts its affairs. Moreover,
> together they hold an ultimate veto power over the
> school in the sense that if they do not like what
> is going on they can withdraw. (pp. 265-6)

Thompson and McEwan add that "it is improbable that an organization can continue indefinitely if its goals are formulated arbitrarily" (1958, p. 29).

The evidence above indicates that while traditional "elitist" goal setting models have prevailed in the past, there is a trend, especially in educational institutions, toward greater participation. The Human Relations school of management theory supports this trend.

Goals for private schools and colleges will be of higher quality and will gain greater acceptance if a participatory model for setting them is adopted.

Participation and Goal Setting

One of the Theory Y assumptions of Douglas McGregor, in his landmark work The Human Side of Enterprise is that "the capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly, distributed" (1960, p. 48). McGregor, who served a stint as president of Antioch College, was an advocate of participation in organizational decision making. He was far from alone in his espousal of this position. As early as 1938 Lewin and Lippett found democratic leadership to have a number of advantages over the autocratic form (1938, pp. 292-300). Coch and French, in 1948, found that participation in planning for a change helped to overcome resistance to change (1948, p. 531). French later reported that in this type of research "the level of production after the change is a function of the degree of

participation [in deciding about the change]. The differ-
ences were very large" (1951, p. 52). Argyris, another
advocate of participation in organizational decision making,
suggests that the original Hawthorne studies (Roethlisberger,
1941) really discovered the values of participation (Argyris,
1971, pp. 19-20). More recently Bell, in summarizing a major
conference entitled "Toward the Year 2,000," stated "b. Par-
ticipation: If individuals are to feel themselves in soci-
ety, then the scope of participation has to be extended"
(1967, p. 977).

Participation has been positively related to planning
for change (above), to increased productivity (Vroom, 1964,
p. 226), to commitment to the organization and its goals
(Blake & Mouton, 1961, p. 111; Hersey & Blanchard, 1972,
p. 103), to job satisfaction in two major summaries of
research (Siegel & Ruh, 1973, p. 218; Vroom, 1964, p. 115),
to improved organizational control (Tannenbaum, 1968, p. 16),
and to the satisfaction of higher level human needs (Lowin,
1968, p. 75; Wood, 1973, p. 281). While the research in all
of these areas is not absolutely conclusive, the general
pattern is such that participation in varying degrees is a
part of almost every modern organization.

Tannenbaum and Schmidt, in 1958, pointed out that high
subordinate-centered behavior, which includes participation
by subordinates in decision making, can achieve five objec-
tives:

1) raise motivation,
2) increase acceptance of change,
3) improve the quality of decisions,
4) develop teamwork and morale, and
5) further the individual development of the
   employee. (pp. 100-101)

These may seem grandiose claims, but this line of reasoning

has made such an impression on managers that Harvard Business

Review recently reprinted this article as a classic.

Vroom said much the same thing as a result of his

exhaustive study:

> In summary, it would appear that there are
> a number of ways in which greater influence in
> decision making by subordinates can increase per-
> formance. It can increase the quality of deci-
> sions made, the strength of group norms regard-
> ing execution of the decisions, and the worker
> "ego involvement" in the decisions. (1964,
> p. 229)

Vroom has used his findings in the development of a decision

process flow chart (Vroom & Yetton, 1973, p. 39) in which a

critical variable is acceptance of the decision by subordi-

nates. In Vroom's model, if acceptance is important as

subordinates may not accept the leader's decision if he

makes it by himself, then a participative pattern should be

chosen by the leader. Other key variables in the model are

quality, location of information, and time. Since organi-

zational goals are generally believed to require both quality

and acceptance, it would seem that Vroom would advocate par-

ticipation in goal setting. Further evidence that Vroom

would support such participation is found in his "goal con-

gruence rule" (1973, p. 218), which states that if subordi-

nates are not likely to pursue organizational goals (because

of lack of congruence between their personal goals and those of the organization), participatory decision making patterns should not be used. Goal congruence can be enhanced through the use of participation in goal setting.

Almost twenty years ago, Argyris held that in our society the development of a human being from child to adult is indicated by the following changes: (1) from passivity to activity, (2) from dependence to independence, (3) from behaving in few ways to behaving in many ways, (4) from shallow to deeper interests, (5) from short to long time perspective, (6) from subordinate to equal or superordinate position with peers, and (7) from lack of awareness of self to self-awareness and self-control (1957, pp. 3-4). Argyris went on to say that organizational structures which do not allow this development frustrate employees and cause them to set up informal structures which may decrease their efficiency and cause them to become apathetic toward their work (pp. 20-23). Organizations which severely limit participation are treating employees like children and may pay the consequences in the long run. This position is strongly supported by Aaron Lowin:

> Participation in the design of his own activities meets the ego needs of the subordinate. The exact structure of ego motives is most unclear, but the following are commonly referred to: achievement, autonomy, power, self-realization. (1968, p. 75)

Hersey and Blanchard (1972) caution that the leadership style used should be dependent in part upon maturity of followers, which they say depends on (1) the motivation of followers to achieve the output requirements of their jobs,

(2) the willingness and ability to take responsibility, and
(3) the task-relevant education, skill and experience of the
follower. As followers become more mature, the leader can
place less emphasis on "task   Emphasis on "relationship"
is highest with followers of average maturity, and lowest
with the least mature and the most mature followers. There
is really nothing in this scheme to suggest that followers
of any maturity levels could not participate in goal set-
ting, especially since there is a sufficient range of matur-
ity within a total set of constituents to constitute "aver-
age" maturity for the group as a whole. In Hersey and Blanch-
ard's terms, students would probably display the least "fol-
lower maturity," but it is held here, and demonstrated later
in this paper, that they should participate in institutional
goal setting.

The informal organization referred to above by Argyris
has received considerable attention in organizational litera-
ture since it was first discussed by Barnard in 1938 (1968,
pp. 115-116), and it is not the intention here to review this
literature. However, just as individual goals must be achiev-
able through the formal organization (Hersey & Blanchard,
1972, p. 102; Hughes, 1965, p. 22), so must those of the
informal organizations which arise. Argyris is warning mana-
gers that organizations must treat individuals like adults
within the system if dysfunctional consequences are not to
result.

The Hawthorne Studies gave rise to what was later called the Human Relations movement in management (Dubin, 1961, chapters 2-5; Neff, 1968, p. 24). According to both Neff (p. 24) and Sharma (1966, p. 293), the human relations school has been abused and falsely regarded as a panacea for organizational problems. Arnold Tannenbaum, however, refutes "common stereotypes that assume participation to be a vaguely permissive or laissez-faire system--or some kind of dictatorship of the proletariat" (1968, p. 22). While the entire scope of the human relations school of management may no longer be held valid, participation in organizational decision making seems to be a broadly accepted principle of management today. Lowin concluded his extensive survey of the literature of participation with the statement: "In summary, with the exception of the research with Initiating Structure, most but not all observational studies do suggest the effectiveness of PDM (Participative Decision Making)" (1968, p. 90). The exception is interesting, but the authors who originated the research in Initiating Structure and Consideration as variables, Blake and Mouton, have been cited here as favoring participation in goal setting.

One particular application of participation in decision making which has arisen in recent years is management by objectives, first set forth by Peter Drucker:

> And only to the extent which it [management] masters the economic circumstances, and alters them by conscious, directed action, does it really manage. To manage a business means, therefore, to manage by objectives. (1954, p. 12)

Management by objectives is more than a system for
rating employees, although it has been used for that purpose.
The objectives of an individual employee must be related to
those of his department or division, which must in turn
spring from the goals of the organization (Drucker, 1954,
p. 126). Drucker says that foremen, though far removed from
the top of the organization, need statements of the company's
goals, and that this effects an increase in production
(p. 126). It should be mentioned that in management by objec-
tives,the employee always participates in the setting of objec-
tives for himself, and must have at least a knowledge of the
goals of the organization to do this effectively.

Emery recommends participation in setting objectives
for much the same reasons that Tannenbaum and Schmidt gave
for subordinate-centered leadership: (1) people are sure to
project their own work values into the recommendations, thus
the agreed upon objectives will have a level of congruence
with individual employee objectives; (2) people are much
more likely to understand and support ideas they help formu-
late; (3) participation is likely to produce a better set of
objectives; (4) chances of achieving mutual understanding
and teamwork are increased if participation begins at the
point of establishing or reviewing objectives (1959,
pp. 65-79). The criteria of quality and acceptance are
met, according to this author.

Turning to education, Gould suggests that the various constituencies of the university should be involved in setting objectives for their organization:

> Such cultivation should include the basic task of democratically formulating straightforward and reasonably specific statements of university objectives and aspirations. It should go on to make certain that the several constituencies within and outside the institution which influence it most--faculty, students, alumni, administrators, lay and governmental citizenry-- are clear and correct in their interpretation of the university's goals. (1970, p. 32)

After thirteen years of work on a longitudinal study of the governance of the University of North Carolina at Chapel Hill, Demerath and his associates suggested a participatory form of management at the university level, "collegialized management." They say:

> Let it be clear, however, that we do not urge collegialization of all management functions. We are referring only to the management of educational and academic activities and, particularly, to goal-setting and policy-making for teaching, research, and service. (1967, p. 216)

While we have seen a tendency to involve faculty in university goal setting, a newer development has been the involvement of students. McGrath cites one Canadian university president as stating that one of the major benefits of student membership in decision making bodies has been "better and faster insights on the purposes and methods of education" (1970, p. 35).

Wise supports the value of student participation for another reason:

Interviews conducted with selected faculty
and students at the six colleges which were stud-
ied suggest the considerable effect on general
outlook which results from direct participation
in institutional planning and decision-making.
Without design, the persons interviewed included
both those with such experience and those with-
out. While distinctions in degrees of allegi-
ance to the colleges between these two groups
cannot be attributed solely to the influence of
"participants" having gained more perspective
on the college and more feeling of having played
a useful role in resolving difficult problems,
such a thesis is supported by findings in social
psychology of the likely effects of direct par-
ticipation in problem solving. Furthermore,
several who were interviewed believe that, having
"understood" their colleges for the first time
and having influenced action by the college,
their previous level of commitment to the insti-
tution was raised. (1972, pp. 16-17)

Despite the fact that student participation in decis-

ion making in higher education seems to have many of the

same values as participation in general organizations,

Hartnett found, in his 1969 survey, that growth in student

and faculty membership on boards of trustees has been pain-

fully slow: "Only 3% of the national sample...added students

or faculty members to their boards during the 18 months since

the time of the original trustee study" (1969, p. 64).

Parade reported in June, 1973, that:

Student membership on college and university
boards was rejected by 68 percent of 800 private
and public college board chairmen questioned.
Faculty members fared worse. College chairmen
opposed accepting them on the boards by a 69 per-
cent vote. (June 10, 1973, p. 10)

While membership on boards of trustees may not be essen-

tial in gaining participation in university decision making,

it is apparent that effective participation is somewhat limited by this attitude on the part of trustees.

Kraushaar reports, without documentation, that the situation is better in private schools below the higher education level:

> Joint student-faculty committees designed to discuss basic educational goals and ways and means of reaching them have proliferated. In the process, teachers and heads have begun increasingly to see in young people's reactions a source of fresh insight for what is requisite for institutional renewal. (1972, p. 266)

If this is indeed the case, it serves as added evidence of the value of student and faculty participation in goal setting.

Three recent doctoral dissertations have touched on this subject, with Barrett (1969) finding that participation by faculty in decision making in the community colleges of North Carolina made for higher job satisfaction, Bentley (1971) discovering that each school public participating in goal setting appeared to have a vested interest in the further accomplishments of a public school district, and Cobett (1969) concluding that:

> An effort must be made to have additional status holders participate in the development of aims and educational objectives of the public schools if the aims and educational objectives are to reflect the values and aspirations of the society supporting the public schools. (p. 3853A)

Our contention is that participatory goal setting is critical for private institutions, since the effects of withdrawal of support are more immediate and drastic. While no

study of this type appears to have been carried out in an individual private school, Johnson, advising on the operation of such schools, proposes that goals be the responsibility not only of faculty and administration, but also of boards, parents and students (1961, p. 66).

Education in general seeks a broader base of participation in decision making and in that special case of decision making known as goal setting. The University of North Carolina at Greensboro recently established a Center for Educational Reform intended to move schools closer to three democratic ideals, one of which is "the right for all for active participation in decisions which affect their lives" (O'Kane in Davis, 1973, p. A8).

If greater participation is to be achieved, it seems that one appropriate place to begin is in the private educational institutions of our country. Faced with the kind of rapid change which will be mentioned in the next section and dependent for support from several constituencies, private institutions have much to gain by becoming more participatory and by adopting clear goals with which their constituents can identify. In discussing adaptation to rapid change, Warren Bennis suggests "a joint effort that involves mutual determination of goals" (1963, p. 139). Hughes insists "on the importance of goal-setting systems designed to produce involvement" (1965, p. 64). Blake and Mouton, inventors of the managerial grid, have said: "According to

what is currently known, the wider the participation in setting goals, the better for action and implementation" (1961, p. 109).

The evidence seems clear. Participation in goal setting in a private educational institution should yield all of the benefits of participation in decision making in any organization, and those benefits are manifold.

The Need for More Effective Goal Setting

The preceding literature of goal setting and of participation strongly suggests the need for a new goal setting model. This section will examine statements of those in private education and other fields concerning that need. Private educators are uneasy in these times of accelerating change. There is considerable confusion in the ranks as the private share of total enrollment continues to decline, but many educators suggest that what is needed is a re-examination of educational goals.

Heath states the case in private schools quite clearly:

> The survival of independently supported schools has become the issue for more and more educators. Administrators are today's alchemists seeking the magical formula for transforming red into black ledger ink. But the issue of survival involves more than just financial wizardry. Too frequently, to survive means only to find enough funds to continue doing what a school has been doing for years. Increase tuition. Plan another capital fund drive. Snip off a music teacher. Don't fill a janitorial position. Reduce the athletic program. But never question the worth of what the school has been doing academically for years—particularly if it has been doing it very well. A school's assumptions about its educational goals

and practices are the most important determinants of its financial health. But they are also the most frequently ignored determinants when survival becomes the issue. (1972, p. 9)

Note that Heath speaks of the school's assumptions about its goals. Not only these assumptions, but the goal statements which reflect the assumptions must be re-examined.

In speaking about private colleges, Wise adds his view of how schools have failed to carefully consider their response to a world in which the only constant seems to be change:

Faced with these fundamental changes many private colleges appear to have been immobilized. They have failed to adapt to the new forces at work in U.S. higher education and have been unable to develop new conceptions of purposes which elicit the support of faculty, students and the public. The results for many colleges are that faculty and students are unclear about the basic purposes of their colleges, presidents are overwhelmed by conflicting demands from internal and external groups, and boards are confused about priorities. (1972, pp. 9-10)

Particularly useful for the development of a goal setting model is Wise's emphasis on both internal and external constituencies.

From the point of view of public education, Derr, too, urges an examination of purposes: "What is badly needed is for the school board and its superintendent to channel these concerns into a systematic inquiry as to the types of purposes schools should and can achieve" (1973, p. 141).

Phi Delta Kappa, the highly respected education honorary organization, has recently instituted a nationwide project on educational goals and objectives, primarily for use

in the public schools. This project is focused on the priority ranking of a set of goals developed by the California School Boards Association and a project team located at Chico State University, and includes a provision for local school districts to add goals of their own. The project uses a participatory process for ranking the goals and professional expertise in the writing of objectives (Commission on Educational Planning, Phi Delta Kappa, 1972, p. 13). This project is suggestive for a model and demonstrates the broad concern about goals in the profession at this time.

The Carnegie Commission, in examining higher education, pointed to a "proliferation of purposes" and called for individual institutions to identify their own purposes and not try to serve all of the purposes of higher education (1973, p. 17). Purposes as used by the Commission are probably closer to our "goals." This is a key concept for private educational institutions, as we shall see. Kraushaar says "schooling serves the ends of individuals and society best if it provides a variety of goals and purposes among which a person may choose" (1972, p. 363). On the surface this seems contradictory to the position of the Carnegie Commission, but Kraushaar does not contend that all these choices need to be available in the same school. It is the presentation of viable alternatives which is the foundation of private education in America.

This view was espoused as early as 1944 by Chamberlain in his book Our Independent Schools:

> every school should make a unique contribution
> in some direction....This is especially incum-
> bent upon the independent school which, in effect,
> announces that it has something special to give
> the pupil to fit his particular needs. (p. 156)

Farrer agrees, but states that:

> Unfortunately our independent schools have some-
> times failed to make clear their purposes and
> how they go about fulfilling their mission in
> the American educational scene. (1956, p. 5)

Again, this is indicative of the need for attention to goal

setting. In a period of rapid change, the words of Drucker

are worth heeding:

> It is always futile to restore normality;
> normality is only the reality of yesterday.
> The job is not to impose yesterday's normal on
> a changed today; but to change the business,
> its behavior, its attitudes, its expectations
> ...to fit the new realities. (1964, p. 8)

The Plight of Private Educational Institutions

Kraushaar refers to private education as an important

resource which is "currently in serious jeopardy" (p. ix).

In one respect private schools face the same problem which

is faced by other segments of society. Goldmark expresses

it this way:

> When we combine the brief span of accom-
> plishments by modern civilizations into a single
> graph and plot them on the scale of human his-
> tory over the past ten thousand years, the curve
> shoots up almost vertically pointing at infin-
> ity. We can look at this sudden and frightening
> increase in the rate of change equally as the
> measure of how rapidly we use our resources and
> how far we are from planning ahead. (1972, p. 1)

The Carnegie Commission articulated some of the effects

of rapid change on higher education in 1973:

> society is changing in many ways, including more
> education per capita, more affluence, more urba-
> nization, constantly newer technology (particularly
> in the electronic field), higher aspirations among
> women and minority group members, a new interest
> in designing the future through the hand of man,
> among many others. In total, these forces will
> change the surrounding society substantially and
> thus will have indirect as well as direct impacts
> on the purposes of higher education. (p. 53)

Most of these effects are felt by private education at all

levels, not only at the university level.

Perhaps the most inclusive discussion of the effects

of rapid change in our society is Alvin Toffler's Future Shock.

Toffler outlines the acceleration of change in our recent

past and discusses the implications of this phenomenon for

our future. He bluntly states that: "Change is avalanching

upon our heads and most people are grotesquely unprepared

to cope with it" (1970, p. 12). He also believes that

"The Super-industrial Revolution will consign to the archives

of ignorance most of what we now believe about democracy and

the future of human choice" (p. 263).

Toffler sees the people and institutions of the future

being faced with what he calls "overchoice" and believes

that education will offer more and more options. He says of

the current schools: "The whole administrative hierarchy

of education, as it grew up, followed the model of indus-

trial bureaucracy" (p. 400).

In summarizing his "strategy of social futurism" Toffler

suggests that "To master change, we shall therefore need both

a clarification of important long-range social goals and a

democratization of the way in which we arrive at them"
(p. 477). Toffler is convinced that participation in
goal setting is essential to our very survival as a soci-
ety.

Bennis also acknowledges the role of change: "We live
in an age...when unpredictable change destroys old values
before new ones can be developed" (1963, p. 127) and sug-
gests that the answer is "a joint effort that involves mut-
ual determination of goals" (p. 139).

Private education has passed through some interesting
fluctuations in enrollment, as summarized by Kraushaar,
writing in 1972:

> Combining these sources of information, sta-
> tistical and otherwise, leads to the following
> general conclusion: a ground swell of private
> school growth began soon after the Great Depress-
> ion of the 1930's, the trend accelerated signif-
> icantly after the Second World War, and crested
> in the midsixties. Since then, the decline in
> Catholic school enrollment has evidently more
> than offset increases in small but growing
> groups of Protestant and Jewish schools, black
> schools, segregationist academies, and experi-
> mental free, community elementary schools.
> (p. 17)

Kraushaar further reports that schools belonging to
the National Association of Independent Schools "show a
slow but steady growth, but at a rate slower than that of
the public schools" (p. 17). He also states that "Each
passing year records the demise of private schools, even
long-established ones" (p. 17).

The private sector in elementary and secondary education
is holding its own on a national basis largely due to the
effects of busing as a desegregation device. In the South,
where busing has been established for several years, the
"segregation academy" has become a way of life in many com-
munities. According to an article in the Greensboro Daily
News of September 22, 1975, entitled "South's Private Schools
Flourishing," there are 3,000 private academies which have
been "hastily set up in the South in recent years to avoid
desegregation" (p. A1).

Although these schools are striving to gain academic
respectability and to stress such goals as "quality" educa-
tion and Christian education, the article mentions one Miss-
issippi county which has been entirely resegregated by this
device (p. A5).

In higher education private schools are facing such
severe economic problems that some have already begun alter-
ing their goals and practices in order to qualify for federal
aid. The Greensboro Daily News of September 29, 1975, re-
ported one president of a church-related college as "express-
ing dismay at church-related schools which seem to be de-empha-
sizing religion so they can become secular enough to qualify
for government funds" (Harris, p. A3). Federal and state
funds, of course, may make the difference between survival
and failure for private colleges in this era of proliferating
public institutions of higher education. At this level, too,

private schools are losing in terms of share of enrollment,
and North Carolina officials seemed relieved that only one
private college in the state failed to open this fall
(Greensboro Daily News, Cline, Sept. 20, 1975, p. B1).

According to this article, private college enrollment
"stabilized this fall, based on unofficial enrollment figures,
in contrast to dwindling totals over the past several years"
(p. B1). Officials identified an increase in state aid to
students of private colleges as a major reason for slowing
the downhill slide.

Further indication of the trend toward public higher
education is this statement:

> Several denominations recently decreased the
> amount of money spent on their own colleges and
> increased funding for chaplaincies at state-supported
> schools. Church officials cited the increasing
> enrollments at state schools and decreasing enroll-
> ments at church schools as the major reason for the
> changes in funding. (Harris, Sept. 29, 1975, p. A3)

One of the most eloquent summary statements concerning
the plight of private schools is provided by Rexford Moon
as a result of a national survey concerning educational plan-
ning: "The majority of private institutions make no extensive
plans simply because of a bleak uncertainty that they can
survive long enough to make planning worthwhile" (1970,
p. I-10).

Kraushaar cites the financial problem facing private
schools as a universal one:

> All along we have stressed the diversity
> that characterizes the private school world as
> a whole. But there is one respect in which non-
> public schools are all alike, and that is in

their concern over how to make ends meet. There
is little or no diversity in respect to this
well-nigh universal financial plight. (1972, p. 201)

The same author further states that "...changes in some
schools appear to be virtually dictated by the sharp drop
in client interest" (p. 264). Maciariello and Entemen contend
that another major problem is the labor intensive nature of
schools, which causes their costs to rise at a rate more
rapid than that of general inflation (1974, pp. 595-6), and
that the rise in private college costs is accompanied by a
decline in the pool of applicants (p. 598). Eddy concurs
that small, nationally oriented liberal arts colleges are
having enrollment problems and suggests a "reassessment
of values" (1973, pp. 27-8).

The conclusion to be drawn from the above is that private
schools face an uncertain future which requires re-evaluation
of goals. As public education becomes more pervasive and
private education more expensive, private schools must find
their unique roles, articulate their goals, and involve
their constituencies in the process. Speaking from the
field of higher education, Dobbins and Lee urge distinc-
tiveness of goals (1968, p. viii). Wise also provides a
clear direction:

> To assume--as many private colleges do--that
> faculty, students and interested citizens (relig-
> ious or social groups, foundations and govern-
> mental agencies) will continue to support the
> college because of traditional loyalties is a
> serious misreading of contemporary forces in the
> society. Unless the private college articulates
> its purposes clearly and unless it elicits a con-
> siderable degree of freely given commitment to these
> purposes, the present difficulties are likely to
> expand. (1972, p. 10)

And, to conclude this section, Kraushaar says:

> To remind the schools that much more is
> at stake than immediate survival, essential as
> that is, may seem like a hard saying in a time
> of mounting deficits. But deficits can be
> beneficial in one respect: they provide a
> sharp stimulus for a total reassessment of
> goals and practices. (1972, p. 221)

The Constituencies of Private Educational Institutions

The educational philosopher Theodore Brameld has said:
"Thus the belief that man is a goal seeking animal has long
been held by both philosophy and psychology" (1950, p. 418).
It is important, in any attempt to develop a participatory
goal setting model for private educational institutions, to
examine just who these "goal seeking animals" are who influ-
ence the school.

As defined in Chapter One, a constituency is considered
to be any group which holds power, has been granted authority,
or is capable of exerting influence in the organization.
The terms "power," "authority," and "influence" are also de-
fined in the first chapter. Constituencies will vary, of
course, from school to school, as will the relative impor-
tance of each constituency. The effort in this section will
be to explore the range of possible constituencies of private
schools and to attempt to determine how much influence they
have had, or should have, in goal setting.

Two major groups of constituencies will be considered,
internal and external. Internal constituencies are those
which are parts of the organization, within its boundaries.

External constituencies are those outside the organization, but having power, authority or influence over it.

Any goal setting process will have within it the seeds of change for the organization. We have previously referred briefly to the value of participation in effecting organizational change. Roethlisberger indicated the pervasiveness of the change process in 1939 (p. 556), and Bakke has elaborated on this view:

> If [management's] modifications find their effective real level only after reconstruction at the hands of every participant concerned, it would appear that they can initiate but not make changes. Once initiated, the change takes its course through the behavior of all affected, is modified by that behavior, and, as actually experienced, has become the creation of all of them. (1966, p. 195)

Simpson and Gulley attempted to research the question of organizational structure to see if diffuse, externally oriented organizations, such as schools, were likely to be more open and participatory than focused, internal organizations. Their research concerned voluntary organizations:

> Associations are classified using the concepts of focused or diffuse depending on the number of goals they pursue, and as internal or external, depending on whether they must satisfy their members alone or both their members and the outside community. (1962, p. 345)

These researchers hypothesized that there would be differences in structure, with diffuse, external organizations being more open and democratic. Research involving 546 respondent organizations tended to support the hypothesis (p. 349).

Turning to education, Dodson stated in 1974 that "Professional people are being required increasingly to allow the consumers of their services to participate in determining the goals toward which 'expertness' is directed" (p. 102). This supports the view that educational institutions must involve external as well as internal constituencies in goal setting.

From the field of higher education, the American Association for Higher Education has this to say:

> A college or university combines the interests and efforts of a diverse constituency, including faculty members from a wide array of specialized disciplines, students, alumni, and the public. The administration must achieve a commitment by these groups to the general objectives of the institution and the methods by which these objectives can best be achieved, while at the same time affording specific groups and individuals opportunities to pursue their own goals.
> (1967, p. 18)

The term "general objectives" as used here, can probably be considered to be equivalent to our usage of "goals." Wilson in the foreword to Dobbins and Lee, Whose Goals for American Higher Education, reflects similar sentiments:

> In this changed situation there is less consensus than there once was about the means and ends of endeavor. The large and heterogeneous population to be served has diverse notions about goals, and every constituency has its own views about priorities; even a particular constituency--such as students, for example--may be far from unanimity about who should be doing what.
>
> Under these circumstances, determining the goals for American higher education is not an easy task. In a democratic social order, moreover, a wide variety of objectives must somehow be brought together in the total endeavor.
> (1968, p. vii)

Phrases such as "less consensus" and "large and heterogeneous population" stand out as indicating both the need for and the difficulty in implementing a participatory goal setting model.

Kraushaar puts participation of the various school constituencies in historical perspective:

> By way of summary, one can see a gradual but significant shift toward an increase in sharing power or influence among various constituencies of the non-public school. In the nineteenth century, the governing boards of schools, normally containing a generous complement of clergymen, commonly shared the decision-making powers in important matters with school heads, who were frequently invested with dictatorial authority. (1972, p. 268)

If all constituencies viewed the organization and its goals in the same way, there would be no need to involve more than one group in goal setting. We would expect, however, that different groups would see the organization in different ways, and research has shown this to be true. In a 1972 study, Laird found

> that differences significant at least at the .001 level did exist among the eight groups and also among the three combined groups in their perceptions of the goals for the elementary school and for the secondary school. (p. 2033A)

There were groups formed from the eight constituencies consisting of educators, lay groups, and secondary students. Hyde (1969) also found differences among respondent groups in their perceptions of goals, and Jonas (1972) studied nine "publics" of Indiana University Southeast, with the same

results. Brennan (1969) and McDonald (1971) concurred. Kraushaar (1972) found major differences among trustees, heads and faculties of private schools (p. 274).

In general, the evidence overwhelmingly supports the position that different constituencies view the goals of educational institutions in different ways.

Internal Constituencies

It is perhaps most obvious that those within an organization should have a voice in goal setting, particularly after our review of the literature of participation. Most of that literature was directed to the idea of "subordinate" participation. In schools, we can readily identify trustees, administrators and faculty as internal constituencies which should be included in goal setting, with faculty to be considered as the major group of "subordinates." David Mechanic, writing in 1962, indicated that persons of _low_ status in the organization frequently wield real power (p. 364). The examination of internal constituencies, then, should include more than the obvious status holders in the school. We shall begin with high status holders and work toward those of low status.

Ruml points out that the position of trustee of a private educational institution is an extremely important one:

> The responsibilities of the Trustees of
> our liberal colleges are both extensive and
> important. They are neither ambiguous nor

self-defined. They are created by college char-
ters, and each Trustee assumes his powers and
responsibilities formally by accepting his
election. (1959, pp. 93-4)

Calvin Lee, writing in Dobbins and Lee, confirms the

great power of the board but indicates its limits (as we

have in the earlier section on participation):

Legally the power of the governing board
is very broad; the board has sufficient power
to make and enforce rules, and it often has
authority to determine the policies of the
institution....In practice, however, this
power is limited--or perhaps more accurately,
self-limiting. An enlightened board which
seeks to assure the integrity of education
understands the need to respect the collective
judgment of the community of scholars. (1968,
p. 12)

One can counter, however, with Martorana's strong statement

on board responsibility:

The wise board seeks the counsel and help
of its professional staff, administrative and
academic, and leaders from the college con-
stituency in making decisions about institu-
tional goals and of development. Yet it
remembers that its official responsibility
for the general welfare and overall character
of the institution cannot be delegated. (1963,
p. 80)

This is an important consideration for institutions

which would attempt to implement a participatory goal set-

ting model. Unless such a decision has strong support on

the part of the board of trustees, it will be doomed to

failure. To go through the motions of such a program and

then fail to adopt and attempt to implement the products

(the goals) would only produce resentment on the part of

those who participated.

In reference to the next level of the school hierarchy,
Guy Nelson asserted the importance of administrators in
decision making (1972, p. 2131 A), and Calkins contended
throughout his dissertation that the principal was the key
to change in a public high school. Kraushaar says much the
same thing concerning private schools:

> The school head or principal is in the key posi-
> tion to initiate change. If he is a champion of
> innovation and possesses the imaginative boldness
> and charisma to persuade others, the faculty in
> particular, of the wisdom and excitement of a new
> approach, he is in a position to move the institu-
> tion to new and higher ground. (1972, p. 268)

While Kraushaar is speaking of innovation, it can be argued
that innovation generally involves the setting of new goals
for the organization.

The administration of a private educational institution,
and particularly its president or headmaster, is crucial in
the establishment of a participatory goal setting model.
The initiative for such a change will probably have to come
from this group, and its contribution to the actual process
will also be very important. We recall Perrow's statement
that "administration is power" (1965, p. 960). Administra-
tors also possess an overall view of the organization,
although it may not always be a completely objective view.

One of the major considerations here is that adminis-
trators are often conservative in their outlook and serve
as maintainers of the system. In a school where this atti-
tude prevails in the administration, it may be impossible to
properly implement a participatory goal setting model.

Several references from earlier sections of this study have indicated that faculty members should be involved in the goal setting process. There is an old adage that a school is only as good as its faculty, and for that faculty to function it must be reasonably satisfied. Gross and Grambsch indicate that "Faculty members resent too what they feel to be the illegitimate pretensions of some administrators to 'represent' the faculty or the university" (1968, p. 2). And further:

> The situation becomes a source of genuine concern only when administrators are seen both as having more power than the faculty and as using that power to pursue goals considered undesireable or, at least, tangential to desireable goals. (p. 2)

As a result of a study of a community college, Brennan says: "The faculty clearly indicated that they should have a more influential role in determining policy than did the administrators and board members" (1969, p. 2279 A).

McGrath provides further support for faculty participation, along with a historical note:

> With increased power faculty members have reacted against the autocratic control of presidential leaders which dominated American colleges and universities in the nineteenth century. Patriarchal government then was, at its best, an enlightened and benevolent despotism and, at its worst, a parochial and oppressive tyranny. (1970, p. 47)

Tead urged faculty participation in 1950 (p. 418) and Administrator's Notebook, April, 1955, reports Sharma's dissertation as finding that teacher satisfaction was "related directly to the extent that they participate in decision-making as individuals or groups." Certainly the

faculty of the institution must be considered an important internal constituency.

Because of Mechanic's statement about persons of low status who wield power, it may be well to consider other employees of the institution as potential contributing constituencies. The influence, for instance, of secretaries and other non-certified school personnel on day to day decision making is well known.

It is possible to consider students as an external constituency, because they are only temporary members of the organization, and could even be regarded, in a sense, as the products of the school. For our purposes, however, we shall consider students to be an internal constituency, since their lives are so intertwined with the organization during the period of their attendance.

Since the medieval days when students opened and operated their own universities, meaningful participation in governance activities has fallen on hard times. Aside from a few spots like Antioch College, which was reported by Morgan in 1960 as having been involved in thirty-seven years of student participation (Weatherford, 1960, pp. 99-119), American schools did little to encourage student participation until they were forced to do so by the pressures of the 1960's. These pressures were felt principally by the universities, but Wise states that "the fact remains that in most colleges student involvement is indirect and often peripheral to the central purposes and procedures of the college" (1972, p. 51).

Leon Galis cautions against too much student participation in liberal arts colleges and is concerned about the responses made to student unrest in the past ten years:

> Given that understanding of their task, committees on 'Educational Goals' as we called ours, set about to discern not the intellectual and moral basis on which the authority of the college over its own members ought to rest, but simply the terms on which the belligerents could be persuaded to cease hostilities. (1973, p. 720)

Galis recognizes, however, that in a "tight market" the student expects to participate.

Hawes, in a recent article (1974) in the Journal of Higher Education, summarizes the problems encountered in sharing governance activities with university students. His points are condensed as follows: (1) students act out authority problems by playing a protesting role, (2) complex problems are dealt with superficially in joint student-faculty groups and solved later by faculty and administration, (3) students lack background, which results in lost time briefing them, (4) students feel inadequate and withdrawn, (5) students lack means to discuss committee proposals with fellow students, (6) problems of irregular attendance and (7) limited representation are felt (pp. 124-5). Although Calkins seemed to overcome these problems in his high school shared governance model, they must be considered.

While none of the authors above deals specifically with goal setting, one individual, Albert Wight, has taken a strong stand on this subject: "This means active involvement

in the determination of goals" (1970, p. 248). Wight is discussing the role of the _student_ in participation, and he places goals _first_. He goes on to give a major reason for his stand: "If they are to learn to regulate their lives in accordance with realistic aims and goals, they must be allowed to participate in goal setting" (1970, p. 249). Wight is discussing both "classroom goals" and school-wide goals in these comments.

It is obvious from some of the above that students cannot bear a full share of organizational decision making. They do not have the time or in some cases the interest or the maturity. They may also tend to emphasize immediate concerns without regard for the future. Participation in goal setting, however, should be possible and useful for students. Objectives and means can remain matters of professional expertise.

External Constituencies

In turning to external constituencies, the words of Robert Hutchins are pertinent: "No educational system can escape from the political community in which it operates" (1968, p. ix). If we extend the use of "political community" to include all elements of the human environment, then we have a broad idea of the task which is faced. Of course, no educational institution can please everyone, nor should it try. Gross and Grambsch listed sixteen power-holding groups in their research but had divided administrators into five

categories. Of their sixteen power holders, seven were external constituencies (1968, p. 79).

Why are these external groups so important to an organization which, as a private enterprise, should be able to make its own decisions? The basic reason is financial, but there is also a moral consideration which dictates that in a democracy people should have an element of control over the important institutions which affect their lives. This is not to recommend some kind of dictatorship of the majority, and certain values involving basic purpose must be preserved by private schools. They should, however, encourage the minority which supports them, since they are by their very nature minority institutions, to participate in the goal setting process. The majority which permits them to exist also must be satisfied to some extent with the institution.

In terms of the need for support, Wise comments that one of the results of failure to share institutional problems with candor is that

> The constituents of the college, and the public generally, being uninformed about the problems of the college--financial and educational--have little sense of the needs of the college and the dimensions of support necessary for its development. (1972, p. 11)

Thompson and McEwan suggest cooptation as a practice in dealing with important external constituencies because

> By giving a potential supporter a position of power and often of responsibility in the organization, the organization gains his awareness and understanding of the problems it faces. (1958, p. 28)

The first constituency which should be mentioned is that of government. While individuals representing government need not be involved in goal setting, it is important that the institution be aware of any restrictions emanating from this constituency. We have already seen examples of schools altering goals in order to get federal funds. This can be viewed as smart administration or as a sell-out, depending on the importance of those goals to the social purpose of the institution.

The major external constituency of a private educational institution, and one too often taken lightly, is the parent group. As stated before, these people have the power of veto over the school. In spite of this factor, Gross and Grambsch found parents to be low on the list of perceived power holders in private universities. They were, however, ranked somewhat higher in private than in public institutions. As might be expected, independent schools at the elementary and secondary level rely more on parent input than do universities. Kraushaar, for instance, states:

> There are others besides the head and the teachers—not to mention the students themselves—who must be listened to and at times consulted when significant changes in a school's education program are at issue. Chief among these are the trustees and parents. (1972, p. 278)

And Michael suggests an important reason for permitting parents to be more heavily involved in the school as "parent participation in school activities encourages compliance on the child's part to school norms thereby influencing his educational attainment and life chances" (1971, p. 1720). While

neither Kraushaar nor Michael is speaking specifically about
goal setting, it makes sense that the more parents see their
role at school as meaningful, the more likely the benefits
of participation are to occur.

Alumni are generally regarded by non-alumni as having
some kind of special influence in private schools, but the
research of Gross and Grambsch indicates that this is largely
a myth, as alumni are not perceived by other constituencies
as having much power. It is true that "although students and
alumni received low rankings in general, they are more likely
to be perceived as having influence on decision making at the
private university than at the public one" (1968, p. 79). For a
fuller treatment of the views of alumni toward their schools
see Spaeth and Greeley, Recent Alumni and Higher Education
(1970).

Private donors are important to private schools. Many
private schools have been renamed because of large infusions
of money, including Duke University, and as recently as 1974,
Pierce-Deree College in Athens, Greece. Gross and Grambsch
confirm the importance of private donors: "Among the major
power holders at private universities, on the other hand,
are the large private donors" (1968, p. 78).

This is, of course, a touchy area. If private donors
are allowed to dictate the goals of the school, then we
replace one elite (trustees-administration) with another,
and probably less broadly oriented, elite. Certainly a large

gift which has strings attached, and most of them do, can dictate goals. Some of these goals may be perfectly consistent with the purposes of the institution and with its other goals. But trustees have a serious responsibility to insure that large private donors are not permitted to change the basic character of the institution unless it is failing completely in its present form and must be changed.

Private donors are likely to be attracted to a school if they can identify with its goals. For this reason they should be included in the goal setting process. They should not be permitted to dominate it.

Any goal setting model which attempts to incorporate the views of a wide range of constituencies faces a genuine challenge, but as Brubaker and Nelson say:

> Complexity in a large, fast-moving society is inevitable, organizations will reflect such complexity, and educational decision makers should see such complexity as a challenge rather than an inherent evil. (1975, p. 64)

Perhaps this point could not be made better than Calvin Lee makes it as we close the second chapter of this dissertation:

> Like the blind men of the Hindustani parable, each convinced that he could describe the total elephant by the part he felt, the constituents of higher education--students, faculty, administrators, trustees, and public officials-- each believes that it alone truly apprehends the goals of the nation's diverse colleges and universities. And all of them are correct, except that each perceives only a part of the whole. For the separate components of higher education, like the parts of an elephant, are not independent and unattached; they compose a total organism, a system comprising many parts with separate functions. (Dobbins & Lee, 1968, p. 1)

CHAPTER THREE

THE DEVELOPMENT OF THE MODEL

A variety of definitions for the term "model" can be
found in the literature (Barbour, 1974; Black, 1962; Brod-
beck, 1968; Cohen & Cyert, 1965; Dubin, 1969; Helmer, 1966).
The final conclusion can be drawn that a model is a set of
assumptions or propositions which seek to explain or orga-
nize a problem under study. This chapter sets forth a
series of statements drawn from Chapter Two which seem to
have been verified through the literature search. Where
possible these statements are graphically represented to
demonstrate their relationships. In addition a flow chart
has been constructed showing how participatory goal setting
moves through time. There are twelve propositions provided
in the chapter. They serve, along with the graphic material,
as a model for participatory goal setting in a private edu-
cational institution.

1. There is a hierarchy of ends at work in any private school
   or college, with purposes being most general, goals being
   more specific, and objectives being most specific.

   This statement arises from the definition of terms
adopted here. The section of Chapter Two entitled "Develop-
ment of Definitions" includes many sources, but those most
influential in the adoption of this hierarchical set of

definitions are Brubaker and Nelson (1974), Mager (1972),
Merton (1962), and Hughes (1965). The model proposed con-
cerns the setting of goals, but must show their relation-
ship to the other ends terms, and the interdependence among
these ends. Goals help to define and clarify purposes and
to guide in the formation of objectives. Objectives, drawn
from goals, help to clarify and define the goals which they
support.

As we move down the hierarchy, language becomes more con-
crete, life span becomes shorter, and direct measurement
becomes more possible (Brubaker, Nelson, Lancaster & Howard,
1973; Darr, 1973; Krathwohl, 1964; Mager, 1972). Purposes
are few, broad, general, enduring, and their achievement is
difficult to measure. Goals are more numerous, less broad,
general, and enduring than purposes, but more so than objec-
tives, and still defy easy evaluation. Objectives are many,
specific, short term and capable of being measured.

A point should be made that this model is basically
a rational one and does not take into account such factors
as luck; deliberate, irrational attempts to work against
the organization; or events over which the organization
cannot have any control such as disasters.

2. Social purpose arises from the societal environment;
   organizational purpose arises largely from the specific
   portion of the environment which can be identified as
   the external constituencies of the organization, and is

a result of the degree of support and the levels of
constraint which these constituencies provide to the
institution.

Social purposes are broad societal expectations for
the organization. They are not necessarily verbalized but
are usually well understood. If we could visualize the orga-
nization as a set of open-ended boxes drawn within an ever-
shifting amoeba-like social environment, then there would
be two "areas of purpose" as outer shells of that box, the
outermost of which is social purpose and the next of which
is "organizational purpose." This is shown in Figure 1.
The area of social purpose is the product of socio-
environmental expectations and puts certain limits on
the organization (Hughes, 1965; Merton, 1962). Its area is
larger than that of a given organization, because a number of
organizations might be serving the same social purposes.
Social purposes influence the organization, but the organiza-
tion has little influence over the social purposes assigned
to it. It does, however, provide continuous feedback to
society about how well it is achieving social purposes.

The specific way in which this feedback is important at
the purpose level is its effect on organizational purpose.
This purpose level is generated between the organization and
society and is shown in Figure 2. Organizational purpose
is the product of the reactions of the external constituen-
cies of the school or college (parents, donors, alumni,

social purpose:

product of societal expectations
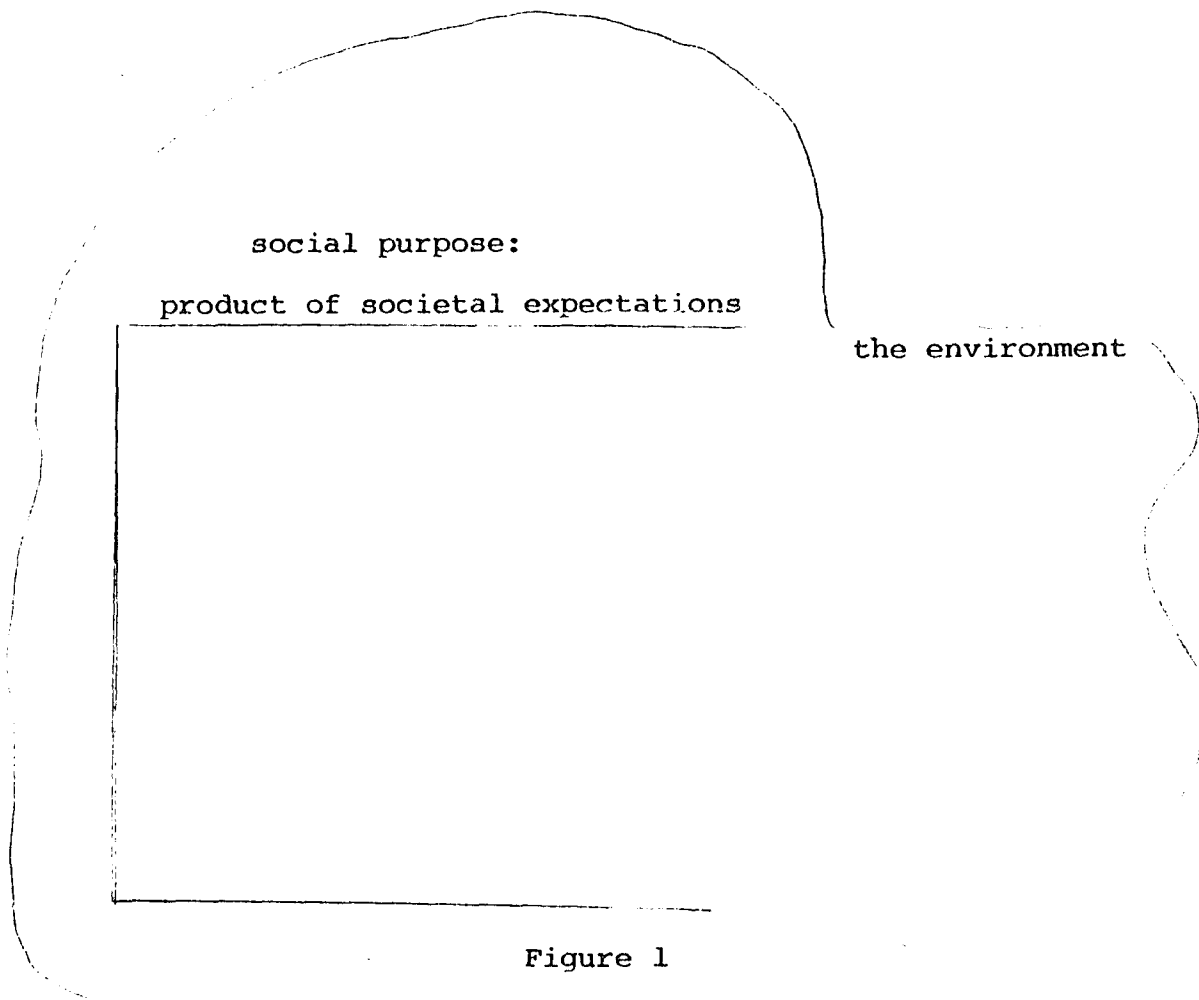
the environment

Figure 1

Place of social purpose in the

environment

social purpose: product of
                  societal expectations

organizational purpose: product of
                          external constituent
                          reaction to organizational
                          efforts and outcomes
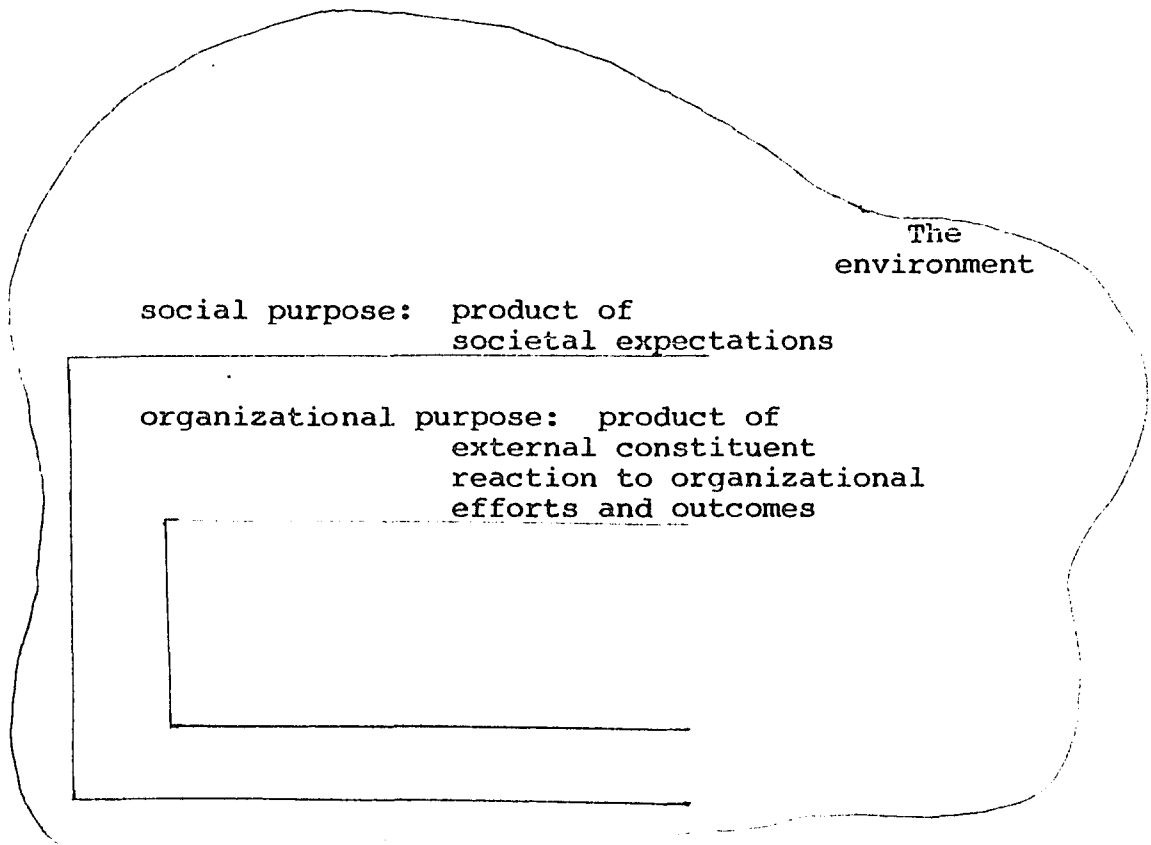
The environment

Figure 2

Place of social purpose and organizational purpose

in the environment

government) to its efforts. The boundary between the organization and this field of external constituents is under constant pressure of inputs from these constituents, who are the "interested" portion of the societal environment, and from feedback regarding outputs. Over this purpose level the organization has some important control, in that it can be in direct communication with its external constituents.

Based upon the balance of the expectations of external constituents and their satisfaction with the organization's performance with respect to these expectations, the constituents make actual physical or financial inputs to the organization, or alter the kinds and levels of constraints upon the organization, which have the effect of establishing the level of organizational purpose. As stated above, this level will be survival, or commergence, or differentiation, or self-actualization. The greater the level of support from external constituencies, the higher the level of organizational purpose, as a general rule. As the organizational position in relation to its external constituencies gets stronger, its reputation comes into play, and it may not be very concerned about the action-reaction kind of situation in which a "survival level" institution finds itself. External constituencies may be willing to support virtually any action undertaken by an institution at the self-actualizing stage. Those very few organizations which reach this stage would not be required to involve external

constituencies in participatory goal setting. Putting those few institutions aside, however, the next statement summarizes much of the thrust of Chapter Two.

3. Goals should emerge through participation by both internal and external constituencies and should support both social and organizational purposes.

As shown in Figure 3, goals fall within the boundaries of the two kinds of purposes. They are the first ends level which is unique to an individual organization. We might say that goals are the true defining elements of the organization as an entity (Etzioni, 1962; Stinchcombe, 1965).

Much evidence presented in Chapter Two indicates that external constituencies should be involved in goal setting because they are more likely to support goals which they understand and identify with (Blau, 1955; Blake & Mouton, 1961; Brewster, 1973; Cobett, 1969; Emery, 1959; Hersey & Blanchard, 1972; Hughes, 1965; Lowin, 1968; Schramm, 1975; Thompson & McEwan, 1962). Internal constituencies should be involved for the same reasons and also because the organization will reap many of the benefits commonly associated with participative decision making, such as commitment to the organization and its goals (Blake & Mouton, 1961; Hersey & Blanchard, 1972), job satisfaction (Siegel & Ruh, 1973; Vroom, 1964), and improved quality of goals (Tannenbaum & Schmidt, 1958; Vroom, 1964).

In this model, then, goals are formulated through constituent interaction. Pressures on the goal level are felt

social purpose

organizational purpose

goals: products of
        constituent interaction

the environment
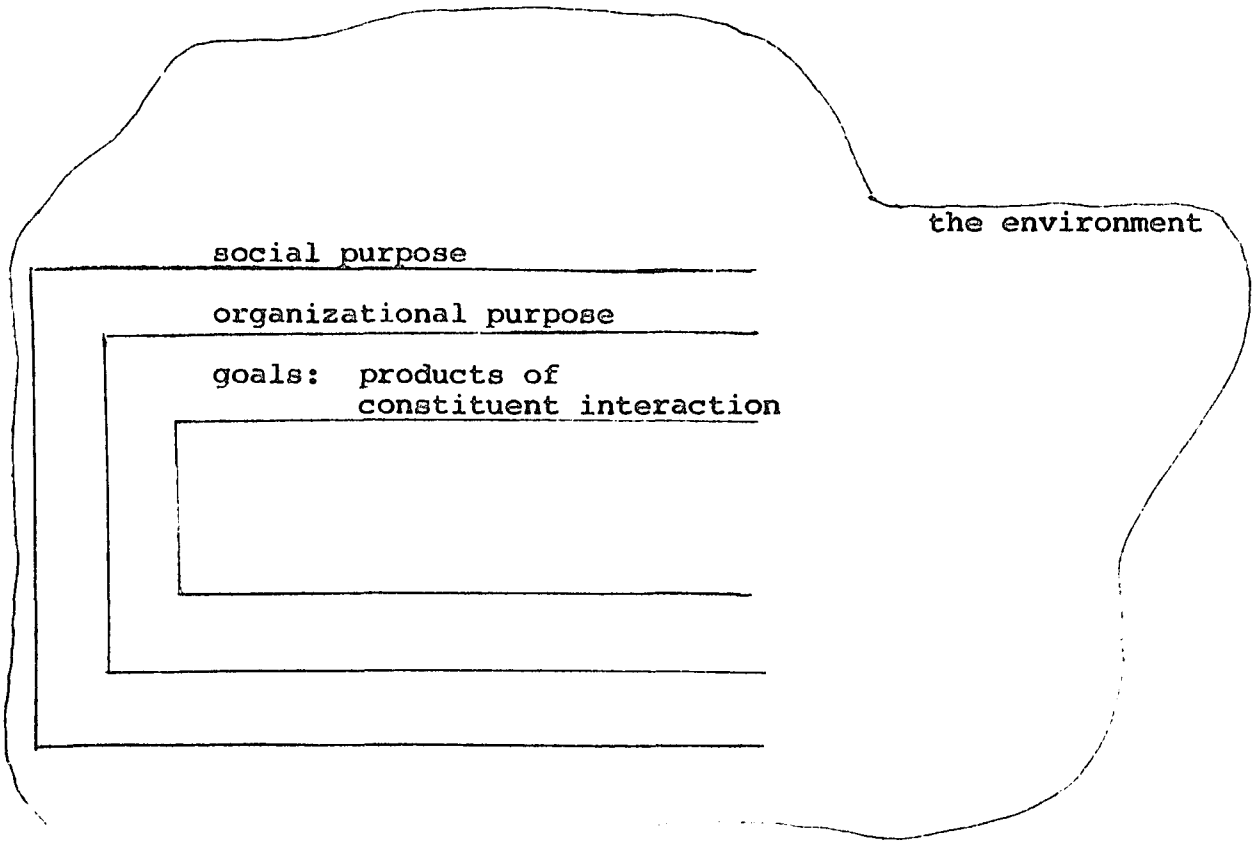
Figure 3

Place of Goals in the Organization

from both purpose levels and from the elements further "inside" the model: objectives, activities and outcomes. Three more statements are necessary to complete the visual model, after which the nature of goals and the goal setting process is explored and a Flow Chart developed through a series of additional statements.

4. Objectives should be drawn from goals and should be matters of decision making by organizational members.

Objectives help to define goals and to make them capable of implementation. It is generally held that objectives should be concrete and measureable (Hughes, 1965; Mager, 1972). Professionals are accountable for the achievement of objectives, whereas they should be responsible for the achievement of goals (after O'Kane, 1975).

Since objectives have the capability of measurement, accountability is possible in determining whether or not objectives have been met. One danger in the accountability movement in American schools is that they cause organizations to focus on objectives. It is difficult to be accountable for goal achievement, since goals are less susceptible to measurement. Goals require the broader concept of responsibility, which implies that there is a certain amount of faith that responsible individuals will work toward goal achievement. If, in the judgment of constituents, a responsible official of the institution fails to perform, he can lose his position. Persons accountable for the achievement

of objectives are judged more narrowly, since evidence can be marshalled to indicate that an objective has or has not been achieved. In short, goal achievement is judged sub- jectively, while the achievement of objectives is judged objectively.

Objectives are matters of professional discretion and should be formulated, based on goals, by the internal con- stituents. They are diagrammed within goals (see Figure 4), and they should be congruent with goals. Experience with objectives also influences goals, and this experience is based on the evaluation of outcomes resulting from those objectives and the activities which support them.

5. Activities which support objectives should be matters of decision making by organizational members.

Activities and outcomes were not explored directly in Chapter Two, but are required to complete the graphic model of participatory goal setting. Activities should be selected and carried out by members of the organization and should be consistent with the objectives which they are designed to support. As can be seen in Figure 5 (the full model), activities follow from objectives and are used to produce outcomes.

To avoid goal displacement organizational members should avoid undue focus on activities and should keep goals in mind when deciding which objectives and activities to pursue.

the environment

social purpose

organizational purpose

goals

objectives: products

of internal constituent decisions
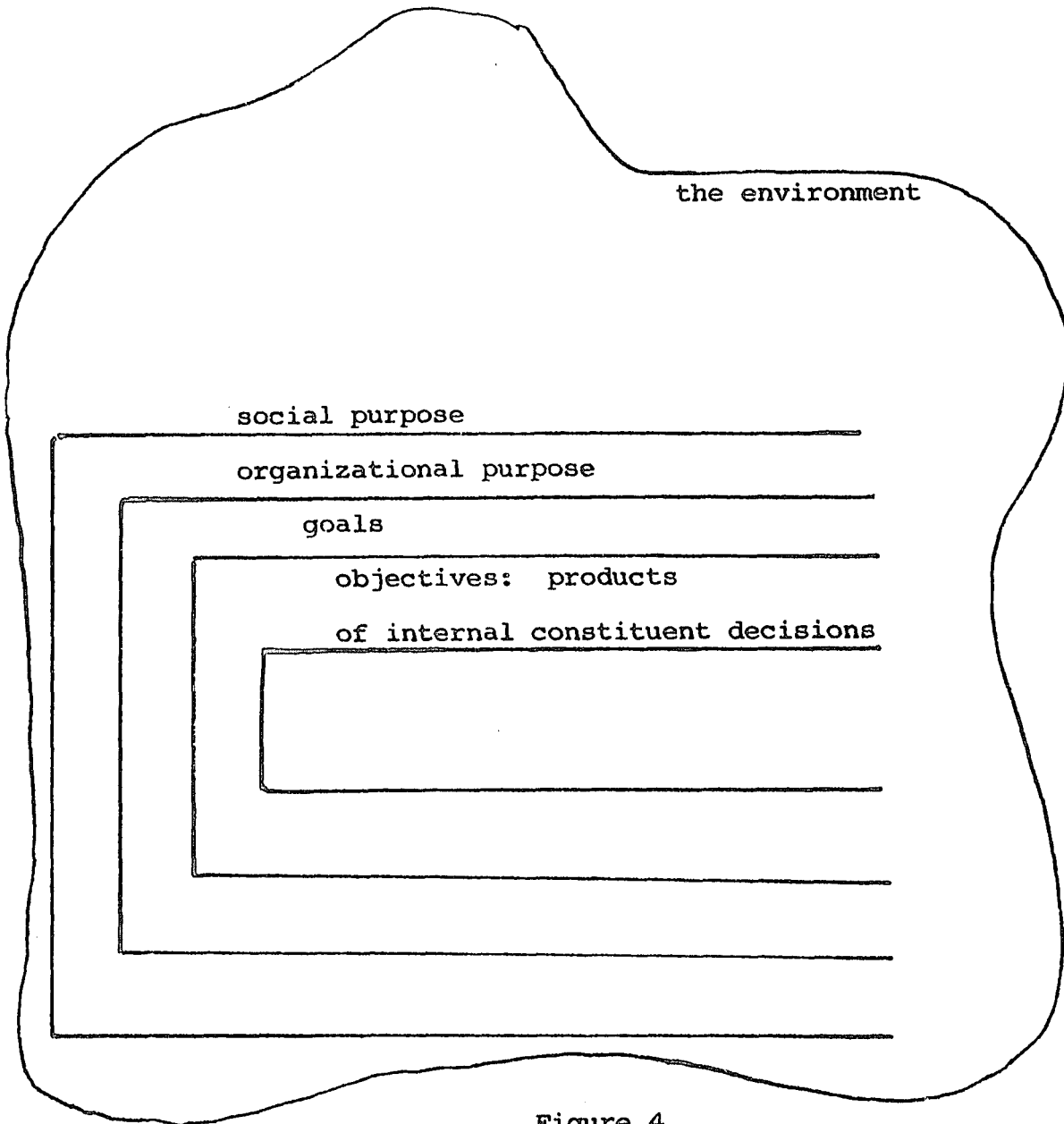
Figure 4

Place of Objectives in the Organization

the environment

social purposes
(product of societal expectations)

organizational purpose level
(product of external constituent
    reaction to organizational efforts
    and outcomes)

goals (products of
    constituent interaction)

objectives
(products of
professional judgment) ──→ organizational ──────→ outcomes
                                   ctivities

                          ←feedback ─ ← ─ ─ ─ ─ evaluation

Ends   Activity   Outcomes
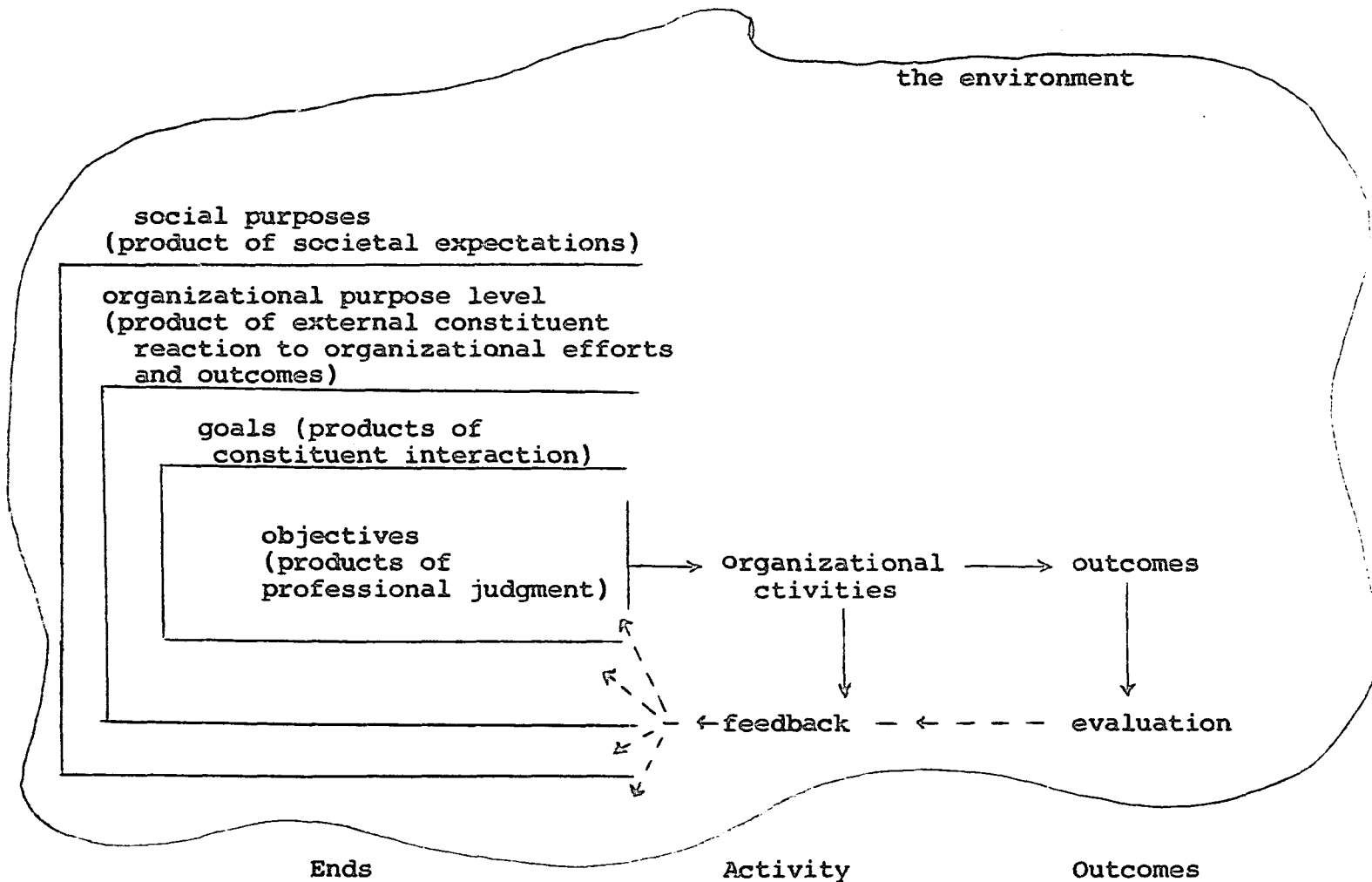
Figure 5

A Model of Organizational Goals

6. Outcomes and activities are used to evaluate the success of the organization in meeting its purposes, goals and objectives and the appropriateness of goals and objectives.

At the right of the model diagram are outcomes, which provide the basis for feedback to be used in evaluating objectives, and, in turn, goals. Outcomes are viewed by both internal and external constituents of the organization. In businesses these outcomes are goods or services. In schools they are usually traits displayed by students or graduates. While all constituents should recognize that an educational institution cannot be responsible for all of the traits and behaviors of its "products," constituents do look for evidence of success of the school in meeting its goals and objectives. Since most of these goals and objectives are expressed in terms of changes in student behavior or skill, the constituents look for evidence of such changes. Of course, some goals, such as those having to do with institutional growth, are measured in other terms, but here again, outcomes are viewed.

Constituents also evaluate the activities which they see occurring in the institution; they view process as well as product. For this reason, the feedback lines in Figure 5 flow both from outcomes and from activities. It is possible that more judgments of schools are made by looking at process than by viewing products. Parents and students are particularly prone to evaluate schools and colleges by what they see

happening on a regular basis. Even universities are often evaluated by their constituents in terms of these day to day activities, rather than by the number of eminent people they produce.

Outcomes and activities are both sources of feedback for the evaluation of achievement of purposes, goals and objectives. The complete model of organizational ends is shown in Figure 5.

7. Goals can be classified as manifest, hidden, public relations, or latent. Most goals should better serve their three functions if they are made manifest. This requires agreement between statements and intentions (as supported through activities).

One of the original concepts developed in this dissertation is the four-fold typology of organizational goals set forth in Chapter Two. Utilizing the work of Gross and Grambsch (1968), Perrow (1961), and Merton (1957), this researcher has developed a typology resulting in four kinds of goals: manifest goals (stated and intended), hidden goals (unstated but intended), public relations goals (stated but unintended), and latent goals (neither stated nor intended).

Entering the Flow Chart of Organizational Goal Setting (Figure 6) at Phase II, the core constituencies of the institution, who are identified here as trustees, administrators and representative faculty, are asked to apply this typology of organizational goals.

	Phase I	Phase II	Phase III	Phase IV
Activity	Identification of Purposes	Identification of Current Goals	Formulation of Potential Goal Statements	Refinement of Goal Statements
	Social Purposes Org'al Purpose	manifest hidden public relations latent	feedback	
Actors	Core Constituencies (Trustees, Administration, Representative Faculty)	Core Constituencies	All Constituencies. (Depending on size of groups, the total constituency or representation may be used). Selection of the constituencies is the responsibility of core constituencies.	Representative "Steering Committee"
Method	Honest identification of role in society and level of organizational purpose (through examination of financial position of the institution)	Examination of statements, activities, allocation of resources, and outcomes	Use of "is-ought" instrument to discover what the constituents see as the current goals and the desired goals. Input from Phase II may be used, or an open-ended Delphi approach can be used.	Using information from Phase III, formulate goal statements to be put before all constituencies. 1. Eliminate goals which obviously conflict with purposes. 2. Combine similar goals where possible. 3. Insure clear language.

Figure 6
A Flow Chart of Organizational Goals (first part; continued next page)

Phase V	Phase VI	Phase VII	Phase VIII	Phase IX	Phase X
Priority Ranking of Goals	Selection of Objectives	Activity	Evaluation	Ongoing Activity	Ongoing Evaluation

feedback

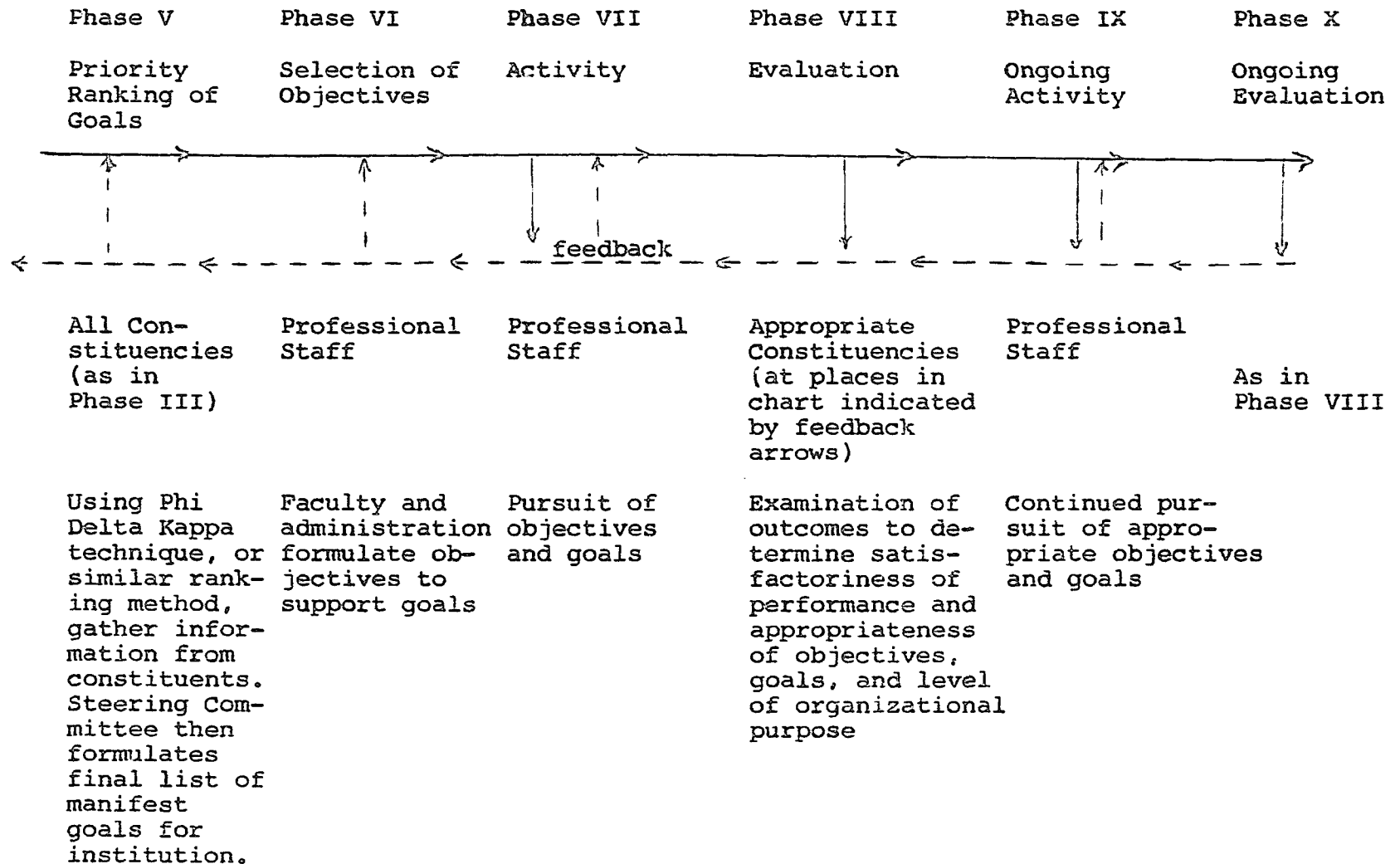|					
All Constituencies (as in Phase III)	Professional Staff	Professional Staff	Appropriate Constituencies (at places in chart indicated by feedback arrows)	Professional Staff	As in Phase VIII
Using Phi Delta Kappa technique, or similar ranking method, gather information from constituents. Steering Committee then formulates final list of manifest goals for institution.	Faculty and administration formulate objectives to support goals	Pursuit of objectives and goals	Examination of outcomes to determine satisfactoriness of performance and appropriateness of objectives, goals, and level of organizational purpose	Continued pursuit of appropriate objectives and goals	

Figure 6
A Flow Chart of Organizational Goals (second part)

These constituencies should examine the statements issued
by the institution (taken from charters, formal publica-
tions of goals, catalogs, and public relations documents),
and the intentions of the institution as expressed through
its activities and allocations of resources, in an attempt
to determine the goals which fall into each of these four
categories. Outcomes must also be examined. This process
requires genuine honesty and diligence in determining both
what the institution says it is trying to do and what it is
doing. This information will be used as input for Phase III
of the Flow Chart. Especially important is the search for
hidden goals; those which the organization pursues but does
not state, and for public relations goals--those which the
organization states but does not pursue.

8. In order to best achieve the three functions served by
    goals of guiding, motivating and support-seeking, goals
    should be established through participation.

At Phase III of the Flow Chart it is necessary for the
previously named core constituencies to identify and involve
all other constituencies considered important to the insti-
tution. The last section of Chapter Two outlines those con-
stituencies usually found in a private school or college,
but it may help to clarify if statement nine is inserted at
this point.

9. Groups which hold power, have been granted authority, or have the capability of exerting influence upon the organization should be regarded as constituencies.

A discussion of the concepts of power, authority and influence is found in Chapter Two. Most private schools have the following constituencies: trustees, administrators faculty, students, parents, government, alumni, and private donors. Depending on the size of the constituency, either a total constituency or a sample of it can be involved in the process of formulating potential goal statements (Phase III). The core constituencies can select representatives from the other constituencies, or, to be more democratic, they can use random sampling techniques with such large groups as students, parents, and alumni.

Random sampling is proposed as a technique for reducing any charges of special influence on the part of those making selections for participation in goal setting, but it may result in the selection of constituents who are not interested in participating in the process. It stands to reason that those who are interested in goal setting will do a better job. On the other hand, participation by previously uninterested constituents should result in bringing them closer to the institution and its goals (Wise, 1972, and inferred from sources citing values of participation). If the core constituents wish to use participatory goal setting as an educational device, then random sampling of parents, students,

and alumni should be used. If not, selection or sampling of those who express an interest in goal setting may be used.

These constituencies should be surveyed in Phase III by the use of an instrument which provides ample opportunity for free input. The Phi Delta Kappa goal setting model referred to in Chapter Two could be used if modified for local conditions but is perhaps better for Phase V of the Flow Chart.

Another possible device would be a home made "is-ought" questionnaire, using goals discovered in Phase II and leaving open the opportunity for individuals to add their own statements. Such an instrument would seek information on how constituents see goals as actually pursued, and on what degree of importance they feel should be attached to the same goals.

A third device which can be used to elicit goal statements from the constituents is the Delphi Technique. This research tool was developed by the Rand Corporation as a method of forecasting future scientific breakthroughs and is fully reported in Dalkey and Helmer (1963). It consists of the use of iterative questionnaires, the first of which is open-ended. With each repetition the statements used are made more concrete and consolidated, and the subjects are brought closer to consensus until a group of agreed-upon statements is reached. The Delphi Technique has been used for research on educational futures (Gazzola, 1971; Morrison, 1973; and Waldera, 1972) and specifically to select educational goals (Rasp, 1972). Its use in a school of education is described by Weaver (1971).

No matter which of the above techniques is used for the formulation of goal statements, it will be necessary for a small group to manage the research process through Phases IV and V of the Flow Chart. This group, called here a "steering committee," should be composed of one or more representatives from each of the constituencies.

10. Organizational goals should be arranged in priority order.

Rationality in organizational operation is enhanced when goals are arranged in some kind of priority order. While Chapter Two touched upon several ways in which organizations deal with goal conflict, one of the most effective methods, and certainly the one which serves as a last resort when other methods fail, is to have a priority ranking of goals available so that objectives can be pursued in a logical way.

Phase V of the Flow Chart calls for all constituencies to participate in this process. Not only will such a priority ranking identify those goals which are considered by constituents to be most important, but it may also result in the elimination of those goal statements from Phase IV which fail to gain wide support in the priority ranking.

While the priority ranking of goals is intended to produce consensus in deciding on objectives and activities, it is possible that the ranking process itself will be a conflict-producing activity. Conflict concerning priorities of goals

is probably always latent in organizations. It is possible that it will be beneficial for the organization if it is dealt with. The process for goal ranking suggested below is not a face-to-face process and so should not result in actual confrontation. According to Himes (1975, Ch. 11), one method for managing conflict is to institutionalize it, and the adoption of a goal ranking procedure should serve to institutionalize conflict over goal priorities.

The Phi Delta Kappa instrument discussed earlier is designed for this purpose of ranking (not discovering) goals and could be modified for local use, or a simple home-made questionnaire could be designed by the steering committee to serve this purpose. Once this task has been completed, the steering committee is ready to announce the results of the goal setting process so that the professional staff can begin to write objectives.

11. Organizational experience with objectives should be taken into account in reassessing goals.

Phase VIII of the Flow Chart is Evaluation. This consists of examination of feedback from outcomes and activities as shown in the final model diagram (Figure 5). A true model of organizational ends is, at least in part, a circular model, because feedback is being provided on a continuous basis through the evaluation of outcomes or products of the institution's activities. This feedback should be utilized to re-evaluate objectives, and, on a less frequent, perhaps

an annual, basis, goals. It is also used by external con-
stituencies for their evaluation of the effectiveness of
the institution, therefore ultimately determining the level
of organizational purpose at which the institution will
function.

12. The emergent nature of goals requires a model for goal
    setting which functions through time.

Phases IX (Ongoing Activity) and X (Ongoing Evaluation)
provide for the continuity of the goal setting process.
Feedback may not always be automatic in any system and must
be encouraged through an open, cooperative attitude within
the institution. In a hierarchical organization it is par-
ticularly difficult to maintain the flow of upward communi-
cation. People sometimes tell their superordinates those
things which they think the superordinate wants to hear. A
goal-focused organization can overcome this problem through
emphasis on participatory processes. Since subordinates have
participated in goal setting, they should be more likely to
assist in honest evaluation of outcomes relating to those
goals. It may be wise to retain the representative steering
committee as an advisory council to encourage and evaluate
feedback.

CHAPTER FOUR

SUGGESTIONS FOR IMPLEMENTATION OF THE MODEL

Leaders of private educational institutions desiring to implement a model for participatory goal setting should be aware of certain guidelines set forth in this chapter. Since there is much variation among private schools and colleges, these are general suggestions. Details of implementation are left to the individual institution.

An obvious first step toward the implementation of this model for goal setting is to read carefully the line of reasoning which constitutes the rationale for the model and to gain a full understanding of the model itself as presented in the preceding chapter. Other areas of concern are given here as a series of numbered propositions. The basis for these guidelines is found in the literature presented in Chapter Two.

1. Trustees and administrators must support any effort to implement a participatory goal setting model.

As stated in Chapter Two, those with legal responsibility for the operation of the organization must agree to the concept of participatory goal setting and must be willing to act on the basis of the results of the process. Constituents of a school or college are usually willing to accept

a variety of organizational patterns and administrative styles if they know what their role is to be. They react negatively, however, to being manipulated or betrayed. If individuals are asked to participate in goal setting,they must be able to see that the goals agreed upon are being pursued, that statements are really intended (supported through the allocation of organizational resources). Otherwise their confidence in organizational justice will be eroded and the values of participation will be lost.

The support, therefore, of trustees and administrators for a participatory goal setting model must be assured before an institution undertakes initiation of such a goal setting process. A half-hearted attempt to implement such a model might do more damage than good in an organization, as morale would almost certainly suffer.

2. Selection of constituencies should be done with care by each individual institution.

Keeping in mind the definition of a constituency presented earlier in this paper, the process of selecting or identifying constituencies is a critical one for the success of a participatory goal setting model. Those who hold power, have been granted authority, or are capable of exerting influence are constituents.

The core constituents of a private educational institution have been identified for purposes of this model as trustees (the major power holders and holders of legal authority for the operation of the school), administrators (who have

been granted much authority by trustees), and faculty (who have usually been granted some authority and always exert influence). All three of these constituencies have some authority in the school, trustees the most, faculty the least. They each possess a certain amount of power as well, and all can exert influence if they choose to use it.

The task suggested here is for these core constituencies to identify the other constituencies which will participate in the goal setting process. They must do this by examining the groups which may possess the quality of a constituency as defined above. As a minimum they should look at parents, students, alumni, and private donors as potential constituents. They should recognize the role of government as a constituency, but due to the impersonal nature of government, they will probably not wish to involve governmental officials in goal setting. They should involve other groups which they identify as constituents of their particular institution. Community leaders might be asked to participate in a school which is closely tied to the local community, for instance, as this group might exert influence in the institution. Church related schools might view the church as a constituency, particularly if it is a source of financial support.

The recommendation here is that thoughtful consideration should be given to the problem of identifying and selecting constituencies.

3. Outside help may be required to objectively examine the activities of the institution.

In Chapter Three reference was made to Phase II of the Flow Chart (Figure 6), and core constituencies were advised to examine statements and activities to determine current goals. Statements should be easy to examine, but activities sometimes defy analysis, particularly by those who are conducting them. Individuals closest to the organization may have trouble perceiving or acknowledging what goals are really being pursued. There may be a tendency to perceive activities in terms of the statements which they supposedly support. For this reason core constituencies may find it useful to bring in outside help in the form of organizational consultants, who can take a phenomenological look at the organization in an objective way. The value of such consultants is generally recognized in the world of business and increasingly so in the field of education.

4. Private educational institutions should offer viable alternatives to the public schools.

This statement should be taken into account by the steering committee in refining goal statements during Phase IV of the Flow Chart for use in Phase V (Priority Ranking of Goals). As public education becomes more pervasive and private education more expensive, it is necessary for private schools and colleges to "stake out their territory" and serve those people who desire something different from or superior

to that which can be found in the public schools (Chamber-
lain, 1944; Lloyd, 1972). This should be done through the
goal setting process. As the steering committee works its
way through the process of refining the potential goal
statements generated in Phase III, it should seek particularly
those statements which provide alternatives to the public
schools. Earlier in this paper private schools were called
"minority" institutions. Most Americans are committed to the
public schools, even though these schools are often under
heavy criticism. It is a minority which will pay the price
for private education, and they require that they get some-
thing for their money.

5. Goal statements should be specific enough to be meaning-
   ful but broad enough to engender wide agreement and
   provide the institution's staff with some room for inter-
   pretation.

As the steering committee refines goal statements
(Phase IV in Figure 6), it should keep clearly in mind that
differences exist between goals and objectives. As defined
in Chapter Two, goals are generalized statements of intent.
They must be sufficiently unambiguous so that objectives can
be drawn from them, but sufficiently broad so that they can
serve the three functions outlined earlier.

In terms of the guiding function of goals, broad state-
ments provide opportunities for organizational members to
use their judgment in the writing of objectives. This is

important, because organizational members have been employed with the expectation that they have the expertise to set objectives and devise ways to meet them. This is particularly true of faculty members. An organization which provided no opportunities for faculty members to utilize their professional skills in setting objectives would be a stultifying one. Broad goal statements ensure that this opportunity is given.

The motivating function of goals can also be better served by broad goals, since more organizational members are likely to be able to identify their personal goals with broad than with narrow goal statements. This will result in greater congruence between individual and organizational goals. Goal congruence has been discussed in Chapter Two and was demonstrated by the literature to be valuable to the organization.

The support-seeking function of goals will be more strongly supported by broad goals for the same reason--the ability of broad statements to engender wider agreement--in this case from the external constituencies from whom the organization is seeking support.

A balance of specificity and generality is the ideal, as goals which are too specific will not serve the above functions, while goals which are too general will be seen as meaningless and will also fail to serve these functions.

6. Organizations should focus on goals as well as on objec-
   tives, which means that goal statements should be read-
   ily available to constituents and should be kept in mind
   when making organizational decisions.

   Goal statements must be readily available to staff mem-
bers if they are to write objectives from them. In order
for goals to serve their functions, they must be open to the
scrutiny of constituents. The final step in Phase V of the
Flow Chart, therefore, should be to publish the goals of the
institution in some form. They are valuable for use in cata-
logs, prospectuses, and other documents of the school or
college but deserve some form of separate publication
which can be distributed as a culminating activity of the
goal setting exercise.

CHAPTER FIVE

CONCLUSIONS AND SUMMARY

General Conclusions

The following general conclusions have been reached as a result of this study. These conclusions are supported by the review of the literature found in Chapter Two. As in the preceding two chapters, these conclusions are given here as a series of numbered statements.

1. Goals are important and functional for organizations.

This statement was given in Chapter One as one of the basic premises on which the study was based, and a great deal of support for the statement was found in the literature. Goals were found to be an integral part of the definition of an organization in the views of many authorities and are mentioned prominently in most books on the study of organizations. Organizations must have direction, and purposes, goals and objectives provide this direction.

Much confusion about the definition of goals exists in the literature, but, however they are defined, goals are seen as important and functional (useful).

2. Goals serve a guiding function in organizations.

One reason goals are important is that they serve to guide the actions of the organization. Again, there is virtually universal support for this statement in the

literature. Goals are seen as constraints, are used as a basis for rewards and sanctions, and are used as a basis for the writing of objectives. While different authors stress different uses, there is wide agreement that goals serve as guides to actions in organizations.

3. Goals serve a motivating function for the internal constituencies of the organization.

As long as goals are reasonable in the eyes of internal constituents of the organization, they are seen as motivators. Sources from psychology and organizational behavior agree that individuals do their jobs better and support the organization more strongly if they have a knowledge of goals. Goals are seen as effecting cohesion among organizational members, as providing incentives for organizational members, and as inducing cooperation. There is little doubt, based upon the weight of opinion in the literature, that goals do serve a motivating function in the organization.

4. Goals serve a support-seeking function in organizations.

Every source which discusses organizational goals to any significant degree comments upon their service as support-seeking or "public relations" devices. Since most organizations depend on outside support to exist, this function of goals should not be regarded as a dishonorable one in any way. Goals help to interpret the organization to its external constituents and to enlist their support. Goals are seen as improving the organization's position in its social

environment, as legitimizers of the organization, and as basic to the fund-raiser's case for support.

5. Goals can be classified into a four-fold typology as manifest, hidden, public relations, or latent goals.

One of the original contributions of this dissertation is the four-fold typology of organizational goals which is based on an adaptation of other typologies (Farr, 1972; Perrow, 1961) and on the language of social function as expressed by Merton (1957). This typology depends more on logical analysis than on specific support from the literature, although much in the literature of goals leads the researcher to believe that such a typology is useful and valid. Common sense observations or organizations in action seems to reveal organizational goals of all four types. It is therefore a conclusion of this study that organizational goals can be classified as manifest, hidden, public relations or latent.

6. Goal setting is a difficult and important problem for organizations.

This statement was a part of the second basic premise underlying this study and was borne out strongly from the literature. Many authorities in the field of organizational behavior see goal setting as the crucial task in the organization. Since both acceptance and quality of goals are important, the setting of goals is not, according to Vroom and Yetton (1973), a simple task, but one which must involve subordinates in the organization. Goal setting is difficult

because it must be done through the participation of a wide
spectrum of constituents. It is important because goals are
important and functional for the organization.

7. Goal setting is particularly important for private edu-
   cational institutions.

The plight of private educational institutions in their
attempts to gain and maintain support has been well documented
in this paper, and numerous authorities have suggested that
setting clear, understandable, and appropriate goals is a
positive measure for dealing with the problems of these insti-
tutions. This statement was given in Chapter One as the
third of the four basic premises underlying this study, and
the literature seems to bear out its validity. A number of
authorities and committees composed of authorities support
the view that goal setting is particularly important for
private educational institutions because they are dependent
on support from their external constituents. Sometimes these
authorities speak of "rearticulating purposes," but in terms
of the definitions adopted for this paper, they seem to be
referring to what we call goals.

8. Participation is a valuable tool in certain kinds of
   organizational decision making.

This statement is the first portion of the fourth basic
premise underlying the dissertation, as listed in Chapter One.
Not only is the weight of scholarly opinion in support of
this concept, but research results generally confirm it.
While some studies indicate limitations should be applied

to the use of participation in organizational decision making, virtually all authorities agree that participation is useful in many situations. Hersey and Blanchard (1972) comment on the need for reasonable levels of follower maturity, and Vroom and Yetton (1973) indicate that where acceptability of the decision is not a problem participation need not be used. Much research has been done in the area of participation, however, and most of it indicates that many benefits, as listed in Chapters Two and Three, are derived from the use of participation in various kinds of organizational decision making.

9. Participation can be used in organizational goal setting.

This statement, the final portion of the fourth basic premise listed in Chapter One, is the crucial proposition explored in the dissertation. It seems to have been confirmed from the viewpoint of the literature and from a logical standpoint. Many authorities suggest directly in their works that participation be used in organizational goal setting.

Vroom and Yetton (1973) support participative processes where acceptance and quality of decisions are important. Goals must be accepted by constituents if they are to serve the three functions which we have identified in this dissertation, and they are matters of such importance to organizations that quality is critical; therefore Vroom and Yetton should agree that participation should be used in goal setting. Numerous other authorities have been found to concur.

10. Leaders of private educational institutions which face problems concerning goals should consider the use of a participatory goal setting model.

The final conclusion of this dissertation is that a participatory goal setting model such as the one constructed here is feasible and valuable for use in private educational institutions. Leaders of such institutions should strongly consider the use of this model when the organization faces problems concerning goals. The utilization of this model should serve to increase the acceptability and the quality of the goals of the institution. Goals set through participation should better serve the functions of guiding, motivating, and support-seeking. These statements are supported by the pattern of results found in surveying the literature.

Recommendations for Further Research

This dissertation raises as many questions as it answers. Many of these questions are suitable for research and would prove interesting for further study. Organizational goal setting is an area in which much remains to be done. The following questions are identified here as most worthy of future research efforts.

The first problem which should be explored is one of implementation of the participatory goal setting model suggested in this dissertation. A study wherein the model would

be implemented in a private educational institution could focus on the following questions: (1) Would constituents express more positive attitudes toward the organization after participating in the process of participatory goal setting? Our hypothesis is that they would, but this should be determined experimentally, and, using a scale of attitudes, this could be determined. (2) Can other values commonly associated with participation be achieved through the implementation of the participatory goal setting model? We have heard from various authorities that quality of goals should be improved, that cohesion among organizational members should be enhanced, and that job satisfaction should be improved. Each of these contentions could be tested after implementation of the participatory goal setting model. (3) Is external support for the organization increased in financial terms as a result of the implementation of the model? Such a question, of course, would be difficult to answer if other variables, such as significant changes in the economy, should intervene. Nevertheless this would be an interesting question to explore. (4) Would activities and statements be more congruent following the implementation of the model? This model should result in a larger percentage of manifest goals in relation to other kinds (hidden, public relations and latent). It would be of considerable interest to determine the level of agreement between statements and goals before and after the implementation of a participatory goal setting model. (5) How, in detail, can this model be

implemented? An interesting and useful piece of research would be the careful annotating, through the use of a journal, of the complete process of implementing a participatory goal setting model in a given school. This kind of anecdotal research could be helpful to practitioners who would like to implement the model.

The above questions are all dependent upon the implementation of the model developed in this dissertation, but there are other interesting questions which are raised here. A study wherein the four-fold typology of organizational goals suggested in this dissertation would be tested against reality would be useful. Can organizational goals be observed which fit each category suggested? Do manifest, hidden, public relations, and latent goals really exist in the typical organization? Are these types discrete, or are some goals marginal, falling between types? These questions could be answered through observational research.

Another interesting area of research suggested by this study would be the relationship between "quality" of goal statements and institutional "success" (as measured in financial terms, reputational terms, or placement on a scale of organizational purpose level). Are organizations with clear and recently established goals more successful in these or other terms than organizations which do not have such goals? The assumption throughout this dissertation has been that more functional goal statements will improve an organization. While

this hypothesis seems to be supported in the literature, it could conceivably be tested.

Another interesting problem area for further study would be the testing of Nelson's concept of "organizational purpose." Could organizations be identified at each of the four levels of organizational purpose? If so, would these organizations exhibit different kinds of goals? For instance, would a survival level institution have a larger number of hidden goals, or of public relations goals, than one at the commergence or the differentiation level? This concept of organizational purpose remains very much unexplored.

Goal setting is an interesting and important area of study, and several authorities in the field of organizational behavior have commented to the effect that little work has been done in this area, and that much remains to be done.

Summary

This study was undertaken to explore the process of goal setting in organizations in general, and private educational institutions in particular, in an effort to determine the potential usefulness of participation as a goal setting method, and to develop a model for participatory goal setting. The basic research method used was the survey of the literature, with attention to the literature of organizational goals, the literature of private educational institutions, and the literature of participation in organizations and particularly in educational institutions.

The study has achieved its purposes. Four basic premises were important to the project from its inception:

(1) Organizational goals are functional and important.

(2) Goal setting is a particularly difficult form of organizational decision making. Both quality and acceptance of goals is important in any organization, which makes the task of establishing and communicating goals a critical one for the organization.

(3) Goal setting is particularly important for private schools and colleges because they are highly dependent on external support, and goals are a major means of engendering that support.

(4) Participation is a legitimate and useful device for organizational decision making and can be applied to goal setting.

Each of these premises was supported by the literature, which made possible the development of a model for participatory goal setting.

Three functions of goals—the guiding function, the motivating function, and the support-seeking function—were discovered as a result of the literature review. The data seem to support the proposition that each of these functions can be better served by goals set through participation than by those set in a traditional, elitist fashion.

A four-fold typology of organizational goals was developed wherein goals were classified as manifest (stated and

intended), hidden (unstated but intended), public relations
(stated but unintended), or latent (unstated and unintended).

A model for participatory goal setting was developed,
consisting of a series of propositions, a graphic model, and
a flow chart of organizational goal setting. Recommendations
were made for the implementation of the model.

Conclusions reached as a result of the study included
confirmation of the four basic premises listed above, confir-
mation of the three functions given above, confirmation of
the usefulness of the typology of organizational goals dis-
cussed above, and the final conclusion that the model for
participatory goal setting developed in this dissertation is
feasible and valuable for participatory goal setting in a
private educational institution.

Recommendations for further research revolved around
the implementation of the model, the testing of the typol-
ogy, exploration of the relationship between goal quality
and organizational success, and testing of the concept of
organizational purpose.

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