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A Determination of Management Philosophy Based on an Optimistic Assumption of Man's Nature

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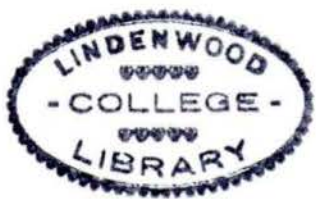
MASTER OF SCIENCE DEGREE IN MANAGEMENT

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CHAPTER I

INTRODUCTION

ABSTRACT

Management theory contains varying prescriptions for increasing managerial effectiveness in the work environment. This study attempts to develop an effective managerial philosophy, consistent with an optimistic assumption of human nature with a focus on the development of the good, capable, and responsible man. Consideration is given to theories of human nature, individual belief systems, the values of American society, the military organization, and current management theory and practice.

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CHAPTER I

INTRODUCTION

It may be said indeed, that without bones and muscles and other parts of the body I cannot execute my purposes. But to say that I do as I do because of them, and that this is the way in which mind acts, and not from the choice of the best, is a very careless and idle mode of speaking.¹

Socrates' words just prior to his death as narrated by Plato were the statement of his reason for living and, in effect, the cause of his death. He believed that a man chooses his life and is responsible for who he is and what he does. The world of ideas is the truest form of reality and each man is capable of choosing good and determining it for himself.²

In looking at myself and others I have wondered at both the uniqueness and sameness between people. What has made us what we are? Why do we all have basically the same components and yet some achieve more than others? What produces a man of integrity, a man who knows what is right and says so, regardless of consequences? How can a man in the military follow orders, yet know when other orders should not be followed? The answers to

those questions would be different for each individual based on his personal assumption of human nature.

I believe that man is basically good, capable, and responsible for his life and his actions. The environment affects man but he can determine and do what is right despite its distortive influences. The purpose of this paper is to take that basic assumption and the values it presupposes and try to develop a framework for personal evaluation in the future. This paper will look at one theory of why and who we are in a search for more effective and efficient methods of management within the Army. Its primary purpose, however, is to clarify my values and allow me to put the worlds of philosophy and management into a more useable mosaic of life. In the words of Plato:

Now the partisan, when he is engaged in a dispute, cares nothing about the rights of the question, but is anxious only to convince his hearers of his own assertions. And the difference between him and me at the present moment is merely this - that whereas he seeks to convince his hearers that what he says is true, I am rather seeking to convince myself; to convince my hearers is a secondary matter with me.³

I do not presume to have the insight and self-containment of a Plato, but I do have a responsibility to make a personal choice of managerial values. Convincing others of the rightness of my position is a secondary matter because each individual who is

controlling and not controlled must determine and affirm his own truth and make his own decisions. The outline of presentation will be to investigate man's nature and his belief system; to look at American society, its values and the military which defends them; and finally, in looking at current leadership and management theory, to outline a management philosophy, consistent with the above factors.

CHAPTER II

THE NATURE OF MAN

An assumption of man's basic nature forms the foundation upon which are built present day organizations and societies. One statement of those assumptions would be that man is either basically good or evil and that he is capable or incapable of determining his own destiny.¹ That statement may be too simplistic, however. Life is not lived in terms of black and white, but in varied shades of grey. An optimistic view of man would categorize him as good but capable of evil and his actions as chosen but influenced by the environment. A pessimist might say he was primarily evil and his actions controlled by environmental factors. The pessimistic view espoused by Niccolo Machiavelli in The Prince and Thomas Hobbes in The Leviathon led them to advocate societal development for the control of man and the subjugation of his will to that of a higher authority, the State. Those recommendations were justified "for the good of man." Sigmund Freud, in his assumption of the existence of innate evil drives in man, also felt that man must be controlled by society since he was a prisoner of those urges.² B. F. Skinner proposed that

a society be developed "for the good of man" in which the concept of free will had no place and in which each man would be molded by positive reward to fit social design.³ That recommendation was only a step away from the 1984 society described by George Orwell in which human beings became totally controlled automations ruled by force and coercion.⁴

The assumption that man is innately good and can control his own actions and make own decisions based on reason is immensely more appealing. Erich Fromm in Man For Himself has pointed out that Freud's innate drives, while important, do not account for man's strivings once the basic instincts for self-preservation and sex are fulfilled. Man wishes for more, the restoration of a unity and equilibrium between himself and nature.⁵ The paradox of human nature is man's desire for independence and uniqueness and at the same time his desire for closeness and oneness with others. Fromm's answer to that dilemma was for each man to perceive the world as it is and to understand that it can be enlivened and enriched by himself.⁶ Abraham Maslow in The Farther Reaches of Human Nature asserted that all research evidence indicates it reasonable to assume that there is in every human being a will toward health and a propensity for growth and the actualization of full human potential. His great paradox was that even in a society as fortunate as the United States,

few people ever reach that potential.⁷ Chris Argyris has categorized human growth and maturation as tendencies to activity, independence, longer term perspectives, higher positions than peers, control over world, and the development of a self concept with feelings of self worth and integrity.⁸ But these tendencies are only some of man's needs. He actually spends his life attempting to satisfy needs of many types, ranging from basic physical needs to those of a higher order, the need for productivity and self fulfillment or self actualization. When his basic needs are satisfied man searches for higher need satisfaction.⁹

Modern organizations, however, seem to be structured for efficiency and function, not the fulfillment of man. Argyris has pointed out the incompatibility of an individual striving for maturity in an environment which demands immaturity. In attempting to fulfill needs, the individual develops patterns of behavior based on his perceptions of their instrumentality in achieving that goal.¹⁰ It is indeed possible to develop behavior patterns in man by manipulating his environment.

But man is more than just an automaton programmed to reinforce successful behavior patterns and avoid others. He has a concept of self - who he is, whether he is good or bad and what he values and believes in. He reacts to his environment but does not have to be controlled by it. The bulk of present Western philosophical and psychological theory takes that position.

The existentialist philosophy holds that man does not achieve his human nature until after birth when he exercises choice. There is no fixed human nature, no values external to man. Man chooses his values and thereby makes himself. That philosophy places full responsibility for the life of man with man and requires action.

In the words of Sartre, "Man is nothing else than his plan; he exists only to the extent that he fulfills himself; he is therefore nothing else than the ensemble of his acts, nothing else than his life."¹¹ The humanist philosophy of Fromm also holds that man is responsible and must be productive but maintains that the sources for norms or values are objectives and within man's own nature. That nature has a requirement to know oneself and the capacity to love, be good, and productive. Value judgments determine our actions. Upon their validity rests our mental health and happiness. "The aim of

man's life, is the unfolding of his powers according to the laws of his nature."¹² The Judeo-Christian ethic, although authoritarian in its view of what should be believed, also affirms that the ultimate responsibility and accountability for man's actions rests with himself. In fact, the bulk of philosophical authority and religious belief concerning man rests on a foundation of self-determination and free choice.

That choice is based on perceptions of the individual derived from experience that a certain action will lead to an end or goal that is valued. The behavior itself is chosen based on situational stimuli, the belief system of the individual, and habituated behavior patterns. Central to that belief system is the concept of "self." The term refers to the unique integration of the parts of the personality for a given individual. That "self", once formed in the process of individual maturation, serves as a framework or guide that enables each individual to make sense of his own experience. It is the personal answer to who I am, what I am, and where I stand with the world around me. The "self" is the strongest of beliefs, the one least subject to change and the part of one deciding if all future experiences are accepted and integrated or ignored, denied or distorted because experience makes no sense to self.¹³

CHAPTER I

An optimistic assumption of man's nature holds him to be capable of choosing the good and personally responsible for his choices. Man is affected by his environment but does not have to be controlled by it. He can, in effect, make himself by his productive actions and thus fulfill the potential of his own nature. His choices are made in accordance with his beliefs which integrate his "self" with the external environment. The makeup of what belief system and its effect on behavior will be the subject of the following chapter.

CHAPTER III

THE BELIEF SYSTEM

The culture into which man is born, the society in which he lives, the institutions within that society and the man himself determine his beliefs. Each and every one of those beliefs about physical and social reality are organized in some psychological form in his belief system and, in effect, make up his personality. Milton Rokeach, a psychologist who has devoted his career to the study of beliefs, attitudes, and in particular, values, has defined them as follows:

Belief - an underlying state of expectancy. Each person has tens to hundreds of thousands of beliefs.

Attitude - an organization of several beliefs around a specific object or situation. They number in the thousands.

Value - a single, enduring belief that a specific and state of existence or mode of conduct is preferable to an opposite and state of existence or mode of conduct. Rokeach groups values as instrumental (means) and terminal (ends) and has identified eighteen of each type.

A value system is an individual's organization of values as to their importance.¹

Besides his attitudes and values, each individual has cognitions about his behavior and commitment to that behavior, cognitions about the belief systems and behavior of others who are significant to him, cognitions as to the behavior of physical objects and, most importantly, cognitions of his self, who and what he is.²

The concept of self and that of values held are the most central to the individual since values are norms to self conduct and can determine the importance of his basic needs. The self as the center of man's personality is maintained against threats by defense mechanisms. In modern society, if needs for growth and actualization cannot be achieved, the individual will vary his pattern of behavior in an attempt to achieve them. If those goals are still not achieved, he may resort to aggression, regression, denial, rationalization or a myriad of other defense mechanisms to protect his self concept.³

Behavior which conflicts with values will result in a change in behavior to agree with the value held. An individual will also change his behavior if it is inconsistent with his attitudes. But, because attitudes are situationally specific and less pervasive than values, the behavior change will be more limited in

scope and less enduring. If attitudes, behavior or values conflict with the individual's self concept and he becomes aware of that fact in evaluating his self, he will change those beliefs or behavior to conform with that self concept. The key here is to become objectively aware of the discrepancy.⁴

It is quite possible that an individual will change his attitudes and behavior in a given area if he is told that his boss's attitudes or those of his work group differ from his own. He is less likely to change if he feels that his real self is in agreement with his attitude and behavior. Questioning of values and evaluation of self seldom occur, however, unless the individual makes an effort to do so. In present society man's behavior can and often does become conditioned by experience and controlled by his social and cultural exposures and the institutional environment in which he works. The ultimate example of such a conditioned individual would be an Eichmann or a Calley and those around them who blindly acted without ethical foundation. Other examples on a lesser scale could be given of practically all of us.

A man's beliefs largely determine his actions. While man develops attitudes based on specific situational exposures, his values and self concept are more central

guides to conduct and far broader in their application.

Men of character have closely examined themselves and

their values and have a firm, ethical foundation on

which to evaluate their actions and responsibilities.

The next chapter will examine American society, one of

the major factors in the development of the individual

and one of the major influences on the determination

of his values.

CHAPTER IV

AMERICAN SOCIETY AND ITS MILITARY

Abraham Maslow considered the two major problems of our time to be the making of the good person and the making of the good society.¹ In effect, he was asking how can we produce the self-evolving, responsible, self actualizing man and what type of society can sustain him? John Locke developed a political philosophy in the seventeenth century based on individual liberty, equality of opportunity, and each man's right to the pursuit of happiness which should have provided the answer. Assuming the nature of man to be good but capable of acts harmful to others, Locke advocated a central government with authority to insure the security of all and to provide for equal and impartial justice. To provide that authority each individual must "part also with as much of his natural liberty, in providing for himself, as the good, prosperity and safety of the society shall require."²

Man can be viewed as an end in himself and because it recognizes that, the United States is the first moral

society.³ Governmental authority must be limited, however. In her Nature of Government essay, Ayn Rand succinctly stated that "a private individual may do anything except that which is legally forbidden; a government official may do nothing except that which is legally permitted."⁴

Society is the means of peaceful, voluntary coexistence of individuals. So too, in the economic realm, is the philosophy of capitalism. What is produced, what is purchased, and the price at which it is to be sold is determined on an equitable and efficient basis by decisions of individual producers and consumers in the market place. Each man acting in his own self-interest will insure the most efficient allocation of resources throughout the society.⁵ This self-interest and rugged individualism was contained in the Protestant Ethic, a justification for materialism cloaked in the garment of religion. Individual salvation is obtained through hard work, thrift, and competitive struggle.

Life, however, does not blindly follow the roadmap of philosophical thought. With the advent of the industrial revolution came a trend to bigness and complexity. In the beginning this produced a requirement for rugged individualists to make order out of chaos, but that soon passed. Operations, procedures, and

performance had to be predictable. Jobs had to be broken into their smallest parts and engineered to insure optimum efficiency. With decreasing worker individuality came an increasing requirement for collective, selfless actions for the good of the business or governmental institution. A legal, eternal entity superior to man was formed and named the Corporation. Decision making authority moved from individual to collective processes. The most effective manager was a team player and large corporations were highly selective in hiring their type of people.⁶

John Kenneth Galbraith has pointed to the development of another power center in society, that of the technocrats. Technically proficient bureaucrats in large organizations are planning and controlling by committee the allocation of resources and direction of the American economy. He asserted that "it is not to individuals but to organizations that power in the business enterprise and power in the society has passed."⁷ Those organizations do not reflect the will of the total society in their goal structure. The change in the focus of societal decisions has been due to the increasing intricacy and interrelationship of issues and the lack of individual will to become involved. Those issues and the increasing complexity

of life have engendered individual apathy. American society is still a participative democracy dedicated to liberty but the trend is to yet another kind of society. Alvin Toffler has pointed to the accelerative thrust and complexity of life in the future which may force individuals to shun novelty and innovation, avoid decision making, and develop totally habituated behavior patterns.⁸ New experiences which cannot be incorporated into an existing attitudinal (situation specific) system will be ignored or distorted to fit with those attitudes. Should individuals become apathetic and conditioned to that degree, American society and its values could not survive.

George Orwell in his *Animal Farm* provided a classic yet chilling example of how a society created on the principle of individual liberty and equality could become a totalitarian system because the many endured small reductions in their decision making authority until, by their inaction, some few became "more equal than others."⁹ The rights of individual liberty pose with it a moral responsibility to exercise that liberty by questioning and choosing as a productive citizen. America has had its Watergate, a history of racial prejudice, economic inequities and other major problems. Its basic strength is that it eventually faces up to its aberrations and attempts to resolve them. Its basic weakness is that it shouts "stop" to those aberrations only when they have gone too far.

Military forces of the United States are charged with safeguarding this society and its values from outside aggression. During early US history those forces were kept to a minimal level during peacetime and were augmented with citizen soldiers during periods of war. With the advent of the nuclear age, however, a large professional military force was considered essential even in peacetime. Civilian control of military forces has always been important, but the nuclear age and the Truman-MacArthur confrontation during the Korean War reaffirmed it and made it a basic tenet of military doctrine. Whether military forces should be a professional elite or citizen soldiery, how the standing army should relate to society and how its military members should fulfill their obligations as participating, challenging citizens have been constant sources of debate ever since.

Samual P. Huntington in his The Soldier and the State classified the military officer corps as professionals in the management of violence. The military view of human nature was characterized as essentially Hobbesian: man is irrational, weak, and evil. Inferring the military ethic from its responsibilities he termed it as "pessimistic, collectivist, historically inclined, power oriented, nationalistic, militaristic, pacifist, and instrumentalist in its view of the military profession."¹⁰

It is difficult, however, to perceive of the military as an effective guardian of societal values of liberty and equality if it does not share them. Morris Janowitz in The Professional Soldier held that there is no required incompatibility between a modern officer corps and the democratic society which it serves. Military professionalism is nourished by societal values and influences, provided it does not become overwhelmed by them. In his prologue to the second edition of the work, Janowitz voiced concern that present trends were toward the isolation of the military force from its civilian values and recommended maintaining civilian crossfeed to foster integrity and accountability.¹¹ Current research reflects an agreement with basic societal values by military members. Because of the uniqueness of the military environment, however, attitudes in specific areas related to war, military policy and what should be the influence of military leaders do diverge.¹²

Technological improvements in weaponry have created a requirement for varied leadership in the Air Force capable of swift independent judgment in crisis situations but, at the same time, knowledgeable of and responsive to the desire of higher authority. Individuals within the military are more educated than in the past and must assume far more responsibility due to increasing fiscal constraints on resources. The military system of management must provide effective long term planning,

efficient current operations and immediate response to a variety of contingencies. The officer must be versatile enough to deal with military, government, and private organizations at all levels and must be capable of separating relevant from non-significant data in his decision making. In the planning process he must be capable of participative leadership to insure all relevant factors are considered, yet in a moment of crisis he must insure those plans are carried out to the letter. He may be a fighter pilot or logistics officer, or both. Regardless of his education he must be able to apply his knowledge practically.¹³ In the aftermath of the Vietnam war he asks himself when must he deviate from his pattern of obedience to orders and at what point must he refuse? How much participative management can be applied in a military organization before the ability to achieve objectives is impaired?

When individuality is submerged or discouraged in any organization what is produced is consensus, a lack of responsibility and, in times of crisis, ineffectuality of leadership. In his The Best and the Brightest, Robert Halberstam gave a chilling portrayal of the genesis and growth of the Vietnam conflict. Some of the most dedicated people and best minds in America committed atrocious blunders in the handling of the war because they became committed to their war strategy and felt dissent and the airing of differing proposals to be counter to

perceptions of teamwork. This conformity actually resulted in manipulation and distortion of reporting to back-up prior decisions. In effect, a group of brilliant individuals acting together managed to provide a less than mediocre output.¹⁴

Believing in individual worth does not seem to be inconsistent with cooperation and teamwork. In fact, it would seem to be the very essence of it. Individuality should be encouraged and the best of it integrated with other bests, producing something more than any of its individual inputs. This relationship was termed synergy by Ruth Benedict and is characterized by an individual acting for himself and, with that same act, serving the advantage of others. It is not a game in which some win at the expense of others, but a relationship in which all are nourished by excellence and the best of differing viewpoints.¹⁵

In his book, *Nineteen Stars*, Edgar F. Puryear, Jr. studied the lives of four great American generals of World War II, George C. Marshall, Douglas MacArthur, Dwight D. Eisenhower, and George S. Patton. He categorized the overall leadership qualities of each and concluded that one description of the character required for success would be professional knowledge, decision, equity, humanity, and courage.¹⁶ In reading his biographies, however, it seems that more central to

the emergence of real character is an early interest in and development of a well-thought-out individual value system and a lifelong search for exposures to challenge so as to increase individual capabilities.

Through lifelong preparation each of those four men were ready for command when a crisis or opportunity appeared. Throughout their careers, all acted in the highest fulfillment of an ethic based on Duty, Honor, and Country, but at various points all took actions or developed strategies counter to the prevailing wisdom. There is no reason to question that each, if faced with required violation of their high standards of character and integrity, would have resigned rather than compromise them.

That type of leadership in a military officer profession cannot be developed by saying it exists or by mandating adherence. It requires opportunities be offered for individual growth, maturity, and the development of an individual philosophy and value system of the highest order. It also requires an organizational system flexible enough to develop and effectively use those capabilities. The next chapter will look more closely at the organizational system of the United States Air Force to determine if such flexibility does exist or can be generated.

CHAPTER V

MILITARY ORGANIZATION

The prior chapter described American society as one founded on an optimistic assumption of human nature. Individual freedom and equality of opportunity are cherished values, safeguarded from external threat by the military. However, under the mantles of ever increasing size and complexity internal threats are more insidious. Apathy is often generated in the majority who have passed decision making authority in key areas to an elite few, representatives of interest groups and power centers in our society. Those few plan and make decisions based on group consensus, often evaluating past actions only after the point of crisis has been reached. That same societal problem is mirrored in its main organizational mechanism, the bureaucracy.

The bureaucratic form of organization was fostered in the United States during the nineteenth century when productivity and efficiency became the watch words of American business. Large increases in business size

were accompanied by concurrent decreases in job scope and worker autonomy. Job structure was measured in therbligs, the smallest segment of the work process, and jobs were designed for optimum productive efficiency. Worker autonomy decreased as a result. The growth process was characterized by ever increasing specializations of function, increasing levels of hierarchical supervision, an all pervasive system of rules and regulations to insure conformity of process, and an impersonal character of worker/supervisor relations. In effect, the mature bureaucracy was created.¹ While no better organizational system exists to insure precision, reliability, and efficiency of large business operations, factors within the bureaucratic organization can and do have dysfunctional consequences for the actualization of individual potential and the achievement of organizational goals. In fact, Honore' De Balzac terms Bureaucracy "a giant mechanism operated by pygmies."²

A bureaucratic organization is normally a secure employer, providing for graded careers, seniority, and an appraisal system which rewards disciplined action. As a result, adherence to regulation and a lack of innovative thinking can be engendered. Bureaucrats then shrink to fit their job outlines and rules become

absolutes in themselves. Merton has summarized this ends/means confusion by stating that

Through sentiment formation, emotional dependence upon bureaucratic symbols and status, and affective involvement in spheres of competence and authority, there develop prerogatives involving attitudes of moral legitimacy which are established as values in their own right and are no longer viewed as merely technical means for expediting administration."³

The tendency to confuse ends and means is not limited to large businesses in the civilian sector. It is even more pronounced in governmental institutions where measures of profit and loss do not serve as the final arbiter of organizational efficiency. Robert Kharash has termed the problem The Institutional Imperative. Layers of institutional mechanisms develop and every action and decision within the organization is intended to keep institutional machinery working, regardless of contribution to ultimate organizational goals.⁴

The United States Air Force is an extremely large, bureaucratic organization. Spending over \$32.2 billion per year, employing almost a million people, with 140 major installations and over 3,000 other locations, it is indeed big business.⁵ Since 1964 it has decreased its personnel strength by 27%, yet personnel costs have

risen 77%. At the same time increasing costs of weapon system procurement and operation have further compounded the problem. As a result, management has increasingly stressed doing more with less by increasing productivity.⁶

The Army and its sister services have been largely successful in their business. To overcome many of the inherent weaknesses of the bureaucratic model, they have developed an effective staff organization, used a personalized system for promotion at higher levels, and instituted the project form of organization in areas where it would be most beneficial, particularly in the systems acquisition process.⁷

The types of jobs in today's Army approximate those found in civilian industry. So do the types of people. Enlisted men and officers, particularly in support roles, are generally highly educated and responsive to democratic rather than authoritarian styles of leadership. Like their civilian counterparts, they are often frustrated by bureaucratic dysfunctions. The military organization itself has built-in autocratic tendencies and frequently limits opportunities for worker participation in the decision making process.⁸ The range of management versatility required is great. In many situations, particularly in the execution phase of operations, rank is position and unquestioned obedience

is essential to mission fulfillment. In others, particularly in planning and problem solving at higher levels, participation and the consideration of all alternatives are essential to optimize resource efficiency.⁹

Professionalism was never more needed but conversion to an all volunteer force, increases in compensation at all levels, and a perceived erosion of unique military benefits are changing the military career from a profession to one more like a civilian occupation. As military careers become more civilianized and the individual enlisted man loses his sense of purpose, he considers his job as nothing more than that - a job. As a result, military services are in very real danger of unionization.¹⁰

The implementation of a new Officer Effectiveness Report system may have a further, adverse affect on the bulk of the officer population. For the first time one-half of all officers are being told they are below average and implicitly in danger of promotion passover. The appraisal system has become a zero sum game, with a winner for every loser. As a result, morale and motivation are decreasing and an effective system for managerial development may be hindered.¹¹

Other changes have been necessitated by modern warfare. The increasing destructiveness of modern

weapons systems, the ever present political shadow in operational areas, and the growing sophistication of command and control systems have resulted in increasing decision centralization at higher levels. The broad functional expertise required to cope with complex modern problems and budget limitations have made those decisions more difficult and fostered a collectivism of the decision process.¹²

When collective decisions crossing functional lines are made in an organizational framework which confuses ends and means, inefficiency and stagnation are inevitable system outputs. George Odiorne, one of today's foremost management theorists, has pictured the military bureaucracy as composed primarily of non combat, functional experts who resist traditional military discipline, complicate rather than simplify, and spend huge sums of money producing a self reinforcing, inflationary economy. As a result, congressional and business interests are focused on the military and often work counter to military perceptions of mission requirements. Military leaders have become powerless in many key areas and resigned to the inevitability of the system. In effect, "the continuance of old fashioned military autocracies and command continue in those areas which are unimportant while being totally impotent to deal with the important

strategic questions."¹³

Often plans and decisions are made by staff or higher level functions with an objective of clearing an in-basket, rather than producing the optimum result. The execution of those plans by workers at lower levels of organization will be less than intended and could make even a good plan ineffective. Peter Drucker has characterized the difference between an effective and ineffective organization as a difference in what is delegated. The poorly run organization delegates authority while the superior organization delegates responsibility.¹⁴

It seems logical that a leader who assumes that man is capable of innovative, productive action and capable of controlling his environment delegates responsibility. That delegation is, in effect, an assumption of responsibility at lower levels. If a leader does not allow his supervisors to assume that responsibility, his plans remain his plans and their execution by others may not be optimum.

In the wake of Vietnam and the Watergate scandal, in a period of increasing cost and decreasing resources, and at a time when world war could destroy civilization as we know it, effective management and leadership in the military is essential to national survival. That

leadership will have to be characterized by an ability to handle change and conflict constructively and, most importantly, by a solid core of integrity upon which a democracy must be based. The next chapter will look at present management theory in an attempt to develop a framework for such leadership.

business: the bureaucracy has produced tremendous growth and productivity in the modern work place and largely increased the living standards of the average worker. It has also produced activities which demand managers who often lose sight of organizational goals and take little responsibility for their achievement. That type of behavior is not associated with the fulfillment of man's socializing potential and is, in effect, a misuse of environment over man. Man has a loss of freedom and is not free and the organization is a loser. The key to achieving productivity for the organization lies with the individual: a reward and control system which encourages the individual to realize his potential.

In 1957, Douglas McGregor characterized the then prevalent carrot and stick approach of management practice as one founded on a pessimistic theory of

CHAPTER VI

MANAGEMENT THEORY

Stemming from the specialization of function and standardization of operations required by large businesses, the bureaucracy has produced tremendous growth and productivity in the American work place and largely increased the living standard of the average worker. It has also produced activity oriented managers who often lose sight of organizational goals and take little responsibility for their achievement. That type of behavior is not consistent with the fulfillment of man's actualizing potential and is, in effect, a triumph of environment over man. When man is less than he could be both he and the organization are losers. The key to achieving productivity for man and organization lies with man himself. A carrot and stick, reward and punishment management system cannot achieve full potential.

In 1957, Douglas McGregor characterized the then prevalent carrot and stick approach of management practice as one founded on a pessimistic theory of

human nature which required that man be controlled by his environment. Advocating an optimistic assumption of man's nature (theory Y) he recommended changes in the work place to foster the self-controlling, self directing individual. He warned, however, that present habits, attitudes and expectations had already been formed by the existing work place environment. Any application of new theory would be slow and progress achieved in small steps.¹

In 1961, Harold Koontz pictured management theory as a jungle in which experts talked different languages and where a common, interrated approach had not been developed.² Little has changed today. There is no acknowledged one best way. Practitioners of psychology, sociology, systems analysis, management process and other schools of management still abound, selling programs for overall organizational improvement based on forecast profits which would result from the unleashing of human potential.

Applications of psychology and sociology to the work place have been, for the most part, attempts to develop an environment conducive to changing the behavior of individuals so that organizational objectives can be better achieved and human needs satisfied. It is felt that changes in organization, tasks, and methods of

operation can provide intrinsic and extrinsic rewards to the individual and over time produce changes in his behavior pattern. This is, in effect, the carrot and stick approach to motivation in theory Y disguise. Peter Drucker has termed much of the effort in this area as "psychological despotism." Enlightened despots are maintaining control of the work place by replacing command with persuasion and the old forms of managerial coercion with new ones of persuasion, reason, and enlightenment.³

If we agree that man is capable of good, and responsible for his actions, that optimistic assumption should be reflected in the management programs designed to enable him to fulfill himself. Granting that the work place has largely influenced man's behavior and restricted his abilities does not presuppose that man must be molded by an enlightened few to achieve his potential. If he is to become active, choosing, responsible, and productive, he cannot achieve it by letting others act and choose for him. Social needs, the need for recognition and other psychological rewards are only part of man's higher needs. He must be what he is capable of becoming. Efforts in the work place should be largely directed at assisting him in that task.

Some hold that a humanistic or optimistic view of man which pictures him as controlling and responsible and the agent of change is more philosophic than scientific by nature and not practically applied to the work environment.⁴ The problem may be that we are limited in our view of man's potential by our own scientific perspective. Be he psychologist, sociologist, or biologist, the scientist is mechanistic in his viewpoint, attempting to explain man on the basis of his own preconceptions. Experts in the behavioral sciences often apply their scientific ideology in lieu of moral values. In effect, our view of man and his possibilities is limited by our viewing instrument. In evaluating much of the behavioral science perspective on man's nature and potential, Robert M. Young has found it wanting. "Science causes a fatalism on the one hand, and amenability to technological manipulation on the other... We must recover our right to define our own nature through our struggles to overcome our own limitations."⁵

Man has an urge to change what is into what should be but has difficulty in accomplishing it because his mind has become entangled with the difference between the two. Robert Powell has pointed out that man fails to realize that "the pressures which have created our

problems are the very same pressures that have molded the mind with which we try to solve the problems."⁶

Since the working of man's mind cannot be readily observed, scientists examine his behavior and the type organization which produced it. Based on years of laboratory research, studies of corporations and application of accepted theory, Rensis Likert outlined some twenty-four properties of highly effective work groups. They are summarized as follows:

- Members of the group interact well together on the job.
- Members and leaders demonstrate a mutuality of trust.
- Values and goals of the group and individuals are in high agreement.
- All interactions occur in a supportive environment.
- Standards are high.
- Communications are effective.
- Creativity and the assumption of responsibility is encouraged.⁷

Likert's description seems to demonstrate the type of behaviors inherent in an optimistic view of man's nature. In trying to develop organizations along those lines, however, participation has often become a goal in itself. Practitioners of change sometimes lose sight of the fact that the growth of the individual will produce those

behaviors with a deep rooted, lasting formulation.

A man who has been limited in capability learns to be productive by doing something productive and he cannot change to a controlling man overnight or in a series of laboratory exposures. Sensitivity sessions and human relations training, however, have often been used as primary tools of change.⁸ This type of overall organization program has frequently developed conflict, not resolved it. An authoritarian manager placed in an organization which is operating under or undergoing changes to participative management may have considerable difficulty adapting to the situation. A democratic manager placed in an organization with an authoritarian superior or with followers who cannot function in a participative situation also experiences role conflict. He is, in effect, at war within himself. Changing his personality or behavior in a manner inconsistent with his real self could be perceived by others as manipulative.⁹ Leadership style is a product of individual development over time and cannot easily be changed. In moments of stress, the false colors can show through and leadership effectiveness will diminish as a result.¹⁰

The primary ingredient for successful achievement of man's good and controlling nature is to believe that he has such a nature and then present him with opportunities to be what he can be. If he is capable, he

can choose wisely. That choice based on knowledge would seem to be an essential basis for change. So, too, would productivity. As was outlined in Chapter II, Fromm's key to reconciling man's desire for independence and at the same time his desire for closeness with others was productivity. Designing a program for change or a personal managerial philosophy without some meaningful link to achievement would remove man's purpose and his responsibility from the change system.

Systems designed for managerial development or individual fulfillment must be consistent with an optimistic view of man's nature or that nature will never be realized. Individuals can change themselves and their environment when presented with information which causes them to be aware of situations that require change. To do that has been particularly difficult, however. Not all men desire self fulfillment, but that opportunity must be provided. The remainder of this chapter will focus on four systems for constructive change which, if properly applied, can provide individual growth opportunities and increased organizational effectiveness. They are self evaluation, Management By

Objectives (MBO), job enrichment, and situational management theory.

As outlined in chapter II, an optimistic view of man holds him capable of and responsible for developing his own self concept and living and choosing in accordance with a belief system based on it. Research supports that conclusion. The inner directed individual has developed his own values and a management style which is most effective in an environment which values achievement and independence. He deals actively and analytically with task requirements and has no difficulty in differentiating among subordinates in performance appraisals. He knows what is right and what is most important to task achievement. An individual who relies on his environment for value development and task definitions is passive, socially oriented and cannot differentiate in the appraisal of subordinates.¹¹ This does not stereotype internally valued individuals as introverted and task oriented or externally valued people as extroverted and human relations oriented. It does not even hold that their values are dissimilar. It means that a man who has closely examined himself and his beliefs is less likely to be controlled by his environment. A man who knows his values and those of the organization in which he works are in agreement

should be more loyal and less likely to give up those beliefs under the pressure of mediocrity or conformity.

The research of David C. McClelland into the achievement motivation and his success in fostering it shows that man can change his values when placed in an environment where he believes achievement is valued.¹² Other research has provided a new insight and a possibly useful tool for fostering constructive self evaluation. Attitudes are numerous and specific to situations. Values endure as standards for man's actions and are far more pervasive, controlling many attitudes. Milton Rokeach has developed a technique for measuring individual values and the perceived values of others. By showing inconsistencies in relative ranking of individual value systems and offering those individuals an opportunity to evaluate their real self concepts, changes in values have been effected. Those changes were in the main toward an increased rather than decreased importance of four values: freedom, equality, a world of beauty, and self-control.¹³

Managers need to examine their values and be able to accept and share multiple value systems within the organization. Value surveys of the Rokeach type could also be used as an aid to insure a better match between superior and subordinate in the employee selection

process.¹⁴ More importantly the evaluation of personal values may move a large number of people towards personal self actualization. It may also result in others leaving the organization because they perceive an incompatibility in basic values and search elsewhere for fulfillment.¹⁵ That, however, is consistent with man's choosing nature. There is likewise an obvious danger in wholesale value changes engendered by any revolutionary attempt at value standardization within an organization. That is manipulation. If man is truly capable of choosing, an aid to value clarification should enable, not coerce.

Management By Objectives is probably the best system for integrating the efforts of internally valued managers, enabling those who are not mature to grow through productivity, and producing organizational synergy where individual bests are optimized in a meaningful manner. It is, in effect, a philosophy of management based on an optimistic assumption of man's nature. A capable, controlling man is responsible for his actions. That responsibility and the achievement which can stem from it are the key elements in the growth and actualization process. Peter Drucker has termed it management by objectives and self-control, a philosophy of management which converts objective needs

into personal goals. That conversion is considered by him to be genuine freedom.¹⁶ The system consists of a joint determination of future objectives by superior and subordinate and periodic reviews of progress in their achievement. Efforts are focused on results, not personalities and performance appraisals are made on that same basis.¹⁷ By coordination of objectives between managers, task accomplishment and individual contribution are optimized. Managers foster their personal growth by being productive in achieving organizational objectives. Although some hold that MBO can be applied effectively in an authoritarian setting,¹⁸ it would seem logical that the program could only produce choosing, responsible, motivated individuals if those involved believed that such men were possible. The program would make little sense without that basic assumption. MBO, properly applied, starts with an optimistic assumption of man and can, in fact, foster such a reality.

Although man's nature can be achieved through his work, that work may be so structured that it is a barrier rather than aid to fulfillment. Redesign and enrichment of the job to provide necessary challenge and opportunity is then an effective and necessary tool of management. In fact, efforts at environmental

modification would seem worthwhile, even essential, providing they are attempts to remove such barriers and not to shape people to fit a mold scientifically theorized as the one best way. Real motivation for most stems from the fulfillment of higher level needs. A man can be satisfied with company policy, money, and even supervision but they do not motivate him. Frederick Herzberg has classified motivators as those things most valued in or tied to the job: achievement, recognition for achievement, the work itself, responsibility, advancement and the possibility of growth.¹⁹ Job enrichment evaluates and redesigns the work to insure it contains the opportunity to achieve those valued benefits. An effective program involves people in the process. One such program was implemented in 1974 at Ogden Air Logistics Center, an Air Force Logistics Command Depot engaged in support of high technology weapon systems. Jobs and responsibilities were redesigned with brainstorming techniques used to take full advantage of worker knowledge and engender a sense of commitment to the design. In the main, the application of job enrichment at Ogden has been a success and further expansion of those efforts is in process.²⁰

Jobs differ, as do individual capabilities and personalities. If men are free to choose, organizations

must be capable of meaningfully making use of different types of people to achieve its goals while providing an environment conducive to individual growth and fulfillment.

Current research theory looks at the leader, his followers, the task to be accomplished and the time for its accomplishment and attempts to determine their optimum mix for success. The answer to Koontz' management theory jungle has now become situational management.²¹ Differing terms are used in many of the studies in this field but as a whole they are somewhat synonymous. Whether a leader is considered as human relations oriented, democratic, or participative in style, he is the opposite of one who is task oriented, autocratic, or directive.

In general, younger or more educated managers are more participative than the older or less educated. Staff officers are more consultive and line officers more directive.²² Difficult and ambiguous tasks, people service jobs, and the planning function are better handled by participative means. Autocratic leaders are better suited for highly structured tasks and in contingency or short term response situations. The task directed type of leadership is effective in very favorable and very unfavorable situations. If the leader is accepted, the task is structured, and the

leader's authority and power are high, the situation is very favorable. If those three conditions are missing, the situation is very unfavorable. Between those extremes participative management is most effective.²³ The most important ingredient for success in any situation is the match between leadership style and subordinate personality. Regardless of success, however, workers generally are more satisfied with a human relations manager.²⁴

Most managers can exercise many styles of management depending on the situation but are probably most effective or comfortable within a range of styles. A manager should know himself, recognize the dictates of the situation and if the required style is within his range of competence, act in the most appropriate manner.²⁵

Contingency theory would seem to be most effective in a framework of individual choice. A mature, controlling manager with an optimistic assumption of man would seem to be effective in a broader range of situations than one who is not. This is because he knows himself, is less likely to act counter to that self, and is more likely to focus on what is important. He is not carried away by situational imperatives but evaluates them and chooses from a solid foundation of

character and integrity. If the opportunity is given to each manager to examine his self and his area of optimum effectiveness and he chooses accordingly, he will grow in maturity and in the breadth of his managerial effectiveness. The man who chooses based on reason takes the first step on the road to his self actualization. By making that choice and acting accordingly man not only fulfills himself but redefines and realizes the possibilities of human nature.

The tasks of management are to achieve organizational mission and purpose, to make work productive and workers achieving, and to be responsive to and good for society.²⁶ Those tasks are even more important in the American military where the nuclear age and technological improvements in modern warfare require constant readiness. The consequences of military failure cannot be measured in profit and loss or in unemployment statistics. It could simply result in the end of American society. The final chapter of this paper will summarize the problem and present an individual management philosophy consistent with an optimistic view of man and modern military organizational imperatives.

CHAPTER VII

SUMMARY AND CONCLUSIONS

Man is by nature capable of doing what is right, of controlling his actions, and of influencing his environment. That assumption makes him responsible for his own decisions. If he does not actively choose, he will be controlled by his environment, programmed to act and think in a superficial manner and never achieve his full potential. His nature is such that his potential can be achieved through productivity on the job. In that achievement, the needs of the organization must also be served. As a result, programs for growth and effectiveness of the work force must be focused on the accomplishment of responsible activity and serve both individual and organizational objectives. The achievement of objectives is important but so, too, are the means used to achieve them. Desired ethical standards should be explicit so that any disparities between individual and organizational value systems are surfaced and resolved.

An effective organization cannot be built on individualism alone. This paper has not stressed group participation or programs which meet social and esteem

needs of the individual since a meaningful relationship of achievement between individuals, in effect, provides a mutuality of respect as a solid foundation in that area. That is, of course, essential to an effective management system. Group needs, organizational goals, and the needs of the individual must be balanced and maximum benefit optimized.

Resolution of the conflict between individual and group needs and those of the organization requires more than human relations training or organizational development or behavioral modification. The differences in individuals should be used constructively as should their ability to work together. Peter Drucker has outlined the effective executive as one who first and foremost knows himself. He knows what he can contribute, and looks for strengths not weaknesses in himself and others. Before making decisions, the effective executive solicits differing opinions, not concurrences, from all sources and builds a management team capable of thinking and articulating in relevant terms. He considers the building of other leaders as one of his prime goals and jointly agrees with his subordinates on what is important and for what objectives each is responsible. Most importantly, he does not measure individual contribution on traits or personality or the happiness of employees,

but on achievement.¹

A well thought out personal management philosophy would seem to be an essential aid to the manager in evaluating and acting in today's complex management environment. The following seven tenets of such a management philosophy for the Army manager would seem to provide such an aid, consistent with an optimistic assumption of man's nature.

1. The organizational ethic or value system should be explicitly stated. Duty, honor, and country are understood as the key ethic of the military man but what they demand of him and why are subjects for fruitful discussion. To safeguard American values of freedom, the military manager may be required at times to obey and thus limit his own freedom. He may ultimately be asked to give his life for those values. The Army ethic need not be overly restrictive since it must provide for widely heterogeneous assortment of individuals. Its development, however, could give substance to a management ideal and provide general parameters for standards of behavior.

a. Managers should evaluate their own values and abilities on a periodic basis. If a manager does not know himself, he is controlled, not controlling. A well-thought-out value system is a firm base for

individual character and integrity, so essential to the military manager and our society. The Rokeach value survey could provide one tool in that regard but so, too, could periodic discussions of values between a manager and his subordinates.

3. After self evaluation, the manager should determine if he is in agreement with the acceptable range of ethical standards and values within the organization and whether he can act within their restrictions. If he does not meet organizational requirements, he can either change, attempt to change the standards, or resign.

4. In his area of career specialty, the manager should determine if his managerial style is effective and, if possible, adjust it as necessary. He may also tailor assignments to his strengths and/or change career fields to make his strengths productive. In developing subordinates the manager should also work to their strengths and provide every opportunity for their challenge and growth.

5. Environmental modification to enrich jobs and remove obstacles to individual fulfillment is consistent with an optimistic assumption of man's nature. Manipulative attempts to modify behavior are not. In every way he can, the manager should provide job challenge



opportunities to those who will accept them.

6. Some form of Management By Objectives should be implemented providing it is founded on an assumption of the reasoning, controlling, productive man. MBO is both an effective management system and a philosophy of management. By engaging in joint goal setting and reviewing progress based on achievement, bureaucratic restrictions to individual growth can be overcome. MBO would seem to be the most effective system in engendering participation, delegating responsibility, building subordinates, planning activity and providing a forum for the discussion of relative values and goals.

7. The ability to deal with ambiguity has been outlined as one stage of the maturation process.² Nowhere is that ability more essential than in the realm of the manager, particularly in his decision making function. The effective manager looks at all sides of an issue and attempts to strike the proper balance between competing ideas. He searches not for a compromise of mediocrity but for what is right. He listens to all arguments and chooses based on reason, not emotion. In the words of Aristotle:

Virtue then is a state of deliberate moral purpose, consisting in a mean relative to ourselves, the mean being determined by reason, or as a prudent man would determine it. It is

a mean, firstly, as lying between two vices, the vice of excess on the one hand, and the vice of deficiency on the other, and secondly because, whereas the vices either fall short of or go beyond what is right in emotion and action, virtue discovers and chooses the mean.³

Man is unique. Largely determined by his environment, he is capable of overcoming and controlling it. He is limited in his achievement by his nature but, even more, in his perception of that nature. He is given life and the opportunity to make himself, yet unless he thinks about who he is and what he can do, his promise is largely unfulfilled. In his Republic, Plato recommended the leaders of a perfect society be given the reigns of power based on their abilities and periodically retire from public life to think and replenish their stores of logic, appreciation of beauty and truth in preparation for greater responsibility.⁴ In an effective organization, leaders should also be selected based on achievement and integrity and periodically afforded that same opportunity for reflection and intellectual refreshment. Reflection alone is not enough, however. Real growth requires action based on a reasoned philosophy of management.

In sum, the assumption of man's nature and the values of the individual manager which stem from it,

largely determine organizational aspirations and the level of achievement and integrity of its personnel. Man must set his standards high in terms of what could be, not what is. Only then can he fulfill the promise of his nature.

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