## A RELATIVISTIC VIEW OF SOVEREIGNTY

FRANCIS G. WILSON

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the examination of the state as a functioning institution. by both critics and defenders, or that they both will proceed to that some integrated notion of this conception may be accepted earlier monistic ideas." It is, no doubt, too optimistic to believe thesis, which is not, however, materially different from certain hand, seems to be reaching a new and more respectable syndinating agency.2 The defense of sovereignty, on the other state and less an attack or even a denial of the state as a coorcoming more a general theory of the social structure of the values which transcends the state. Pluralistic criticism is benational law and the principle of a world community of legal ereignty will come, in the future, from the exponents of intergeneral, it is probable that the more effective attack on sovbooks published may indicate strategic withdrawal." 1 has been no new departure in English political thought. suggested, "In the last five years [since the Grammar], there perhaps, in Laski's A Grammar of Politics. As Rockow has the pluralists, and this case is exemplified as fully as possible politics awaited with some expectancy the constructive case of ▶HE place of the concept of sovereignty in political science years. After a time of destructive attack, the world of has been sufficiently agitated during the last thirty-odd

of universals is that the seemingly close lines of conflict rur grows out of pluralism. But one peculiar aspect of this battle of sovereignty and the general theory of social functions which in terms of universals. This is true of both the formal doctrine the monists and the pluralists attack the question of sovereignty The starting point of this paper is the recognition that both

reception of pluralism is based on the assumption that the pluralcriticism leveled against John Austin in recent years would as to the nature of political authority. what irrelevant; and at the present time much of the critical ideas of the thinkers they attack. To be specific, much of the postulated are frequently not in conflict with the fundamental monists and pluralists disagree as to what is claimed as a uniists have made more extensive claims than they actually have have been admitted as true by Austin himself, though somethe construction of their own systems, the universals which are versal in the doctrine of the other, and, in the second place, in parallel more often than they cross. In the first place, the

conflicts between monism and pluralism, to indicate what may those which deny the sovereignty of the state. relativistic character of the doctrines of monism as well as of be common to both types of interpretation, and to show the Our problem here is to state the genuine and the pseudo-

evolution must weaken the universal character of political ideas on the actual, and it is difficult in different cases to determine pluralism and monism have one foot on the ideal and the other porally, just as must the monistic system of universals. ciples the pluralistic view must be limited spatially and temboth in space and time? On pragmatic and positivistic printions of statehood are in constant evolution, and that such an admitted that the concept of sovereignty and the factual foundathe state genuinely sovereign. Yet, why should it not be ists should admit that facts might develop which would make upon which sovereignty is built might disappear, and the pluralwould be inapplicable. The monists will admit that the facts conceivably, that the state could so change that their universals find the facts for which they are looking. Both would admit, of the legal and social foundations of political society; and both claim that the conceptions they present are the best explanations history of the state is not inconsistent with such ideas. on the facts of society, or at least that what we know of the Both monists and pluralists claim their theories are founded

<sup>&</sup>lt;sup>1</sup> Lewis Rockow, "The Doctrine of the Sovereignty of the Constitution", The American Political Science Review, Vol. XXV (1931), p. 574.

<sup>&</sup>lt;sup>2</sup> Ibid., p. 587.

course of this paper. <sup>3</sup> See A. D. Lindsay, "Sovereignty", Proceedings of the Aristotelian Society, New Series, Vol. XXIV (1924), pp. 235-54; W. Y. Elliott, The Pragmatic Revolt in Politics (New York, 1928). Other publications will be cited in the

Pluralistic State", The American Political Science Review, Vol. XIV (1920), <sup>4</sup> Laski shifts in this respect as is well indicated by E. D. Ellis, "The

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scientific, and, with fundamental inconsistency, it postulates its able as a long-run interpretation of the state as it should be. conception of sovereignty, the monistic position is more reasonit contends that if, in a given case, the facts do not bear out the or ideal. Monism is at least more coherent than pluralism since whether or not a statement of doctrine implies that it is factual sovereignty fits the facts. should be made for the eventuality in which the theory of trine of sovereignty. If pluralism is really pragmatic, room essential logical weakness of the pluralistic attack on the docideas as of universal application. This is, in all probability, the Pluralism, on the other hand, asserts itself to be pragmatic and

of a part of Otto von Gierke's Das deutsche Genossenschaftsgroup that the unity of the state formulated in monistic theory recht. It was by asserting the real will and personality of the may be conveniently dated from Maitland's translation in 1900 reach back into the thought of antiquity, the pluralistic attack been joined and consequently the answers of each camp to the ever, that there have been few occasions on which the issue has the main outlines of the debate. The suspicion may arise, howin fact, in an excellent position now to undertake a statement of not been drawn by this time it is not likely to develop. We are, was attacked.6 If the issue between monism and pluralism has traditional opponents, an attempt will be made to evaluate the After a brief statement of the nature of the case made by these other have not been very effective in clarifying the situation. extent of real conflict in points of view. While monism is very old in that some of its primary qualities

consistent legal system. G. H. Sabine, "Pluralism: A Point of View", The will always show a tendency toward the ideal of monism, that is, a self-American Political Science Review, Vol. XVII (1923), p. 49. 5 Professor Sabine admits this when he concedes that stable political systems

troduction by F. W. Maitland (London, 1900); see also H. A. L. Fisher just where Professor Merriam's study ends. It is interesting to observe that the pluralistic attack really begins in earnest 1911), Vol. III, pp. 304 et seq., "Moral Personality and Legal Personality." (editor), The Collected Papers of Frederic William Mailland (Cambridge, the Theory of Sovereignty since Rousseau, Columbia Studies, Vol. XII, No. 4, Otto von Gierke, Political Theories of the Middle Age, translation and in-See C. E. Merriam, History of

> the pluralistic case is based. However, as Professor W. W. deny the utilitarian, pragmatic or positivistic ethics upon which with social norms, and therefore he can accept or at least not doctrine of sovereignty. pluralism has advanced can be accepted by the defender of the accept the implied functional decentralization of the state. But may accept a public law status for groups or associations, and he approach to the problem of political obligation. The monist may even admit them qua groups to political participation and positivistic criticism, as much as possible of a rationalistic Political Authority, the monist is likely to retain, in the face of Willoughby has shown by implication in The Ethical Basis of against state and king against people.7 state is its overcoming of the medieval dualisms of church agree with Jellinek that that which characterizes the modern unity of the state is physically unqualified though he might the institutional framework of the state as we know it is its what the monist insists upon is that one of the valid elements in legal unity. He does not assert by any means that the legal In fine, most of the elements of the theory of the state which The monist is not primarily concerned

of making law in a formal sense on a parity with the state. cludes any other group or organization from having the capacity absolutism which is more negative than positive, in that it premonopoly of the right to say what the law is.8 in fact the state attains its legal unity by having a formal moves within the cadre of the law. The making and the enlutism of the state for the monist is generally simply a legal forcement of law is the characteristic method of political action; The monistic state is the legal state, the Rechtsstaat, which

<sup>7</sup> Georg Jellinek, Allgemeine Staatslehre (Dritte Auflage, Berlin, 1929),

of the state. R. T. Crane, "Discussion" (of W. W. Willoughby, "The Jurthe state, that the law should be defined as a command addressed to the agents Crane has suggested, as a modification of Willoughby's juristic conception of law as a command of the body politic to the governmental agency. See A. R. of the state to issue commands to its subjects. Rousseau in general regarded istic Conception of the State"), The American Political Science Review, Vol. Lord, The Principles of Politics (Oxford, 1926), p. 192. Professor Robert T. XII (1918), pp. 209-214. 8 The statement of the case in Hobbes and Austin, for instance, is the power

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the state to recognize what the law shall be.9 its broadest sense, then, sovereignty is the peculiar capacity of

statement of social monism from the ethical point of view, which sovereignty is the ultimacy of the general will. A moderate asserted the unity of the state in both legal and ethical terms nineteenth-century Idealism, whether German or English, of such a socio-scientific monism.11 It is true, of course, that tion of the state, which seems to be one of the first objectives to the means to be employed to attain the technological integrastitutionalism. It is one of the peculiarities of Fascism, of sovereignty, for the very word is eloquent of historic conmakes any general claim to absolutism.10 Those states which For Bosanquet in The Philosophical Theory of the State true National Socialism and Communism that they are pragmatic as lutism are little concerned with the refinements of the doctrine under present-day dictatorships assert an ethical or social abso-It cannot be said that on the ethical side modern monism

nämlich die Form." Die Diktatur (München, 1928), p. 178, ". . . . was dem Recht wesentlich ist, securing social peace. Social peace, for the monist, is a consequence of the supremacy of the law. The monist would agree, however, with Carl Schmitt, primary allegiances of the individual is to the law as a permanent means of contrast to this the monist would assert that, as a matter of fact, one of the Laski in fact grants depends always on the consequences of performance. H. J. Laski, "Law and the State", Economica, Nov. 1929, No. 27, p. 283. In to primacy over any other association." The title to the preëminence which in a denial that any association of men in the community is inherently entitled have termed this view the pluralistic theory of the state because it is rooted York, 1924), p. 71. Professor Laski has defined his position as follows: "I 9 W. W. Willoughby, The Fundamental Concepts of Public Law (New

Coker, "The Technique of the Pluralist State", The American Political Science unification and coordination among the cooperative groups of society. the state; (4) and the state has a practical and moral utility as an agency of an organ or group which possesses ultimate legal control over other organs in tions is the state"; (3) within such an organization there is a legal sovereign, laws; (2) the usual name for "the organization comprehending these institusociety there is only one system for the enactment and enforcement of civil Review, Vol. XV (1921), p. 211. 10 Professor Coker states the elements of monism as follows: (1) in a given

consists in the free election of the leader who is subject to full responsibility National Socialists support the principle of "Germanic democracy", which See Adolf Hitler, Mein Kampf (one vol. ed., München, 1933), p. 99. 11 This statement is probably less true of Germany than of Italy, since the

> ends be attained by persuasion and motivations to action whether rational or propagandist. ical point of view, the significance of the unity of the state is is found in Hocking's Man and the State. Here, from an ethhand, claim for the state a morally absolute integration. than the rulers of the state, and which demands that political its monopoly of force, which means a denial of force to others contrasts sharply with the social monism of a pragmatic slant, Hocking does not, on the other

monism of the dictatorship.12 of any independent importance in contemporary totalitarian the Rechtsstaat, is fundamentally inadequate for the sociological person, which has served as a concept of operative criticism for to the absolutism of the state which he so greatly feared danger, while in fact it has been his non-metaphysical, socionotion of the state as a legal person as a great metaphysical political science. On the other hand, Duguit has regarded the History seems to show that the idea of the state as a legal logical and syndicalistic interpretation which has given impetus It cannot be said that the idea of the state as a legal person is regarded as significant support of the pragmatic dictatorship. the concept of the state as a legal person does not seem to be A curious phase of the development of recent years is that

in the pluralistic onslaught.18 In the work of Laski, for inpluralistic. Beyond certain principles of method which spring from positivism and pragmatism, there is little unity of front the variety of its attack makes pluralism as well as the state If we turn to the leading ideas of pluralism we find that

et une volonté, le sentiment et la volonté de la nation." l'Etat n'est pas un concept abstrait, une formule juridique, mais un sentiment LV (1932), p. 497, citing Michele Bianchi, "L'État, pour Mussolini, est une cédure criminelle dans l'Italie fasciste", Revue des sciences politiques, Vol. réalité non seulement politique, mais idéale et morale. La Personne vivante de Law Review, Vol. XXXI (1917), pp. 1-185. See Morris Ploscowe, "La Prothe nineteenth century, see Léon Duguit, "The Law and the State", Harvard monistic theory of the state with particular reference to German doctrines of 12 See Elliott, op. cit., ch. xi, especially p. 324. For Duguit's attack on the

xix; id., "Pluralistic Theories and the Attack upon State Sovereignty", in Merriam, Barnes and Others, Political Theories: Recent Times (New York, 1924), ch. iii; id., "The Technique of the Pluralist State", The American 18 See F. W. Coker, Recent Political Thought (New York, 1934), chs. xviii-

stance, as A Grammar of Politics will show, sovereignty is defined as power rather than as legal will in the monistic interpretation. It is easy for him, therefore, to show that since the power of the state is not absolute, the whole superstructure of political monism falls to the ground. Groups have power because they retain the loyalty of the individual, and this power of the groups is a counter-weight to the power of the state. The final positive principle of the functional state is that society is federal rather than unitary.

That pluralism is a general social theory of the state much more than a theory of the legal disunity of the state can be seen in the pictures drawn by John Dewey and Léon Duguit. Both found the state on fact, somewhat in contrast to Laski's attention to the individual conscience, and while Duguit leads finally to the principle of the responsible state which may be constructed on the conceptions of French administrative law, Dewey builds in *The Public and Its Problems* a responsible and realistic state on the indirect consequences of conduct. With both thinkers the formal legal unity of the state is illusory, for the law is not found in the formality of its declaration but in the coincidence of rules with social forces. That law must be

cal Basis of Political Authority (New York, 1930), pp. 447-51, for a criticism completeness of municipal systems of law. See W. W. Willoughby, The Ethi-Political Science Review, Vol. XXII (1928), pp. 553-575. For a discussion which shows distinct pluralistic tendencies, see Max Radin, "The Intermittent Schranke. Daher kann eine Änderung in den Grundlagen des staatlichen dem Faktum der staatlichen Existenz, hat alles Recht seine unübersteigliche des Rechtssystems verkennt das Grundverhältniss von Recht und Staat. sovereignty. See Jellinek, op. cit., p. 358: "Das Dogma der Geschlossenheit endedness" in a system of municipal law is a basis for the denial of legal of the views of Professor Sabine. It may be questioned whether "loose-American interpretation of pluralism and rests his case principally on the inism: A Point of View", ibid., Vol. XVII (1923), pp. 34-50, gives a distinctly Pluralist State", ibid., Vol. XIV (1920), pp. 393-407. G. H. Sabine, "Plural-Political Science Review, Vol. XV (1921), pp. 186-213; E. D. Ellis, "The Sabine, "Political Science and the Juristic Point of View", The American den Gang des Staatslebens in kritischen Zeiten zu bestimmen." Cf. G. H Lebens zwar Recht vernichten, dem Recht wohnt aber niemals die Macht inne, P. W. Ward, Sovereignty (London, 1928). Sovereign", Yale Law Journal, Vol. XXIX (1930), pp. 514-531.

formal in some sense is not denied, but it is contended that the formal element is the least significant thing about the law.14

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Another theory attacking the sovereign Rechtsstaat is that of Krabbe in The Modern Idea of the State. Here, as in Duguit, a jural principle superior to the state is sought, but, in contrast with Duguit, the law itself is found in the ethical sense of the community. Real law is perhaps the legal consciousness of a community, and the test of law is its conformity with the sense of right, whether in the national or international community. State action can be declaratory of the law but not creative of legal validity, and therefore the state is bound by the law as is the individual. As in other pluralistic theories, the character of legal validity demands a synthesis of functional decentralization and international coördination.

The neo-Kantian attack on the formal sovereignty of the state is best expressed probably in the works of Kelsen. 15 On rational postulates as to the legal order, there rests a world community of legal values. The state itself does not possess a peculiar legal order; it constitutes such an order. Sovereignty is merely a hierarchy of legal norms culminating in a world system. In common with the pluralistic attack generally, the neo-Kantian school views the state as not only limited and subordinated internally but also internationally. Somewhat below the philosophical postulates of an international legal order is the standpoint of those international lawyers who contend that the state must not be considered to be even formally free to reject the rules of international law. 16

<sup>14</sup> See J. M. Mathews, "A Recent Development in Political Theory", POLITICAL SCIENCE QUARTERLY, Vol. XXIV (1909), pp. 284-95, for an early criticism of Duguit.

15 See Hans Kelsen, Allgemeine Staatslehre (Berlin, 1925). A convenient summary of this work is given by Kelsen, "Aperçu d'une théorie générale de l'État", Revue du droit public et de la science politique, Vol. XLIII (1926), pp. 561-646. Consult Johannes Mattern, Concepts of State, Sovereignty and International Law (Baltimore, 1928), ch. x.

<sup>16</sup> It would hardly be contended that at the present time there is an objective world sovereignty, and, on the other hand, international lawyers still assume frequently the doctrine of acceptance of international legal rules as the basis of actual domestic legality of these rules. The monist is in no sense an enemy of a developed world law. In fact, it is recognized as one of the chief of

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state can be established on the principle of formal unity, that of the conditions under which a declaration of a legal value is aspect of the problem of the law must be a formal examination of the nature of law. The monist contends that at least one between monism and pluralism comes to rest on the problem a formal legal unity of the state serves an immensely valuable such a formal value might well be accepted. The principle of position is seen in the case of an irreconcilable conflict between whatever unity is discovered in the state must be found in the to be accepted. The pluralist contends that no unity of the of definiteness that the claims of competing groups cannot have may be right or wrong, but which in any case have a degree purpose in enabling a people to find some legal values, which principle of order and public peace as a superior value, though recognized the state has no means per se of appealing to the political forces, for if no formal point of reference is to be real forces which constitute a society. The difficulty of this In the first place, it may be said that the fundamental issue of the state must be sometimes more formal than real, and that Even the pluralists must admit that the coördinating function the declaration of the state, though it may be registrative of Is it possible to reconcile these conflicting points of view?

Germany (New Haven, 1928), p. 273: "The problem of the future-or, more present-day problems. See R. Emerson, State and Sovereignty in Modern nition of a kind of general will, when he will not do this for the state (p state than to the world community. It is also difficult to see why Laski on pragmatic grounds on the basis that is used by Laski to justify his plural-It might be suggested that nationalism itself and isolationism may be justified declares that it must be objective both to the state and the individual (p. 286). acceptance which it secures (p. 275), but in discussing international law he asserts that the validity of law comes, not from its source, but from the paper, "Law and the State", Economica, Nov. 1929, No. 27, pp. 267-95, he Laski seems uncertain himself as to the basis of international law. In his accurately, of the present-is the building of the federal state of the world." see Emerson, op. cit., pp. 171 et seq.; E. M. Borchard, "Political Theory and 289). For a criticism of sovereignty from the international law standpoint, should postulate a "will" for the international community, that is, the recogistic concept of the state, i. e., the loyalty of the individual is stronger to the public", Revue du droit public et de la science politique, Vol. XLIII (1926) Morellet, "Le Principe de la souveraineté de l'État et le droit international International Law", in Merriam, Barnes and Others, op. cit., ch. iv; Jean

the facts of society, must be formal to exist at all. Both the formal and the social side of the law are real, but that there must be a death-grapple between them at all times is not admitted by the monist. The formal principle of the law is regarded merely as the organizational aspect of social action, which is the peculiar function of the state.

suggested for groups, might be embodied easily in the state as clearly that the unity of the state conceived by the monists has centralization as the operative statement of limited power imply the viewpoint of the monists. Nor does the principle of deshowed that the means available to the state is not in pari state is external and therefore limited in power, and Bosanquet dictment of the limited physical capacity of political society. monist, and he is willing to accept as valid the pluralistic inthe state is to be expressed by legal will. The reality of the power. The monist contends that the formal aspect of the law no valid foundation.18 Whatever value there is in the pluraltion that the state is not physically omnipotent is an attack on materia with its ends. 17 It is difficult to see that the mere asserlimitations of the power of the state is nowhere denied by the is embodied in a declaration of will, that is, the legal unity of istic concept of the functional state, or in the public position Even the Idealists have contended for the most part that the It is clear that law implying political action is both will and

17 Bernard Bosanquet, The Philosophical Theory of the State (London 1899), pp. 187-88.

18 See Emerson, op. cii., p. 272: "Suppose it be established that the existing form of the sovereign state is both morally and practically inadequate: is it not possible that the fault lies less in the principle of sovereignty than in the method of organization... The organization of the sovereign power of the community—whether it be the national or the world community—must be such as to make its will as far as possible identical with the general will of the community." Laski attacks this view by denying the general will that is, the state is not based on any general community of interest. This denial is in sharp contrast with his belief in the general international community of interest. Laski's recent paper "Law and the State" (cited above) is an exhaustive denial of the propositions of recent defenders of sovereignty that there must be some organ in the community to resolve disputes. The recent defense of sovereignty has not been in any sense a denial of the social program of pluralism. It cannot be said, however, that the issue is clearly joined even in this splendid paper by Laski, since he does not actually define law otherwise than in very ambiguous terms.

pictured by the defender of sovereignty. The monist would suggest that such social principles springing from a general theory of the state could be most easily attained under a régime of legal unity.

of the legal unity and personality of the state is not significant ereignty. It has already been suggested that a formal theory opposition must be based on more general political principles does not deny the value of recognizing social interdependence in the contemporary repudiation of the liberal political order. than those which arise directly from the principle of sovof sovereignty but because of erroneous public policy.19 for groups are denied a proper sphere of autonomy not because be said of the principle of group independence within the state, it in a juristic sense by the monists. more is clearly being attributed to the concept than is read into contrary to vital and generally recognized interdependence, fense of an actual discretion in international policy which is between states. When the word sovereignty is used in the deimportance to the international discretion of the state, but it Monism in its purer forms may attach some immediate legal Where the monist is opposed to a vital international law, such The same can, of course,

correlation between monism and the fiction-concession theory of corporate is admitted at all, place the group as a corporation on a level with the state. latter is assumed, while the pluralistic conception may, if corporate personality any group below the corporate personality of the state when, and if, the suggest an extended examination of this problem, a few observations need to personality, but he accepted the sovereignty of the state. Duguit denies sovporate personality of groups on the other. Otto von Gierke believed in real personality on the one hand, and pluralism and the theory of the real cor-But it must be noted that for the most part there is no general or necessary sonality of the state, accepted the fiction theory of corporate personality; and Austin and Dicey, who were little interested in the corporate or juristic perereignty in the course of his denial of all forms of corporate personality, which constitute the law must be supreme. the neo-Kantians drain all independence from corporate life since the norms 19 The several references which have been made to groups raise the probcorporate personality. While the emphases of this paper do not The monistic view, of course, places the corporate personality of

It can be said, naturally, that the fiction-concession theory implies the supremacy of the state and sovereignty, and to this extent corporate personality must be considered in relation to theories of sovereignty. See Frederic Hallis, Corporate Personality (London, 1930), pp. 15, 28, 85-86. It is reason-

state, or that the pluralists have gone beyond the necessities of apparent issues between monism and pluralism are capable of a result of pluralism a number of emergent public policies have of the value of the pluralistic attack is in its diversity, for as ably vitalize the principle of consent in political life. of a reality to the individual and which might conceivation of a system of policies which might make the state more in the state. In any case, the value of pluralism is in its delineattacked an essential principle of legal and constitutional unity a social theory (which pluralism is for the most part) and immediately upon their conceptions a general theory of the parallel rather than conflicting. reconciliation; that much of the current discussion has been been called with great force to the attention of political science. the defenders of sovereignty are at fault in not constructing This discussion has led to the assumption that most of the One may assume either that Much

We have indicated that one of the logical weaknesses of pluralism is the attempt to establish the universal negation of sovereignty on pragmatic grounds. On his own philosophical statement of the case, the pluralist has failed to distinguish between the ideal and the real, and he has failed to admit, as he logically should, that situations may exist in which sovereignty must be admitted as a fact. From the monist's point of view this must be admitted whenever in fact there is a formal legal unity in the state. On the other hand, the pluralistic logic has not been pushed to its limit in the case against particular monistic systems. For, on pragmatic grounds, it might be conceivable that a particular monistic synthesis should

able to assume that if the state is regarded as a corporation one must also consider the corporate entities within it, whether or not the state is classified as a sovereign corporation. *Ibid.*, p. 243. To deny the fiction-concession theory of corporate personality may mean a denial of certain conceptions of sovereignty, but it does not mean necessarily the denial of a highest authority vested in the state. One can hardly assert that all corporate groups must be accorded the same treatment, nor deny that the legal character of corporate personality is bound up with social character and purpose. It is instructive to observe here the emphasis placed by Hegel on the organisms which compose the state, the communes, municipalities, corporations, etc. See L. Lévy-Bruhl, L'Allemagne depuis Leibniz (Paris, 1890), p. 405. Consult Hallis, op. cù., passim; S. Mogi, Otto von Gierke (London, 1932).

lack the elements of universality ascribed to it. In other words, if pragmatism can be of further service in the amplification of the principles of pluralism, it can be of service likewise in refining the principles of monism. Had the pluralistic attack been developed in detail as to particular monistic points of view, certain important consequences might have resulted. In the first place, the pluralist might have been forced to admit that some monistic systems are pragmatically sound; and, in the second place, it might have been shown that monism is extremely uncertain, viewed broadly, of its own universals.<sup>20</sup> The remainder of this paper will be devoted to the examination of this problem.

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outmoded, modern theories have attempted to universalize the a distinctive system. Since the concept and the practice of of universal application is nothing more than the peculiarity of examination should reveal that much that has been claimed as moments in the history of the state rather than in developing ereignty is in its adaptation to and explanation of particular that, just as early systems postulated absolutes which were soon sovereignty has been subject to a rapid evolution, it is clear historic monisms have attempted to formulate? is true of the contemporary situation. The suggestion is made acter historically, and it can be shown, no doubt, that the same Viewed in this light, sovereignty has had a relativistic charhypotheses of universal validity both in time and space. historically temporary. The enduring value of the idea of sov-What is the universal element in the state which the various A careful

20 James Bryce, Studies in History and Jurisprudence (New York, 1901), pp. 541 et seq., attacks the defenders of sovereignty, especially the Austinian school, for their failure to realize the complexity of attempting to state a theory of sovereignty which is universally applicable. Bryce believed, however, that the problem of universals may be solved by the distinction between de jure and de facto sovereignty. Sir Paul Vinogradoff, "The Juridical Nature of the State", Michigan Law Review, Vol. XXIII (1924), p. 139, suggests that sovereignty has passed through various stages in its development. G. H. Sabine, "Political Science and the Juristic Point of View", op. cit., pp. 553-75, suggests at various points that sovereignty has been adjusted to or grew out of differing circumstances without admitting that the notion of sovereignty was actually valid at any given time. Hallis, op. cit., p. 195, notes that Jellinek considered sovereignty an historical rather than an absolute category.

here that the idea of sovereignty should be advanced beyond whatever is assumed to be the universal element in the state. The concept of the universal should then be adequate for the foundation either of pluralism or monism, and both of these two broad attempts to explain the principles of state action should be analyzed in relative terms.

existence of historic and recognized common purposes.21 The and associative unity; it is the structural expression of the sity in the actual theories of sovereignty is reflective merely of as a functioning unity, not as a formal universal. The divershow by an examination of the theories that both monism and ceptual universality of the state, for our chief objective is to concern here is not primarily to make a statement of the conwithout any serious attempt to establish a specific content. Our bases of this unity differ, but all ideas of the state have one different concepts of the proper organization of political unity. The defense and the criticism of sovereignty involve the state pluralism are in fact particular and relativistic in character. elements should be retained in something of a formal sense, haps, for this discussion, the mere concept of such universal elements in the state that will be of any striking value. Per-The modern state is the idea and the organization of territorial It is difficult to make a statement of the universal element or

soever the form it may take - has been substantially integrated with the tions is attainable . . . only when the de facto, or political sovereign - whatimportance may be suggested by the generalization that security in social rela-Shepard (New York, 1922), pp. 74-75, but see in general ch. ii. See also mental attachment to the state. continued existence of the state show this? It may be noted that resistance to do give an allegiance to an orderly and non-violent existence? Does not the the will to maintain it." The Modern State (Oxford, 1926), p. 11. the general will "is not so much the will of the state as the will for the state, immediate source of ethical or moral authority." As R. M. MacIver has said, about the relation between de facto and de jure sovereignty . . . ; and its Political Science Review, Vol. XXI (1927), p. 32: "That issue . . . centers William Orton, "Social Theory and the Principium Unitatis", The American Idea of the State, translation and introduction by G. H. Sabine and W. J. Krabbe's basis for the defense of majority rule. See H. Krabbe, The Modern The lack of organization internationally may be taken as showing a fundathe principle of the general strike is evidence of allegiance to social coherence. not be asserted that one of the profoundest facts of political life is that men 21 In contrast with the pluralistic "facts" of contingent anarchy, may it This common interest in the general will is

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which public power is exercised. expression; it is the body of prevailing legal principles upon the state.22 Sovereignty is thus not the unity, but its legal or legal sense is sovereignty; the unity itself is an attribute of The principle of the organization of this unity in terms of law is that there is some sort of unity or social integration involved. element in common, whether pluralistic or monistic, and that

other words, is and has been a problem in the constitutional relevant to the organization of public power. Sovereignty, in political conceptions of sovereignty, but it does mean that only to say that the problem of policy does not enter into the diverse making manifest the conceptual unity of the state. ism. It consists of certain principles which seem valuable in and the principles of public policy which characterize plural-Sovereignty lies between the universals in the state conception beyond the universals necessary to the conception of the state as exclusively true, since a theory of sovereignty is constructed interpretation or organization of sovereignty need be regarded of a particular state. It can be seen readily that this localizasovereignty, therefore, should in no sense be its universal aporganization of the state. The test of the truth of a theory of those questions of policy are involved in sovereignty which are situations in which it is recognized that a given form of the tion of the idea of sovereignty must of necessity eventuate in of sovereignty should lie in its appeal to the public lawyers plicability or its logical self-consistency. The value of a theory theory does not apply. An immediate consequence of this conception is that no one This is not

sovereignty is a formal explanation in terms of law of the the distinction between legal and social sovereignty. Legal The localization of sovereignty may be further observed in

ereignty can therefore be summed up as fundamentally nothing but a demand Science Quarterly, Vol. XLII (1927), p. 527: "The legal doctrine of sovan advancing civilization to the unbearable legal confusion of the middle sovereignty a fundamental concept of political thought. It was the answer of form of the doctrine of sovereignty which earliest emerged, and which made provide the necessary basis for a system of legal order. It was this legal for the unified organization of authority within the community in order to 22 See John Dickinson, "A Working Theory of Sovereignty", POLITICAL

> state. Juristic sovereignty as a political value depends upon explanation of the interests or forces which predominate in the expression of ethical ideals which should or may dominate in declaration of law, while social sovereignty is generally an unifying force of the state, while social sovereignty is an in the state a vital integration of social and institutional life, adopt, but a sociological monist, that is, one who would realize interested in the types of social policy which a state should the significance of some sort of formal validity attached to a means predetermined. Let us first turn to a consideration of sovereignty, though the form of this sovereignty is by no must of necessity adhere to some sort of juristic conception of the action of government. The monist per se is not primarily the historic forms of juristic sovereignty.

monarch was that he was above most positive restrictions.29 the state, in the monarch, and the peculiar characteristic of the in the ancien régime. Sovereignty was vested in an organ of magistral apologist of the principles of state unity to be found Jean Bodin in his Six Livres de la République is clearly the those prevailing before the Revolution and those coming after. American. The French conceptions must be divided between these are the French, the English, the German and the There are four outstanding ideas of juristic sovereignty, and

conception of sovereignty. He does this because the French thinkers, as con-C. H. McIlwain, "A Fragment on Sovereignty", POLITICAL SCIENCE QUAR-Bodin", POLITICAL SCIENCE QUARTERLY, Vol. XLV (1930), pp. 580-503; and to a definite person or body of persons what St. Thomas denied even to God" in nature. "It was reserved for John Austin and his followers . . . to grant organ (p. 263). The French conception of sovereignty was above all juristic nature of the constitution of the state imposes limitations on the sovereign profound generalizations of modern political thought, that is, the inherent however, that from the French jurists we derive one of the richest and most eignty Again", Economica, Vol. IV, Nov. 1926, p. 257. McIlwain suggests, rules for the subjects, and itself free of the law." C. H. McIlwain, "Soverereign, and the only one, because it is the highest body legally able to make insists that in advanced political society "the highest organ is the true sovthe basic idea of Lindsay of the sovereignty of the constitution, but McIlwain sovereign organ. McIlwain's position seems to approximate in some degree trasted with Hobbes, recognized always a fundamental law or laws behind the the sixteenth and seventeenth centuries as the foundation of a true juristic TERLY, Vol. XLVIII (1933), pp. 95-106. (p. 263). Cf. Max A. Shepard, "Sovereignty at the Crossroads, A Study of 28 Professor McIlwain takes the theory of Bodin and the French jurists of

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to task for their presumption.24 of public order and peace. The historic service of the theory of escape from anarchy and revolution; it was the foundation escape from warring civil and religious factions, and the unito recognize the primary claims of external peace were brought the theory was the principle by which those forces not desiring of Bodin was in formulating a stable constitutional principle thesis of the state. In Bodin, as since, sovereignty was a means fication of the feudal claims of the nobility in the higher synfor the attainment of some sort of coherence in political life; in The power and the will of the monarch were the means of

may reëstablish harmony. The law will become under these revolutionary fashion. Sovereign opinion can then be transcannot but exercise its authority in an imperfect, irregular or where than in the nation from which comes this opinion, opinion not constitute the idea of national sovereignty. If public call popular sovereignty, but popular sovereignty itself does epoch. The primary assumption is, of course, what we may modern liberty has given it also other means of manifesting rulership of opinion, to prepare for its juridical expression and a legal authority. opinion a superior force, a precise expression, a juridical value ognize and organize national sovereignty is to give to public circumstances as exactly as possible a reality. To respect, recereignty necessarily where we find the fact or the opinion, we between the fact and the law. But should we place legal sovbefore the legal sovereign with humble requests or with revois the sovereign in fact, when legal sovereignty is located elseopinion is the primordial and necessary political force, if it out of the social contract and natural rights theories of the has been that of souveraineté nationale. This principle grew lutionary agitation. Therefore, there is a lack of harmony lated only by inefficacious or confused expression; it comes The French conception of sovereignty since the Revolution To perfect, on the other hand, this

press and the right of association.25 itself through individual initiative, that is, the liberty of the

obedience.27 cluded. The reality of the British doctrine is seen in the fact trines of monarchical and national sovereignty are alike exthe King, the Lords and the Commons. The French docmonarch or a class, but in the legislative power which includes of the government.26 earlier one such as is found in John Austin's The Province of given by A. V. Dicey in The Law of the Constitution, or an we take a modern analysis of the British constitution such as is character of fundamental constitutional principles. Whether to that of Bodin, except that the British do not accept the juristic terminate organ, to which the people do render habitual that legal values do come from a juristically supreme and destate as a legal person or in the nation, nor is it vested in the Commentaries on the Laws of England, the same principle pre-Jurisprudence Determined, or even in Sir William Blackstone's The traditional British doctrine of sovereignty is comparable This conception is the sovereignty of the highest organ Legal sovereignty is not vested in the

he universalizes the principle of national sovereignty. Ibid., Vol. I, pp. 48edition, Paris, 1927), Vol. I, pp. 318-19. This interpretation of national sovpersonality of the state or of the nation. Ibid., Vol. I, pp. 46-50. ereignty must be completed by noting the fact that Esmein accepts the legal <sup>25</sup> See A. Esmein, Éléments de droit constitutionnel français et comparé (8th

superior composed of persons who receive habitual obedience should not be relationship. Cf. Bryce, op. cit., p. 505. For Bryce's criticism of Austin on organ, however, plainly involves a functional relationship, or an organized regarded as a theory which vests sovereignty in an organ. The concept of an this point, see ibid., pp. 537-38. 26 It is possible that Austin's theory of sovereignty residing in a determinate

cism of the idea that the electorate may be a part of the sovereign organ, see attempt to synthesize the modern French and British doctrines. For a critia confusion of legal and social sovereignty, and it might be interpreted as an D. G. Ritchie, "On the Conception of Sovereignty", The Annals of the seeking a determinate superior which has the right to declare what the law Dickinson, op. cit., pp. 531, 532, note 1. Ritchie argued that the lawyer is American Academy of Political and Social Science, Vol. I (1891), p. 392. is, and that it is illogical to include the electorate in the determinate sovereign 27 Austin's inclusion of the electorate in the determinate superior is clearly Austin does, since the electorate is not a determinate law-making body.

Bodin, but in Japan the emphasis falls upon the sovereignty of a person—the Colegrove, "The Japanese Emperor", The American Political Science Review, Emperor-rather than upon the sovereignty of the emperorship. See Kenneth Vol. XXVI (1932), p. 649. 2\* Modern Japanese ideas of sovereignty are somewhat similar to those of

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cated theories. Obviously, the most complicated of all the inorgans, it was not found necessary to resort to more complicessful attempts to limit the powers of the higher governmental practice of the constitution, and because of the early and sucthe sovereignty of the state itself is not inherent in him. monarch thus becomes a representative of the state will, but tribute of the state as a juristic person with a legal will. state sovereignty (Staatssouveränität). Sovereignty is an atits possible coherence. The German theory is the theory of federalism which deprived the idea of sovereignty of some of deal. Not only was the position of the monarch more distinct of the more entangled situation with which the jurists had to tury.28 The involved character of German theory is a result in the conceptions of the German jurists of the nineteenth centerpretations of the principle of sovereignty is to be discovered legally than in England, but there was also the problem of cepted.30 The German theory developed likewise the idea of a remaining but different sovereignty of the monarch is acschli sovereignty is not vested exclusively in the state, since law and by the action of the state itself. However, in Bluntto limit the state, and consequently the ruler, in the name of The value of this principle lay in the fact that it was possible the non-sovereign state to enable the doctrine to be held that Reich they had not lost their statehood. This conception is, though the German states had lost their sovereignty in the The British doctrine of sovereignty is to be found in the

Ritchie quotes with approval the idea of G. C. Lewis that "irresponsibility" applies more to the electorate than to parliament. *Ibid.*, pp. 389-90. See W. J. Brown, *The Austinian Theory of Law* (London, 1912).

28 See Emerson, op. cit., passim; Léon Duguit, "The Law and the State", Harvard Law Review, Vol. XXXI (1917), pp. 1-185.

29 Merriam, op. cit., ch. vii. Emerson, op. cit., p. 51, declares: "As the 'basic idea' of his reconstruction of public law in terms both of its necessary concepts and of the modern state, Gerber put forward the personality of the state, a personality not analogous to or derived from that of private law but unique and original in public law." It may be observed that the idea of subjective right, while more prominent in German than in other theories, is present in most of the interpretations of sovereignty.

30 J. K. Bluntschli, The Theory of the State (translated from the 6th German edition, Oxford, 1892), Bk. VII, ch. ii.

of course, a peculiar adjustment of the Germans to their own situation.<sup>81</sup>

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With the exception of the suggestion of monarchical sovereignty, the German theory is a denial of the sovereignty of an organ, and it is likewise the negation of the principle of popular sovereignty or national sovereignty. Those jurists, like Waitz, who asserted the American principle of divided sovereignty, did not succeed in getting their position accepted. The world of the German jurists, isolated perhaps in their kingdom of jural postulates, was dominated by the assumption of an undivided sovereignty, though there were differences of opinion as to the exact relation of the states to the total German state in the expression of this sovereignty.

A further original statement of the principle of sovereignty which is of historical importance is to be found in the American doctrine of divided sovereignty. The American principle is one of constitutional organization and the distribution of the powers of government. Sovereignty is viewed in fact in this doctrine as the totality of governmental powers, rather than as an attribute or a subjective right; these powers may be distributed to organs of final jurisdiction, subject to the reservation of some competence for the settlement of conflicts as to jurisdiction. This doctrine contrasts sharply with the German

<sup>31</sup> Emerson, op. cit., pp. 100 et seq.; W. W. Willoughby, The Fundamental Concepts of Public Law, ch. xv; Mattern, op. cit., p. 146, remarks: "... the term Staatsgewalt is applied in German jurisprudence to denote the supremacy of the State in the sphere of constitutional law, covering the activities of the State within the sphere and reach of its own territory. The term Souveränität is used to describe the independence (Unabhängigheit) of the State in relation to other States, i. e., in international relations and law." However, this usage is not uniform among German writers. Ibid., p. 147.

<sup>82</sup> Emerson, op. cit., pp. 94-95.

<sup>33</sup> This point of view dominates the discussions of the new federal system in The Federalist. In No. LXII, it is stated: "... the equal vote allowed to each State is at once a constitutional recognition of the portion of sovereignty remaining in the individual States, and an instrument for preserving that residuary sovereignty." In No. XL Madison affirms that the principle of the Articles of Confederation that "the States should be regarded as distinct and independent sovereigns" is preserved in the Constitution. For the influence of this doctrine on German thinkers, see Merriam, op. cit., ch. x; Emerson, op. cit., ch. iii. Bryce, op. cit., pp. 520-22, accepts the principle of the division and limitation of legal sovereignty.

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to the proper organ or organs to settle disputes of competence. federal union as states and as having sovereignty. continued to look upon the component commonwealths in the of the non-sovereign state, many of our publicists and judges the proper organ. While German theory developed the idea cisions, while the nationalists believed the Supreme Court to be The state rights view was that the states should make such deitself, though there was conflict until after the Civil War as between the states and the United States by the constitution congeries of governmental powers exercised under constitutional and in so far as sovereignty has continued to be regarded as a the Founding Fathers was that sovereignty could be divided, the Supreme Court of the United States.34 The principle of ingredient, though recognition of this idea has been given by restraint, the doctrine has survived. Sovereignty was divided theory in that the personality of the state is not an essential

of organs which can amend the constitution. We have, no in the German sense, and our complex system of governmental we have reached a doctrine which postulates state sovereignty of unity embodied in the constitution. It cannot be said that fact to assert the sovereignty of the nation and the principle and the right of secession forced the national government in Southern contentions of the indivisibility of state sovereignty ereignty is dying a slow death, if it is not already dead. The organ is the possessor of sovereignty, unless it be the system organization makes it difficult for us to assume that any one doubt, replaced the older theory of divided sovereignty by a There is no question but that the concept of divided sov-

"The State itself is an ideal person, intangible, invisible, immutable. The Govthat "both Government and State are subject to the supremacy of the Constitive. . . ." It should be noted, however, that the Court does not explicitly affirm ernment is an agent, and within the sphere of the agency, a perfect representa-Poindexter v. Greenhow, x14 U. S. 270, the Supreme Court remarked that observation is correct it may be contended that A. D. Lindsay's principle of tution of the United States and the laws made in pursuance thereof." If this that the personality of the state is purely juristic, and it was further observed Rockow, op. cit., passim; Lindsay, op. cit., passim. Supreme Court than the conceptions advanced by Professor Willoughby. See the sovereignty of the constitution more nearly fits this interpretation by the 84 See Willoughby, The Fundamental Concepts of Public Law, p. 51. In

> within it the power of adjustment to new situations. 35 ereignty which is organized hierarchically internally, and has exercised through a complex of state organs. But it is a sovtheory of the legal sovereignty of the constitution which is

and prevalence of the idea of sovereignty itself indicates that have been the basis of governmental action, and the diversity the unity of the state as an institutional fact may be legally ereignty which have been accepted and formally acted upon in that there are at least four major historic conceptions of sovfor the manifestation of the coherence of political life. there is a universal urge toward the formulation of a legal basis expressed. time, shows that in all probability they are ways in which doctrines has endured for a time, or endures at the present the public law of modern states. The fact that each of these What we have tried to do in these brief notes is to indicate These doctrines have been realities because they

nized in the organization of the state are being advanced. The solidarity, or when Krabbe sees the validity of law in the content upon the morality than upon the legality of politics. For purof the social basis of the unity of the state. They touch more in contrast with juristic sovereignty are interpretations, in fact, nation respectively. historically organic and the culturally and racially organic principle underlying the Russian dictatorship is the justice of international, theses as to the proper social values to be recogof the sense of right of the community, whether national or poses of contrast certain of these notions should be mentioned. the sovereignty of a class, the proletariat, while Fascism and When Duguit traces the validity of law to the facts of social National Socialism seek the unitary principle of society in the Those doctrines which involve the idea of social sovereignty Likewise, from Rousseau to Bosanquet the

a certain constitution." Lindsay regards constitutional principles more as posiments is not that the bulk of society obey certain persons, but that they accept constitution connects the social and juristic aspects of the state by a general tive morality than as commands of the sovereign. The sovereignty of the (op. cit., p. 243): "The main fact about all modern constitutional governstitution is well adapted to the American political system. Lindsay remarks adherence to a definite principle of settling disputes 35 It is thus suggested that Lindsay's theory of the sovereignty of the con-

Idealists have sought the social foundation of the state in the conception of a general will, which is certainly unitary by definition.<sup>36</sup>

But the most far-reaching of all the social theories of sovereignty is the liberal doctrine of popular sovereignty, which goes back historically to the principles of the social contract and natural rights. Implied in the social contract and in national sovereignty is the right of the individual to a measured participation in political life. As T. H. Green suggests in his *Lectures on the Principles of Political Obligation*, each individual must be given the opportunity to contribute to the general will. Popular sovereignty is primarily a doctrine of the unity of the state itself, and aside from the principle of national sovereignty few attempts have been made to identify the actual expression of public opinion with the formal declaration of the will of the state.<sup>87</sup> It is the keystone principle of

minate and indeterminate, the latter being those which vest sovereignty as determinate and indeterminate, the latter being those which vest sovereignty in the nation, the state (as a person) or in the general will. He does not see, however, any conflict between the ideas of Bosanquet and Austin, since the former's elaboration of the concept of a general will need not be regarded as a theory of sovereignty in fact. See A. D. Lindsay and H. J. Laski, "Symposium: Bosanquet's Theory of the General Will", Aristotelian Society, Supplementary Volume VIII (1928), pp. 40-41. Since Bosanquet indicated that the general will and public opinion are not identical, his theory of the sovereignty of the general will cannot be regarded as an interpretation of popular sovereignty. Ibid., p. 36. Hallis, op. cit., p. 244, has affirmed that we do not need to assert sovereignty as the highest subjective right of the state will, since the sovereignty of the state "is the sovereignty of its ideal purpose." This author (pp. 23-24) classifies the kinds of sovereignty as the sovereignty, he declares, is not in essence bound up with the metaphysics of subjective right.

at The modern Chinese theory of sovereignty as advanced by Sun Yat-sen must be accepted as a doctrine of national sovereignty very much on the French model. If such devices as the initiative, the referendum and the recall, as well as the suffrage, may be regarded as primarily consistent with the French theory, then there is no question about the above statement, since these devices will enable a coincidence to be realized between opinion and the law. These views must be qualified, however, by the fact that the preliminary dictatorship of the Kuo Ming Tang is accepted as a matter of doctrine. Sun Yat-sen, San Min Chu I (The Three Principles of the People) (Shanghai, 1928), Part II. See Kong Chin Tsong, La Constitution des cinq pouvoirs (Paris, 1932), pp. 10-11, for insistence on the originality of Dr. Sun in distin-

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social or political as contrasted with legal sovereignty. Thus Dickinson declares:

Professor McIlwain performs a welcome service in insisting that the two ideas [political and legal sovereignty] are quite distinct, and directed to altogether different problems. Juristic sovereignty denotes only the existence of a definite organ for drawing the line between what is and what is not law. Political sovereignty has reference to the forces, or rather some of the forces, which operate on the juristic sovereignty to determine it where to draw this line.<sup>88</sup>

What conclusions should be drawn from the above discussion? It should be repeated that on pragmatic grounds the attempt to universalize any one explanation of the legal manifestation of the unity of the state or the foundations of its formal or positive law goes against the existence and successful practice of a number of monistic theories. Thus monism must be localized, just as the pragmatic attack on sovereignty should recognize in principle that it is difficult, if not impossible, to universalize the attack on sovereignty. A relativistic monism must accept the fact that there are situations in which a given interpretation of the theory will not apply, and that there may even be circumstances in the breakdown of the coherence of the state implying the non-existence of sovereignty.<sup>39</sup> It may be recognized, furthermore, that there are situations in which

guishing the people's sovereignty from the power of government (the five-power constitution). On p. 23 this author observes that, in contrast with the West, the theory of Dr. Sun will enable a genuine democracy to be attained in China.

28 Dickinson, op. cii., Vol. XLII (1927), pp. 532-33. In connection with this distinction see Bryce, op. cii., pp. 511-15; A. V. Dicey, The Law of the Constitution (8th edition, London, 1915), p. 71; Ritchie, loc. cii.; Willoughby, The Fundamental Concepts of Public Law, p. 112. Mattern, op. cii., p. 59, believes that the use of the distinction between legal and political sovereignty in England indicates the acceptance of the theory of national sovereignty. He distinguishes popular sovereignty from national sovereignty by showing that the latter implies that sovereignty is vested in the nation as a state, while the former conception leads more directly to the right of revolution. Popular sovereignty means to him the supremacy of the masses rather than the citizen. Ibid., pp. 26-30.

<sup>89</sup> Dickinson, op. cit., p. 548.

an historical fact, has taken several validly different forms. may be admitted that there have been times when sovereignty has ceased to exist, we must take the position that monism, as organ or organs of government. While with the pluralist it common interest, juristic sovereignty must be vested in some or in the general will which is the moral personification of a vest juristic sovereignty in the state as some sort of legal person ciple, it may be added that when a monistic theory does not matic and localized conception of monism. As a general princase of mandates under the League of Nations. The very exnone of the theories of sovereignty seems to apply, as in the istence of such anomalous relations shows the need of a prag-

Francis G. Wilson

UNIVERSITY OF WASHINGTON